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Irregular recapitulation in Schubert's instrumental works

Hur, Mi-Sook Han, Ph.D.

City University of New York, 1992

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A

IRREGULAR RECAPITULATION IN
SCHUBERT'S INSTRUMENTAL WORKS

by
MI-SOOK HAN HUR

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

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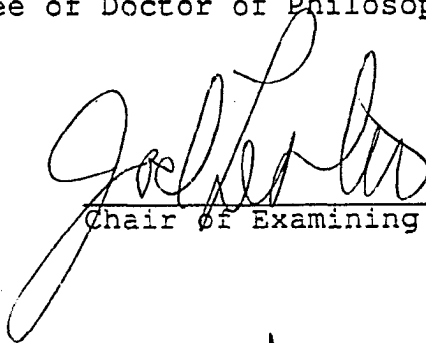
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PREFACE

Although Schubert's sonata form is discussed frequently in the musicological literature, to my knowledge it has never been studied in a thorough fashion. Most scholars have failed to present a broad and comprehensive picture of Schubert's recapitulatory procedure and his handling of sonata form. This is because they have confined their discussions primarily to Schubert's late works, which occupy only a small portion in his output (see the list in Appendix A), and also because they have emphasized those aspects of Schubert's work which are unusual and quite distinct from those of his contemporaries, including Beethoven. I believe that Schubert's approaches to recapitulation and sonata form have to be explained in terms of the composer's own practice of sonata writing from the very beginning of his career to the end. A detailed examination of his sonata compositions reveals how his persistent search for an original sonata procedure affected his novel and progressive conception of the form.

The present study aims to account Schubert's irregular recapitulatory practices--particularly non-tonic recapitulation--in the context of the stylistic changes that occurred in his oeuvre from 1810 to 1828, and deals with the question of how his non-tonic recapitulations fit into the complete

movements of which they are a part. Certain works with non-tonic recapitulation, by being structured on a single uninterrupted harmonic progression, reveal Schubert's concern with what I shall call "continuous tonal music." The ultimate goal of the thesis is to demonstrate by means of analysis how Schubert's novel approaches to the recapitulation brought about significant alteration of the conventional harmonic structure of the form. This is Schubert's unique contribution.

The first chapter surveys that portion of the pre-Schubertian repertoire which may have influenced Schubert, and discusses two basic types of non-tonic recapitulation. The four main chapters, II through V, examine Schubert's recapitulatory procedure in the sonata-form movements in various genres from his early to his final years. The last two chapters, VI and VII, are supplementary. Chapter VI seeks to explore some unusual key relationships in Schubert; Chapter VII attempts to describe Schubert's particular treatment of the dominant. A conclusion and two appendices follow. Appendix A is a chronological list of Schubert's instrumental works. Appendix B provides copies of music of works discussed in Chapter I which are rarely found in a music library.

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INTRODUCTION

I. Schubert's Treatment of Sonata Form

Scholarly writing on Schubert's sonata forms has undergone a transformation in the twentieth century. Earlier writers often began by measuring Schubert's works against the standard description of sonata form based on the works of the late Classic composers, especially Beethoven.

(Comparison of Schubert with Beethoven is inevitable since the two lived in the same city at the same time, and particularly since Schubert revered Beethoven's music.) Writers such as Felix Salzer, Donald F. Tovey, and Hermann Keller tended to fasten on unusual and problematic features of Schubert's works in sonata form.¹ They admired the original and experimental features of these works, but in general tended to consider them faulty--unsatisfactory realizations of sonata form. Schubert's handling of the form was viewed as redundant, loosely organized, episodic, and lacking

1. Felix Salzer, "Die Sonatenform bei Schubert," Studien zur Musikwissenschaft XV (1928), 86-125. Donald F. Tovey, "Franz Schubert," in Vol. I of Heritage of Music (London: Oxford University Press, 1927); repr., in Essays and Lectures on Music (London: Oxford University Press, 1949), 103-133; and "Tonality in Schubert," Music and Letters, IX (1928), 341-363; repr., in Essays and Lectures on Music, 134-159. Hermann Keller, "Schuberts Verhältnis zur Sonatenform," Musa-Mens-Musici (Leipzig: Deutscher Verlag für Musik, 1969), 287-295.

genuine development.

A new perspective on Schubert's music has emerged recently as scholars have recognized the inadequacy of explaining Schubert in terms of a Beethovenian model. Peter Gülke speaks of "Umqualifizierung der Sonatenlogik"--the need to redefine sonata logic. In considering Schubert's sonata form, he stresses the irrelevance of the prevailing assumption that thematic development in the Beethovenian sense is an indispensable element in sonata composition.² Complementing Gülke, Hans-Joachim Hinrichsen asserts that this redefinition is necessary if one is to account for the key plan of sonata movements by Schubert, many of which he considers not based on tonic-dominant polarity.³ James Webster likewise proposes that the main cause for Schubert's novel approach to the sonata form is his aversion to the dominant.⁴ According to Carl Dahlhaus, Schubert's sonata form is defined as "epic-lyrical," in contrast to the

2. Peter Gülke, "Zum Bilde des späten Schubert," in Musik-Konzepte. Sonderband: Franz Schubert, ed. Heinz-Klaus Metzger and Rainer Riehn (Munich: text + kritik, 1979), 158.

3. Hans-Joachim Hinrichsen, "Die Sonatenform in Spätwerk Franz Schuberts," Archiv für Musikwissenschaft XLV/1 (1988), 19.

4. James Webster, "Schubert's Sonata Form and Brahms's First Maturity," Nineteenth Century Music II (1978), 22.

"dialectic-dramatic" style of Beethoven.⁵ Charles Rosen warns us against the rigorous application of classical standards in Schubert because it "entails a failure to appreciate many works that, while never quite making virtues of their deficiencies, have virtues of their own that more efficiently organized music can rarely achieve."⁶

What are the specific "virtues" of Schubert's works not found in other composers? Frequently mentioned is the lyrical impulse and contemplative nature which contribute to formal expansion and spaciousness. Particularly Schubertian aspects which have received attention by scholars are the three-key exposition,⁷ the beginning of the recapitulation in a key other than the tonic, remote-key relationships, and such harmonic devices as tonal oscillation, shift and juxtaposition. In this thesis I shall not attempt to discuss these aspects of Schubert's sonata form, which would require

5. Carl Dahlhaus, "Sonata Form in Schubert: The First Movement of the G-Major String Quartet," trans. Thilo Reinhard, in Schubert: Critical and Analytical Studies, ed. Walter Frisch (Lincoln: University of Nebraska, 1986), 1.

6. Charles Rosen, The Classical Style (New York: Viking, 1971), 455.

7. The term "three-key exposition" is defined by Rey Longyear and Kate Covington: "a sonata-form exposition in which the second theme-group begins in a key different from both the opening and the close of the exposition. See "Sources of the Three-Key Exposition," Journal of Musicology VI/4 (1988), 448.

a much longer study to do them justice, and will confine my study to the investigation of Schubert's irregular recapitulations.

II. Recapitulation in Schubert's Sonata Form

The recapitulation is critical in the articulation of sonata form. In the standard treatment of sonata form, two important events take place in this section: 1) the synchronized return of the first theme with the tonic return (Webster's "double return"),⁸ which differentiates sonata form from binary form, and 2) the reconciliation of tonal tension by the restatement of the second thematic group in the tonic key (singled out as a significant aspect of sonata form by Edward T. Cone and Rosen).⁹ The second of these events will require changes in the transition, which, instead of effecting a large-scale modulation, must remain essentially in the tonic key.

Schubert's irregular treatment of the recapitulation departs sharply from these norms. By the term "irregular" I

8. See Webster, "Sonata Form" in The New Grove Dictionary of Music and Musicians (London: Macmillan, 1980), XVII, 497.

9. See Edward Cone on the "sonata principle" in Musical Form and Musical Performance (New York, 1968), 76-77; and Rosen on the "resolution of the dissonant material" in Sonata Forms (New York: Norton, 1980, rev/1988), 287.

mean tonal and/or thematic deviation from conventional practice in the recapitulation. Schubert's irregularities are found in the non-tonic beginning of the recapitulation, since it violates the important formal principle of "double return." Schubert's basic attitude toward irregularities is quite different from that of Mozart and Haydn. Rare cases of irregular treatment by Mozart (such as in the C-major Piano Sonata, K. 545, I and the D-major Piano Sonata, K. 311, I) show the composer humorously playing with convention. However, Schubert explored these irregularities to find new and original ways of treating recapitulations.

The non-tonic recapitulations of the composer's early periods (1811-1819) are generally viewed as inferior to those after 1820. In particular the use of the subdominant key at the beginning of the recapitulation, which Schubert favored in the period of 1816-19, makes it possible for the I - V of the exposition to be literally transposed as IV - I in the recapitulation, producing an automatic return to I with no need for recomposition of any kind. This facile recipe (rejected early by Schubert) has been described as a "short cut" by Malcolm Boyd, and a "lazy mannerism" by Rosen.¹⁰ Because many of Schubert's early non-tonic recapit-

10. Malcolm Boyd, "Schubert's Short Cuts," The Music Review XXIX (1968), 12. Rosen, Sonata Forms, 144.

ulations consist of repetition of the materials of the exposition with minimal changes confined to a few measures and sometimes with no rewritten transition at all between the two theme groups, they have frequently been criticized as inflexible--producing a static, redundant effect, antithetical to the nature of sonata form.

However, with regard to Schubert's subtler treatment in later works, scholars take a more positive attitude toward irregular recapitulation as a whole. Daniel Coren views non-tonic recapitulations as a positive compositional technique intended to blur the demarcation between development and recapitulation, thus creating an intentional formal ambiguity.¹¹ Webster notices in the non-tonic recapitulations composed in the late years the "synthesized" functions of retransition and recapitulation: Although the thematic return in a non-tonic key takes place at the beginning of recapitulation, this return is transitional since it prepares for the tonic return which occurs later in the course of the recapitulation.¹² On the other hand, Thomas Denny contends that there is no formal ambiguity in a non-tonic

11. Daniel Coren, "Ambiguity in Schubert's Recapitulations," The Musical Quarterly LX (1974), 568.

12. James Webster, "Schubert's Sonata Form and Brahms's First Maturity," Nineteenth Century Music II (1978), 31-33.

recapitulation since "the effects of this lack of synchronization are local," and he concludes that Schubert "did not view the double return to be an essential element in a successful sonata form."¹³

III. The Object and Nature of This Study

This study aims to explain Schubert's recapitulatory procedures from a broader and more comprehensive perspective than hitherto attempted. Schubert's various recapitulatory practices will be viewed in terms of the stylistic changes that occurred in his oeuvre from 1811 to 1828. This historically oriented survey with in-depth analysis of selected major works will attempt to shed light on certain questions, e.g.: How were his early non-tonic recapitulations conceived? In other words, what might have been the possible influence on his conception of non-tonic recapitulations? How in each period did Schubert experiment with the idea of non-tonic beginning of the recapitulation and the overall harmonic structure? How is the early practice of non-tonic recapitulation related to the later practice? And, finally, how could he achieve the subtle and wonderful effects in the

13. Thomas Denny, "The Finale in the Instrumental Works of Schubert" (Ph.D. diss., University of Rochester, Eastman School of Music, 1982), 142-151.

non-tonic recapitulation in his late years?

Schubert's non-tonic recapitulations are not only highly irregular in themselves, but are also related to other irregular features found in the preceding sections of a movement. In particular, the layout of the development section reveals that the decision to compose a tonally irregular recapitulation is not casually made at the point of writing the recapitulation, but undoubtedly arises from the initial tonal conception of the movement. Therefore, the investigation of recapitulations can be very pertinent — to the interpretation of the movement as a whole, for it is here that the problematic features of the movement are intensified and also resolved. The proper elucidation of tonal irregularities entails consideration of various related aspects such as the thematic design and harmonic structure of the exposition, the role of the bridge, the function of the development section, preparation for the return, the location of the thematic and tonic return (when they are not simultaneous), and the role of the coda section, when present.

Some previous studies have sought to explain irregular

recapitulation in terms of "key plan."¹⁴ In my view, these studies have not gone far enough: They fail to discuss the essential questions of how such an irregular tonal recapitulation fits into the broader harmonic structure of the entire movement. The crucial question is not one of mere key order, but of the particular function in a given case of the non-tonic key, for example, of the $\flat$ VI in the Piano Trio in $B^{\flat}$ (D. 898), the $\flat$ III in the finale of the "Great" Symphony in C (D. 944), or the $\sharp$ VI in the Piano Sonata in A minor (D. 845). Hinrichsen has criticized Hermann Keller's attribution of the $\flat$ III recapitulation in the finale of the "Great" Symphony to the composer's desire for an entirely different color than C major.¹⁵ Hinrichsen claims (rightly, I think) that this reveals very little, and he attempts to provide better explanations, but his approach, valid as far as it goes, suffers from an inadequate theory of musical

14. See Hinrichsen's study, "Die Sonatenform in Spätwerk Franz Schuberts," Archiv für Musikwissenschaft, XLV/1 (1988), 16-49.

15. Hermann Keller, "Schubert's Verhältnis zur Sonatenform," in Musa-Mens-Musici (Leipzig: Deutscher Verlag für Musik, 1969), 292.

structure.¹⁶

The main concern of this thesis is to demonstrate by means of analysis how Schubert's novel approach to the recapitulation brought about significant alteration of the conventional harmonic structure of the form, which is his unique contribution to the development of sonata form. Therefore, I attempt to show that Schubert's modifications of the sonata form are not offhand and accidental phenomena, but rather a result of his creative rethinking of sonata form. Schubert's works in sonata form, many of which juxtapose features from different formal traditions, constitute unique and creative solutions that fulfill their function in their own terms.

I should add a word on theoretical orientation. My study is undertaken in terms of Heinrich Schenker's theory of musical structure. Though some previous studies of the questions I shall investigate have made use of Schenkerian theory and analytic method, none, to my knowledge, has done so with the degree of comprehensiveness that I attempt here. It is my belief that Schenkerian analysis can shed new light

16. For instance, Hinrichsen equates the occurrence of certain chords in different places without considering their particular functions within the section, and often arrives at forced analogy (see "Die Sonatenform in Spätwerk Franz Schuberts," 16-49).

on structural problems that have perplexed previous students of Schubert, and I hope that, in addition, it can also assist me in attempting to evaluate Schubert's artistic achievement. I will employ the terminology found on pages 163-164 of Schenker's Free Composition.¹⁷

IV. Outline of Chapters

Chapter I places Schubert's practice in historical perspective by considering non-tonic recapitulations by earlier and contemporary composers. Chapters II through V, the main chapters of the study, examine Schubert's practice in chronological order through the analysis of specific examples. For the sake of convenience, Schubert's entire output is divided into four periods, each with a fairly uniform recapitulatory procedure. Chapter II deals with the period up to 1815, which, as might be expected of a young composer's works, is characterized by a free and uneven approach to sonata form--even including the frequent use of the dominant key at the beginning of the recapitulation. The second period (1816-19) in Chapter III sees, as I have said, much employment of the subdominant recapitulation and of the three-key exposition. In the period of 1820-1823

17. Heinrich Schenker, Free Composition (Der freie Satz), trans. and ed. Ernst Oster (New York and London: Longman, 1979).

(Chapter IV), "regular" and "irregular" treatments are present side by side, and some of the works composed during this period show a marked increase in mastery. (The subdominant recapitulation is no longer used.) A still higher degree of irregularity, now revealed in works that are among Schubert's greatest achievements, defines the period of his last years, 1824-1828 (Chapter V).

Then follow two supplementary chapters, VI and VII. Chapter VI investigates Schubert's unusual key relationships within a movement, or among the movements in the multi-movement works. Chapter VII attempts to explain Schubert's particular treatment of the dominant because it seems to be a decisive factor in his approach to sonata form. The Conclusion presents a short survey of Schubert's approaches to sonata form dealt with separately in the previous chapters.

CHAPTER I

SCHUBERT'S NON-TONIC RECAPITULATION

IN HISTORICAL PERSPECTIVE

I. The Pre-Schubertian Repertoire

Sonata form is generally viewed as having grown out of eighteenth-century binary form, which has two large parts separated by a double bar in the middle. In the sonata movements of the early classical period, ca. 1750-1770, great formal freedom is typical of the second of these two parts. To apply the terms "development" and "recapitulation" in the second part is unwarranted since no such distinction was yet made in practice, let alone theory. Except for the usual appearance of the second theme in the tonic key somewhere toward the end, "anything" could happen in the rest of second part. The opening theme might not reappear at all. If it did, it could be at any place in the second part, and in either the tonic or a non-tonic key.¹

The high classical sonata form with its "double re-

1. The occurrence of the main theme in the tonic key very soon after the double bar has been discussed in detail by Oliver Strunk and Charles Rosen. See Strunk, "Divertimenti for Baryton, Viola, and Bass," in Essays on Music in the Western World (New York: Norton, 1974), 149-151; see also Rosen, Sonata Forms (New York: Norton, 1980; rev., 1988), 155-161.

turn" (the simultaneous return of the main theme and the tonic key) became standardized in the 1770s. As the functions of the development and the recapitulation became differentiated by harmonic structure and thematic design, the beginning of the recapitulation was increasingly treated as a highly dramatic point, and the tonic return recognized as a critical and essential element of the form. After the double bar, the appearance of the main theme in the tonic key was normally avoided until the beginning of the recapitulation to make the double return more effective.

The term "false reprise" (or "false recapitulation")² deserves mention here in relation to the non-tonic recapitulation, which is sometimes incorrectly called a false reprise. The false reprise is conceptually different from the non-tonic recapitulation. A reprise is "false" when it is followed by more developmental phrases and later by the real recapitulation. It is basically an event belonging to the development section. On the other hand, the non-tonic recapitulation functions as the real beginning of the recapitulation since it demarcates the beginning of this new

2. See Leonard Ratner, Classic Music (New York: Schirmer, 1980), 229. False recapitulation is usually confined to the thematic appearance in the tonic key, but the very rare case in a non-tonic key is found in the first movement of Haydn's Symphony in B^b, No. 102.

section, and follows the order of the themes of the exposition.³

Some writers have seen a connection between Schubert's recapitulation on the key of the subdominant and the free practice characteristic of the early sonata. Rosen views the subdominant recapitulation as an extension of the old formal convention found in the early classical period, stating that it remains "an option from 1750 to 1830 in spite of its infrequency."⁴ I disagree with him because the meaning of "option" has to be defined differently, depending on the historical context. The early use, as in, for example, Giovanni Marco Rutini's Piano Sonata, Op. 3, No. 4, first movement (published in 1757), and in many movements of Florian Gassmann's symphonies (1765-1769) is very different

3. The beginning of the recapitulation in a non-tonic key must also be differentiated both from those cases which, while in the tonic key, start on a non-tonic chord, as in the first movements of Beethoven's E^b Piano Sonata, Op. 31, No. 3, and Haydn's "Surprise" Symphony, and also from those cases in which the recapitulation starts over a retained structural dominant chord, as in the first movements of Beethoven's Piano Sonata in f, Op. 57, and Mendelssohn's Italian Symphony.

4. Charles Rosen, Sonata Forms, 153.

from the use after 1780, as found in Mozart and Beethoven.⁵ The early use cannot be regarded as particularly irregular in terms of early classical sonata form, while the late use is certainly intentional, when measured against the standardized principle of double return.⁶ Thus they cannot be explained as the same option. Examples of non-tonic recapitulation in a sonata-form movement are rare in the works of Mozart and Beethoven.⁷ This rarity reveals that the choice of the non-tonic recapitulation over the regular one is a very special compositional event--a bold step on the part of the composer. It is in this sense that we must understand its employment by Schubert, who uses it more

5. George Hill finds in the twelve symphonies by Gassmann five recapitulations on IV and three recapitulation on VI. See the introduction in the edition of Gassmann's Symphonies, Series B, Vol. X of Symphony: 1720-1840 (New York: Garland, 1981), xviii.

6. Rey Longyear identifies the early use of a non-tonic recapitulation as one of the characteristics of the true binary sonata form. See his "Binary Variants of Early Classic Sonata Form," Journal of Music Theory XIII (1969), 162-185.

7. Denny remarks that this practice might be more related to the interests of the particular composers, by arguing that non-tonic recapitulations are more numerous in the works of Gassmann, Dittersdorf, Christoph Sonnleithner, Anton Wranitzky, Anton Teyber, and Muzio Clementi, among others. (While he credits George Hill for this information, he does not give the specific works or genre.) See "Articulation, Elision, and Ambiguity in Schubert's Mature Sonata Forms: The Op. 99 Trio Finale in its Context," Journal of Musicology VI/3 (1988), 354-5.

often than any other composer.

What cases of non-tonic recapitulation did Schubert know, or possibly know? It is not likely that he was influenced by the earlier use, as in Rutini and Gassmann. Webster opines that Beethoven's Coriolan Overture, Op. 62 (1807), may have served as a possible model since Schubert performed and admired that work.⁸ The first movements of Mozart's Piano Sonata in C, K. 545 (1788) and of Beethoven's Piano Sonata in F, Op 10, No. 2 (1796-7) also may well have been known to Schubert. It seems possible that he knew the subdominant recapitulations in the works of Clementi.⁹ He certainly knew the Nocturne for flute, viola and guitar, Op. 21 (published 1807), by Wenzel Thomas Matiegka (1773-1830), a composer active in Vienna after 1800. In 1814 Schubert added to this work a cello part, possibly to pro-

8. This is well documented. See Otto Deutsch, Schubert: A Documentary Biography, trans. Eric Blom (London: Dent, 1946), No. 345. Webster further suggests that the three-key exposition of the overture may also have influenced Schubert (see "Schubert's Sonata Form and Brahms's First Maturity," Nineteenth Century Music II (1978), 31.

9. In Clementi's piano sonatas, eleven movements with non-tonic recapitulation are observed and listed by Sister Alice Tighe. See "Muzio Clementi and His Sonatas Surviving As Solo Piano Works" (Ph.D. diss., University of Michigan, 1964), 187-188.

vide a quartet for family music-making.¹⁰ Hummel's Piano Trio in E^b, Op. 96 was composed too late (1822) to have had any influence, but is interesting as the work of an important contemporary.¹¹

Another interesting source of non-tonic recapitulation is the late eighteenth-century and early nineteenth-century opera overture. Examples are Gluck's overture to Alceste (1769), Dittersdorf's overture to the oratorio Esther (1772), Salieri's overtures to Les Danaïdes (1784) and Axur, Re d'Ormus (1788), Méhul's overtures to Adrien (1794) and Stratonice (1792), and Catel's overtures to Sémiramis (1802) and Les bayadères (1810). The "form" of the late eighteenth-century overture never became as standardized as sonata form, and varied from place to place and even from composer to composer. In general the overture is usually described as being in "sonata form without development" (or "slow-movement form"). This kind of "sonata form" is identical with the common type of binary, especially in the overtures with a recapitulation in the key of the dominant:

10. Erroneously attributed to Schubert, this work's true authorship was not discovered until 1931. For the history of the work see Maurice Brown, Schubert: A Critical Biography (London: Macmillan, 1958), 25.

11. If Hummel, who was older than Schubert, did not attempt non-tonic recapitulation until 1822, is it possible that Schubert influenced him?

I - V: V - I.¹² The main concern here is the influence on Schubert: His frequent use of recapitulation on V, particularly in his early years (1811-1815), may well have been influenced by the model found in the overtures. From his student years on, Schubert desired to have a career as an opera composer and always had a keen interest in the current performances of operas. It is virtually certain that he knew this repertory. Since it is well documented that he knew Gluck's operas thoroughly,¹³ he must have known the overture to Alceste. Moreover, the two overtures by Salieri must have been known to Schubert, since Schubert's friend, Josef von Spaun, recalled that "for [Salieri's] works, especially his two operas, Axur and Les Danaïdes, he [Schubert] had a high regard."¹⁴ Catel's Sémiramis was very popular and frequently performed in Vienna, and Schubert

12. Since the large-scale modulation to V takes place in the first part, the recapitulation on V is particularly apt to the harmonic structure of the major-mode overtures. Likewise, in the minor-mode overture (such as Méhul's Stratonice), the harmonic structure I-III: III-I is noticed.

13. Schubert's through knowledge of all of Gluck's opera is recalled by Josef von Spaun and Anton Holzappel. See Deutsch, Schubert: Memoirs by his Friends--hereafter, SM--(New York: Macmillan, 1958), 21 and 59.

14. This remark occurs in Spaun's 1829 Schubert obituary. See Deutsch, Schubert: A Documentary Biography--hereafter, SD, 868.

regarded it as "absolutely glorious music."¹⁵ Spaun also recollected that Méhul's overtures interested Schubert.¹⁶ It is in this context that we should understand Schubert's early instrumental works. During 1811-1815 his symphonic movements, usually the first and finale, are written much in the manner of the overture. Such a fusion of genre, which is prominent in early Schubert, suggests that he did not make a distinction between the two genres.

II. Two Basic Structural Types

A closer scrutiny of the works with non-tonic recapitulation that may have influenced Schubert reveals that in spite of differences in genre, medium, and length, not to mention artistic quality, they can be viewed in terms of two basic types. It is the retransition (that is, the extended dominant preparation of the key of the approaching first theme) that distinguishes the two types: A retransition is present in the first type, absent (or virtually so) in the second.

In the first type, thanks to the retransition, the eventual statement of the first theme sounds like the beginning of a new form section; a clean break between the devel-

15. See his letter in SD, 117.

16. SM, 126.

opment and recapitulation sections is made. In the second type, the absence of the retransition makes the non-tonic first theme sound instead like a continuation of the development section. This effect is further promoted by the harmony of the deepest background: The development has begun on a background V which is prolonged beyond the statement of the non-tonic first theme. It is as though the development itself were continuing until this later point, embracing the non-tonic first theme in the process. One might describe this as a kind of "elision" of the development and the recapitulation.

As the discussion below will show, examples of Type I can have the same background harmonic structure as Type II. In spite of this harmonic similarity, the two types have a very significant rhetorical difference. The first type is based on the conventions that the listener expects of sonata form; the second type produces quite a different, and much more unusual and complex, effect.

A. Examples of the First Type

Among several movements with non-tonic recapitulation by Clementi, the first movement of the Piano Sonata in F

minor, Op. 13, No. 6 stands out.¹⁷ Its recapitulation, like that of Matiegka's work, which will be discussed below, is in the key of the dominant--a procedure occurring in many sonata movements that Schubert wrote during his apprentice years, 1811-1815. This movement is monothematic, interweaving two distinct turn figures both contained in m. 1. (For the music of this movement see Appendix B.) At m. 69 the recapitulation occurs in the key of the dominant minor, c minor. Since it is clearly articulated and preceded by a five-bar retransition on the dominant 7th of c minor, this recapitulation belongs to the first type. The bridge section ends on the half cadence on the dominant of the tonic key (m. 82), which anticipates the tonic return at the second theme. However, the second theme starts with III at m. 84, then moves to IV (m. 87) and V (m. 89). Surprisingly, the III of m. 84 recalls a similar movement in the exposition, where, at m. 20, the second theme begins on III, which likewise progresses to IV and V after the double bar (see the brackets in Ex. 1.1). Hence the tonic return at m. 101 coincides with the second phrase of the second theme, and there is no interruption of the Urlinie. The dominant

17. This composition, the probable date of which is 1784, is counted as one of Clementi's finest works by Leon Plantinga in his article on Clementi in The New Grove Dictionary of Music and Musicians, Vol. IV, 487.

is greatly emphasized in the second half of the sonata, an event more likely to occur in a minor-mode sonata (with its I - III exposition) than in a major-mode sonata.

Ex. 1.1: Clementi, Piano Sonata in F minor, Op. 13, No. 6, I, overall structure.

The diagram illustrates the overall structure of the first movement of Clementi's Piano Sonata in F minor, Op. 13, No. 6. It features a musical staff with a treble and bass clef, showing the first 101 measures. Above the staff, section labels and measure numbers are provided: Exp (Th I) at measure 1, (Th II) at measure 20, Dev at measure 50, Rec (Th I) at measure 69, (Th II) at measure 79, 84, 89, and 101. Below the staff, Roman numerals indicate the harmonic structure: I, III, (IV), V^b, V⁴, and I. The key signature is F minor (three flats).

Another case of recapitulation on V is found in the first movement of the Nocturne in G, for flute, viola and guitar, Op. 21 (publ. 1807) by Matiegka.¹⁸ Following the extensive dominant preparation (mm. 116-125), the recapitu-

18. I could not consult the original composition by Matiegka since there is no available printed edition. But scholars all agree that Schubert's arrangement of the first movement is little more than the original composition with a cello part added. See music in Appendix B.

lation takes place at m. 126 in the dominant key. Though the development is effective and oriented toward the goal of D major, the recapitulation in that key is poorly handled because the modulation out of it is very sudden and ineffective: After only a four-bar phrase ending on a half cadence at m. 129, the return to G major is effected by merely adding one bar (m. 131), and one note, C, which produces a V of G major. The rest of the first theme is in G major (see Ex. 1.2). Therefore, it is hard to find a convincing reason for the employment of the non-tonic key at the outset of the recapitulation.

Ex. 1.2: Matiegka, Nocturne, Op. 21, I, overall structure.

The diagram illustrates the overall structure of the first theme in Matiegka's Nocturne, Op. 21, I. The staff shows the musical notation with measures 1, 34, 84, 98, 117, 126, and 136 marked. The structure is divided into three main sections: Exposition (Exp), Development (Dev), and Recapitulation (Rec). The Roman numerals below the staff indicate the harmonic structure: I, V, (V⁴), II⁷, V, I. Arrows indicate the flow of the music and the structure of the sections.

The first movement of Hummel's E^b -major Piano Trio of 1822 (Op. 96) is a large-scale work (music in Appendix B). This work illustrates an interesting case of non-tonic (subdominant) recapitulation of the first type. The beginning of the recapitulation (m. 168) is clearly heralded by the retransition, but one that (unusually) is based on a G major chord (mm. 154-162) followed by an E^b . A part of the theme (mm. 9-30) does not appear in the recapitulation, and the first group (mm. 168-192) is treated in the manner of a further transition. The subdominant key at the beginning of the recapitulation functions as a passing harmony within the third progression from III to V (see Ex. 1.3).

Ex. 1.3: Hummel, Piano Trio in E^b , Op. 96, I, overall structure.

The diagram illustrates the overall structure of the first movement of Hummel's Piano Trio in E^b , Op. 96, I. It features a musical staff with notes and a harmonic progression below it. The structure is divided into sections: Exposition (Exp), Development (Dev), and Recapitulation (Rec). The key signature is E^b major (three flats).

Section labels and measures:

- Exp: (1)
- Dev (retrans): (39), (154), (168), (185), (193)
- Rec: (168)

Harmonic progression below the staff:

I V (III⁴) V⁷ I

Measure numbers 5-6 are indicated under the Dev section.

Further examples of the first type of non-tonic recapitulation are found in the overtures with recapitulation in the key of the dominant. In Salieri's overture to Les Danaïdes in D major (1784), the beginning of the recapitulation is clearly prepared through the retransition (music in Appendix B). The development (mm. 53-70), which seems like a separate new episode, is a free variation based on the thematic materials from the slow introduction (mm. 1-11). Also the F at m. 55 is related to the D minor Introduction. Salieri introduces V (A minor) at m. 71 to prepare for the coming V[#] (A major), which is analogous to the relation of the opening Andante in D minor to the D-major Allegro (see Ex. 1.4). This overture features prominently an interesting

Ex. 1.4: Salieri: Overture to Les Danaïdes, overall structure.

(Andante) (Allegro)

Exp Dev Rec coda

① ⑬ ③② ⑤③ ⑦① ⑦⑧ ⑨④ ⑬⑥

The musical score is written in bass clef with a key signature of one flat (B-flat). It is divided into sections: (Andante) and (Allegro). The structure is marked with measures ①, ⑬, ③②, ⑤③, ⑦①, ⑦⑧, ⑨④, and ⑬⑥. The key changes are indicated by a series of sharps and flats: I^b — I[#] — V — V^b — V[#] (IV) — V[?] — I[#] — b. The harmonic analysis below the staff shows the progression of chords: I^b — I[#] — V — V^b — V[#] (IV) — V[?] — I[#] — b.

mixture of D minor and major (note the signature changes in Ex. 1.4). Thus the whole development functions as a kind of large retransition, preparing for the return of the Allegro theme. The V tonicized at the recapitulation (m. 78) modulates back to the dominant of the tonic key at m. 93.

Another clear example is Catel's overture to Sémiramis in F major (1802), one of the finest French overtures in the late eighteenth and early nineteenth centuries (music in Appendix B). The beginning of the recapitulation in the key of V (m. 90) is clearly demarcated since it is preceded by the slow introduction (mm. 81-89). This introduction, now in C major, overlaps with the close of the second theme in C minor, and prepares the thematic return in the same key. As shown in Ex. 1.5, the background V is prolonged from the second theme of the exposition (m. 58) through the first theme of the recapitulation to the dominant at the transition (m. 103). The enormous coda (mm. 134-213) basically on the pedal point on I seems to be intended to compensate for the long stretched-out V embracing the exposition and recapitulation.

Ex. 1.5: Catel, Overture to Sémiramis, overall structure.

The diagram illustrates the overall structure of the Overture to Sémiramis by Catel. It is presented on a single staff with a bass clef. The structure is divided into sections with their respective tempo markings and measure numbers in circles:

- Exp** (Exposition):
 - Th I** (Theme I): (Lento) measures 1 to 21.
 - Th II** (Theme II): measures 58 to 81.
- Rec** (Recapitulation):
 - Th I** (Theme I): (Lento) measures 81 to 90.
 - Th II** (Theme II): measures 110 to 134.
- coda**: measures 134 to the end.

Below the staff, key signatures are indicated: I (C major), V^b (F major), $V^{\sharp}$ (C# major), V^7 (G major), I^b (F major), and $\sharp$ (C# major). A large bracket spans from measure 58 to measure 110, indicating a section of non-tonic recapitulation.

B. Examples of the Second Type

One of the most famous examples of non-tonic recapitulation in the literature is the first movement of Mozart's Piano Sonata in C, K. 545, composed in 1788. It is also an example par excellence of the non-tonic recapitulation not preceded by a retransition. Since the beginning of the recapitulation is not clearly demarcated from the development because of the absence of the customary preparation by means of pause or retransition, the movement bears a certain resemblance to binary form. The first eight bars of the main theme appear transposed in the subdominant key (mm. 42-49) and are followed by a repetition of mm. 5-12. The return of the second theme is much strengthened by the long-

delayed arrival of the dominant chord at m. 56, which has been prolonged from the end of the exposition. The tonic return takes place with the second theme, instead of the first. I agree with Edward Laufer, who sees the return of the first theme as "parenthetical," functioning as a neighbor harmony on F between the two dominants (see Ex. 1.6).¹⁹

Ex. 1.6: Mozart, Piano Sonata in C, K.545, overall structure (after Laufer).

The image shows a musical score for Mozart's Piano Sonata in C, K.545, with harmonic analysis and section labels. The score is written for piano (p) and includes a treble and bass staff. The analysis is as follows:

- Section Labels:** Exp (Exposition), Dev (Development), Rec (Recapitulation).
- Measure Numbers:** 1, 11, 29, 42, 54, 55, 58, 67, 69, 70, 71.
- Harmonic Analysis:**
 - Exp: I (C major), V (F major).
 - Dev: V (F major), (IV) (F major), V (C major), I (C major).
 - Rec: II⁶ (D minor), V (F major), I (C major).
- Other Annotations:** A bracket labeled 'N' (Neighbor) spans measures 42 to 54. A bracket labeled '6-5 4-3' spans measures 67 to 71.

19. Edward Laufer, in his review of Heinrich Schenker's Free Composition, in Music Theory Spectrum III (1981), 173-176.

The irregular recapitulation seems to be related to the structure of the three-key exposition and the subsequent need to modify this plan in the recapitulation. The second theme, which appears in the key of the mediant in the exposition, would be likely to recur in the tonic key or submediant in the recapitulation. Here Beethoven's choice of the tonic rather than the submediant results in a non-tonic beginning of the first theme to make effective the tonic return at the second theme.

The first movement of Beethoven's Piano Sonata in F, Op. 10, No. 2 (1796-7) is a very unusual case of non-tonic recapitulation. The very experimental character of the movement is evident in the harmonically striking opening (mm. 1-19), and especially at the surprising recapitulation. The point at which the first theme appears (m. 118) after the short pause on the III[#] (m. 113) is the usual place for the beginning of the retransition, as seen in Mozart's piano sonatas.²⁰ But the appearance of the complete first theme in the submediant key (mm. 118-129) contradicts our expectations. From m. 130 on, the fragmentary phrases resume their retransitional function (see Ex. 1.8). Thus the first theme

20. See m. 78 in the first movement of the F major Piano Sonata, K. 280, and m. 123 in the first movement of another F major Piano Sonata, K. 332.

of the recapitulation is treated as a continuation of the development.

I propose that the unusual harmonic progression of the first nineteen bars of the movement is intimately related to the irregular recapitulation. I refer to the striking appearance of an E major chord, or VII[#], at m. 18, just after the tonic has been established in the first phrase (mm. 1-12). (A progression such as this occurring in the development would not be so unexpected.) Soon this VII is followed by a prolonged V (19-27): Therefore the VII is understood as a way to reach the V. To find a way to repeat this unusual harmonic progression, I - (VII) - V, in the recapitulation is the challenge facing the composer. The ingenious solution is to repeat the harmonic "motive," I - VII - V (mm. 1-19) as IV - III - I (mm. 95-144), but in greatly expanded form (see brackets in Ex. 1.8). The passage in mm. 118-136 consists of passing harmonies, which embrace the irregular beginning of the recapitulation. Meanwhile, the persistent triplet figures in the high register emphasize the structural note, 3, embellished by its upper neighbor: a (m. 118) - b^b (m. 132) - a (m. 137-142).²¹

21. For alternate views of the structure of this movement, see Laufer, in Music Theory Spectrum III (1981), Ex. 31 on pp. 177-9, and Schenker's two analyses of the movement: Fig. 101.4 in Free Composition, Vol. II, and that in his

Ex. 1.8: Beethoven, Piano Sonata in F, Op. 10, No. 2, I, overall structure.

The diagram illustrates the overall structure of the first movement, divided into three main sections: Exposition (Exp), Development (Dev), and Recapitulation (Rec). The measures are numbered in circles above the staff: Exp (1, 15, 18, 19, 30, 38), Dev (79, 91, 107, 112, 113, 118), and Rec (137). The key signature is one flat (B-flat). The score includes treble and bass staves with various musical notations such as notes, rests, and arpeggiations. Handwritten annotations include measure numbers in circles, section labels, and Roman numerals for harmonic analysis: I, (VII), V, (IV), III[#], and I.

A notable event is the large-scale bass arpeggiation, V - III[#] - I, a progression found in many other F-major

article "Organic Structure in Sonata Form," trans. Orin Grossman, in Readings in Schenker Analysis and Other Approaches, ed. Maury Yeston (New Haven and London: Yale University, 1977), 45-48. Only the last of these deals specifically with the development and recapitulation. My reading is different from both Schenker's and Laufer's.

movements by Mozart and Beethoven.²²

Among the examples of overtures belonging to the second type, an interesting case is Méhul's overture to Adrien in D major, composed in 1793-4 (music in Appendix B). According to David Charlton, this overture was "unusual at the time in being a sonata-form work of distinction."²³ However, this overture has many irregular features: the non-tonic opening of the Allegro, the second theme in the key of the $\flat$ III (F major), and the transposed first theme in the recapitulation. As seen in Ex. 1.9, the most unusual harmonic feature is the avoidance of the dominant in the Allegro until m. 109, just before the tonic return (m. 128). At the beginning of the Allegro (m. 38) a 6/5 chord over the bass note A[#]--strikingly juxtaposed from the preceding dominant at the end of the introduction (m. 29)--is merely passing to the B-minor chord (m. 42).²⁴ The beginning

22. According to David Beach, this descending bass arpeggiation is found in the following F-major movements: in Mozart, the first and third movements of the Piano Sonata, K. 280 and the first movements of K. 332 and K. 333; and in Beethoven, the first movement of the "Spring" Sonata, Op. 24. See "A Recurring Pattern in Mozart's Music," Journal of Music Theory XXVII (1983), 1-29.

23. The Overture in France, 1790-1810, Series D, Vol. VII of The Symphony: 1720-1840 (New York: Garland, 1983), xvi.

24. This surprising opening of the Allegro reminds us of the one in the overture to Uthal by the same composer, which begins with a 6/5 chord of the II.

Ex. 1.9: Méhul, Overture to Adrien, overall structure.

Exp
Th I
(Allegro)

Rec
Th I

Th II

Th II

coda

(Lento)

① ②⑨ ③⑥ ④② ⑥① ⑦② ⑩① ⑪⑨ ⑫⑧ ⑭⑥

5-6-5

5-6-5

6-5

8

I 5 (6) II 5-6-5 4 III # III V I

of the recapitulation (m. 100), emerging from the transitional phrase in sequence (mm. 90-99), is not demarcated at all, because of the continuous progression from the III of the second theme (mm. 72-90) to the $\sharp$ III of the recapitulation, and the omission of the opening bars (mm. 36-41)--hence the $F^\sharp$ minor chord of m. 100 corresponding to the B minor of m. 42 (see Ex. 1.9).

Summary

What is the relation of these examples to Schubert's work? Do any of them show actual "structural plans" or structural progressions that Schubert also used? Structur-

ally similar to Salieri's overture to Les Danaïdes (Ex. 1.4) is Schubert's early String Quartet in D (D. 74), the first movement of which is written in an overture style with the dominant recapitulation. We shall consider this work in Chapter II. Schubert's subdominant recapitulations composed during 1816-1819 are similar to Hummel's treatment in the Piano Trio of 1822 (Ex. 1.3), although the placement of III is somewhat different: at the end of the development in Hummel, and at the beginning of the development in Schubert. It is possible that Schubert used the unusual harmonic structure of Méhul's Adrien overture (Ex. 1.9) in the second movement of the Piano Quintet, ("Trout," D. 667): Both movements are in sonata form without development, and have the same structural progression throughout the whole movement, I- VI- II- ^bIII- ^bIII- V- I. Also a variant of the structural plan of the Coriolan overture (Ex. 1.7) is noticed in the Overture in E minor (D. 648) and the first movement of the Symphony in E major (D. 729), which was left a sketch. These two movements are in a typical overture form with no repeat sign and a minimal development section. Whereas the key plan of the exposition in Schubert's movements is very similar to that of the Coriolan, a different thematic and harmonic structure from that of the Coriolan is observed in the recapitulation. It is conceivable that

Schubert was acquainted with the structural plan of these examples, or with similar ones. The significant thing is that, in spite of these structural similarities, the deviations from the examples occur in the recapitulation, an area which we shall investigate more deeply in the following chapters.

Schubert's treatment of non-tonic recapitulation in relation to the two types needs brief mention. Most of the works with a non-tonic recapitulation composed until 1819 clearly belong to the first type. Notable examples are the first movement of Symphony, No. 5 (D. 485), the third movement of the A-major Piano Sonata (D. 664), and the first movement of the "Trout" Piano Quintet (D. 667). In contrast to the early and late periods, his middle period (1820-1823) shows his most radical approach toward the recapitulation. The most problematic features, hard to fit into the conventional concept of sonata form, are caused by the irregular recapitulation, and do not easily fit into either type. In the Quartettsatz (D. 703) and the Overture in E minor (D. 648), not only is the retransition absent, but also the first theme is absent at the beginning of the recapitulation. After 1824, the number of works with non-tonic recapitulation began to decrease, but in those works in which it occurs the second type of recapitulation tends to replace

the first type. Examples of this are found in the first movements of the Piano Sonata in A minor (D. 845) and the Piano Trio in B^b (D. 898). In the following chapters, most of the sonata-form movements with a non-tonic recapitulation will be discussed in chronological order, and in the context of the style of the period to which they belong. Where appropriate, comparison will be made with contemporary works with normal recapitulations.

CHAPTER II

THE FIRST PERIOD (1810-1815)

I. Background

In October 1808, the eleven-year-old Schubert entered the choir of the Imperial court chapel and was admitted to the Kaiserlich-königliches Stadtkonvikt (Imperial and Royal City Seminary). In the orchestra of the school he played second violin; sometimes, in the absence of the visiting music master, Wenzel Ruczicka (1758-1823), he conducted the orchestra--a rare opportunity for such a young composer. In the course of daily rehearsals and performances, the orchestra played the overtures and symphonies of Haydn and Mozart, among others, and the first two symphonies of Beethoven. At home, during the vacations from school, he played viola in a family string quartet, from which a private orchestra developed at the end of 1815.¹ Schubert's first experience of opera was Josef Weigl's Die Schweizerfamilie (The Swiss Family) at the Kärntnertor Theatre in July 1811.² During 1812 and 1813 he is supposed to have heard Spontini's La

1. The detailed history of the orchestra can be found in SM, 338-341.

2. Whether or not Schubert heard another of Weigl's operas, Das Waisenhaus (The Orphanage), in December 1810, is not certain. See SD, 20.

Vestale, Cherubini's Médée, Boieldieu's Jean de Paris, Isouard's Cendrillon, Mozart's Die Zauberflöte, and Gluck's Iphigénie en Tauride, and in 1814 Beethoven's Fidelio in its final version.³

Scholars have long known that at some time after 1811, Schubert began to work with Antonio Salieri. But a recent investigation discloses the fact that Schubert was introduced to Salieri before his official entrance into the school.⁴ For these lessons Schubert wrote a number of three-part vocal canons and settings of verses by Metastasio. Schubert was encouraged to look through the scores of old Italian operas and became acquainted with all of Gluck's operas; he showed Salieri the score of Des Teufels Lustschloss (D. 84, 1813), and revised it following Salieri's advice. In 1812 Schubert's mother died, and in 1813 his

3. SD, 28 and 42. Spaun recalled that Gluck's Iphigénie en Tauride made a great impression on Schubert (see SD, 870).

4. A recently discovered document, a list in Salieri's hand in 1804, reveals that the eight-year old Schubert was admitted as one of the choirboys suited to learn the chant for the Service in the Court Chapel. See Reinhard van Hoorickx, "Schubert: Further Discoveries since 1978," The Music Review LII (1989), 117-118, and Ernst Hilmar's Franz Schubert in His Time, trans. Reinhard G. Pauly (Portland, Oregon: Amadeus, 1988), 15. Also, among Schubert's earliest compositions, an arrangement of Gluck's overture to Iphigénie en Aulide (D. Anh. II, 1), which dates probably from the beginning of 1810 or even earlier, indicates Schubert's contact with Salieri before 1811.

father remarried. At the end of 1813, Schubert left the Stadtkonvikt and entered a training college for elementary teachers. By fall 1814 he was teaching in his father's school, and he remained there as schoolmaster until 1816. Although his lessons with Salieri continued until 1816, after 1813 they were not held on a regular basis.

During the almost six years of the period 1810-1815, Schubert wrote a great number of compositions, most of which can be considered apprentice works in various genres, including overture, opera, string quartet, symphony, piano sonata, and mass. The instrumental works in sonata form can be divided into two groups: 1) those composed before the First Symphony (D. 82), mostly written in the years at the Stadtkonvikt, 1810-1813; and 2) those composed during 1813-1815, after he had left the Stadtkonvikt. The compositions of the first group (not counting lost works) consist of (1) overtures: three for orchestra (D. 4, 12, and 26), one for an opera (D. 11), and one for string quintet (D. 8); and (2) chamber works: a piano trio (D. 28) and seven string quartets (D. 18, 94, 32, 36, 46, 68, and 74).⁵ The works of the

5. In spite of the late numbering, D. 94, the date of composition of the string quartet in D has been corrected as 1811. See Ernst Hilmar's "Datierungsprobleme im Werk Schuberts," in Schubert-Kongress Wien 1978: Bericht, ed. Otto Brusatti (Graz: Akademische Druck- und Verlagsanstalt,

second group consist of three symphonies (D. 82, 125, and 200), three string quartets (D. 87, 112, and 173), two piano sonatas (D. 157 and 279), and four opera overtures (D. 84, 190, 239, and 326).

The beginning of Schubert's career was very different from that of other composers, who generally began their careers with keyboard sonatas or chamber sonatas.⁶ From the first years of his career under Salieri's guidance, Schubert wanted to compose opera, and therefore he wrote seven overtures in 1811-1812 (two of them are lost). In the first group of works, he attempted to master symphonic writing through the composition of overtures, string quartets, and finally the first symphony. He also began the composition of keyboard sonatas at this time.

1979), 54. I will comment on the overture written for string quintet later, pp. 43-44.

6. The general practice of the late eighteenth century was to publish a set of sonatas as a first opus, as did not only Haydn, Mozart, and Beethoven but also Gluck, Gossec, and Méhul. See William Newman, "Sonata" in The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (London: Macmillan, 1980), Vol. XVII, 486-487.

II. Influence

The stimulating influence of Haydn and Mozart on young Schubert has been generally recognized. Already as a schoolboy, Schubert knew a certain number of chamber works, overtures, and symphonies of the Haydn-Mozart era, and the first two symphonies of Beethoven.⁷ He also knew the works of many lesser masters, including Leopold Koželuch, Franz Krommer, Andreas Romberg, and Wenzel Thomas Matiegka. His early works reveal that Schubert was eager to absorb the Classical vocabulary of symphony and overture, and to develop good idiomatic instrumental writing, without concerning himself too seriously with formal constraints. It is likely that Schubert favored the overture because of its relatively free form. The powerful and dramatic nature of overtures such as those by Gluck, Mozart, Cherubini, and Beethoven must have impressed the young composer greatly.

The influence of overture style and form on Schubert's large instrumental works has been discussed by Martin Chusid.⁸ He shows how the first movement of the Overture for String Quintet (D. 8) was modeled on Cherubini's Over-

7. His unfavorable opinion of Beethoven in his early period may reflect Salieri's influence. See SD, 64.

8. Martin Chusid, "Schubert's Overture for String Quintet and Cherubini's Overture to Faniska (1806)," Journal of the American Musicological Society LXXVIII (1962), 84.

ture to Faniska. The influence of overture style and form is noticeable not only in Schubert's overtures and symphonic movements but also in the string quartets. This fusion of genres should not be ascribed merely to Schubert's failure to make a clear distinction between them. Rather, it can be attributed to the general practice of the time: The arrangement of orchestral compositions, such as overtures and symphonies, for chamber ensemble was very popular then, and the composition of overtures for chamber ensemble was stimulated by music publishers. As Leopold Sonnleithner reported, in Schubert's home his family and friends played Haydn's symphonies in quartet arrangements, with each part doubled.⁹ Therefore, in this context, the interesting argument made by Chusid, that Schubert's first seven string quartets were intended as preparation for his First Symphony, makes sense.¹⁰ As Chusid convincingly points out, when an identical passage is found both in string quartet and overture,

9. SD, 339.

10. Martin Chusid, "Das 'Orchestermässige' in Schuberts früher Streicherkammermusik," in Zur Aufführungspraxis der Werke Franz Schuberts (Munich: Emil Katzbacher, 1981), 77-86.

the string quartet version precedes the overture version.¹¹ For examples, themes of the second and fourth movements of the String Quartet in D (D. 74) were used a short time later in the analogous places in the First Symphony in D.¹²

The specific features characteristic of the overture, as Chusid illustrates, are an exposition comprising several contrasting key areas, a brief development section, and a recapitulation which, like the exposition, may include considerable tonal movement.¹³ To these I would add one more significant feature--the beginning of the recapitulation in a non-tonic key, particularly the key of the dominant. (Examples of overtures with a non-tonic recapitulation have been discussed in Chapter I.)

A conceivable influence on Schubert in this regard may have been Salieri. In general, Salieri's influence on

11. The passages in question are mm. 83-94 of the String Quartet in D (D. 94), first movement, which recurs in mm. 108-116 of the Overture in D (D. 12), and mm. 209-223 of the String Quartet in D (D. 74), first movement, which recurs in the Overture fragment, D. 944A.

12. Chusid also mentions 1) the use of the first movement of Haydn's Symphony No. 78 as a model for the finale of the String Quartet in C minor (D. 32), and 2) the unmistakable use of instrumental writing in the quartet that would normally be more typical of orchestral works, such as octave doubling between first and second violins and the fanfare passage in octave doubling in the viola part. Refer to his article, 79-81.

13. Chusid, "Schubert's Overture for String Quintet," 84.

Schubert's instrumental works has not been discussed by previous scholars, who have confined the influence of Salieri to vocal works and contrapuntal exercises. But recently Hilmar has rightly claimed that Salieri was the "one from whom he [Schubert] garnered ideas to be used in his own composing."¹⁴ According to Maurice Brown, Salieri looked over some of Schubert's chamber works: Salieri's handwriting is found on Schubert's manuscripts of the String Quartets in B^b (D. 36) and in D (D. 74).¹⁵ In the case of the D-major String Quartet, which is written precisely in the style and form of an overture--with no repeat sign, no development, and the recapitulation on V--it is possible that Salieri permitted Schubert's borrowing the style from the overture and beginning the recapitulation in the dominant key. It is likely that in the lessons given to Schubert, Salieri did not make a clear distinction between overtures and symphonies, since Salieri himself did not seem to make it, as reflected in his own practice of writing

14. Hilmar, Franz Schubert in His Time, 15.

15. Brown, Schubert, 15.

symphonies derived from his opera overtures.¹⁶ Moreover, it is plausible that young Schubert might have imitated his teacher's typical way of composing symphonies. Also, as earlier noted, it is significant that the two famous overtures by Salieri, Les Danaïdes and Axur, Re d'Ormus, which Schubert held in high regard,¹⁷ are overtures with non-tonic recapitulations.

I submit that the association of the recapitulation on V with the genre of overture is crucial to understanding Schubert's early instrumental practice. Although he did not use the dominant key at the beginning of the recapitulation after 1816, two exceptions--the Overture for four hands (D. 675), and the finale of the Piano Quintet (D. 667), both composed in 1819--are, significantly, written in a form of overture without development section. Therefore, Chusid's

16. In a manner typical of the time, Salieri rewrote or revised some of the opera overtures for symphonic use and called them 'sinfonia.' There is only one surviving symphony proper, Symphony in D, "Il giorno [o]nomastico" (1775). But this work and the overture to Les Danaïdes are similarly constructed (A B A' design with a new episode in the middle). In her edition of Salieri's symphonies in Italians in Vienna, Series B, Vol. II of The Symphony: 1720-1840, ed. Barry Brook (New York: Garland, 1983), lxii, Jane S. Hettrick remarks that "the existence of only one symphony and the incidental origin of the sinfonie derived from opera overtures both place Salieri outside the mainstream of symphony composition at the time when his symphonies were written."

17. See SD, 868.

explanation that Schubert's early practice can be attributed to his failure to differentiate between bipartite and tripartite sonata form is somewhat misleading.¹⁸ On the other hand, Alfred Einstein correctly associates the non-tonic recapitulation with the overture.¹⁹ He, however, disapproves of Schubert's use of non-tonic recapitulation in the string quartets, viewing it as a definite offense in serious chamber music.²⁰ The following section will examine the works from the early period in greater detail.

III. The First Group (1810-1813)

As noted, the works of the first group are characterized by such a free and inconsistent approach toward sonata form that many of them scarcely fit the textbook description of it. In some movements, the thematic design can be defined as "monothematic," in the sense that themes are often derived from previously stated material (see the first movements of String Quartets, D. 18, 94, 32, 36, 46, and 74). This monothematic construction may reflect an influ-

18. Chusid, "The Chamber Music of Franz Schubert" (Ph.D. diss., University of California, Berkeley, 1961), 45-46.

19. Alfred Einstein, Schubert (London: Oxford University Press, 1951), 84.

20. Ibid., 33.

ence of such earlier composers as Haydn. Unlike the monothematic movements found only in String Quartets, the early Overtures (D. 4, 11, 12, and 26) have contrasting themes in the exposition, a feature of the overture style. Furthermore, in some of these early works the unusual treatment of the slow introduction is of note. Schubert places the main thematic idea in the slow introduction and then later brings back a literal statement of it in the Allegro tempo (see the first movements of two of the String Quartets, D. 46 and 18).

A. Exposition

The most striking feature of Schubert's early works is the tonal irregularity of the exposition. Dahlhaus rightly points out that there seems to be no model for this tonal irregularity.²¹ Irregular expositions include the following types: (1) The exposition stays in the tonic key all the way through the section (Overtures, D. 4, 12, 26, and String Quartet, D. 94) (significantly, these examples belong to the very earliest works, 1810-1811). (2) It stays mostly in the tonic, but goes to V at the end of the exposition--usually

21. Carl Dahlhaus, "Formprobleme in Schuberts frühen Streichquartetten," Schubert-Kongress Wien 1978: Bericht, ed. Otto Brusatti (Graz: Akademische Druck- und Verlagsanstalt, 1979), 193.

at the end of the closing theme (String Quartets, D. 32 and 46). (3) It goes to V with the occurrence of the second theme, but returns to I at the closing theme (Piano Trio, D. 28). (4) It comprises many keys (Overture for String Quintet, D. 8, Overture, D 11, and String Quartet, D. 68). One of these (D. 68) exhibits "three-key exposition"--an early and rare case that may well be accidental, unrelated to Schubert's later practice. The normal exposition, in which the second theme arrives with the established key of V, is found only in the String Quartets, D. 36 and 74.²²

Therefore, as pointed out by Dahlhaus, tonal regularity--the modulation to the dominant in the exposition and the sustained tonic key in the recapitulation--is almost always absent from these works.²³ The thematic functions and the tonal structure are not integrated at all, and the themes of the exposition are not clearly articulated. For instance, in monothematic movements such as the first movements of String Quartets, D. 36 and 46, when a derived theme marked dolce takes place in the tonic, it is difficult to tell whether it is intended to function as a transition theme or as a second theme. In my opinion these problematic features

22. Interestingly, these two quartets were the chamber works which Salieri supervised. See Brown, op. cit., 15.

23. Dahlhaus, op. cit., 194.

can be attributed to Schubert's inexperience with sonata form, and his willingness to experiment with the great variety of available models.²⁴

B. Recapitulation

1. General Observations

In the sonata forms of these years Schubert's treatment of the recapitulation is different from that of his later practice: The literal repetition of the exposition, which is the characteristic feature of Schubert's later recapitulatory procedure, is here the exception rather than the rule, and drastic changes--by omission, shortening, or addition, or by alteration of the sequence of the themes--are often found (see D. 18, 32, and 36). The tonal structure of the recapitulations of this period is no less free than that of the expositions. Recapitulations include the following types: (1) The recapitulation stays mostly in the tonic (D. 32 and 36). (2) A I - V - I plan is found in those movements where the exposition is in the tonic (D. 8, 12, and 26). (3) The plan V - I is found in those movements in which the recapitulation begins in V (D. 18, 28, 46, and

24. Richard Coolidge's assertion that Schubert was a daring formal innovator even in his early string quartets seems to me unwarranted. See his "Form in the String Quartets of Franz Schubert," Music Review XXXII (1971), 323-4.

74). (4) Some movements have very free recapitulations (D. 11 and 68).

The most irregular recapitulations start in a non-tonic key, most in the key of the dominant (D. 11, 18, 28, 46, and 74), and one in the key of $bVII$ (D. 94). The tonic return occurs in various places: at the transition (D. 94), at the beginning of the closing theme (D. 74), and toward the end of the closing theme (D. 46).

A general tendency of these works is that the tonic return occurs toward the end of the recapitulation (see D. 46 and 74). This contrasts markedly with the examples by other composers which were discussed in Chapter 1: All of those examples (except Clementi's) have the tonic return before or at the beginning of the second theme. Thus, in Schubert the reappearing tonic is relatively brief, whereas the dominant is prolonged greatly, beginning in the exposition and lasting through the development and most of the recapitulation. Usually, in the overtures with a non-tonic recapitulation, for instance, that to Catel's Sémiramis, the enormously sustained coda in the tonic compensates for the delayed tonic arrival in the recapitulation. But most of Schubert's non-tonic recapitulations have no codas, and the brief tonic at the end of the movement can give an impression of tonal imbalance.

2. Selected Examples

Many of Schubert's very early works were composed in such a wild way that an evaluation of them within the conventions of sonata form is hardly warranted. Therefore, from among the many movements with irregular recapitulations I have chosen three examples from the same genre that are explicable in terms of sonata form. All of them are first movements of string quartets. The first example, the String Quartet in D (D. 94), which has an interesting recapitulation in the key of $\flat$ VII, is construed in sonata form, in spite of its early date (1811). The second example, String Quartet in C (D. 46), resembles the form of suite movements with a recapitulation on V, and also has an interesting relationship of the Adagio introduction with the Allegro. The third example, another D-major String Quartet (D. 74), written under the supervision of Salieri, is the most expanded sonata movement of the three and much closer to the conventional form. It proves convincingly Schubert's borrowing from the overture with the recapitulation on V.

- a. String Quartet in D, D. 94 (1811), first movement
(Quartet No. 7 in the Dover edition)

This movement is notable for Schubert's use of the $\flat$ VII at the beginning of the recapitulation, one of the two

such cases (the other is found in the Quartettsatz, D. 703).²⁵ The recapitulation occurs at m. 168. Although the literal repetition of the first theme in C major (mm. 168-192) gives a sense of return, the following transition theme in the tonic (m. 197) initiates a series of developmental phrases with new motives (m. 197, 240, and 303), and gives the sense of being in the middle of the development section. Hence, Dahlhaus calls this recapitulation a "false reprise."²⁶ But the term "premature reprise" is better because the first theme (mm. 1-25) never returns afterwards. This recapitulation shows a historically more backward tendency since, although it can be categorized under Type II, it resembles the second part of binary form as often found in suite movements.²⁷ Thus it is far from showing the intentional elision of sections typical of Type II.

As seen in Ex. 2.1-a, the C major of the recapitulation is read as the upper third of a prolonged V (m. 196).

25. The use of the key C major (or minor) for the recapitulation in a movement in D major (or minor) is observed in Clementi's Piano Sonata in D, titled "La Chasse," Op. 16 (1786), first movement, and in Electtra's aria in D minor, "Tutte nel cor vi sento," from Mozart's Idomeneo. For the latter example I am indebted to Professor Carl Schachter.

26. Dahlhaus, op. cit., 193.

27. For the detailed explanation of my two basic types of non-tonic recapitulations, refer to Chapter I.

The use of $\flat VII$ at the recapitulation may be related to the prominent alternation between V and $\flat VII$ in the transition theme (mm. 54-60) and in mm. 129-139 of the development (see Ex. 2.1-b). After the tonic return at m. 197, in spite of

Ex. 2.1: String Quartet in D, D. 94, I, (a) overall structure; (b) details of transition and development section.

a

Exp				Dev				Rec
(Th I)	(trans)	(Th II)	(clos)			(Th I)	(trans)	
(1)	(54)	(64)	(83)	(129)		(168)	(195)	(197)

b

Exp							Dev							Rec
(trans)														
(54)	(56)	(60)	(129)	(133)	(136)	(139)							(168)	(197)

the expansive thematic development, the rest of the movement remains basically in the tonic key.

b. String Quartet in C, D. 46 (1813), first movement
(Quartet No. 4 in the Dover edition)

As mentioned above, in this movement Schubert employs the theme of the Adagio introduction--a chromatically descending 4th--as a main thematic idea by reusing it, albeit in Allegro tempo, in the bass line of the second theme (mm. 43-58), in the retransitional passage at the first ending of the exposition (mm. 88a-102a), throughout most of the development, and again in the retransition before the recapitulation (mm. 150-159). The latter is identical with the first ending of the exposition (the recurrences of the Adagio introduction in the retransitions are shown in parentheses in Ex. 2.2).²⁸ This retransition prepares for the thematic return in the dominant key (m. 160), while the

28. Schubert may have been using as model the first movement of the D-major Symphony, Op. 22 (1806), by Andreas Romberg (1767-1821), since in Romberg's symphony a similar descending fourth in imitation in the slow introduction reappears later in the Allegro (m. 45). In his edition of the symphony in The Symphony: 1720-1840, ed. B. Brook, Series C, Vol. XIV (New York: Garland, 1985), lxix, Joshua Berrett states that this particular symphony was a favorite of many orchestras and concert societies. Schubert may well have known this work since the orchestra at Otto Hatwig's, where he played viola, played the symphonies of A. Romberg among others. See SM, 339.

Ex. 2.2: String Quartet in C, D. 46, I, overall structure.
(The appearance of the Adagio theme is shown by
parenthesized notes.)

Exp				Dev		Rec		
(Intro)	(Th I)	(Th II)	(retrans)	(retrans)	(Th I)	(Th II)		
①	②②	④③	⑥④	⑧⑧a	⑧④b	①⑤②	①⑥②	①⑨②

identical retransition at the first ending prepares for the repeat of the Allegro opening in the tonic (m. 20).²⁹ Such use of the Adagio theme as a retransition shows the composer's predilection to associate the introduction with the Allegro first theme.

The formal irregularity of the movement may result from the tonal structure of the exposition, and from the beginning of the recapitulation in the key of V. The structure of the whole movement resembles that of a suite move-

29. This leads to Dahlhaus's observation of the unusual tonal permutation, I-I-V (exp.), V-I-V (repeated exp.), and V-V-I (rec.). See Dahlhaus, *op. cit.*, 195.

ment: As Ex. 2.2 shows, the exposition ends on V without establishing it as a key, just as the first part of a suite movement might end on a half cadence; also, the development follows in the key of V, and until the late tonic return (m. 215) the recapitulation remains in the key of V, exactly in the way that the usual second part of a suite movement starts in the key of the dominant and closes in the tonic key toward the end. The whole development is devoted to the introduction theme, and incorporates the allegro theme in mm. 117-123. The development can be regarded as an expanded and modified "Adagio theme" functioning as a large-scale retransition preparing for the "Allegro theme" in the same key of V, all of which corresponds to the opening Adagio and Allegro.

c. String Quartet in D, D. 74 (1813), first movement
(Quartet No. 6 in Dover)

Supervised by Salieri, this movement was written in the manner of an overture, consisting of two large parts with no development section, and no repeat sign in the middle.³⁰ Therefore, it is described as "Suitensatzform" by

30. This very overture-like formal design supports Chusid's argument that this String Quartet is a preparation for the First Symphony. See pp. 44-45 and footnotes 11 and 12 of this Chapter.

Dahlhaus, and as "a tightly organized repetition form" by Coolidge.³¹ Among Schubert's works of 1810-1813, this is a rare example in which the second theme group is clearly in the dominant key (m. 77). However, tonal irregularity is found in the recapitulation (see Ex. 2.3-a). The first theme appears in V (m. 245), immediately following the strong, emphatic cadence on V (m. 243) at the end of the exposition. If the second theme, which is preceded by the pedal point on D (mm. 305-320), took a course analogous to that of the exposition, it would begin in the tonic key. However, it begins in IV (m. 321), instead of the tonic, so that the delayed tonic return coincides with the closing theme at m. 409 (see Ex. 2.3-a).³²

The choice of IV at m. 321 might have resulted from Schubert's consideration of the harmonic structure of the second theme. As shown in Ex. 2.3-b, the second theme (mm. 77-175) is mostly modulatory and transitional until the closing theme arrives at m. 175. (Notice that the V of m. 77 in the exposition and the IV of m. 321 in the recapitulation have no cadential closure.) Likewise, the IV of the second theme in the recapitulation is not a stable key area, but a

31. Dahlhaus, op. cit., 195. Coolidge, op. cit., 323.

32. Its overall key plan appears similar to that of Salieri's overture to Les Danaïdes, that is, I-V: V-IV-V-I.

Ex. 2.3: String Quartet in D, D. 74, I, (a) overall structure; (b) details of the second theme in exposition and recapitulation.

a

Exp (Th I) (Th II) (clos) Rec (Th I) (Th II) (clos)

① 57 77 175 245 321 403 409

b

Exp (Th I) (Th II) (clos)

① 77 101 103 115 130 131 165 195

Rec (Th I) (Th II) (clos)

245 321 345 357 367 369 403 409

neighbor-note harmony between the dominants. The change from the IV of m. 345 to the augmented 6th chord of m. 367 corresponds to the change from the VI of m. 103 to the augmented 6th chord of m. 130 in the exposition (see Ex. 2.3-b). Therefore, this subtle treatment of the recapitulation shows that the non-tonic recapitulation is not necessarily an easy means for literal transposition since Schubert does not continue the literal transposition, but makes a detour by going to IV.

IV. The Second Group (1813-1815)

The second group of works of Schubert's early period starts with the First Symphony, D. 82, which was the last work composed in the Stadtkonvikt years. In contrast to the first group, a consistent approach to sonata form is found here. In the first movements of Symphony No. 1, D. 82, and the String Quartet in E^b, D. 87, Schubert uses regular sonata form realized in a way much closer to the conventions of the High Classic period than that of his earlier works. The monothematic construction of earlier expositions gives way to dualistic thematic design with contrasting thematic material in the second theme. The second theme always starts in a new key, mostly in V, and thus the contrasting area is more clearly defined tonally and thematically. The general tendency is toward the expansion of the second theme

group, no matter how many keys it comprises (see the first movements of Symphonies No. 1 and No. 2).

A. Exposition

A regular exposition based on the I - V tonal plan is found in the first movements of the First Symphony (D. 82), two early string quartets (D. 87 and 112), the first two piano sonatas (D. 157 and 279), Symphony No. 3 (D. 200), and the E-major String Quartet (D. 353), as well as in the overture to Die Freunde von Salamanka in C (D. 326). In the other works of this period, the exposition comprises several key areas: (1) a I - IV - V key plan in certain symphonic movements--the first and fourth movements of the Symphony No. 2, D. 125, the fourth movement of the Symphony No. 3, D. 200, the overture to Der vierjährige Posten in D, D. 190, and the overture to Claudine von Villa Bella in E, D. 239; and (2) a I - III - V plan in the G minor String Quartet, D. 173. In thematic design, these expositions with several key areas do not have more than two distinct themes; either the first theme (in D. 125/I and IV) or the second theme (in D. 200/IV and D. 239) reappears in the key of V. The frequent employment of the I - IV - V plan is especially notable since the choice of IV at the beginning of the second theme group is quite unusual. This usage is confined to the

works of this period.

The use of many keys in an exposition has to be distinguished from Schubert's general practice of the three-key exposition after 1817.³³ Its treatment in the second theme group often involves the repetition of the same thematic material in different keys, while the second theme group of Schubert's usual three-key exposition comprises two independent themes and keys, usually separated by a transition. A treatment similar to Schubert's practice of this period is found also in other composers' works, for instance, Cherubini's Faniska, where the second theme has two sections--the first in the key of $\flat$ VII and the second in V (similar to the III and I of the recapitulation)--and the finale of Beethoven's Eighth Symphony, where the second theme appears first in the key of $\flat$ III and moves to V.

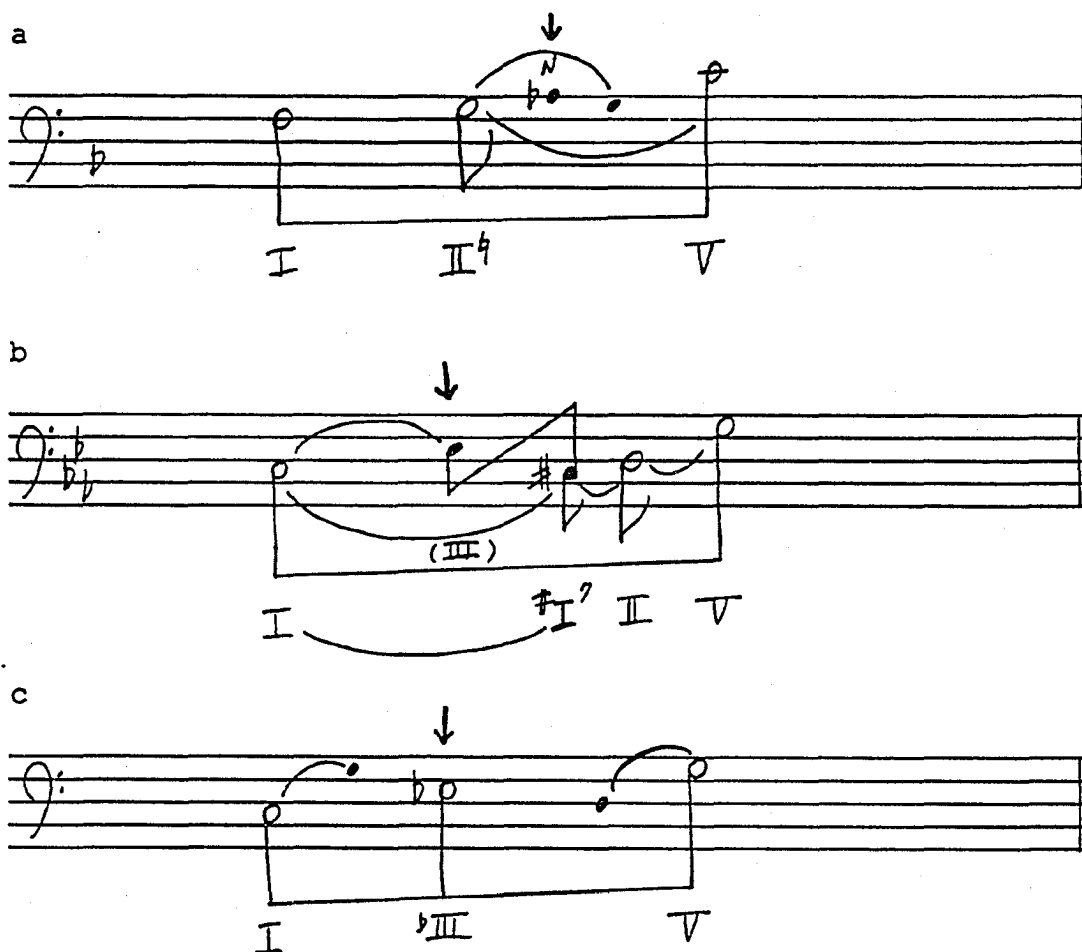
It is necessary to clarify the role of the second key

33. Longyear and Covington have a quite different idea of the three-key exposition. They apply the term in a much broader sense and thus, as examples of the practice, include not only the cases in which the second theme starts like a detour, such as in the first and last movements of Beethoven's Eighth Symphony, but also the I - III - V expositions in minor-mode movements of the late eighteenth century and early nineteenth century. See "Sources of the Three-Key Exposition," The Journal of Musicology VI/4 (1988), 448-470. But I disagree with them since I confine three-key expositions to the ones with the second theme clearly beginning in a stable and independent second key--that is, neither transitional nor starting as a detour.

in the exposition comprising many keys. The interpretation of the second key in terms of the harmonic structure of the exposition has to be differentiated from the mere description of the keys. In other words, the labeling of the keys such as I - III - V, and I - IV - V, which is of course used for convenience's sake, does not tell the relation of the second key to the tonic and dominant. For instance, in many movements, the expositions of which are labeled simply as I - III - V or I - $\flat$ III - V, the structural function of the III is not the same (see Beethoven's Coriolan Overture and the finale of the Eighth Symphony, and Schubert's String Quartet in g, first movement, as well as his typical three-key expositions). As Ex. 2.4 illustrates, in Beethoven's Eighth Symphony (Ex. 2.4-a), the $\flat$ III enters over a neighbor tone prolonging II, whereas the III in Coriolan (Ex. 2.4-b) appears over an underlying motion from I to $\sharp$ I (similar to Schubert's String Quartet in g). In Schubert's typical three-key expositions of 1817-1819 (Ex. 2.4-c) the $\flat$ III is given greater emphasis by dividing the larger motion from I to V.

Schubert's practice in the symphonic works of this period reflects a treatment similar to that of the overtures. The first movement of the Symphony No. 2 is a case in point. This movement is loosely constructed and written

Ex. 2.4: Graphs of various expositions, (↓ indicates the beginning of the second theme), (a) Beethoven, Eighth Symphony, IV; (b) Beethoven, Coriolan Overture; (c) Schubert's typical three-key expositions of 1817-1819.



in the spirit of an overture, so that Einstein speculates "whether it was intended originally as an overture and was only later expanded into a symphony."³⁴ Also, in the

34. Einstein, op. cit., 86.

finale of Symphony No. 3, he notes a "buffo flavor," and calls it an overture rather than a finale.³⁵ The development section in these works is very short, and merely transitional.

B. Recapitulation

1. General Observations

In the recapitulations of the works of this period, the themes of the exposition are repeated almost literally, very much in keeping with Schubert's general practice. The considerable alteration in the thematic design that we have observed in the first group is rarely found. One unusual procedure, however, is the reappearance of the slow introduction in the recapitulation: At the very beginning of the recapitulation in the first movement of Symphony No. 1, we encounter a repetition of the slow introduction. (The thirty bars of Allegro tempo here are actually shorter than the twenty bars of Adagio).³⁶ This practice strongly re-

35. Ibid., 88.

36. Whether this is better regarded as a preparation for the recapitulation or its actual beginning is a question, but from the harmonic point of view, the tonic return coincides with the appearance of the interior introduction (see m. 323).

minds one of the overtures.³⁷ In the first movement of Symphony No. 3, Schubert uses the theme from the slow introduction in the transitions of both the exposition (m. 135f) and the recapitulation (m. 159f), and again in the coda (m. 200f); this resembles its future use in the first movement of the "Great" C-major Symphony.

Schubert's first Piano Sonata in E, first movement (D. 157) provides a rare opportunity to observe his care for the repeat of the opening in the recapitulation (refer to the score in Vol. III of the Henle edition, pp. 1-7). The earlier draft of the movement (D. 154 in the appendix of Vol. III of the Henle edition, pp. 226-229) was left incomplete at the end of the development section (m. 118). This draft differs from the revised version largely in the first theme (see mm. 1-29 of the former, and mm. 1-46 of the latter).³⁸ The opening theme of the draft is unusually

37. Cherubini's overtures to Démophoon (1788) and Emma, ou la prisonnière (1799) bring back the slow introductory music prior to the recapitulation. Also, the beginning of the slow introduction is reintroduced in Catel's overture to Sémiramis, and Gluck repeats the short introduction in the recapitulation of his overture to Alceste.

38. Another notable difference is found in the beginning of the second theme. While the revised second theme starts in the established key of V (m. 47), the second theme of the draft starts in the tonic key (m. 30) and moves to the V (m. 37), which recalls the habit of his earlier period (1810-1813).

"orchestral"--more appropriate for an overture--and sounds like an introduction. If this opening recurred at the recapitulation, it would sound very awkward in its new context. It is likely that, when Schubert had completed the retransition, he may have recognized the inadequacy of such a return of the first theme, and therefore went back to the opening and changed the first theme, which is based on the original retransition (compare mm. 114-118 of D. 154 with mm. 1-4 of D. 157).

The tonal alterations found in the recapitulations result from a free and flexible reinterpretation of the key plan of the exposition, as shown by the following list.

- 1) Movements with a I - V exposition have recapitulations structured on:
 - (a) I only: D. 82, 87, 157, and 190.
 - (b) I - IV - I : D. 200 and 326.
 - (c) I - $\flat$ III - I : D. 353
 - (d) IV - I : D. 279
- 2) Movements with a I - IV - V exposition have recapitulations structured on:
 - (a) IV - I : D. 125
 - (b) I - VI - I : D. 125/iv
 - (c) V - I : D. 200/iv
 - (d) I - $\flat$ III - I : D. 239
- 3) Movement with a I - III - V has a recapitulation structured on III - I in D. 173.

It is noteworthy that in many movements with an exposition in several key areas, the recapitulation likewise

includes several key areas. Out of seven movements with a regular exposition (I-V), only three recapitulations stay in the tonic key, while the other four recapitulations contain various key areas. In those movements with a I - IV - V exposition, each recapitulation is different from the others.

Such diverse realizations of the tonal plan in the recapitulation suggest Schubert's reluctance, even in his early works, to stay in one stable tonic key, and his tendency to modulate constantly. (It is hard to imagine that he was not aware of the convention of writing the recapitulation throughout in the tonic key.)

In the non-tonic recapitulations of this group, Schubert continues to use the key of the V (finale of the Third Symphony, D. 200); he begins to use the key of the IV in the Second Symphony, D. 125, and the Piano Sonata in C, D. 279, and he uses the key of the III in a minor-mode work, the String Quartet in g, D. 173. The use of the V in the finale of the Third Symphony, in addition to other elements such as a very short development section and the I - IV - V exposition, again points to the overture style.

The treatment of the non-tonic recapitulation in this group (1813-1815) anticipates the practice of the next period, 1815-1819. Without exception, no matter how many

keys the exposition comprises, the tonic return occurs at the beginning of the second theme. The thematic materials of the exposition appear with minimal change (see D. 125 and 279). The use of the III in the String Quartet in G minor is not surprising in a minor-mode work. All of the non-tonic recapitulations belong to Type I: There is a clean break at the point of the recapitulation, and the non-tonic key at the beginning of the recapitulation is well prepared by a retransition.

2. Selected Examples

Out of four movements with non-tonic recapitulations, three examples, each in a different genre, are examined below. The first example is the first movement of the Second Symphony (D. 125), where Schubert recapitulates in the key of IV for the first time. This wonderful symphony movement shows his mastery of symphonic writing. The high quality of this work may be ascribed to the fact that Schubert especially favored and cultivated orchestral writing from his very early years. The second example, the first movement of the String Quartet in G minor (D. 173), though somewhat uninspired in quality, is worthy of brief examination because it is also interesting in that the minor-mode sonata was very rare in Schubert's works of this period.

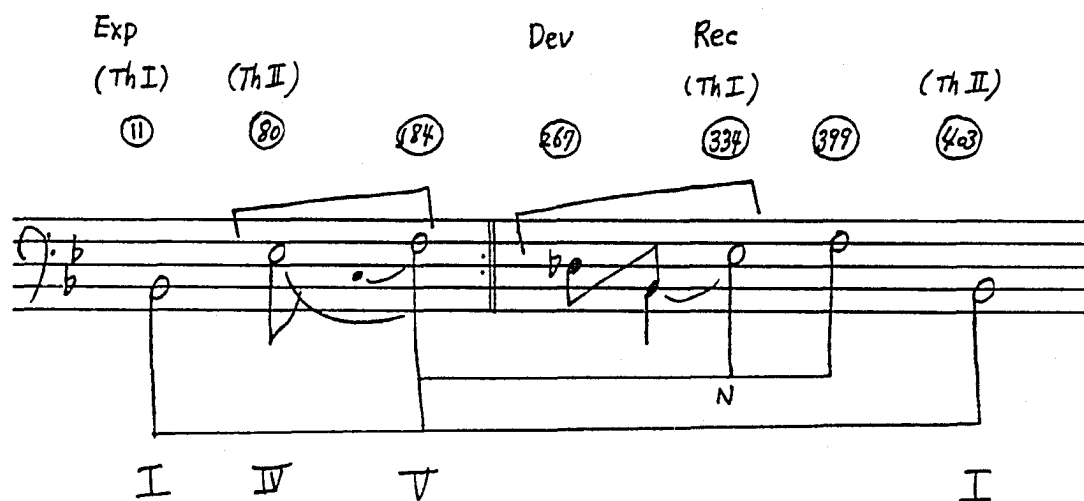
The last example, the first movement of the Piano Sonata in C (D. 279), is an ambitious attempt in this newly cultivated genre. It carries the strong sense of experimentation, with some parts artificial and awkward. Of particular interest is the wholly literal transposition of the entire exposition--I - V : IV - I--one of only two such cases in Schubert's entire oeuvre (the other is the first movement of the B-major Piano Sonata, D. 575).

a. Symphony No. 2, D. 125 (1814), first movement

The irregular features of the movement include the I - IV - V of the very broadly constructed exposition; the very short, largely transitional development (only 67 bars compared to 266 of the exposition); and the first theme of the recapitulation in the key of IV (see Ex. 2.5). The recapitulation on IV (m. 334) is well prepared by a retransition (mm. 306-333). In the recapitulation a few changes are made in order to go from the IV of the first theme (m. 334) to the VI of the transition (m. 372) and to stay in the tonic through the second theme group.

Such irregularities do not conform to conventional sonata-form structure, especially the use of the subdominant for the second theme group of the exposition and at the beginning of the recapitulation. As Ex. 2.5 shows, on the background level the first IV (m. 80) functions as a prefix

Ex. 2.5: Second Symphony in B^b, D. 125, I, overall structure.



to the V (m. 184). And the second IV (m. 334) is a neighbor-tone within a very large background dominant.

One interesting harmonic progression is pointed out by the brackets in Ex. 2.5: The motion from D^b to E^b (mm. 267-334) reflects the motion from IV to V in the second theme group. Perhaps this large-scale motivic repetition provides a certain justification for the unusual use of IV at the recapitulation.

b. String Quartet in g, D. 173 (1815), first movement
(Quartet No. 9 in the Dover edition)

From 1815 on, Schubert began to compose a series of minor-mode works, most of which will be considered in the

next chapter. This quartet, which is the first among them, has already been noticed for the unusual structure of its exposition. See Ex. 2.6, which shows that the recapitulation is also unusual in that it begins in the key of the mediant. Thus the minor-mode first theme becomes a major-mode theme, and the second theme, which started in the major mode, now appears in the minor tonic key. The development (mm. 93-125) is mainly retransitional and leads to the thematic return in III by descending fifths.

Ex. 2.6: String Quartet in G minor, D. 173, I, overall structure.

The diagram illustrates the overall structure of the first movement of the String Quartet in G minor, D. 173, I. The score is divided into sections: Exposition (Exp), Development (Dev), and Recapitulation (Rec). The Exposition (Exp) is further divided into the first theme (Th I) and the second theme (Th II). The Development (Dev) is marked with a double bar line and a repeat sign. The Recapitulation (Rec) is divided into the first theme (Th I) and the second theme (Th II). The key signature is G minor (two flats). The score includes measures 1, 45, 84, 85, 89, 93, 125, 165, and 169. The structure is labeled with Roman numerals: I (III) #I? II# V V I. A dashed line labeled 'N' indicates a retransitional passage.

How to interpret the B^b key at m. 125 depends on how one relates it to the V at the end of the exposition

(m. 91). Although the V of m. 91 is used only for cadential closure, it is clearly articulated as a goal of the entire second theme and, therefore, has to be taken as a background dominant. On the other hand, the III at the beginning of the recapitulation soon leads back to the V of m. 165, and the tonic return takes place at the beginning of the second theme (m. 169). Thus, as Ex. 2.6 illustrates, the III of m. 125 functions as a neighbor-note harmony within the background dominant.

c. Piano Sonata in C, D. 279 (1815), first movement
(Vol. III, pp. 17-25 of the Henle edition)

This movement of Schubert's second sonata (the finale of which was left incomplete) is of particular interest because its recapitulation (IV-I) is a literal transposition of the exposition (I-V). It is remarkable that of all Schubert's recapitulations that start on IV only two follow this literal procedure (the other is also a piano sonata, D. 575, to be discussed in Chapter III). Quite probably he found it too mechanical--incapable of producing a wholly satisfactory artistic result.

A markedly "orchestral" opening leads to the first important chromaticism, III[#], at m. 22. This initiates a III[#]-V-I progression spanning mm. 22-32, a progression which will become quite important in the structure of the work

(see Ex. 2.7-a). Beginning at m. 32, the transition leads to a heavily emphasized B major chord (mm. 37-42) that strongly invites the listener to expect the key of E major for the coming second theme, but instead this chord is followed by a very unexpected D⁷ chord (mm. 43-44) that leads to G major for the second theme. Though awkward in its effect, the resulting III[#] - V - I in G major (mm. 37-45) clearly relates to the similar C major progression just concluded.

The development first features some highly chromatic sequences (mm. 90-97) typical of Schubert's boldly experimental side that are based on two descending augmented fourths (G[#] - D, G - D^b, refer to Ex. 2.7-c). M. 104 begins a retransition which duplicates (in octave-filling sequences) the transition theme (m. 32f). This retransition is unusual in that its emphatic start in F major anticipates the F major of the approaching recapitulation (m. 118). If this is a structural weakness, the F major retransition at least has the advantage of relating to the recapitulation's transition (m. 151f.), which is likewise in F major. Beyond the matter of key relationship, it is noteworthy that the movement's design uses the transition material not only to lead from first to second theme but also to lead from development to recapitulation.

Ex. 2.7: Piano Sonata in C, D. 279, I, (a) III[#]-V-I progression in the exposition and recapitulation; (b) hypothetically recomposed first theme in the tonic key in the recapitulation; (c) graph of the entire movement.

a

Exp (Th I) (Th II) Rec (Th I) (Th II)

① 22 32 37 45 118 141 157 158 162 164

b

Rec (Th I) (Th II)

118

c

Exp (Th I) (Th II) Dev Rec (Th I)

① 22 32 36 37 45 70 94 97 103 104 118 119 157 158 162 164

I (G: III[#] V I) I (c: III[#] V I)

If the recapitulation had begun in the tonic key, it would have had the redundant structure shown in Ex. 2.7-b. Schubert's subdominant recapitulation of course produces a much more satisfactory result, as shown in Ex. 2.7-c: The exposition's I - VII[#] (mm. 1-37) yields the recapitulation's IV - III[#] (mm. 118-156), all of which fits into an overall scheme with a logic and inevitability that are pleasing. The development section remains the only "free" area within the scheme and poses the compositional problem of how to move convincingly from G (V) to F (IV). Perhaps Schubert's two-fold arrival at F (mm. 104 and 118) represents an attempt to strengthen this crucial point in the structure.

Any Schenkerian view of the structure of this movement is obliged to place the symmetrical key plan, C - G / F - C, within the inherently non-symmetrical structural harmonies I - V - I. As shown in Ex. 2.7-c, this relegates the F (m. 118) to the status of a large-scale passing tone. There may be a certain conflict here between the basic harmonic structure, I - V - I, and the design, which, by emphasizing IV at the beginning of the recapitulation, "gets in the way" of the V's "natural" progression to I. It seems possible that Schubert had an intuitive awareness of this conflict and that is why he so rarely composed the plan I - V / IV - I with a literally transposed recapitulation and finally

gave up the plan altogether.

Summary

The influence of overture style and form on Schubert's instrumental works of this period becomes evident in many peculiar realizations of sonata form--short development sections, expositions containing several keys, beginnings of recapitulations in the dominant key, and restating slow introductions before the recapitulation.

In the first group of works (1810-1813), we have seen a free and inconsistent approach toward sonata form. The irregular features of the expositions are monothematic construction and almost constant adherence to the tonic key. The recapitulations exhibit considerable irregularity in thematic design and tonal plan. The V key is a particular favorite for the non-tonic beginning of the recapitulation. This particular use seems to be a borrowing from the practice of overture writing. The tonic return tends to occur later, toward the end of the recapitulation.

In the second group of works (1813-1815), composed after the Stadtkonvikt years, a rather consistent approach is noticed. The exposition is now more clearly defined--a dualistic thematic construction with the second theme in the key of V. The second theme group tends to be expanded. Besides a regular exposition based on the I - V tonal plan,

an exposition containing several key areas is found in some symphonic works. Schubert's recapitulatory design now moves closer to his later and standard practice--the literal repetition of the themes of the exposition. The diverse tonal plans in the recapitulation such as I- VI- I, I-III-I, V -I, and IV -I result from a free reinterpretation of the tonal plan of the exposition. In the non-tonic recapitulations Schubert continues to start on the keys of V and IV. The recapitulation in D. 279 is a literal transposition of the exposition. All of the non-tonic recapitulations belong to Type I: There is a clean break at the point of the recapitulation, and the non-tonic key is well prepared by a retransition. As seen in the analyses of the movements with a subdominant recapitulation, the IV functions either as a neighbor between two dominants, or as a passing note between V and III[#].

CHAPTER III

THE SECOND PERIOD (1816-1819)

I. Background

A. Main Events in His Life

The second period in Schubert's career comprises approximately four years, 1816-1819, during which time he remained an assistant teacher in his father's school. At the beginning of 1816, he applied for the post of music teacher in Laibach without success. That same year, his friend Josef von Spaun sent Goethe a selection of Schubert songs to Goethe texts. Though the selection included some of Schubert's finest songs to date, Goethe did not reply. For the concert to celebrate the fiftieth anniversary of Salieri's arrival in Vienna, Schubert contributed a cantata, and for the name-day of Professor Watteroth, he composed his first commissioned work, a cantata, Prometheus (D. 451). In the fall of 1816, the Fifth Symphony in B^b (D. 485) was played by a private orchestra at Otto Hatwig's, an ensemble which had developed from Schubert's family quartet.

At the end of 1816, Schubert left his home and lived at the home of his friend Schober in the inner city of Vienna until the fall of 1817. Free of routine, he devoted himself to the composition of a series of piano sonatas. In 1817, he was introduced to the singer Johann Michael Vogl

(1768-1840), who was to remain his life-long friend and musical champion. In the fall of that year he resumed his duties at his father's school. One of his two overtures "in the Italian style" (in D [D. 590] or C [D. 591]) was performed at Hatwig's at the end of 1817. His song Am Erlafsee (D. 586) was printed as a supplement to a Viennese almanac, the Mahlerisches Taschenbuch--Schubert's first appearance in print.

In 1818 the first performance of the Sixth Symphony took place at Hatwig's. An overture "in the Italian style" (probably the one in C, D. 591) was played at the hall of the inn Der Römische Kaiser. This event was the first public performance of a work by Schubert. Also one of the overtures "in the Italian style" arranged for two pianos, eight hands, was played.¹ Schubert's two overtures "in the Italian style" were written under the influence of the Rossini craze in Vienna, which began in 1816 and reached its peak with Rossini's arrival in Vienna in 1822. In 1819, Schubert heard a performance of Rossini's Otello, and probably before that Tancredi, which was given both in 1816 and

1. Both of these public performances received favorable reviews in the Allgemeine Theaterzeitung (see SD, 87-88). In these reviews, Schubert was referred to as a pupil of Salieri.

1818 in Vienna.

In contrast to the previous year, the instrumental works of 1818 are very few and mostly incomplete. In the summer of 1818, appointed as music master to the two daughters of Count Esterházy, Schubert stayed at Zseliz in Hungary. In November, he returned to Vienna, and took lodgings with his friend Johann Mayrhofer. At this time he ceased altogether working as an assistant teacher, and became a freelance musician.

In 1819, Schubert considered pursuing a career as an opera composer, and set to work on Georg von Hofmann's play Die Zwillingbrüder (D. 647). The year 1819 also saw the first public performance of a Schubert song, Schäfers Klage (D. 121). His cantata Prometheus (D. 451) was played at the house of Ignaz von Sonnleithner, and the Overture in e, at Müllers Hall. By this time his name was becoming widely known among private circles in Vienna, and was increasingly mentioned in musical journals, both in Vienna and abroad.

All of Schubert's second-period instrumental works containing sonata form are given in the following list:

Works of 1816

in major keys:

String Quartet in E (Op. 125/2, D. 353)
 Violin Sonata in D (Op. 137, D. 384)
 Piano Sonata in E (D. 459)
 String Trio in B^b (D. 471)
 Overture in B^b (D. 470)
 Fifth Symphony in B^b (D. 485)

in minor keys:

Violin Sonatas in a (D. 385) and g (D. 408)
 Fourth Symphony in c (D. 417)

Works of 1817

in major keys:

Piano Sonatas in A^b (D. 557), D^b (D. 567, later revised
 as in E^b, Op. 122, D. 568),² and B (Op. 147, D. 575)
 Violin Duo in A (Op. 162, D. 574)
 String Trio in B^b (D. 581)
 Overture in D (D. 556)
 two Overtures "in the Italian style" in D (D. 590) and
 C (D. 591)
 Sixth Symphony in C (D. 589)

in minor keys:

Piano Sonatas in a (Op. 164, D. 537), e (incomplete,
 D. 566) and f[#] (incomplete, D. 571)

2. The date when Schubert revised the E^b-major sonata has been a controversial issue. Brown dated it 1817, shortly after the composition of the D^b-major sonata (Schubert, 63-64). But recently Chusid suggested that Schubert revised the sonata as late as 1828 ("A Suggested Reading for Schubert's Piano Sonata in E^b, Op. 122," in Schubert-Kongress Wien 1978: Bericht, 37). Again Michael Tusa adjusts the dating as summer of 1826 ("When Did Schubert Revise His Opus 122?" Music Review XLV (1984), 209). It seems to me that Tusa's dating is the most convincing, considering the documentary and stylistic evidence.

Works of 1818

in major keys:

the unfinished piano sketch for a Symphony in D (D.615)
 Piano Sonata in C (incomplete, D. 613)
 Piano Sonata for four hands in B^b (Op. 30, D. 617)

in minor keys:

Piano Sonata in f (incomplete, D. 625)
 one fragment of a piano sonata movement in c[#] (exposition only, D. 655)

Works of 1819

in major keys:

Overture to Zwillingenbrüder in D (D. 647)
 Piano Sonata in A (Op. 120, D. 664)
 Piano Quintet in A, the "Trout" (Op. 114, D. 667)
 Overture for four hands in F (D. 675)

in minor keys:

Overture in e (D. 648)
 Overture for four hands in g (D. 668)

Some of the movements written in 1819 will be discussed in the next chapter since they foreshadow the style of the later works. These include the Piano Sonata in C[#] minor, D. 655, the Overture in E minor, D. 648, and the second movement of the "Trout" Quintet, D. 667.

B. General Remarks on Schubert's Sonata Compositions

At the end of 1816, as soon as Schubert had settled at Schober's home, he started to compose piano sonatas. Early in 1817 Schubert made a particular effort to master the piano sonata and wrote six.

Certainly Schubert was well aware of the enormous artistic influence which his contemporary Beethoven exerted in the domain of instrumental music.³ Unfortunately, Schubert's own instrumental works were destined to be judged by the standards established by Beethoven. During 1817-1824, he had extreme difficulty writing symphonies and string quartets, genres for which Beethoven had already left his incomparable models. As shown in the list of works in Appendix A, after the Sixth Symphony of 1817 Schubert produced only incomplete symphonies (D. 615, 708a, 729, and 759) until the composition of the Ninth Symphony in C (the "Great"), D. 944 in 1825. The only string quartet written between 1817 and 1824 is the one-movement Quartettsatz of 1820. His string quartets composed before 1817 were viewed as unimportant by the composer himself, who, late in 1824 advised his brother that "it would be better if you stuck to other quartets than mine, for there is nothing about them, except that perhaps they please you, who are pleased with anything of mine."⁴

From 1817 on, a fairly consistent approach to sonata form can be noticed, as Schubert tended to use similar

3. See Hilmar, Franz Schubert in His Time, 110-112.

4. SD, 362.

harmonic procedures repeatedly in many works of this period. This harmonic style, with various tonal irregularities, characterizes his peculiar way of dealing with the form during the years 1817-1824. Schubert's irregular treatment of sonata form cannot be ascribed to a faulty conception of the form or ignorance of its conventions. Rather, one must try to comprehend what Schubert attempted to achieve by altering the structure, and what might have motivated him to resort to irregular treatment. Two very notable features in the works of this period are: (1) the expansion of the second theme group through the use of either a) a three-key exposition or b) a "harmonic digression" within the second theme group, and (2) the beginning of the recapitulation in the key of the subdominant.

In many ways Schubert treated sonata form in the minor mode differently from that in major. From 1816 on, Schubert began to compose a series of minor-mode sonatas which abound in very irregular harmonic structures. The tonal procedures in the minor-mode compositions of 1816-1820 deviate from the customary treatment of minor-mode sonatas. Therefore, in the following discussion the minor-mode sonatas are treated separately from the major-mode.

II. The Approach to Sonata Form in the Major-Mode Works

A. Exposition

1. Two-Key Expositions

The major-mode sonata forms of this period are readily divided between those that exhibit the conventional two keys and those that have a three-key plan. As might be expected, the earlier cases tend to have the usual two keys, I and V, with the second theme clearly beginning in the key of V.

(An unusual exposition based on the I - IV plan is found in the finale of the "Trout" Quintet.) The first movement of the Piano Sonata in A, D. 664, though still founded on I-V, differs in that its second theme starts in the tonic and then moves to the dominant key. In a few of the movements the exact beginning of the second theme is problematic since the transition starts already in the key of the dominant. For instance, in the first movement of the E-major Sonata (D. 459), the theme at m. 21 may be considered a transition since the preceding motive from mm. 17-20 recurs extensively throughout it, but it can also be seen as the second theme proper because it follows the prominent half cadence on V at m. 20, and particularly because it is in the key of the dominant. A similar situation arises at m. 64 in the first movement of the A-major "Trout" Quintet, D. 667.

How the second key is prepared in the transition is of particular importance. In some of the expositions there is no modulation to the dominant, but only a semicadence on the dominant chord; the dominant harmony is then tonicized, that is, becomes the key of the second theme group. Examples are the first movements of the E-major Piano Sonata (D. 459) and the D^b-major Sonata (D. 567), and the third movement of the A^b-major Sonata (D. 557).⁵ This procedure is called "expositional bifocal close" by Robert Winter.⁶ His term "bifocal close" applies to the fact that the first theme in both exposition and recapitulation closes on a half cadence in the dominant. Therefore these two closes "have two harmonic 'focal lengths,' one which leads in the exposition to the temporary tonicization of the dominant and another in the recapitulation which bends the same dominant chord back to

5. This A^b-major Sonata is very unusual in that its third (final) movement is in a different key, E^b major. Brown points out that these three movements are not a haphazard assembly, which is evident from Schubert's autograph and also an old copy made by, or for, Josef Witteczek (Schubert, 61).

6. Winter investigates the practice of the 'bifocal close' in the composers of the mid-18th and late-18th century, and the role of the practice in the history of the sonata form, in his "The Bifocal Close and the Evolution of the Viennese Classical Style," Journal of the American Musicological Society XLII/2 (1989), 275-337.

its tonic" (see Ex. 3.1).⁷ He distinguishes between "expositional bifocal close," in which the transition of the recapitulation is rewritten so as to avoid the parallel half cadence, and "complementary bifocal close," in which a movement has the same transition in both exposition and recapitulation.⁸

Ex. 3.1: Movement with bifocal close.

Exp		Rec	
(ThI)	(ThII)	(ThI)	(ThII)

I V I (V) I

keys: C: I — V G: I —

7. *Ibid.*, 275-276. The representative example of this procedure given by Winter is from the first movement of Mozart's G-major Piano Sonata, K. 283.

8. For the Schubert example of the "complementary bifocal close" Winter mentions the first movement of the D-major Piano Sonata (D. 850). See pp. 275-278. Another example I find is the third movement of the A^b-major Piano Sonata (D. 557).

Winter contends that the bifocal close was cultivated during the 1760's and exploited during the 1770's and early 1780's especially by Mozart, although it can be found in several of Beethoven's early works.⁹ Therefore, one can assume that Schubert's expositional style was influenced by the model of Mozart, who, according to Winter, favored the bifocal close more than any other composer, and, further, that Schubert did not depend solely on the contemporary practice modeled after Beethoven, in which, more often than not, a transition exploiting the dominant-side harmonies effects a modulation to the key of V. We will return to this issue later.

In general, modulatory procedure in the major-mode expositions of this period does not feature lengthy transitions that rely heavily on fifth-progressions on the dominant side of the circle of fifths. Rather, Schubert chooses an effective and minimal means of transition, substituting it for a lengthy modulation. In the works of this period there are a few transitions with a substantial modulation based on the circle of fifths (see the first movements of the String Quartet in E, D. 353, and the Fifth Symphony, D. 485). However, most of the transitions accomplish a

9. Ibid., 290-335.

short and abrupt modulation. A transition can simply end on a short II[#], with the second theme following in the key of V (see the first movements of the D-major Violin Sonata, D. 384, and the Sixth Symphony, D. 589). Or the V - I cadence is simply repeated on another harmonic degree, II[#] - V (as in the first movements of the A-major Violin Sonata, D. 574, and the A-major "Trout" Quintet, D. 667). The most minimal transitions (sometimes none at all) are found in some three-key expositions, as we shall see later.

Some of the movements with a I - V exposition employ what I shall call "a harmonic digression" within the second theme group. Interestingly, this procedure appears in Schubert's work prior to his employment of the three-key exposition. Examples are mostly confined to the works of 1817: the third movement of the Piano Sonata in A^b (D. 557), the first and the last movements of the Piano Sonata in D^b (D. 567), and the first movements of the Violin Duo in A (D. 574), and the Sixth Symphony (D. 589) (see Ex. 3.2)¹⁰. No previous scholars have mentioned this particular harmonic procedure which Schubert followed consistently in 1817.

10. A harmonic digression is also found in a minor-mode work, the first movement of the F-minor Piano Sonata (D. 625).

Ex. 3.2: Expositions with harmonic digression within the second theme group, (a) Piano Sonata in A^b, D. 557, III; (b) Piano Sonata in D^b, D. 567, I; (c) Violin Duo in A, D. 574, I; (d) Sixth Symphony in C, D. 589, I.

a

(Th I) ① (Th I) ②② ③⑨ ④② ④③ ④④

5 10 7-8 8

b

① ④① ⑥③ ⑦① ⑦⑦ ⑦⑦

c

(Th I) ① (Th II) ②⑧ ④④ ④④ ⑤④ ⑤⑦

(E: I $\flat$ III V I)

d

① ⑦⑨ ⑨① ⑨② ⑩④ ⑩⑥ ⑩⑦ ⑩⑧ ⑪①

(G: I $\flat$ VII V I)

Although the harmonic digression itself is not an unusual event, it is striking that it always starts with $\flat\text{III}$ in the key of the second theme group. This $\flat\text{III}$ is sometimes connected to an augmented 6th chord, which then leads to a full cadence in the key of the second theme. (See Ex. 3.2, in which the $\flat\text{III}$ chords are each marked with an asterisk.) It is noteworthy that $\flat\text{III}$ is used in a different way in all the movements. Viewed as a compositional procedure, the harmonic digression, occurring as it does within the dominant key area, is of a less drastic nature than the three-key exposition. It is important to remember that the three-key exposition did not appear all of a sudden as an alternative to the I - V exposition. The prior presence of such digressions provides us with a better understanding of Schubert's leanings and practices. They reveal an early tendency on Schubert's part to expand the second theme group harmonically. The next, and more developed, stage of this tendency is seen in the procedure of the three-key exposition.

2. Three-key Expositions

Schubert's use of the three-key exposition has been discussed in the literature as a significant late Classical

modification of the sonata procedure.¹¹ According to Rey Longyear and Kate Covington, the term "three-key exposition" is defined as the procedure "in which the second theme group begins in a key different from both the opening and the close of the exposition."¹² As Webster sees it, a three-key exposition comprises a first group and a "double second group."¹³ Schubert's consistent employment of the three-key exposition occurs mostly in the works of 1818-1819, though the first example occurs in the fourth movement of the Violin Duo in A (D. 574) of 1817.¹⁴

The most frequently observed three-key plan in the major-mode sonatas of this period is I - ^bIII - V. Examples include the finale of the Violin Duo (D. 574), the Overture in D (D. 590), the incomplete first movement of the Piano Sonata in C (D. 613), the first movement of the Piano Sonata for four hands in B^b (D. 617), the Overture in D to the opera Die Zwillingsbrüder (D. 647), and the Overture for

11. See Rosen, Sonata Forms, rev. ed., 246-261; Webster, "Schubert's Sonata Form," 26-30; and Rey Longyear and Kate Covington, "Sources of the Three-Key Exposition," The Journal of Musicology VI/4 (1988), 448-470.

12. Ibid., 448.

13. Webster, "Schubert's Sonata Form," 26.

14. The early type of exposition comprising many keys is discussed in Chapter II. This different treatment does not belong to the general practice of the three-key exposition.

four hands in F (D. 675). Other major-mode three-key plans include I - III[#] - V (the finale of the C-major Piano Sonata, D. 613), I - ^bVI - V (the finale of the Sonata for four hands in B^b, D. 617), and I - VI[#] - V (the Overture in C, D. 591).¹⁵ I shall treat in detail only the I - ^bIII - V plan.

Ex. 3.3 shows the harmonic middleground of the five I - ^bIII - V works cited above.¹⁶ In most cases, as soon as the first theme ends on a local, back-relating V, the appearance of ^bIII, often in sudden juxtaposition, comes as a surprise. (Rarely ^bIII is introduced by its own dominant, as in the Overture in F, D. 675.) The ^bIII is clearly separated from the subsequent V by a modulation. Schubert treated the modulation from ^bIII to V differently in each case.

Ex. 3.3 is a valuable indicator of Schubert's approach to

15. An exceptional key plan of the exposition is found in the first movement of the Piano Sonata in B (D. 575): It comprises four separate sections, each in a different key, I- ^bVI- IV- V (B- G- E- F[#]), but these sections all share the same rhythmic motive and same cadential progression. In this respect, it is similar to the Six Variations in F in descending thirds by Beethoven, Op. 34. Therefore, this exposition is not related to Schubert's general practice of the three-key exposition.

16. I do not include the first movement of the C-major Piano Sonata (D. 613) since unlike the other examples the ^bIII at m. 41 is read as a neighbor within the II[#] (m. 39 and 62) and thus this exposition is better seen as a kind of I - II[#] - V.

modulation, especially that to a remote key. During the modulation out of $\flat\text{III}$ and into V, an auxiliary cadence in the key of V leads to the second part of the second theme group, which is entirely in the key of V. Of particular interest in some works of late 1818 is the use of a chromatic sequential progression which leads to the V (Ex. 3.3, d and e).

Ex. 3.3: Three-key expositions with I- $\flat\text{III}$ -V plan, (a) Violin Duo in A, D. 574, IV; (b) Overture, in D, D. 590; (c) Piano Sonata for 4 hands in $\text{B}^\flat$, D. 617, I; (d) Overture to Die Zwillingsbrüder in D, D. 647; (e) Overture for 4 hands in F, D. 675.

a

(Th I) ① ②⑤ (Th II) ③③ ⑥⑨ ⑦① ⑦③

I $\flat\text{III}$ V
(E: I^b V I)
keys: A C E

b

(Th I) ① ⑧⑦ (Th II) ⑨① ⑩⑥ ⑪①

I $\flat\text{III}$ V
(A: #IV⁷ V I)
keys: D F A

(Ex. 3.3, continued)

c

(Th I) ① (Th II) ③③ ④③ ④④ ④④ ⑤⑦ ⑤③

keys: B^b D^b (F: III V I)
F

d

(Th I) ① (Th II) ③③ ⑤⑤ ⑥⑤

keys: D F (A: II V I)
A

e

(Th I) ① ⑥① ⑥④ ⑦① ⑦② ⑧③ ⑧⑦ ⑧⑧ ⑩⑦

keys: F A^b (C: #IV[?] V I)
C

It is noteworthy that "harmonic digression" and "three-key exposition" both make extensive use of $\flat_{III}$, though not on the same structural level: The former uses the $\flat_{III}$ of the key of V; the latter the $\flat_{III}$ of the home key. Expositions with digression are structurally different from those with three-key exposition. In the former, the V at the beginning of the second theme is viewed as a lengthy background dominant presiding over the digression. On the other hand, the three-key exposition goes, so to speak, one step farther: The V at the end of the first theme is considered a mere back-relating dominant, that is, as belonging to the opening tonic, while the $\flat_{III}$ is more emphasized by beginning a new section with a new theme. The subsequent V generally sounds like a closing theme consisting of less distinct thematic material.

I propose that Schubert's three-key exposition may have grown out of the exposition with bifocal close. As observed above, in both types of exposition--exposition with bifocal close and exposition with three-key plan--the half cadence on V at the end of the first theme functions as a back-relating dominant (divider). Likewise there is no transition between the I and the second key ($\flat_{III}$), and a prominent rest demarcates the sections. Perhaps Schubert's three-key exposition is a kind of conflation of the old-

fashioned bifocal close and of "harmonic digression."

None of the writers on this topic make a distinction between Schubert's practice and that of other composers, both earlier and contemporary. Also, the term "three-key exposition" is not used consistently since different theories of key and modulation cause some movements to be seen as two-key expositions with tonal expansion by some writers, but as three-key expositions by others.¹⁷

In my view, the lack of a transition (no preparation for the second key) and the prominent back-relating V at the end of the first theme are the specific features which define Schubert's "three-key exposition" and differentiate it from other procedures by his predecessors. In Schubert the second key, ^bIII, is on almost the same level as I and V, and thus, three real keys are present.

On the other hand, the three-key plans of Schubert's

17. The musical examples cited by the various writers reveal how differently the term is understood. For instance, Rosen conceived of the three-key exposition as a certain progression enlarged by an inner expansion as in Beethoven's Piano Sonata in D, Op. 10 No. 3, I, and Piano Concerto in E^b, No. 5, I (mm. 133-164). See Sonata Forms, 246-256. On the other hand, Longyear and Covington interpret the procedure in a broad and very casual way. Frequently in their examples the second key appears as a local tonicization of a temporary nature. Their examples even include Mozart's String Quartet in E^b, K. 428, I and Beethoven's Piano Sonata in D, Op. 28, I. See "Sources of the Three-Key Exposition," 460-464.

predecessors (discussed by Longyear and Covington, and Rosen) can be reduced to only two keys at a higher level and, hence, are not genuine examples of "three-key exposition." The second key does not occur immediately after the half cadence on V. Rather it enters midway through a modulation to V, and the modulations that precede and follow the appearance of the second key are used to define this key.¹⁸ Usually, the second key in the middleground is subordinate to II[#] or V, functioning as an embellishing harmony in the course of a modulation to V (see Ex. 2.3 in Chapter II).

In this regard, Webster's argument that Schubert may have taken his three-key exposition procedure from Beethoven's Coriolan in C minor may not provide the only answer.¹⁹ As mentioned in Chapter II, Schubert's procedure is structurally different from that of Coriolan. Also, since Webster suggests its possible influence on Schubert especially in the years 1817-1819, it is curious why in those years Schubert did not use the procedure in any of his

18. As in Longyear and Covington's examples of the first movement of Beethoven's D-major String Quartet, Op. 18, No. 3, and the first and final movements of the Eighth Symphony in F.

19. "Schubert's Sonata Form," 26-27.

minor-mode works.²⁰ One would think it likely that this type of I- III- V would occur in a minor-mode sonata. The use of I- III- V in a minor-mode work is not especially exceptional, but rather conventional because the keys of both III and V were accepted for the second theme. It is for this reason that Longyear and Covington classify this type of minor-mode exposition separately from those in the major mode.²¹

Why, then, did Schubert use this procedure only in major-mode expositions? It seems to me that his extensive use of it in major-mode expositions arises from his predilection for chromaticism, specifically mode mixture. It is the flat III that interested him. As we shall see, the prominent use of ^bIII figures not only in the harmonic digression within the second theme, and in three-key expositions, but will also be used at the beginning of the development in movements with recapitulation on IV.

B. Recapitulation

1. General Observations

More than in any other period, the recapitulatory

20. Schubert used the I - III - V plan later (1824) in the minor-mode exposition of the String Quartet in D minor, D. 810, first movement.

21. Op. cit., 449-459.

procedure of this period is characterized by extremely literal repetition. The particular case of the recapitulation that begins in the key of the subdominant, making possible an exact transposition of the exposition, has been generally viewed as an easy way of composing a recapitulation and as artistically inferior to the recomposed recapitulation. The prejudices against such a literal recapitulation are not wholly valid. Not only in the cases of subdominant recapitulation, but also in tonic recapitulation, Schubert seems to have maintained a policy of economy. Some of the tonic recapitulations switch early on to the IV and from that point proceed with a literal transposition of the themes (see the first movements of the String Trio in B^b, D. 471, the A^b-major Piano Sonata, D. 557, and the finale of the A-major Violin Sonata, D. 574). It is, then, incorrect to say that only in the recapitulation on IV did Schubert try to save himself the trouble of writing a new transition, since the tonic recapitulations may have fewer changes than the subdominant ones.

The important thing is that no matter in what key the recapitulation begins, Schubert basically keeps changes to a minimum. The addition of new thematic material and the omission of thematic material are both very rare. Omissions, such as the first twenty-four bars in the first

movement of the "Trout" Quintet, D. 667, and the transition (mm. 28-40) in the D^b-major Piano Sonata, D. 567, are therefore exceptional. Most of the changes made in order to stay in the tonic are confined to a few notes or chords, or, to a large extent, a few bars or a phrase.

In movements having three-key expositions based on I- ^bIII- V, the recapitulation follows the plan I- ^bVI -I, as shown in Ex. 3.4. Thus, a chromatic third-relation is observed at the beginning of the second theme of both sections. Almost none of the movements with a three-key exposition has a non-tonic recapitulation, the sole exception being the Overture for four-hands, D. 675, in which the overture form demands, or at least invites, it. In the movements with a three-key exposition, the difficulty of beginning the recapitulation in a non-tonic key (except for IV) is easily imagined: It would require a certain alteration in the three-key relationship in the recapitulation. In view of the fact that the subdominant recapitulation would automatically transpose the three-key exposition exactly (I- ^bIII- V, IV- ^bVI- I), it is noteworthy that Schubert never uses this plan. Instead, he will start the recapitulation, as noted, on I, often introducing small changes in the first theme in order for it to close on I instead of V; then the second theme, starting on ^bVI, is

transposed mostly without alteration.

Ex. 3.4: Movement with three-key exposition, exposition and recapitulation.

Exp			Rec		
(Th I)		(Th II)	(Th I)		(Th II)

key plan: I $bIII$ V I bVI V I

 C E^b G C A^b G C

In this period (1816-1819) Schubert produced five incomplete sonata movements for three piano sonatas, namely, the first and last movements of the $F^\sharp$ -minor Sonata (D. 571 and D. 570, respectively), the first and third movements of the C-major Sonata (D. 613), and the first movement of the F-minor Sonata (D. 625).²² Except for D. 613, all are left unfinished just before the opening of the recapitulation--thus lacking the recapitulation only. An often-raised question is whether Schubert considered these movements finished or unfinished. There is one instance in

22. See the Henle edition, Vol. III. I am following the grouping of the movements as determined by the editor, Paul Badura-Skoda.

which he later returned to an incomplete movement, the first movement of the B-major Sonata (D. 575), and wrote out the whole recapitulation as an exact transposition of the exposition. This instance, coupled with the fact that the recapitulatory procedure in Schubert's other completed movements of this period is not particularly varied compared to the diverse approaches shown in his expositions, lends credence to the possibility that the incomplete movements, if completed, would all have been completed in ways that had become fairly standard for Schubert.²³

2. The Non-Tonic Recapitulations

Non-tonic recapitulations in Schubert's major-mode sonatas of this period usually start in the key of the subdominant. Recapitulation in the key of V is observed in the finale of the "Trout" Quintet, D. 667, and the Overture for four hands in F, D. 675. Interestingly, the subdominant recapitulations occur only in movements with a I - V exposition. The most notable examples are the first movements of the E-major Piano Sonata (D. 459), the Fifth Symphony (D. 485), the B-major Sonata (D. 575), and the "Trout" Quintet.

23. Therefore, Thomas Denny asserts that these incomplete movements reveal the composer's minimal interest in the process of recapitulation in this period, in his "The Finale in the Instrumental Works of Schubert" (Ph.D. diss., The University of Rochester, 1982), 136.

tet (D. 667), plus the third movement of the A-major Piano Sonata (D. 664).²⁴ In all these recapitulations except that of the eccentric D. 575 an elaborate retransition prepares for the recapitulation, which therefore has a very marked beginning. Thus they all belong to Type I (as defined in Chapter I).

This recapitulatory procedure stands in contrast to Schubert's earlier practice. While in this period the appearance of the key of the IV coincides with the point of thematic return, in many earlier examples of non-tonic recapitulations, as noted, the key of V or IV is present long before the beginning of the recapitulation (see the first movements of the C-major String Quartet, D. 46, and the D-major Quartet, D. 74, and the C-major Piano Sonata, D. 279). It is instructive to compare the third movement of

24. One interesting detail is that Schubert never used the key signature of the subdominant in the beginning of the subdominant recapitulation: He always used the key signature of the movement. For examples, see the recapitulation of the first movements of the B-major Sonata, D. 575, and the Trout Quintet, D. 667. In D. 575, which comprises four signature changes, respectively, E - C - A - B, the recapitulated first theme is not written in its own key signature (E major), but in the tonic key (B major), even though the E-major first theme soon shifts to C major. Therefore, in his completed edition of the first movement of the F-minor Sonata (D. 571, in Vol. III of the Henle Edition, p. 134), Badura-Skoda, by changing the key signature at the beginning of the section to two sharps, goes against Schubert's practice.

the A-major Sonata (D. 664), in which the retransition prepares the forthcoming key of IV, with the first movement of the C-major Sonata (D. 279), in which the key of IV is already tonicized at the beginning of the retransition (m. 104).

Literally (or almost literally) transposed recapitulations are found in the first movements of the E-major Piano Sonata (D. 459) and the B-major Sonata (D. 575), and the first and last movements of the "Trout" Quintet (D. 667). On the other hand, recapitulations with recomposed transitions are found in the Fifth Symphony, first movement (D. 485), and the Piano Sonata in A, third movement (D. 644). The question arises why some recapitulations contain no alteration while others do. Though such a difficult question can be meaningfully answered only through analysis of individual cases, one general observation can be made here. In the two movements with unaltered recapitulation (D. 459 and 667), the exposition has a long stretch in V before the second theme is reached: The V already occurs at the beginning of the transition. Thus, there is no need for alteration in the recapitulation, since the tonic key will automatically be fully established during the transition. Another interesting case of the absolutely literal transposed repetition is the finale of the "Trout." The key plan

here--I - IV, V - I--is the inversionsal equivalent of the I - V, IV - I in a movement with subdominant recapitulation. In this movement, written in sonata form without development, this particular plan works very well. Since the movement opens with (a lower-rank) V, the recapitulation starts on II[#], and thus, the I - IV exposition is automatically followed by a (II[#])- V - I recapitulation.

On the other hand, in the two movements with alteration (D. 485 and 664/III), the transition ends on II[#], and the V does not appear until the beginning of the second theme. Schubert may have recomposed the transition in these works to provide further development (D. 485), or to produce a stronger modulation to the tonic key (D. 664/III). I will investigate further the possible motivations behind the altered transitions in the next section.

The subdominant recapitulation by Schubert has provoked many different explanations. Some have regarded it as a device for producing a symmetrical placement of tonalities, I - V, IV - I.²⁵ Webster observes in the movements

25. For instance Robert Morgan sees that the complete stability of the first theme on IV results in a kind of symmetry, and therefore does not include any Schubert examples in his category of 'delayed structural downbeat.' See his "The Delay of the Structural Downbeat in the Sonata Form Recapitulation" (Ph.D. diss., Princeton University, 1969), 55-56.

with the subdominant recapitulation the synthesis of "rounded binary" and sonata form as in the first movement of Mozart's Piano Sonata in C, K. 545.²⁶ Thomas Denny proposes that the non-tonic recapitulation is not especially irregular in the works of the late eighteenth and early nineteenth century, arguing that the double return was not always a necessary condition, but just one compositional option.²⁷ Tovey, who wrote insightfully on the subject, implies that the reason for Schubert's choice of the IV recapitulation as in the first movement of the "Trout" Quintet can be found in the structure of the movement, particularly of the exposition, by stating:

Whenever a composer with a true sense of form conceives anything in the nature of exposition, he inevitably conceives therewith some notion of its possible effect in returning after other matters or in the course of recapitulation. The question of its return or recapitulation, whether finally answered positively or negatively, is inherent in the original idea.²⁸

I find it remarkable that in a number of Schubert's major works he uses a particular large-scale harmonic pro-

26. "Schubert's Sonata Form," 31.

27. See his "Schubert's Mature Sonata Forms," The Journal of Musicology VI/3 (Summer 1988), 355.

28. Tovey, "Franz Schubert," 118.

gression that spans the entire movement as follows:

(exposition)		(development)		(recapitulation)
I - V		III	IV	V I

Ex. 3.5 shows this progression as it appears in four movements in major keys (D. 485, 575, 664/III, 667). (A further example is the first movement of the Second Symphony, D.125, discussed in Chapter II.) The reader will notice that I have interpreted V in the exposition in an unusual way. It would be more usual to read it as a V of highest rank. This would produce an overall reading as in Ex. 3.6, where the thematic arrival is seen as a local event, enclosed within a very long prolongation of V.

But in my reading (Ex. 3.5) the V of the exposition is considered as a back-relating dominant. Since the appearance of b^{III} (or III) and later V^7 of IV points the tonal motion toward IV, thereby contradicting the tonal motion to the V in the exposition, the V is, then, reduced to a mere divider.²⁹ The b^{III} (or III), then, connects back to the

29. A precedent for reading an exposition's V as back-relating, and followed by a higher-rank b^{III} initiating the development, is Schenker's Fig. 100. 5 in Free Composition. (Schenker does not discuss the formal aspects of this reading because he offers the figure only as an example of "arpeggiation at the later levels.") Ernst Oster, the translator-editor of Free Composition, comments on this figure (Vol. I, p. 139), and adduces another work in which the V of the exposition might be similarly read, namely, Beethoven's G-major Piano Sonata, Op. 79, first movement.

Ex. 3.5: Movements with recapitulation on IV, (a) Fifth Symphony in B^b, D. 485, I; (b) Piano Sonata in B, D. 575, I; (c) Piano Sonata in A, D. 664, III; (d) "Trout" Quintet in A, D. 667, I.

a

Exp		Dev		Rec	
(1)	(65)	(118)	(159)	(177)	(229) (231)

I $\flat$ III IV V I

b

Exp		Dev		Rec	
(1)	(41)	(60)	(87)	(88)	(127) (128)

I $\flat$ III IV V I

c

Exp		Dev		Rec	
(1)	(35)	(85)	(114)	(122)	(147) (154) (156)

I III[#] IV V I

(Ex. 3.5, continued)

Exp Dev Rec

d ① ⑧④ ⑥④ ④⑨ ②③ ②⑩ ②④⑧ ②④⑨

I bIII IV V I

Ex. 3.6: Alternate but inferior reading of movements with recapitulation on IV.

Exp Dev Rec

I V I

opening tonic. This connection is confirmed by the thematic association: The very beginning of the development always starts with the opening theme of the piece (mm. 1f.), whatever the nature of that material (main or introductory).

Why was Schubert fascinated by the non-tonic recapitulation? By going to the non-tonic key instead of to the tonic, he may have wanted to produce a "continuous" tonal motion--one without interruption of the Urlinie and with

only one bass arpeggiation (instead of the usual two).³⁰ Or he may have wanted to begin the recapitulation in a new, fresh way. In his "positive" view of the IV recapitulation, Tovey suggests that we may imagine the composer thinking "How splendid this will sound when it sails in again at another pitch and at home in the tonic!"³¹

3. Selected Examples

I shall examine three movements with recapitulation on IV: the first movements of the Fifth Symphony (D. 485) and the "Trout" Quintet (D. 667), and the third movement of the Piano Sonata in A (D. 664). From an artistic viewpoint these works surely number among Schubert's most successful works with recapitulation on IV. I will consider, among other things, why the "Trout" Quintet has a literally transposed recapitulation while the other two examples do not.

a. The Symphony No. 5 in B^b (D. 485), I (1816)

The movement opens with a short introductory phrase (mm. 1-4) in the main tempo. This introductory motive is

30. This idea of a "continuous" tonal motion will be treated in detail in the next Chapter. In the works of the next period (1819-1823), Schubert exploits this idea further, thus making necessary a structural modification of sonata form.

31. Tovey, "Franz Schubert," 118.

later used extensively at the beginning of the development (mm. 118-134).³² But it does not reappear at the beginning of the recapitulation.

The overall structure of the movement is shown in Ex. 3.7. In the recapitulation the transition is considerably recomposed. An exactly transposed transition would have ended with the progression IV - VII⁶/V - V, analogous to the one in the exposition, I - VII⁶/II - II. Why did Schubert not adhere to literal transposition in the recapitulation? It is possible that he wanted the transition to give an impression of further development--a feature of many sonatas at this point. Even though the transition is different, it does repeat an important middleground progression found elsewhere in the work. Ex. 3.8 shows this progression, ^bVII - V - I, as it occurs in the development (in the key of E^b) and in the recapitulation (in the tonic key). The locally tonicized A^b of m. 217, which deviates from the original transition, corresponds to the D^b at m. 118, and initiates an ascending third, A^b - B^b - C.

32. Brown considers it as a part of the main theme and points to a similar treatment in the first movements of the "Unfinished" Symphony and the Quartettsatz, in Schubert, 24-26. In both these works, such a theme is prominently used in the development, and does not occur at the opening of the recapitulation.

Ex. 3.7: Fifth Symphony in B^b, D. 485, I, overall structure.

Ex. 3.8: Fifth Symphony, D. 485, I, similar progressions in (a) mm. 118-171 of the development, and (b) mm. 217-231 of the transition in the recapitulation.

a

b

b. The Piano Quintet in A ("The Trout")

(D. 667), I (1819)

The arrival of the first theme in the key of IV in the recapitulation at m. 210 is a climactic event, a point of resolution after a quite extensive dominant preparation. This arrival of the first theme strikingly resembles the second appearance of the first theme in the exposition (m. 25) in many respects: The recapitulation begins with the first theme as presented at m. 25, and the way in which the beginning of the recapitulation is prepared in the retransition is similar to the way the first theme of m. 25 is prepared in mm. 1- 25.

The rhetorical function of the first twenty-five bars has been recognized by Janet Levy, who considers it somewhat prelude or introductory in character, and regards m. 25 as the beginning of the movement proper.³³ Expanding on this idea, I see the sixty-three bars of the development as an extended retransition--a paraphrase of mm. 1-25. Just as the first theme at m. 25 has been prepared by mm. 1-24, the one at m. 210 is prepared by the whole development (see

33. See "Texture As a Sign in Classic and Early Romantic Music," Journal of the American Musicological Society XXXV/3 (Fall 1982), 496. Her main concern here is to show how the sense of the true beginning of a musical composition is often conveyed by the establishment of an accompaniment pattern.

Ex. 3.9). That is surely the reason for the omission of the first twenty-four bars in the recapitulation. Various points of contact between mm. 1- 24 and the development support this interpretation, as follows:

1) Thematic and harmonic similarity. The theme at the opening of the development (mm. 149-156) clearly derives from the four-bar theme of mm. 3-6, not from the one of mm. 27-29. The $\sharp$ III opens a new section at m. 147, as in the first movement of the Fifth Symphony (D. 485). This striking beginning of the section by the sudden drop of a third, V - $\sharp$ III (from the ending of the exposition to the development) seems presaged by the I - $\sharp$ VI drop at m. 11 (see bass brackets in Ex. 3.9).

2) Rhythmic and textural similarity. Both the first twenty-five bars and the development undergo a similar gradual textural change from chordal arrangement (melody and accompaniment in the beginning of the development) to more varied, rapid rhythms in all parts. Such textural change takes place more explicitly in the course of the development, which builds tension through gradually increasing rhythmic stratification. A sudden break in texture at m.194 introduces the accompanying figure of the first theme, , which prepares for the thematic return, and also presents imitative voices--another association with mm. 19-25.

3) Another voice-leading similarity is that the c^3 of m. 198 and the following $c^{\sharp 3}$ of m. 201, the first notes of the descending figures in a high register, recall the same pitches in mm. 19-23 (see treble brackets in Ex. 3.9).

Ex. 3.9: "Trout" Quintet in A, D. 667, I, (a) mm. 1-25; (b) development.

a

(I — 4VI)

b

(V — 4III)

As I have mentioned, this movement contains no alteration in the transition because the exposition has a long stretch in V before the second theme is reached (from m. 64 to the end of the section). As for the structural V in the exposition, the situation is somewhat ambiguous: Which V should one choose among its appearances at mm. 64, 75, and 84? Although the one at m. 64 is only a weak close on V, it seems better to read a single high-rank V extending from m. 64 to the end of the exposition. Similarly, one reads the tonic return in the recapitulation from m. 249. Thus, a very short structural V occurs at m. 248 (see Ex. 3.10).

Ex. 3.10: "Trout" Quintet in A, D. 667, I, overall structure.

Exp Dev Rec

① ⑥④ ①④⑦ ②⑦③ ②①⑦ ②④⑧ ②④⑨ ②⑥⑨ ②⑧⑤

5-6-5

I (4 III) IV V I

c. The Piano Sonata in A (D. 664), III (1819?)

In the recapitulation, the transition is not reproduced exactly. The interesting change made here is a strange chromatic alteration of a few notes in mm. 145-146 (compare mm. 24-25) which leads to a tonicization of F major (mm. 147-153). Why did Schubert make this change? If one compares the unaltered transition--a hypothetical one--with Schubert's altered transition, one will notice a big difference (see Ex. 3.11). In the unaltered transition (Ex. 3.11-a), the beginning of the second theme (m. 156) sounds like a V of D major, as in the exposition; in the altered transi-

Ex. 3.11: Piano Sonata in A, D. 664, III, transition of the recapitulation, (a) hypothetical literally transposed transition; (b) altered transition.

a

b

tion (Ex. 3.11-b), it sounds like a tonic of A major. This recomposed transition produces a stronger modulation, making m. 156 more explicitly felt as a tonic arrival.

The overall structure of the movement is shown in Ex. 3.12. The appearance of the first theme at the opening of the three large sections supports the reading of a structural I - III[#] - IV. As Ex. 3.12 illustrates, register and even dynamics (piano) confirm this interpretation.

Ex. 3.12: Piano Sonata in A, D. 664, III, overall structure.

Exp Dev Rec coda

(1) (33) (35) (86) (106) (114) (122) (147) (154) (156) (206)

(N)

I — 5 — 6 — 5 — III[#] — IV — #IV — V — I

III. The Approach to Sonata Form in Minor-Mode Works

A. General Observations

1. Works of 1816

Very free and diverse approaches to harmonic structure are observed in Schubert's sonata forms of 1816. Three works of that year--the Violin Sonatas in a (D. 385) and in g (D. 408) and the Fourth Symphony (D. 417)--together with the String Quartet in g (D. 173) of the previous year, represent Schubert's exploration of minor-mode sonata structure at this time. As the list of works in Appendix A shows, minor-mode instrumental compositions are very scarce before 1816.

The minor-mode movements of 1816 share with the major-mode movements a strong tendency to employ several keys in the exposition--a feature we have also seen in the works of the second group of the first period (1814-5). But, while the ending tonality of the major-mode expositions is always V, that of the minor works varies among VI, III, and IV. Also unlike the expositions of the major-mode movements, which contain two main thematic ideas with one of the themes repeated for a closing theme on V, the minor-mode expositions invariably have three distinct themes (except for D. 408/I). The various harmonic progressions found in the

expositions of these three works are as follows:

I - III - VI (D. 385 and 408)
I - VI - III (D. 408/IV, and 417/IV)
I - VI - IV (D. 385/IV)
I - VI (D. 417)

Though the exposition procedure of 1816 employs three themes, it is to be differentiated from the practice of the three-key exposition found in the major-mode sonatas of this period. The key of the second theme group is established via a modulatory transition (not in juxtaposition), as is usual in a normal minor-mode exposition; later, the second theme begins to move to the next new key just before the closing theme (see the first movement of the A-minor Sonata, D. 385). Otherwise, the three keys of the exposition are loosely connected without modulation (see the finale of the G-minor Sonata, D. 408). Curiously, Schubert did not use the three-key plan, I - III - V, which usually occurs in minor-mode sonatas of his predecessors.

The harmonic structure of the recapitulations of this period is likewise very free and irregular. Even movements that have the same harmonic plan in their expositions can differ in the recapitulation; in fact, one cannot find a harmonic plan which appears in more than two movements. This great diversity of harmonic structure indicates a very free attitude toward the conventions of form. Of the first

movement of the Violin Sonata in g (D. 408), Rosen says, "The form is more a successive contrast of themes and keys colorfully arranged than anything that resembles a sonata before 1800."³⁴

Close examination of the keys of the movements of these four-movement sonatas reveals an astonishing feature: The exposition of the fourth movement reiterates the keys of the preceding three movements (see Ex. 3.13). The use of VI for a second movement is not so surprising; the unusual thing is the key of the third movement (III or IV). It is noteworthy that Schubert's minor-mode sonatas after 1817 have the third movement only in the tonic key. On the other hand, various keys for the third movement are found in the major-mode sonatas: III in D. 887 and 894, V in D. 157 and 574, VI in D. 279, and ^bVI in D. 575 and 840. But in these major-mode sonatas, the keys of the movements are not traversed again in the finale's exposition. Therefore, it can be said that this reiteration of the keys in the finale's exposition in these three minor-mode sonatas belong to Schubert's daring experiments of the particular year 1816.

34. Rosen, Sonata Forms, rev. ed., 357.

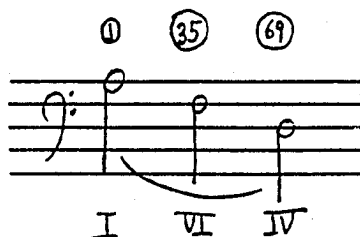
Ex. 3.13: Three works in which the keys of the first three movements are reiterated in the finale's exposition, (a) Violin Sonata in a, D. 385; (b) Violin Sonata in g, D. 408; (c) Symphony No. 4, D. 417.

Movements

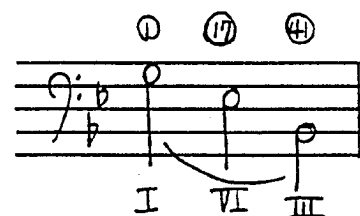
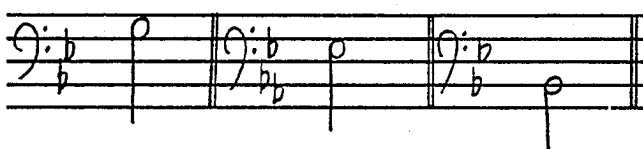
I	II	III
Allegro	Andante	Menuetto

IV, (Exp. only)
Allegro

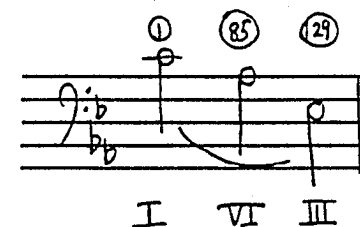
a



b



c



2. Works of 1817-18

In the minor-mode sonatas of 1817-1818, the free approach of the previous year is replaced by a new economy of means. All the movements now have only a two-key exposition, and only two plans are used--I - VI (D. 537 and 571) and I - III (D. 625 and 668). Why did Schubert stop employ-

ing such free key plans? Perhaps he concluded that I - III and I - VI were very useful plans whose virtues could not be ignored. In 1819 he again wrote two three-key expositions using I - III - V (D. 648 and 675), but in the minor mode this plan is hardly experimental. As stated above, these two cases will be discussed in Chapter IV.

B. Specific Irregular Features

1. Frequent Employment of the I - VI Harmonic Plan in the Expositions

In Schubert's treatment of the minor-mode sonatas of this period, a most striking feature is his frequent use of the plan I - VI, which differs greatly from the more usual I - III or I - V^b. (He would use I - VI only once again--in the first movement of the "Unfinished" Symphony of 1822, D. 759; after 1823 most of the minor-mode sonatas have the customary I - III exposition.)³⁵ This I - VI plan is found in the first movements of the Fourth Symphony (D. 417), the Piano Sonata in a (D. 537), and the Piano Sonata in f[#] (D. 571). Also, a I -(III) - VI progression is observed in the first movements of the Violin Sonatas in a (D. 385) and

35. A very irregular use of a I - VI plan in a major-mode exposition is found in the second movement of the "Unfinished" Symphony.

g (D. 408). On the other hand, normal I - III expositions are found in the first movements of the Piano Sonatas in e (D. 566) and f (D. 625), and in the Overture for four-hands in g (D. 668).

What makes VI such an attractive key? What is it about the minor mode that makes I to VI such a felicitous progression? A small reason in favor of VI over III or v^b may be that at the first ending of the exposition the VI, by the mere addition of $\#4$, forms a German sixth chord that easily slips into the V that returns to the opening tonic. Schubert actually does this in five of the expositions (D. 385, 408, 417, 537, and 571).

Another, and a more significant, reason may be the participation of VI in a large-scale bass arpeggiation from I down to IV, as found in D. 385, 537, 571, and 759. Of the four cases shown in Ex. 3.14, three connect the I - VI to IV at the beginning of the recapitulation (Ex. 3.14-a, b, and c), and one at the development section (Ex. 3.14-d).

2. The Changing Role of III in the I - VI Exposition

If we consider the function of the III in the context of all the I - VI expositions composed during 1816-1822, an interesting phenomenon comes to light: The role of the III steadily diminishes during these years. In the works of 1816 (D. 385 and 408) the key of III is articulated as a

Ex. 3.14: Large-scale bass arpeggiation, I -VI -IV, in the minor-mode sonatas, (a) Violin Sonata in a, D. 385, I; (b) Piano Sonata in a, D. 537, I; (c) Piano Sonata in f[#], D. 571, I; (d) "Unfinished" Symphony in b, D. 759, I.

a

b

c

d

stable key area--one that begins a new section with a new theme--but in the work of 1817 (D. 537) it appears only in the transition, and not as a stable key area, to accomplish a modulation to the key of VI. In the Quartettsatz of 1820 (D. 703) it appears briefly as the dominant of VI in the transition. The most radical approach is found in the "Unfinished" Symphony of 1822, where the I - VI exposition has only a very brief and abrupt transition. In this four-bar transition (mm. 38-41) a long-held note d, the third of b minor, is reinterpreted as the fifth of G major, with the V of VI not made explicit until the last beat of the last bar (m. 41). Thus, the effect produced is of a sudden drop down a third from I to VI.

This diminishing use of III is a factor in an emerging new type of three-key exposition, I - ^bVI - V. This plan is employed for the first time by Schubert in the Quartettsatz, in which the VI is introduced differently from the usual approach to the second key in a three-key exposition: It is established not by a sudden juxtaposition, but by a short modulatory phrase through a common chord (C: ^bII = A ^{b} : IV; see m. 23). Later this procedure was exploited not only in minor-mode expositions, but also in the more radical (i.e., chromatic) major-mode plan, I - $^bVI^{(b)}$ - V (D. 812, 929, and 960). In my view this stems from the I - VI exposition of

the minor-mode sonatas of 1816-1820.

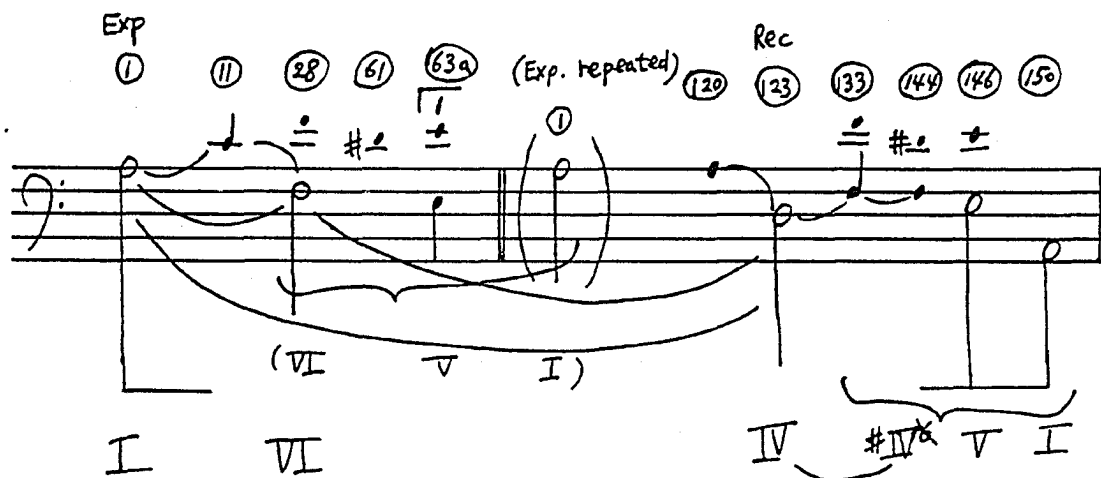
3. The Non-Tonic Recapitulations

The most plausible candidates for a non-tonic recapitulation in a minor-mode sonata are the keys of IV and v^b because of their minor-mode quality. Subdominant recapitulations are observed in the first movement of the Violin Sonata in a (D. 385), the finale of the Violin Sonata in g (D. 408), and the first movements of the Piano Sonatas in a (D. 537), $f^\sharp$ (D. 571), and f (D. 625).³⁶ Except for D. 625 and D. 408/IV, the other three movements have a I - VI exposition. Since the I - VI exposition plan cannot be transposed literally in the subdominant recapitulation, a certain adjustment is necessary. For example, in the A-minor Sonata beginning at m. 144 the interval of transposition is narrowed by one half-step in order to regain the key of A (rather than B^b) at m. 150. As shown in Ex. 3.15, IV goes to VI (m. 133) in the transition, and this VI is connected to $VI^{\flat}$ (m. 144), thus yielding a VI - aug 6 - V - I progression--the same progression which was used in the first ending of the exposition. This is an example of

36. For the first movements of the Piano Sonatas in $f^\sharp$ and f, we cannot actually "observe" IV since the manuscripts stop just before the recapitulation is to begin. But the lengthy V chord on which the manuscripts end in both cases clearly implies Schubert had recapitulation on IV in mind.

Schubert's tendency to repeat the same harmonic progression at structurally crucial points.

Ex. 3.15: Piano Sonata in a, D. 537, I, overall structure.



Subdominant recapitulation in movements with I - VI exposition (D. 385, 537, and 571) or with I - III exposition (D. 625) produces a highly irregular feature--the avoidance of a structural dominant until just before the tonic return in the recapitulation's second theme. This is unprecedented in the history of sonata form. As seen in the first movement of the A-minor Sonata, D. 537 (Ex. 3.15), a single overarching progression, I - VI - IV - V - I, covers the

entire movement.³⁷ One can assume that the incomplete first movement of the Sonata in f[#] (D. 571) would have had a similar structure to that of D. 537 had it been completed.

A recapitulation in the key of the minor V is found in the first movement of the Fourth Symphony (D. 417). In addition to the choice of the key of V, the way the recapitulation begins at m. 177 is very strange. There is no preceding retransition preparing the key of V. Moreover, the theme at m. 177 is actually an exact transposition (in the same scoring) as the B^b minor passage starting at m. 142 (the beginning of the development). Therefore, the V at m. 177 sounds like a sequential continuation of the theme at m. 142, and as though it is still in the development. Arriving at m. 182, we wonder whether we have missed the beginning of the recapitulation.

Further ambiguity is found later in the regaining of the tonic. From the second theme in E^b at m. 214, the C major suddenly appears at m. 244 preceded by a brief E major chord (m. 236). We hardly recognize the C major at m. 244 as a tonic--but then it is.

Because of this ambiguity it is hard to draw a convincing reading of the movement. Two possible readings are

37. Ernst Oster points out this structure in D. 537 (Free Composition, Vol. I, 140).

shown in Ex. 3.16. In the first one (Ex. 3.16-a) the VI is read as a neighbor to V, and the large-scale bass arpeggiation, V - III - I, is found in the recapitulation.³⁸ The second one (Ex. 3.16-b) has a progression without a structural V at all, in which the G at m. 177 is subordinated to the later E^b (m. 214). I prefer the first reading to the second. The V is considered as structural, since, in spite of its weak presentation at m. 177, it is emphatically confirmed when the rest of the first theme follows at m. 182.

This movement is distinguished from the others of this period in the following ways: (1) its apparent two-part construction (exposition : development and recapitulation); (2) its beginning of the recapitulation on V rather than the customary IV; (3) the use of a Type II recapitulation--the only one in this period; (4) the title "Tragic," given by Schubert himself. It seems to me that these irregular features hark back to Schubert's earlier practice influenced by the overture style. However, interesting as all its unusual features may be, it is clear that, in spite

38. This large-scale bass arpeggiation of the tonic triad draws our attention to Schubert's similar use in another symphonic movement--the first movement of the Sixth Symphony in C major (D. 589). Although it is in the major mode, a notable similarity is its approach from the ^bIII to the tonic: The ^bIII proceeds to the tonic without benefit of any local dominant.

Ex. 3.16: Fourth Symphony in c, D. 417, I, two possible readings of the overall structure.

a

Exp (1) (67) Dev (142) (177) Rec (214) (244)

I (VI) V (III) I

b

Exp (1) (67) Dev (142) (177) Rec (214) (244)

I VI III I

of some striking and inspired moments, this movement is not one of Schubert's most successful compositions.

Summary

The two most characteristic features of Schubert's sonata compositions in 1816-1819 are: (1) the expansion of the second theme group, resulting in either a "harmonic digression" within the theme group, or in a three-key exposition; and (2) recapitulation in the key of the subdomi-

nant.

In the major-mode sonatas, the exposition has either a routine I - V plan or a three-key (I - b_{III} - V) plan. Some of the I - V expositions have an 'expositional bifocal close' (Winter). Both harmonic digression and the three-key exposition represent the young Schubert's search for new means of expanding the exposition through the use, most notably, of the b_{III} . In harmonic digression, a progression consisting of b_{III} - V - I in the key of the dominant is enclosed within a second theme group basically structured on a prolonged V. In three-key exposition, b_{III} receives more structural weight and is the chief key of the second theme group. The three-key exposition can be regarded as a variant of the exposition with bifocal close, and thus related to a much older sonata procedure.

In major-mode movements with three-key exposition, the recapitulation will preserve a chromatic third-relation, e.g., I - b_{III} - V; I - b_{VI} - I. Such movements never have non-tonic recapitulations. Subdominant recapitulation is employed in the compositions of 1816-1819. Except for the eccentric D. 575, it always occurs in movements with a I - V exposition. All of the IV recapitulations belong to Type I, that is, they have a lengthy retransition preparing for the key of IV, thus creating a clear break between development

and recapitulation. While almost literally transposed recapitulations appear in D. 459, 575, and 667/I and V, recapitulations with recomposed transition are found in D. 485 and 664/III.

In many major-mode movements with recapitulation on IV, the IV appears in the course of a large-scale progression that spans the entire movement: I - ^bIII - IV - V - I. In the overall structure of these movements, the V of the exposition is considered a back-relating dominant (applied divider), with greater structural weight assigned to the IV at the beginning of the recapitulation. The tonic return takes place at the beginning of the second theme group (or at the transition thereto).

In the minor-mode sonatas of this period, the works of 1816 show a very free approach to tonal planning. Both exposition and recapitulation comprise many key areas with distinct themes, resulting in a loosening of the form. However, in the works of 1817-1819 only the I -III or I -VI exposition plan is used. In the movements with I - VI exposition, the role of III gradually undergoes an attrition from independent key area to a transition to a mere chord, finally disappearing entirely. The frequent use of the I - VI exposition in this period is curious. A plausible structural reason behind the use of the I - VI plan is the large-

scale descending bass arpeggiation encompassing three sections, I - VI - IV, when the exposition is connected to the IV later in the movement.

More than in any other period, the works of this period are marked by the consistent employment of certain specific structural usages: I - ^bIII - V three-key exposition, harmonic digression, I - VI minor-mode expositions, recapitulation in the key of IV, and a single overarching progression--I-III-IV-V-I in a major key and I-VI-IV-V-I in a minor--covering an entire movement with non-tonic recapitulation. These works reveal an ever-growing mastery, particularly in the handling of non-tonic recapitulation in the service of "continuous tonal motion." In the following chapter we shall see how Schubert modified certain characteristics of this period, and also how, in other works, he departed dramatically from his previous practice.

CHAPTER IV

THE THIRD PERIOD (1820-1823)

I. Background

The four years from 1820 to 1823 were critical ones in Schubert's artistic career as well as in his life.¹ In these years Schubert's personal style began to take shape, and his works--whether published or only performed--received much public recognition. His name became more and more widely known in Vienna and other parts of Austria, and in many cities of Germany.

A. Main Events in His Life

In March 1820 Schubert was accused of participation in conspiratorial activities with student groups, was arrested in the apartment of his friend Johann Senn, but soon released. At this time he was occupied with dramatic music and songs. The setting of a sacred drama, Lazarus (D. 689), was left unfinished in February. The opera Die Zwillingsbrüder (D. 647) was staged in June at the Kärntnertor Theater, and had only a moderate success. Schubert was commissioned to compose music for a three-act play, Die Zauberharfe (D. 644), which was performed at the

1. Brown, Schubert, 99.

Theater an der Wien in August 1820. The only instrumental work written in this year is the Quartettsatz (D. 703).

Early in 1821 Schubert left Johann Mayrhofer and moved as an independent lodger to a nearby house on the same street. He was briefly employed as vocal coach at the court opera. Schubert's friends held the first "Schubertiade" in January. Leopold Sonnleithner and other friends issued Erlkönig by private subscription, and it became an overwhelming success. By the end of 1821, Cappi & Diabelli had published twenty songs as Opp. 1-8. Schubert traveled to Atzenbrugg in the summer. There dances were written, and the set of waltzes, op. 9 (D. 365) was published. Back in Vienna, he began the Seventh Symphony in E (D. 729)², but left much of it only sketched (thus, the "Sketch" Symphony). During September, Schubert accompanied Schober to St. Pölten, where they collaborated to produce a full-scale opera, Alfonso und Estrella (D. 732). After returning to Vienna, Schubert moved in with Schober.

At this time theatrical conditions in Vienna were not favorable to Schubert. During 1821-1824 the Kärntnertor Theater was under the management of the famous Italian impre-

2. For the symphonies after the Sixth in C, the numbering has not been fixed universally. I am following the numbering in the work-list in The New Grove Dictionary of Music and Musicians, Vol. XVI, 784.

sario Domenico Barbaja, who launched a highly successful series of Rossini operas, and brought Rossini to Vienna in 1822. Thus, the city was under the spell of the "Italian craze."³ If Schubert's operas had little success, his songs became very well known and favorably reviewed. Schubert dedicated his Variations on a French song for four hands, Op. 10 (D. 624), to Beethoven.⁴ The "reading circles" began at Schober's. At the end of 1822, he contracted syphilis, and returned to his family in the Rossau district. In 1822 he wrote the Mass in A^b (D. 678), the Wanderer Fantasy (D. 760), and the Symphony No. 8 in B minor ("Unfinished," D. 759).

In early 1823 Schubert asked Ignaz von Mosel if his opera Alfonso und Estrella might be personally recommended to Weber. In April the Styrian Music Society elected Schubert an honorary member and sent him a "Diploma of Honor."

3. See Ernst Hilmar's Franz Schubert in His Time, 59-80.

4. Maynard Solomon explains Schubert's relationship to Beethoven by examining the existing documents, and then concluding that Schubert's failure to present himself to Beethoven may be regarded as a deliberate avoidance. See "Schubert and Beethoven," Nineteenth Century Music III/2 (Nov. 1979), 114-125. In a later study Solomon hypothesizes that Schubert was homosexual and that this may have been a factor in his failure to visit Beethoven. See "Schubert and the Peacocks of Benvenuto Cellini," Nineteenth Century Music XII/3 (Spr. 1989), 193-206.

His illness reached a critical stage in May, and he was hospitalized for a time. In this year he composed the one-act operetta The Conspirators (Die Verschworenen, D. 787), the opera Fierrabras (D. 796), the incidental music for Rosamunde (D. 797), the song cycle Die schöne Müllerin (D. 795), and the Piano Sonata in A minor (D. 784).

B. General Remarks on His Instrumental Works

Schubert wrote few instrumental works during 1820-1823 because he was more occupied with opera. The only completed works (besides dances and overtures) are the Wanderer Fantasy and the Piano Sonata in A minor. All other instrumental works were left incomplete: the Quartettsatz, the symphonic fragment in D (D. 708a), the Seventh Symphony in E, and the "Unfinished" Symphony. Three movements composed in 1819--the Piano Sonata in C[#] minor (only the exposition is finished), D. 655, the Overture in E minor, D. 648, and the second movement of the "Trout" Quintet in A, D. 667--have structural affinities with the works of the present period. Therefore, I shall discuss them in this chapter.

The small number of completed works in his middle period suggest a certain caution on Schubert's part. As his songs had gained recognition, the opportunity of having his instrumental works in print was gradually realized. The Variations on a French song, Op. 10, and the Wanderer Fanta-

sy were published in 1822 and 1823, respectively. At this time the composer wrote, "It would be much to my disadvantage to appear with a mediocre work," and "as my future fate greatly concerns me after all, ... I must go forward cautiously."⁵ Although the oft-quoted letter of Schubert expressing his ambition to write a grand symphony like Beethoven's is dated 31 March 1824,⁶ one assumes that Schubert had cherished such an ambition for years, as is evident in his several failed attempts at symphonic compositions.⁷

The sonata compositions of this period show different approaches from those in his earlier phase: (1) Major-mode and minor-mode sonatas can no longer be distinguished in terms of typical tonal plans; (2) another type of three-key exposition, I- (b)VI - V, makes its appearance (the earlier I- ^bIII - V type continues to be used); (3) the development and recapitulation are written in an unpredictable and irregular manner; (4) thematic and harmonic alterations in the recapitulation are rather frequent and significant; and (5) in non-tonic recapitulations, keys other than the subdom-

5. See SD, 264-265.

6. SD, 339-340.

7. For detailed descriptions of these incomplete symphonies, see L. Michael Griffel's "Schubert's Approach to the Symphony" (Ph.D. diss., Columbia University, 1976).

inant are favored.

The works of this period constitute a transitional and also critical period in Schubert's artistic career. They stand out as explicit experiments with certain aspects of harmonic structure and thematic design. There is divergent opinion as to their artistic merit; they are either regarded as completely unsuccessful experiments or as conveying Schubert's new and creative thinking on harmonic structure and sonata form. Though highly uneven in quality, they include some important compositions. As Einstein rightly observed, the two works at the outset of this period, that is, the E-minor Overture (D. 648) and the Quartettsatz (D. 703), represent a breakthrough toward complete artistic independence.⁸

II. The Approach to Sonata Form

A. Exposition

1. Three-Key Expositions

In the works of this period a I-III (or ^bIII)-V type of three-key exposition is found in the E-minor Overture (D. 648), the incomplete C[#]-minor Piano Sonata (D. 655),⁹

8. Schubert, 159.

9. For the score of the C[#]-minor Sonata, refer to Vol. XXI, p. 186, of the Gesamtausgabe (repr. Dover, 1964-9).

and the first and last movement of the Seventh Symphony in E, D. 729 (see Ex. 4.1). As in the earlier usage, the III (or $\flat$ III) appears immediately after a half cadence on V. However, the modulatory transition from III to V tends to expand greatly. Schubert was particularly fond of modulations interwoven with short sequential phrases, which lead eventually to the establishment of V (see D. 648 and 655).¹⁰

In these works, the portion structured on I - III tends to be quite spacious, with the ensuing V relatively short. Although the V is the destination of the tonal motion of the entire exposition, it is sometimes not given its own theme, and consists of no more than a closing phrase with cadential confirmation (see D. 648 and 655). In the case of the Overture, the exposition does not even modulate to the key of V, but simply closes (albeit emphatically) on a half-cadence.

The I-III-V plan occurring in minor-mode sonatas of this period (D. 648 and 655) has to be regarded as an adaptation of the procedure in the major-mode sonata because

10. Such a procedure had been favored by Schubert since late 1818, as noted in Chapter III.

Ex. 4.1: Three expositions with I - III (or $\flat$ III) - V plan,
 (a) Overture in e, D. 648; (b) Piano Sonata in c $\sharp$,
 D. 655; (c) Symphony No. 7 in E, D. 729, I.

a

(Th I) ① (Th II) ①② ①⑥ ①③⑦ ①④⑥ ①⑥② ①⑦② ①⑦⑥

keys: I e III G (II $\sharp$) V B

b

(Th I) ① (Th II) ①② ①④ ④⑦ ⑤① ⑤⑧

keys: I c $\sharp$ III E V G $\sharp$

c

(Th I) ① (Th II) ①⑧ ①①⑨ ①⑥⑦ ①⑥②

keys: I E $\flat$ III G V B

this plan follows exactly that of the major-mode three-key expositions, I-^bIII-V. In this respect, this three-key plan is distinguished from the I-III-V plan in the first movements of the G-minor String Quartet (D. 173) and the D-minor String Quartet (D. 810), where, in order to introduce III, the modulation takes place in the transition, as is usual in a standard I - III exposition.

Another type of three-key exposition, I-VI-V, emerges for the first time in the Quartettsatz, D. 703 (see Ex. 4.2).¹¹ Here, the key of VI is established by a short modulatory transition (through a common chord), unlike the unprepared appearance of the ^bIII in the earlier type. Therefore, as suggested in Chapter III, this new type may have derived from the I-III-VI exposition plan occurring in several minor-mode sonatas of 1816-1819, in which the VI is clearly established by a modulatory transition.

The different origin of this new type of I-VI-V from that of I-^bIII-V explains the different harmonic procedure, which Schubert consistently maintained throughout his late

11. This tonal plan occurs once prior to D. 703 in a major-mode exposition, the finale of the Piano Sonata for four hands in B^b (D. 617). However, the ^bVI there is treated in much the same way as the ^bIII in the I-^bIII-V exposition: After the half cadence on V (m. 30), the second theme appears in the key of ^bVI (m. 33).

Ex. 4.2: Quartettsatz, D. 703, exposition.

(Th I) (Th II)

① ②③ ②⑦ ⑦⑦ ⑨③

I VI⁵⁻⁶ V⁷

years.¹² In all of the I-^bIII-V expositions the ^bIII is neither preceded by its own dominant nor established by modulation, since the half-cadential V ending the first theme is readily reinterpreted as the upper third of the ^bIII, as shown in Ex. 4.3.

Ex. 4.3: I - ^bIII - V Exposition.

(Th I) (Th II)

I ^bIII

12. After 1823 the I - ^bIII - V type was used only in the first movement of the C-major String Quintet (D. 956). However, the I - ^bVI - V type was exploited more often. See the first movements of the Grand Duo in C (D. 812), the Piano Trio in E^b (D. 929), and the Piano Sonata in B^b (D. 960), all in the major mode.

In the case of b_{VI} , however, such a procedure is impossible. Accordingly, the first theme does not end on a half-cadence, and the b_{VI} is approached through a modulation which naturally includes the dominant of b_{VI} (see D. 703, 812, 929, and 960).

In this type of exposition the most interesting part of the composition in a structural sense is the modulation out of the b_{VI} to the V. Unlike the modulation from b_{III} to V in the I- b_{III} -V exposition, the modulation from b_{VI} to V creates a difficult compositional task because the b_{VI} , which functions as b_{II} in the key of V, is tonally remote from V. In the Quartettsatz (as well as in the first movement of the Grand Duo), the b_{VI} is first led to an untone-cized dominant, thus producing a half cadence on the V (m. 77), after which a real modulation to the dominant takes place (m. 93) (see Ex. 4.2).

In some of the three-key expositions the first theme is very short in proportion to the entire exposition. For instance, the first theme of the C[#]-minor Sonata (D. 655) lasts only 13 out of 73 bars, and that of the Quartettsatz 26 out of 140. Thus the listener may have the general impression that the tonic key is relinquished too soon, while the new key of the second theme is greatly emphasized. In this connection the recurrence of the portion of the

first theme in the second theme group (see m. 39 in D. 655 and m. 61 in D. 703) is noteworthy in that it compensates for the minimized appearance of the first theme. Another curious characteristic of these first themes is that they are very introduction-like, especially mm. 1-5 of D. 655 and mm. 1-8 of 703.¹³ This impression is confirmed when the same material is now a transition to the key of V.

2. Other Expositions

Expositions other than the three-key expositions have such an individual and irregular tonal plan that each of them seems unique among Schubert's works (D. 759, 759/II, 784, 667/II, and 708a). This is one way in which the works of this period stand apart from those of the others. An exposition with a I-V tonal plan is rather exceptional. Instead of the customary choice of V for the second theme in a major-mode work (or III in minor), there is a wide diversity of key plans. Several expositions do not even close in the key of V, which is extremely rare in a major-mode sonata (e.g., D. 667/II and 759/II). The most significant tonal plans are:

13. Of the opening theme of D. 655 Einstein rightly comments that it resembles the preliminary to a theme rather than a theme itself (Schubert, p. 157).

I-VI: "Unfinished" Symphony (D. 759), I and II,
Seventh Symphony (D. 729), II.

I-V#: Piano Sonata in a (D. 784), I.

I-#I-VI#-(II): "Trout" Quintet in A (D. 667), II.

I-#IV#- V: Symphony in D (D. 708a), I.

The first movement of the "Unfinished" Symphony (D. 759) is marked by a peculiar selection of keys. In B minor, it moves to VI (G major) for the second theme. More remarkable is the way the second theme is introduced. As soon as the first theme closes with an emphatic cadence on the tonic (m. 38), the second theme immediately follows (m. 42) dispensing with an intermediate modulatory phrase.¹⁴ This drop of a major third from I to VI (B-G) recalls the similar effect of a sudden drop from V to $\flat$ III in the corresponding spot in various I - $\flat$ III - V expositions (e.g., the first movements of the C-major String Quintet and the E-

14. An early sketch of the movement reveals that Schubert initially had a different idea for the transition--a short cadential progression of two bars repeated twice; he later crossed out the first two occurrences (mm. 39-40 and 253-254), and replaced them with a sustaining-note D. Therefore, this abrupt transition is the product of the composer's reconsideration of its role. For the piano sketch refer to Franz Schubert, Symphony in B minor, ed. Martin Chusid, rev. (London: Chappell & Co. Ltd, 1971), 52. Also for the detailed description of the differences between the music in the sketch and the music in the score, see L. Michael Griffel's "A Reappraisal of Schubert's Methods of Composition," The Musical Quarterly LXIII (1977), 194.

major Seventh Symphony).

Although the intermediate chords in mm. 41-42 can be construed as a transition (the note d, the third note of B minor, is reinterpreted as the fifth of G major), our impression is that the second theme quietly enters in G major without a transition. One encounters this particular way of introducing the second theme in the first movement of Schubert's next symphony, the "Great" C-major Symphony, D. 944, where the second theme in III (E minor) immediately follows a strong cadence on the tonic. Also the E-major second movement of the "Unfinished" Symphony (which also has the second theme in the key of the VI, C[#] minor), also lacks a transition.

In the first movement of the A-minor Piano Sonata of 1823 (D. 784), the second theme starts in the key of the dominant major, E major--another very unusual choice in a minor-mode sonata. The harmonic procedure of the movement follows exactly that of a major-mode sonata except for the mode of the first theme. The I-V[#] plan in a minor mode is extremely rare, given the difficulty of such a modulation; in order to approach the key of V, the diminished II has to be a dominant of the new key. Here Schubert achieves it in a clever and genuinely simple way. He reiterates the C-A motivic idea (m. 44) on B^b-G (m. 47) and again on B^b-G[#], a

half-step above (m. 51), and after dwelling on the arpeggiated E major chord (mm. 51-60), he simply takes it as a new tonic when the second theme begins in E major at m. 61.

The second movement of the "Trout" is a very clear example of the form called "sonata form without development," or "sonatina form," or "slow-movement form" (Rosen's term). While very conventional in its thematic aspect, this movement has an incredibly unusual key plan. The exposition comprises three distinct themes, each in a different key: theme A in F major - theme B in F[#] minor - theme C in D major, but ending in G major (see Ex. 4.4). Though this exposition was singled out by Longyear and

Ex. 4.4: "Trout" Quintet in A, D. 667, II, exposition.

(Th I) (trans) (Th II) (trans)

① ⑱ ②④ ③② ③⑥ ④③ ⑤③

I II VI I

(G: VII^{#5} V I)

Covington¹⁵ as "one of Schubert's most radical uses of the three-key exposition," I do not see it as a typical three-key exposition because the exposition does not close in the key of V, and there are actually four keys, while there are three themes. It seems better to view this exposition simply as having a unique harmonic plan.

The harmonic progression of the exposition, I- $\sharp$ I $\sharp$ 5-VI $\sharp$ -II, ends up with $\flat$ III at the beginning of the recapitulation. This very odd tonal plan makes sense only in light of its continuation in the recapitulation. We will resume discussion of it later.

Also interesting is the exposition of the Symphonic Fragment in D of 1821 (D. 708a), first movement (shown in Ex. 4.5).¹⁶ Here, the unusual choice for the second theme is the key of A $\flat$ major. It occurs at m. 57 by sudden transfer of the cadential progression down an augmented 4th (from A to E $\flat$ in the bass at mm. 51-56). Likewise, this A $\flat$ statement soon shifts to A major at m. 77, as if to "correct" the "false" move. The second theme begins with a detour by

15. "Sources of the Three-Key Exposition," The Journal of Musicology VI/4 (Fall 1988), 468-470.

16. The first movement is left unfinished somewhere toward the close of the exposition. For the score in the piano sketch, refer to Franz Schubert, Drei Symphonie-Fragmente D. 615, D. 708A and D. 936A, facsimile edition from the original autograph (Kassel: Bärenreiter, 1978).

Ex. 4.5: Symphonic Fragment in D, D. 708a, I, exposition.

beginning outside the dominant key and soon returning to it.¹⁷

B. Recapitulation

The recapitulatory procedure in the works composed during 1820-1823 is drastically changed from the practice of the previous period. This radical change may be ascribed to Schubert's dissatisfaction with his previous approaches and his search for better solutions. The recapitulatory procedure of this period comprises a series of highly individual and unusual thematic and harmonic structures whose like is

17. This procedure, found in Beethoven's Eighth Symphony, finale, and Cherubini's overture to Faniska, has been differentiated from the three-key exposition. See Chapter II.

not found in any other period. In particular, some recapitulations now begin with the second theme,¹⁸ whereas in previous periods, it is always the recurring first theme that signals the beginning of the recapitulation.

1. Thematic Procedures

Most of the recapitulations of this period differ widely from their respective expositions in thematic design. A most notable change is the omission of the first theme at the beginning of the recapitulation in the E-minor Overture, D. 648, and Quartettsatz, D. 703. While the first theme of the Overture never returns, the one of the Quartettsatz comes back at the end of the movement, functioning as a coda (see also a similar case in the first movement of the D-minor String Quartet, D. 810). In the Quartettsatz the powerful beginning establishes the basic character of the movement--announcing the intense atmosphere. Interestingly, this special beginning (mm. 1-26) does not recur at the start of the recapitulation. Due to its introduction-like character, it is not so necessary to repeat it within the

18. The procedure of beginning the section with the second theme, and having the first theme later, is observed in Mozart's D-major Piano Sonata, K. 311, I.

movement.¹⁹ Thus, this thematic alteration demonstrates that Schubert's consideration of the rhetorical function of the parts brings about the reordering of the thematic material.

Another unusual example is the famous eight-bar opening of the first movement of the "Unfinished" Symphony (D. 759), which does not recur at the beginning of the recapitulation, but as a coda. The reappearance of the opening theme (or introductory theme) would be redundant, since the entire development section has been devoted to it. This particular treatment of the introductory theme recalls the first movement of the Fifth Symphony.

The second movement of the "Unfinished" Symphony shows another way of using the opening material (mm. 1-3). The first three bars, which might be called a "motto," occur at structurally important points. In this so-called "sonatina" movement, the end of the first half links up with the recapitulated motto (mm. 142-4), and hence the VI at the retrans-

19. In his analysis of the first movement of the G-major String Quartet (D. 887), Dahlhaus regards the first 14 bars as an introduction containing the main thematic idea. See "Sonata Form in Schubert," trans. Thilo Reinhard, in Schubert: Critical and Analytical Studies (Lincoln: University of Nebraska Press, 1986), 4-5. When this impressive opening returns at the beginning of the recapitulation, it appears to be greatly transformed. To some extent this transformation is required in order to make use of the introduction again in a different context. Although this movement shows another way of treating an introduction 'in tempo,' it is not essentially dissimilar to that of the Quartettsatz.

sition (m. 127) is connected to the tonic at m. 142, instead of progressing to the usual V. Also, the coda begins with the motto--now extended and modified (m. 268f).²⁰ This opening motto closes not only the first theme group but also the entire movement.

The first movement of the Seventh Symphony (D. 729) exemplifies one particular way of constructing the first theme which Schubert favored in his late years.²¹ (Similar examples are the D-minor String Quartet, D. 810/I, the finale of the Grand Duo, D. 812/IV, the C-major Piano Sonata, D. 840, and the A-minor Piano Sonata, D. 845.) As soon as the first theme is established by a strong authentic cadence, a powerful transition in the tonic immediately follows at m. 81. This procedure is intensified in the recapitulation. Schubert's special treatment is to synchronize the beginning of the transition (m. 236) with the tonic arrival (see D. 729, 812/IV, 840, and 845). In order to enhance the strong tonic arrival, Schubert either completely omits the first theme before the transition (D. 810), or

20. At this point the sketch shows the motto rhythmically augmented and repeated. See Chusid's edition of the symphony, p. 63.

21. For the score of the Symphony, I refer to Felix Weingartner's edition (Vienna: Universal Edition, 1934).

places it in a non-tonic key (D. 729, 812/IV, 840, and 845). In these cases, the recapitulated first theme is usually marked by further thematic and harmonic development, some examples of which we shall investigate in the next chapter. Thus, the first movement of the Seventh Symphony foretells the future treatment of non-tonic recapitulation--thematic and harmonic development of the first theme to prepare for the tonic arrival at the transition.

2. Harmonic Procedures

A tonic recapitulation is found in the first and second movements of the "Unfinished" Symphony (D. 759) and the first movement of the A-minor Piano Sonata (D. 784). These works deserve mention because of their unusual approach to the tonic return: The expected V is delayed in D. 784 and D. 759/I, and absent in D. 759/II. All of these three movements exhibit a tendency to avoid a lengthy re-transition based on V.

The development of the A-minor Sonata remains mostly in the key of the VI (F major), moving to the dominant only at the very end of the section (m. 158). The development of the "Unfinished" Symphony, first movement, has two prominent statements of the introductory theme in the key of IV (m. 114 and 170). Toward the end of the development the long-held G in the bass (m. 194f) is followed by III⁶

(m. 202), instead of the expected V, and the alternation between III⁶ and V finally leads to the V-I cadence (m. 218). Thus, it is hard to pinpoint where the structural V occurs. Is it at m. 202, 205 or 209?

On the other hand, in the second movement of the same symphony, which is in sonata form without development, the C-pedal ($\sharp$ VI with augmented 6th) at m. 129f directly goes to the tonic at m. 142, where the motto begins the recapitulation: The dominant is absent in this crucial cadence. Here, this unusual progression leads to the reappearance of the motto, which quickly establishes the tonic key with a short I - V - I progression and descending scale. If the recapitulation started with the first theme (m. 3f), this VI-I progression would sound too awkward. This motto makes a good linkage. In this non-V retransition, which is one of the magical moments of the movement, the absent V in retrospect may be considered an ellipsis.²²

Non-tonic recapitulations occur in many works of this period (Overture, D. 648, "Trout"/II, D. 667, Overture for four hands, D. 675, Quartettsatz, D. 703, and Seventh Sym-

22. The progression VI - $\sharp$ VI^x - V - I most expressively occurs at the beginning (mm. 13-16 and 49-52), and it becomes a final and concluding cadence of the movement (mm. 256-268), just before the coda begins.

phony, D. 729, I and IV). All of these lack a development section--except the Quartettsatz, in which the first theme is omitted at the beginning of the recapitulation. The point of tonic arrival is not as uniform as it is in both the previous period (1816-1819) and the following (1824-1828). In the former the beginning of the second theme is without exception the point of the tonic return. In the latter the beginning of the transition is reserved for the tonic return. In the period under discussion, the tonic return occurs at various points: at the transition (D. 729), at the beginning of the second theme group (D. 667/V), and at the second part of the second theme group (D. 648, 667/II, and 703).

The most remarkable change found in the non-tonic recapitulations of this period is that the key of the subdominant, which Schubert favored in 1816-1819, is generally not used after 1820²³; instead, various keys are employed as follows:²⁴

23. The only recurrence of the first theme in the key of IV is observed in the finale of the B^b-major Piano Trio, D. 898 (m. 281). I agree with T. Denny who contends that the movement is in sonata form. See his "Articulation, Elision, and Ambiguity in Schubert's Mature Sonata Forms: The Op. 99 Trio Finale in its Context," Journal of Musicology VIII/1-2 (1988), 91-117.

24. For the incomplete works, D. 655 and 708a, no recapitulation exists.

$\flat$ VI: D. 729/I and 648

$\flat$ III: D. 703, 667/II, and 729/IV

V: D. 667/V and 675

One wonders why Schubert stopped employing the IV at the beginning of the recapitulation, and started to use $\flat$ VI and $\flat$ III instead. Whatever Schubert's internal motivations for dropping subdominant recapitulation, several features of his 1820-1823 works deserve mention. Foremost among these is Schubert's choice of keys other than IV for the non-tonic recapitulation. Chapter III has shown for the works of 1816-1819 how frequently Schubert used IV for this purpose and, moreover, how the overall harmonic plan of I- ($\flat$)III- IV- V- I became typical. Now he tries new non-tonic keys for the recapitulation and new overall plans. No simple plan emerges as standard during this period. But there is one feature that all the plans of this period share, and it is, moreover, a feature that relates them as well to both the earlier group (1816-1819) and the following (1824-1828). It is this: The non-tonic key of the recapitulation consistently lies one step (minor or major second) higher than the immediately preceding key of comparable structural weight. That is, just as in the typical earlier plan, I- III- IV- V- I, the III to IV is an ascending step, the plans of this

period all rise by step into the key of the recapitulation (see Ex. 4.6).²⁵

There is another attribute of the key plans of this period that deserves mention: Unlike the earlier recapitulations, the recapitulations of this period are not preceded by a retransition. Thus they fall into the category of recapitulation we have defined as Type II. Instead of "preparing" for the recapitulation with a lengthy retransition, Schubert now tends to slip into it unobtrusively, as it were, sometimes preceding it with a very short dominant preparation, sometimes not. This makes quite a different rhetorical effect from that of Schubert's earlier practice. It is a new way of treating the non-tonic recapitulation.

One more aspect of the works of this period sets them apart--the absence of a development section in a good number of them. In some cases the development is replaced by a short retransition (D. 648 and D. 759/II), while in others nothing stands between exposition and recapitulation (D. 729/I and IV). But this does not mean that Schubert has abandoned development altogether. Instead, developmental procedure is incorporated into other parts. Examples are

25. To my knowledge this harmonic procedure has not been noticed by any previous scholar.

Ex. 4.6: Four movements with non-tonic recapitulations, (a) Overture in e, D. 648; (b) "Trout" Quintet, D. 667, II; (c) Quartettsatz in c, D. 703; (d) Symphony No. 7, D. 729, I.

a

Exp ① ⑩⑥ ⑩⑧ Rec ⑩⑧ ⑩⑧ ⑩⑧

V $\sharp$ VI

b

Exp ① ②④ ⑤③ Rec ⑥① ⑧④ ⑩⑧ ⑩⑤ ⑩④

II $\flat$ III

c

Exp ① ⑨③ ⑨⑦ Dev ①⑤⑦ Rec ①⑨⑤ ②①① ②⑤⑤ ②⑤⑦

$\flat$ II III

d

Exp ① ①①⑨ ①⑥② Rec ①⑨② ②③④ ②③⑥

V $\sharp$ VI

the first and last movements of the Seventh Symphony, which conflate recapitulation and development with development in the recapitulated first theme.

I propose that these novel procedures result from a general concern of Schubert's that is manifested in all his "irregular" instrumental forms--a concern with what I shall call "continuous tonal motion." This term conceptualizes the basic esthetic intent that led Schubert to write sonata forms in which the return to the tonic is delayed ever longer and in ever subtler ways. It underlies not only his works of the period under consideration but all his essays in non-tonic recapitulation. Traditional sonata form is essentially bipartite: At the recapitulation the work "begins again," and this time "resolves the issues" posed in the first part. I believe that in his works with non-tonic recapitulation (in some more than others, of course) Schubert was striving for a more unitary type of form--one in which formal boundaries, both thematic and tonal, are less clear-cut. I suggest that this approach to form is uniquely modern, or, better, that continuous tonal motion increasingly becomes a concern of nineteenth-century composers, who gradually learn to apply it not only to sonata form but (perhaps more typically) to other forms and genres.

To state the issue in Schenkerian terms, the "two

parts" of conventional sonata form are articulated by interruption; Schubert's sonata forms with non-tonic recapitulation tend to lack interruption. This is what I mean by "unitary" form. Schubert was probably one of the first composers in the nineteenth century who attempted to make sonata form more "unitary."

One important factor in the gradually evolving concern with continuous tonal motion has been a tendency to seek alternatives to the dominant harmony. To return to Schubert's instrumental works of 1820-23, a weakening of the dominant is to be observed in many of them. Schubert's peculiar treatment of the dominant has been noted by many writers as one of the crucial factors in Schubert's late sonata procedure. It is defined as "Schubert's 'freedom' from the dominant" by Arnold Whittall, or "Schubert's unease with the dominant" by Webster.²⁶ Whittall's observation that the second theme group in the works of 1828 tends to prepare rather than to exploit the dominant is also pertinent to works written as early as 1819 (see the expositions of the E-minor Overture and the C[#]-minor Piano Sonata).²⁷

26. See, for the former, "The Sonata Crisis: Schubert in 1828," The Music Review XXXV (1974), 130, and for the latter, "Schubert's Sonata Form," 26.

27. Op. cit., 128.

The most extreme procedure occurs where the V does not appear at all until well into the recapitulation and, instead, alternatives to the dominant are sought, as in "Trout", II, Seventh Symphony, II, and "Unfinished" Symphony, II.

3. Selected Examples

I have chosen to consider in depth three of Schubert's most irregular works: the E-minor Overture, the second movement of the "Trout" Quintet, and the Quartettsatz.²⁸ These works all have a coherent overall structure, in spite of their severe deviation from the norm. The irregularities found in them do not render the work defective, as is the case in some works composed during 1810-1819. Rather, Schubert's maturity and mastery are evident in all three.

a. Overture in E Minor, D. 648 (1819)

This rarely performed overture is an enigmatic and experimental work, and very different from the overtures previously written by Schubert.²⁹ Characteristic of the novel approach is the intense driving force of the persist-

28. I do not include the Seventh Symphony in E because I cannot rely on the Weingartner's edition--the only available edition--which contains much recomposition.

29. Einstein (Schubert, 159) noted that it has no model and no contemporary counterpart. However, I find in it a certain resemblance to the first movement of the Seventh Symphony in E, D. 729.

ent dotted rhythms, and the formation of themes by chromatic ascending sequences, sometimes extremely extended (refer to mm. 17-42 and mm. 58-82). An astonishing deviation from the norm is that the close of the exposition (m. 198) proceeds (via a retransition) to a recapitulation beginning with the second theme (m. 218), and omitting the first, which never returns. The background view of the harmonic structure is shown in Ex. 4.7-a.

In Einstein's interesting opinion the first theme does not appear until m. 42.³⁰ But it seems to me that the material at m. 42 is a variation of the opening--a more elaborate and weighty statement. The second theme, in III (m. 106), starts in the usual manner of a three-key exposition, but fairly soon (from m. 118), it begins a lengthy chromatic modulation to V.

As mentioned above, the unusual procedure in this three-key exposition is the ending of the second theme group. The V, when finally reached, lasts only eleven bars (mm. 176-186), and is not tonicized enough to be established as a stable key. Moreover, this V soon gives way to a VI^{b7} chord (m. 194). This quick move to the VI^{b7} undermines the expected harmonic progression toward V as a goal.

30. Ibid., 159.

The VI^{b7} here is curious since this seventh chord is left unresolved, but followed by the retransition (mm. 198-218) preparing for the establishment of the key of VI. As Ex. 4.7-b shows, the retransition yields an auxiliary cadence in C major: $I^6 - II^6 - V - I$. On the surface the VI^{b7} at

Ex. 4.7: Overture in e, D. 648, (a) overall structure; (b) detailed graph of retransition.

a

Exp (Th I) (Th II) Rec (Th II) coda

42 102 106 130 146 172 178 194 218 284 288 320

I (III) V (VI) V I

b

(retrans) Rec

198 199 210 216 217 218 234

V (C: I^6) II^6 V I VI (N) V

* (VI^{b7})

m. 194 functions as a kind of deceptive cadence, while anticipating the coming structural VI, which, when it arrives (m. 218), functions as a large neighbor note within the prolonged structural V (mm. 178-284).

The transposed repetition of the entire second thematic group--characteristic of Schubert--leads to the structural cadence on the tonic at m. 288. In an analogous way, the tonic now goes to VI (m. 312) but this time, with the VI^{b7} functioning as a German 6th, is led to an emphatic cadence on the tonic (m. 320). A lengthy coda follows (m. 320), in which two portions of the second theme (see mm. 106-107 and mm. 108-109) appear simultaneously--a very clever device rarely found in Schubert's works.

b. "Trout" Quintet in A, D. 667 (1819), II

This movement, consisting of two large parts (exposition and recapitulation), is in sonata form without development (or "sonatina" form). This movement demonstrates how freely Schubert could devise a harmonic plan deviating from the conventional form. The overall key plan of the work (not the harmonic structure) is (Exp) F- F[#] minor- D- G: (Recap) A^b- A minor- F. As I briefly pointed out at the end of Chapter I, a harmonic plan similar to this is found in Méhul's overture to Adrien (refer to Ex. 1.9 of Chapter I). Though their specific keys and theme groups are not exactly

congruent, their common employment of this highly unusual plan is striking.³¹ Their most extreme feature is that neither V nor I appears for quite a long time after the recapitulation has begun.

The key plan emphasizes the third-related keys in both sections, F-D : A^b-F. The structural analysis in Ex. 4.8 reveals that the entire movement is grounded in a chromatically rising bass, F- F[#]- G- A^b- A^b- C. The second key, F[#] minor (m. 24), established by separate transition (mm. 19-23), is shown as structurally more important than the following D (m. 36). The section on VI is viewed as a kind of transition, since soon after m. 40 it begins to modulate and then establishes the D⁷ chord (mm. 43-52) to prepare for the coming G major. Thus, this VI is seen as an applied dominant of G major (see Ex. 4.8).

Most striking and unusual is the beginning of the recapitulation: As soon as the exposition ends in G major (m. 60), the recapitulation starts in A^b major (m. 61). The resulting parallel octaves are only apparent since the two

31. Schubert certainly knew some of Méhul's overtures, which were frequently performed and well received in Vienna during Schubert's lifetime. Moreover, Schubert's friend Josef von Spaun recollected that Méhul's overtures interested Schubert (SM, 126). Though there is no documentation that Schubert knew this particular overture, one cannot rule out its possible influence.

chords have no connection, belonging as they do to completely distinct formal units.³²

Ex. 4.8: "Trout" Quintet in A, D. 667, II, overall structure.

Exp

(1) (23) (24) (36) (53)

Rec

(61) (83) (84) (96) (104) (105) (114)

I 5-6 5-(6)-5 II 5-6 5-(6) 5-6 III IV V I

keys: F f# D G Ab a F

The end of the second half is structurally quite different from the end of the first half. At the end, we are back in the home key. (A literal transposition of the exposition would lead to the key of B^b.) Schubert's change here--the addition of only one bar, m. 104--is crucial, though, typically, very economical. Because of the change,

32. For Schenker's comment on a similar occurrence in another Schubert work, see Free Composition, Fig. 53, 6, and p. 58.

the key of F is fully established at m. 114.³³

Schubert might have devised this unique plan with the special purpose of tonal integration in this multi-movement work, which we shall further investigate later in this chapter. The ascent from F to A can be related to the A-F key relationship between the first two movements. Also, this ascending bass line may be related to the melodic contour of the first three bars of the opening, A $\overbrace{F \ G \ G^\#}^{\quad}$ A.

c. Quartettsatz in C minor, D. 703 (1820)

The Quartettsatz is considered by many to be the first work showing Schubert's mature instrumental style--a breakthrough in his artistic career. The literature contains many attempts to account for the formal irregularity of this movement, with its non-tonic recapitulation, which starts on the second theme to boot. Except for Webster,³⁴ most scholars consider the movement to be in sonata form. A few scholars attempt to find precedents in similar works by

33. It could be argued that the structural I arrives at m. 96 with a preceding V at m. 95. (This results from a literal transposition of the corresponding spot--F - D: A^b - F.) However, in the light of the following tonic-defining progression (mm. 100-114), the first arrival is rather weak. Thus, the structural I is better seen occurring at m. 114, and the F at m. 96 as a sixth over III, as shown in Ex. 4.8.

34. "Schubert's Sonata Form," 26.

other composers. Robert Bruce notes a formal similarity between it and Beethoven's String Quartet, Op. 59, No. 3, second movement, and Marianne Dankwardt compares it to Haydn's String Quartet, Op. 76, No. 2, first movement.³⁵ Daniel Coren believes that it intentionally exploits "formal ambiguity."³⁶ Chusid remarks on the bipartite impression of the movement, and argues that the external two-partness of sonata form takes on a new significance for Schubert in this work and likens it to the later Seventh Symphony in E (D. 729).³⁷

As for the exposition, Webster considers it a typical example of three-key exposition.³⁸ A different opinion on the exposition is proposed by Richard Coolidge, who takes the A^b theme as a part of the first theme group, so that the recapitulation begins with the second part of the first

35. See Bruce's "The Lyrical Element in Schubert's Instrumental Forms," The Music Review XXX (1969), 131, and also Dankwardt's "Funktionen von Harmonik und tonaler Anlage in Franz Schuberts Quartettsatz c-moll, D703," Archiv für Musikwissenschaft XL/1 (1983), 50.

36. See "Ambiguity in Schubert's Recapitulations," 574-576.

37. See his "The Chamber Music of Franz Schubert" (Ph.D. diss., University of California, Berkeley, 1961), 204.

38. "Schubert's Sonata Form," 26.

theme.³⁹ This incorrect observation may have derived from an unnecessary need to justify the absence of the first theme in the recapitulation.

The harmonic structure shown in Ex. 4.9 can be divided into two parts: the first half of the movement (up to the double bar, which consists of an extensive three-key plan, I- VI- V) plus the second half (the whole development and recapitulation which consists of an unbroken, continuous harmonic progression, $b_{II}-\sharp_{II}^{5-6}- III- V- I$). Such a bipartite impression pointed out by Chusid is produced by the conflation of the development and recapitulation, or, in Coren's words, by blurring the demarcation between development and recapitulation.⁴⁰ Therefore, this movement is a good example of "continuous tonal motion": There is no interruption of the Urlinie, but a single large unit.

The reading of the overall structure given in Ex. 4.9 takes the V at m. 77 and m. 93 as a back-relating dominant, not as a background V, and, then, the b_{II} (m. 157) as coming from the opening tonic. The result is an upward progression from I to III, that is, I- $b_{II}-\sharp_{II}^{5-6}- III$, followed by V- I, a progression identical to the one in the "Trout," II

39. "Form in the String Quartets of Franz Schubert," The Music Review XXXII (1971), 319.

40. Op. cit., 567.

(see Ex. 4.8).

Ex. 4.9: Quartettsatz, D. 703, overall structure.

Exp (1) (27) (87) Dev (141) (157) (182) Rec (183) (195) (207) (255) (257)

I (bII) 4II 8-10-8 III V I

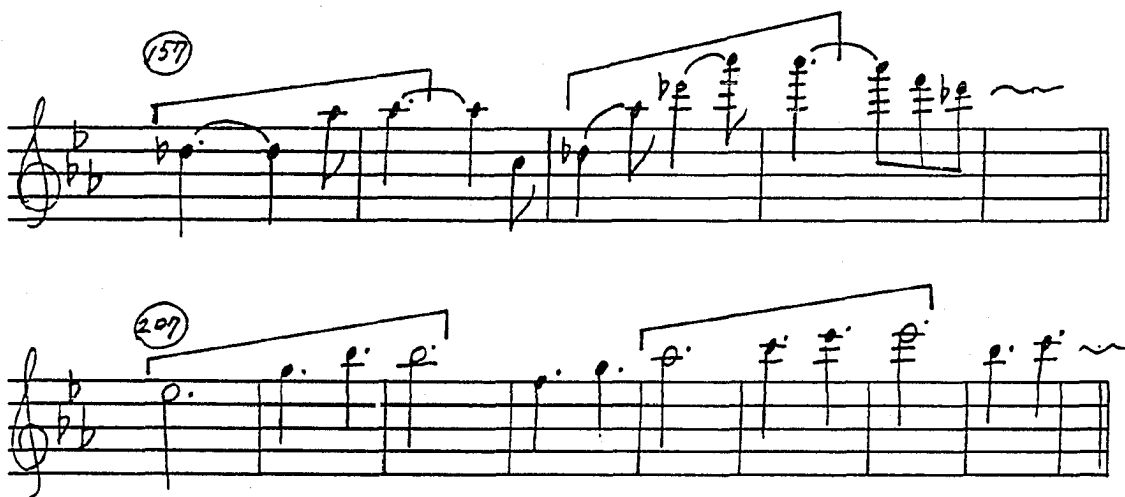
The appearance of the second theme in B^b at m. 195 is all the more surprising after a retransition on the extensive prolongation of D (mm. 183-194), which suggests a possible move to G (V). The B^b soon moves to E^b by a brief modulation effected by the addition of b^7 (m. 206). Such a treatment--repeating a thematic statement at the upper fourth--is not a new device, but is often found in Schubert's tonic recapitulations where, once the first theme is stated in the tonic, it is restated in the key of IV so

that the rest of the movement can be literally transposed (e.g., the C-major Quintet, D. 956, I). Thus the progression from II (m. 183) to III (m. 207) takes a detour to the B^b at the start of the recapitulation. The intervening B^b prevents parallel octaves by means of 8-10-8 (see Ex. 4.9).

Schubert may have omitted the first theme for the sake of rhythmic continuity, that is, in order to continue the eighth notes. The theme of the development (m. 157) is very reminiscent of the A^b second theme (m. 27 and m. 207); the two themes both open with the same melodic contour (leap of a fifth) and repeated notes (see brackets in Ex. 4.10). Also, as Ex. 4.11 illustrates, the D^b theme in the development (m. 157) is thematically and harmonically connected to the second theme in E^b (m. 207). Therefore, by the omission of the first theme and by beginning the recapitulation with the second theme in III, thematic and harmonic continuity in the second half of the movement is promoted.

Of particular interest is the employment of ^bII throughout the movement. The ^bII appears at three structurally crucial points, each time in a different harmonic context (see Ex. 4.12). The striking first appearance at m. 9 leads to the first cadence defining the tonic key, $^bII^6-V-I$ (Ex. 4.12-a). In the second appearance (m. 23),

Ex. 4.10: Quartettsatz, D. 703, development theme and the second theme compared.



Ex. 4.11: Quartettsatz, D. 703, thematic connection in mm. 157-207.



the D^b is a pivot chord-- IV^6 in the key of A^b --that begins a short modulation to the second key (Ex. 4.12-b). The third ^bII at the beginning of the development (m. 157) connects to E^b with augmented sixth at m. 182 and then goes to II at

m. 183 (Ex. 4.12-c). In all three places $\flat\text{II}$ ($\text{D}^{\flat}$) initiates directional motion to establish the keys of I, VI, and III, respectively. It is noteworthy that the $\text{D}^{\flat}$ in (b) and (c)

Ex. 4.12: Quartettsatz, D. 703, three occurrences of $\flat\text{II}$.

a

b

c

minor mode, I- $\sharp$ I $\sharp$ 5-VI $\sharp$ -II, and I- $\sharp$ IV $\sharp$ -V. Some expositions in major-mode movements do not close in the key of V.

In the recapitulations of this period a notable thematic alteration is the omission of the first theme, and there is further thematic and harmonic development in the recapitulated first theme. While the tonic recapitulations are preceded by a development section, the non-tonic recapitulations occur with no development preceding (except for D. 703). The non-tonic recapitulations of this period are distinguished from the previous non-tonic recapitulations in that keys other than IV are now employed; also the tonic return takes place at various points within the recapitulation. Contrary to the many strikingly dissimilar treatments of recapitulation on IV, a remarkable similarity is observed in the harmonic approach to the non-tonic key: The chosen non-tonic key constantly lies a major or minor second higher than the preceding key of comparable structural weight.

A most significant change is the tendency toward non-tonic recapitulations belonging to Type II. Because of the lack (or minimizing) of a retransition and/or dominant preparation, the recapitulation now has more of the effect of a continuation of the preceding section. In marked contrast to the V-I progression characteristic of the conventional retransition-into-recapitulation, the recapitula-

tions of this period tend to slip in unobtrusively in such a way that the recapitulation has a less marked beginning. All these factors seem to arise from a basic concern for "continuous tonal motion" and a more "unitary" approach to sonata form.

In the next Chapter we will consider how the non-tonic recapitulations of the last period (1824-1828) grow out of the experiments of 1820-1823. We shall find that some of the features of the present period will be exploited in much more subtle and complex ways.

CHAPTER V

THE FINAL PERIOD (1824-1828)

I. Background

During his last five years, 1824-1828, Schubert produced his most mature instrumental compositions. Many of these are masterpieces numbered among his best-known works.

A. Main Events in His Life

In early 1824 Schubert began a series of chamber compositions: Octet (D. 803), String Quartet in a (D. 804), and String Quartet in d (D. 810). Schubert expressed his ambition to write a grand symphony and hope of a concert of his own works in his oft-quoted letter of 31 March 1824.¹ At this time he became acquainted with several important instrumentalists, including Count Ferdinand Troyer, a clarinetist, and Ignaz Schuppanzigh, the leader of the famous string quartet and a friend of Beethoven.

Schubert's music was reaching a wider audience. The "reading circles," which had begun at Schober's in 1822, came to an end in April. The publication of Schubert's works continued. The year 1824 saw the publication of the

1. SD, 338-340. He was conscious of Beethoven's coming concert at the Kärtnertor Theater in that year, at which the first performance of Beethoven's new Symphony (Ninth) and parts of the Missa Solemnis took place.

song cycle Die schöne Müllerin and the D-minor String Quartet. A performance of the D-minor Quartet took place in March at the Hall of the Gesellschaft der Musikfreunde. During the summer months Schubert stayed in Zseliz, Hungary, tutoring the two daughters of Count Esterházy. For teaching purposes he used J. S. Bach's 48 Preludes and Fugues. While in Zseliz, he wrote the Sonata in C for four hands ("Grand Duo"), D. 812.

In 1825 he moved to a lodging near the Karlskirche. Schubertiads were held again, with some newcomers attending. Schubert traveled with Vogl to Steyr, Gmunden, Linz, Salzburg, and Gastein from May to October. In the same year he composed three piano sonatas in C, a, and D (D. 840, 845, and 850 respectively), and began to compose the "Great" Symphony in C (D. 944).² Numerous and varied publications issued include songs, dances, four-hands works, overtures for four hands, and the Piano Sonata in a, D. 845.

In 1826 he applied unsuccessfully for the post of assistant music director to the court chapel. He wrote to

2. The date of composition of this symphony has been a topic of debate. A recent investigation by Robert Winter of the paper types used for the autograph establishes the date as 1825. See "Paper Studies and the Future of Schubert Research," in Schubert Studies: Problems of Style and Chronology, ed. Eva Badura-Skoda and Peter Branscombe (Cambridge, 1982), 222-237.

German publishers, offering them various compositions. The Schubertiads of this year grew more frequent and more numerous attended. The published Piano Sonata in a of the previous year attracted the interest of Hans Nägeli, the Swiss composer, theorist, and publisher, who wrote to Karl Czerny about a plan to have Schubert included in a new series of piano works, named Musikalische Ehrenpforte ("Musical Portal of Honor"); unfortunately the plan did not materialize. At a concert at the Kärntnertor Theater the Overture to Alfonso und Estrella was revived. The Piano Sonata in D (D. 850) and the same overture arranged by Schubert for four hands were both published. The String Quartet in G (D. 887) and the Piano Sonata in G (D. 894) are the only instrumental works of this year.

In 1827 Schubert was honored by being elected a 'representative' of the Gesellschaft der Musikfreunde. The "Great" Symphony was copied for the same society. He composed the song cycle Winterreise, D. 911, the Fantasie in C for piano and violin, the Piano Trio in E^b (D. 929), and the Impromptus (D. 899), and began work on the opera Der Graf von Gleichen (D. 918), which was left incomplete. The G-major String Quartet was published. Schuppanzigh participated in a performance of the Octet. A Piano Trio (probably the E^b) was played at a 'Musikverein' concert.

In 1828 the "reading circles" at Schober's were resumed, while the last Schubertiads took place at J. Spaun's in January. On the 26th of March Schubert had his own concert--his first and only--in the concert hall of the Gesellschaft der Musikfreunde. The program included songs, the Piano Trio in E^b, and the first movement of the String Quartet in G. He stayed in Vienna during the summer months and devoted himself to composition. In his last year he worked quite intensively, composing the Mass in E^b, the songs of Schwanengesang, and a series of large-scale instrumental works. He wrote three four-hands works--the Fantasie in F minor (D. 940), the Allegro in A minor, called "Lebensstürme" (D. 947), the Rondo in A (D. 951). In addition he composed the Piano Trio in B^b (D. 898),³ the String Quintet in C (D. 956), and three Piano Sonatas (D. 958, 959, 960). He also made sketches for a Symphony in D (D. 936a).

At the end of August 1828, following his doctor's recommendation, Schubert took up lodging with his brother Ferdinand. His health had seriously deteriorated. Schubert arranged with Simon Sechter, the well-known Viennese theo-

3. Because of the opus numbers of the trios Op. 99 and 100, it has long been thought that Op. 99 was composed first. Robert Winter (op. cit., 249-250) has proved the reverse.

rist, to take lessons in fugue, and attended the first and only lesson on November 4th.⁴ Fifteen days later he died.

B. General Remarks on the Works

In his previous period (1820-1823), since he was occupied with opera, Schubert's instrumental output was sporadic, with many works left incomplete. However, beginning in 1824, he produced a considerable number of instrumental works in various genres. There are eighteen works containing at least one movement in sonata form: seven piano sonatas, one symphony, three string quartets, two piano trios, a string quintet, an octet, a sonata for arpeggione (D. 821), and two four-hand piano works (D. 812 and 947). Six of these were written in his last year.

During this period Schubert continued to develop his approach to sonata form in the following ways: (1) A new, subtler treatment of the second key in the three-key exposition brings about a different kind of harmonic structure; (2) the development section becomes lengthy and expansive mainly through the use of large-scale sequences; (3) non-tonic recapitulation is realized in new and very ingenious ways; (4) recapitulations tend to contain substantial the-

4. The fugue exercises written for the lesson have been reproduced and commented on in Alfred Mann's Theory and Practice (New York: Norton, 1987), 76-85 and 143-148.

matic alterations; (5) the long coda plays an increasingly important role in justifying and summing up the main events of the movement; (6) both remote key relations (especially by thirds) and symmetrical key plans are further exploited.

The bold experimentation characteristic of 1820-1823 does not subside, but is channeled into the service of new ideas of form. The works of his last years show a leaning toward the conservative side of sonata procedure. To a certain extent, such an observation is valid, but irregular features, albeit of new kinds, are plentiful. In my opinion, Schubert's great achievement now is his flexibility--his freedom to employ both traditional and progressive features.

II. Approaches to Sonata Form

A. Exposition

1. Two-Key Expositions

Of the eighteen first movements, nine feature a two-key exposition. Among these, five major-mode expositions have a normal I - V plan (D. 850, 887, 894, 898, and 959), and four minor-mode ones a normal I - III (D. 804, 821, 845, and 958). Whereas all of the minor-mode expositions contain a modulatory transition to the second key (III), the transitions of the major-mode ones are not extensive (except for

the A-major Piano Sonata). As in previous periods, the second theme is frequently introduced with minimal preparation. One way is the 'bifocal close,'⁵ as in the first movements of the D-major and G-major Sonatas (D. 850, 894). Another is for the second theme to start on V immediately after the first theme ends on VII^{#5}₃. Examples of this procedure are the first movements of the B^b-major Trio (D. 898), the G-major String Quartet, and the symphony fragment, D. 936a. This major-third drop, from VII to V, at the beginning of the second theme recalls the V to ^bIII drops in the I (V) - ^bIII - V type of exposition, and the I to VI in the first movement of the "Unfinished."

The VII (or ^bVII)-to-V drop, a progression particularly frequent in late Schubert, also is realized in two other ways: (1) It occurs within the first thematic group, where the opening period temporarily moves to an emphasized VII (or ^bVII), then shifts to a V that leads to a strong tonic (D. 850, 894, 956, and 958); (2) a three-key exposition is structured on I - VII - V. The latter will be discussed in the next section.

As noted, only one of the five major-mode expositions, the A-major Sonata (D. 959), has an extensive dominant

5. For the detailed explanation of the 'bifocal close,' refer to Chapter III.

preparation in its transition. Though quite usual for other composers, this is extremely unusual for Schubert, and therefore deserves our attention. This work exploits the dominant-side harmonies, V/II and II[#], and ends on II[#] so that the second theme can follow in the key of V (see Ex. 5.1-a). A noteworthy detail here is the typically Schubertian prolongation of V by means of equal division of the octave, E - C - A^b - E (mm. 28-34). Comparison of an extant early draft of the transition (Ex. 5.1-b) reveals that Schubert initially intended to follow his usual procedure.⁶ The transition in the draft (mm. 28-54) is a perfect fourth higher than the revision and ends on V as in an exposition with bifocal close, rather than on V/V. As usual in this procedure no modulation to V takes place.⁷

In the works of this period the second thematic group

6. The first draft of the exposition is published in F. Schuberts Werke: Kritische durchgesehene Gesamtausgabe, Vol. XIX, ed. Julius Epstein (Leipzig, 1897), 22-27. See also Paul Mies, "Die Entwürfe Franz Schuberts zu den letzten drei Klaviersonaten von 1828," Beiträge zur Musikwissenschaft II (1960), 52-68, and Ivan F. Waldbauer, "Recurring Harmonic Patterns in the First Movement of Schubert's Sonata in A Major, D. 959," Nineteenth-Century Music XII/1 (1988), 64-73.

7. The question arises as to why Schubert made such a change in the transition. The early draft was made only for the exposition. It is possible that during revision he realized that the original transition might be better suited for the recapitulation, and then rewrote the transition for the exposition.

Ex. 5.1: Piano Sonata in A, D. 959, I, the structure of the exposition's first theme plus transition, (a) in the final version; (b) in an earlier draft.

a

(Th I) (Th II)

① ②① ②② ②⑦ ②⑧ ③⑧ ③⑨ ⑤⑤

(I) I V II# V

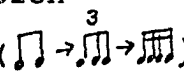
b

① ②① ②② ②⑧ ③⑧ ③⑨ ⑤⑤

(I) I II# V V

(in the key of V or III) tends to be greatly expanded by 1) the use of harmonic digression and 2) the employment of variation as a means of thematic development. Brief harmonic digression into a remote key often appears in the very first period of the second group (see mm. 48-55 of the D-major Sonata, D. 850, and mm. 62-70 of the A-major Sonata,

D. 959).

The extensive employment of variation technique as a main thematic procedure in the second thematic group is a characteristic of late Schubert. A typical variation procedure with mode change and rhythmic variation () is found in the second thematic group of the C-minor Sonata (D. 958). Also the greatly expanded second group of the G-major String Quartet (D. 887) is made up of the theme and three variations which appear in different scoring and in different keys, thus producing large-scale sequences, D - B^b - F[#] - D in mm. 64-154.⁸

2. Three-Key Expositions

a. Greater Variety of Choice of Second Keys

Schubert employs three-key exposition in the other nine first movements of this period. The treatment of the second key in these movements exhibits a wider choice of key. Some of the keys are the product of mode mixture. All nine movements (except Lebensstürme, D. 947) close on V, like the earlier three-key expositions. The following list summarizes tonal plans:

8. This was observed by C. Dahlhaus in his analysis of the movement. See "Sonata Form in Schubert: The First Movement of the G-major String Quartet," trans. Thilo Reinhard, in Schubert: Critical and Analytical Studies, ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 1.

I-III-V: String Quintet in d (D. 810) and
"Great" Symphony in C (D. 944)

I-VI-V: Octet (D. 803)

I-VII-V: Piano Sonata in C (D. 840)

I-^bIII-V: String Quintet in C (D. 956)

I-^bVI-V: Grand Duo in C (D. 812)

I-^bVI^b-V: Piano Trio in E^b (D. 929) and Piano Sonata
in B^b (D. 960)

I-[#]VII-III: Lebensstürme in a (D. 947)

Most of the major-mode expositions have minor-mode second keys (D. 803, 840, 944, 929, and 960). Of particular interest is the fact that the expositions with diatonic keys are confined to the works of 1824-1825 (D. 803, 840, and 944), while those with non-diatonic keys were written in his last year, 1828 (except for D. 812).

b. Greater Variety of Approach to Second Key

In contrast to the consistency of approach to the second key in the earlier practice, the ways in which the second key is now approached are not consistent. The only example following the earlier practice of bifocal close is the String Quintet (D. 956), where the ^bIII begins immediately after a half cadence on V. Some of the second keys are introduced only by a short melodic link (see the "Great"

Symphony, D. 944, and Lebensstürme, D. 947), while other second keys are preceded by a short transition which turns out to be the V of the remote second key by a harmonic twist at the last moment (see the Sonatas in C and in B^b, D. 840 and 960). An unusually lengthy transition establishes the second key (b^bVI) in the Grand Duo (D. 812).⁹

Still another way of introducing the second key is noted in the works of 1828. In the E^b-major Trio (D. 929) and B^b-major Sonata (D. 960) the second key is "anticipated" (on a lower structural level) within the first thematic group, prior to the second theme (see Ex. 5.2). Thus, in the Trio the emphasized occurrences of b^bIII and b^bVI (mm. 24-48) foreshadow the subsequent move to the second key, minor b^bVI (Ex. 5.2-a). In the B^b Sonata the first theme is in a-b-a form with the key of the b part (mm. 20-33) in G^b major, thus foreshadowing the second large key, F[#] minor, which begins in m. 48 (see the brackets in Ex. 5.2-b).

c. The Second Key's New, Subtler Structural Role

The most distinguishing feature of Schubert's new

9. The three-key exposition of the Octet (D. 803) uses a very different procedure which rather resembles the loose multi-key-relation found in the exposition of the overtures. The relatively short second key sounds like a transition with a new theme, occurring on the way to the modulation to the key of V, as in the Overture in C (D. 591) and the early B^b Quartet (D. 112), I.

Ex. 5.2: First themes in the I - $\flat$ VI - V expositions, (a) Piano Trio in E^b , D. 929, I; (b) Piano Sonata in B^b , D. 960, I.

a

(Th I) (trans) (Th II)

① ②④ ②⑧ ③④ ④④ ④⑧ ④⑧ ④⑧

keys: E^b b^7 B^b

b

(Th I) (a) (b) (a) (Th II)

① ②② ③③ ③⑨ ④④ ④⑨ ④⑧

keys: B^b $f^\#$

three-key procedure is that the second key is treated as less stable. Such treatment becomes prominent in the expositions of 1828, where the second key is not given its own cadential closure (String Quintet, D. 956 and B^b -major Sonata, D. 960) or moves elsewhere in sequential steps (E^b -

major Trio, D. 929). In other cases the second key is very short--something quite contrary to previous practice. In particular, the expositions with diatonic second keys have very short second keys. Examples are the Octet, C-major Piano Sonata, and "Great" Symphony. In the latter, the III lasts only 21 bars (mm. 134-155), while V lasts about 100 (mm. 156-253). Hence, the theme in the key of V becomes a more independent and emphasized section, not merely a closing theme, as in the preceding periods.

This new approach to the second key results in a harmonic structure different from that of the previous three-key exposition. The second key appears more transient and temporary in the harmonic structure and thematic design. Particularly interesting in its treatment of second key is the C-major Quintet. The I - $\flat$ III - V exposition demonstrates how the differently treated second key produces a tonally different effect from those of Schubert's earlier practice (see Ex. 5.3). The $\flat$ III of m. 60 constantly moves back and forth between the keys of $E^{\flat}$ and C, yielding tonal ambiguity and instability, and finally makes a cadence in the key of V (see Ex. 5.3-a).¹⁰ Thus, this $\flat$ III is con-

10. Therefore, Webster rightly calls this $\flat$ III "not a key but a gigantic floating pivot chord" ("Schubert's Sonata Form," 29), and Rosen views it as "only a chromatic harmony in another tonality" (Sonata Forms, rev., 257).

strued as a kind of pre-dominant chord (^bVI) in G major, in retrospect, rather than as a third divider of the I - V progression (Ex. 5.3-b).

Ex. 5.3: Harmonic structure of I - ^bIII - V plan, (a) in the String Quintet in C, D. 956, I; (b) in the previous works (1817-1823).

a

(Th I) (Th I)

① ⑤⑧ ⑧① ⑨④ ⑨⑨ ⑩⑦

I (G: ^bVI IV V V)

b

(Th I) (Th II)

I I ⑨④

I ^bIII V

(G: IV V I)

A particularly expressive procedure is that of the B^b -major Sonata. Once the second key ($F^\sharp$ minor) of m. 48 leads to the cadential closure in A major at m. 58, the bass

oscillates between $F^\sharp$ and A (mm. 59-67). The second key, though introduced dramatically, turns out to be of quite low structural rank (see Ex. 5.4).¹¹ It becomes subordinate to the more structural motion from B^b to A (mm. 1-58), which participates in a large descending bass motion to an $F^{\flat 4}$ chord at m. 70, then to D at m. 72. Here a big chromatic voice exchange occurs which governs mm. 1-72, and which then leads to a structural $II^{\flat 4}$ -V cadence. The harmonic structure here deviates greatly from that of the earlier structure, in which the second key was on a higher level.

In this connection, Webster's interesting argument deserves mention. It is that "the modulatory passage from the second key to the dominant usually refers back to the tonic," and, thus, "the tonic still holds sway" until the V.¹² The main examples he cites (D. 703, 812, 929, and 960) have the key of bVI as a second key. Generally the modulation from the key of the bVI to the V is likely to include reference to the tonic since the bVI points forward as bII of the coming key; contrariwise, the modulatory passage in $I - bIII - V$ expositions tends to emphasize II or V, and

11. For the reading of the exposition given in Ex. 5.4, I am indebted to Professors Carl Schachter and Charles Burkhart.

12. Webster, "Schubert's Sonata Form," 30.

Ex. 5.4: Piano Sonata in B^b, D. 960, I, two-stage graph of the exposition.

(Th I) (Th II)

① ④⑧ ⑤⑧ ⑥⑨ ⑦⑩ ⑦⑪ ⑦⑫ ⑦⑬ ⑦⑭ ⑦⑮ ⑧⑯

a

keys: I B^b f# II^b V F

b

I II^b V

therefore does not refer back to the tonic.¹³ Though Webster's argument, supported only by his notion of tonic reference in the modulation, seems rather weak, his point is conceptually correct in its background view of the harmonic structure, which mainly consists of only two structural harmonies, I and V.

Schubert's earlier construction, which consisted of three structural harmonies, most typically I - (b) III - V, is thus replaced in his last period by a construction consisting of only two--I and V. There are still three keys, but the middle key is now tonally more remote, or expressed in a more transitory manner--in short, it is relegated to a lower structural level. This new and subtler handling of three-key exposition produces a stronger sense of tonal unity and cohesion. It betokens Schubert's highest degree of mastery.

13. Also Roger Graybill points out that the reference to the tonic enables Schubert to make a smooth transition between ^bVI and V, in his "Brahms' Integration of Traditional and Progressive Tendencies: A Look at Three Sonata Expositions," Journal of Musicological Research VIII (1988), 166.

B. Recapitulation

1. General Observations

More than in any previous period, the recapitulations are now introduced by elaborate and lengthy retransitions. The typical retransition consists of extensive dominant prolongation ("Great" Symphony, IV, D. 944, E^b-major Trio, D. 929, and B^b-major Trio, D. 898). On the other hand, a few retransitions have no V chord preparing the tonic return (Grand Duo, D. 812), or only a minimal appearance of V (B^b-major Sonata, D. 960). In the retransitions of this period, Schubert prepares the returning first theme by interpolating either the theme itself (E^b-major Trio, D. 929 and B^b-major Sonata, D. 960), or the rhythm of the first theme (D-major Sonata, D. 850, the "Great," D. 944, and C-minor Sonata, D. 958), or the harmonic progression of the theme (D. 850).

Some of the tonic recapitulations are literally transposed by moving to IV after a few phrases (see the Octet, Quintet, and E^b-major Trio). Other recapitulations contain substantial recomposition in the transition (see the Grand Duo, A-major Sonata, and B^b-major Sonata). As usual in Schubert, the second thematic group is generally repeated with no thematic or harmonic change, the sole exception being the G-major Quartet, the second theme of which is recapitulated in the key of IV.

In this final period, Schubert wrote ever more varied and subtler non-tonic recapitulations, using various approaches to the recapitulation and various non-tonic keys. Without exception the recapitulations begin with the first theme. The tonic return takes place mostly at the transitions (except for the "Great" Symphony, IV).

Non-tonic recapitulation is found in five movements in sonata form, four of which were written during 1824-1825 (Grand Duo, D. 812/IV, "Great" Symphony, D. 944/IV, C-major Sonata, D. 840, and A-minor Sonata, D. 845), and one in 1828 (B^b-major Trio, D. 898). Besides these movements, Schubert also employed non-tonic recapitulation in certain last movements (finales of the C-major Sonata, D. 840, A-major Sonata, D. 959, and B^b-major Trio, D. 898),¹⁴ as well as in two works not related to sonata form--the second of the Two Characteristic Marches for four hands (D. 636), and the minuet from the C-major Sonata (D. 840).

14. I believe that the finales of the C-major Sonata and B^b Trio are more appropriately considered to be in sonata or sonata-rondo form, in spite of their title 'Rondo.' The only clear-cut example of rondo is the one in the A-major Sonata. Therefore, I basically agree with T. Denny. See his two articles, "Articulation, Elision, and Ambiguity in Schubert's Mature Sonata Forms: The Op. 99 Trio Finale in its Context," Journal of Musicology VI/3 (1988), 340, and "Schubert as Self-Critic: the Problematic Case of the Unfinished Sonata in C major, D. 840," Journal of Musicological Research VII/1-2 (1988), 91.

A certain thematic procedure, found in both tonic and non-tonic recapitulations of this period, deserves mention here. It arises from the particular period construction which Schubert favored in his late years, in which the first thematic group consists of two periods, and the second, starting on the same or different thematic material, usually constitutes a transition to a second theme. As a rule one big extended cadential progression at the end of the first period is elided into the strong tonic beginning of the second period. In the exposition this emphatic cadence with phrase elision defining the beginning of the second period functions as a local climax (see D. 810, 840, 845, 850, 894, 958, and, for an earlier example, the "Trout," D. 667). However, such a construction would not be appropriate in the context of the recapitulation because after the strong tonic arrival at the recapitulation the local climax at the beginning of the second period would sound redundant. To avoid such an inappropriate effect, Schubert omits either the first period--completely or partly--or a part of the second period, or starts the first period in a non-tonic key.¹⁵ Thus, in all the cases listed below a strong tonic return is

15. Webster notes that the recomposition in some of the non-tonic recapitulations (D. 840, 845, 898, and 812/IV) depends on the presence of two separate paragraphs in the first group ("Schubert's Sonata Form," 32).

observed only once, not twice. The following table summarizes Schubert's procedure:

1) omission, complete or partial, of the first period:

"Trout" Quintet, D. 667, I
 D-minor String Quartet, D. 810, I
 D-major Piano Sonata, D. 850, I
 G-major Piano Sonata, D. 894, I

2) partial omission of the second period:

C-minor Piano Sonata, D. 958, I

3) initiation of the first period in non-tonic key:

C-major Piano Sonata, D. 840, I
 A-minor Piano Sonata, D. 845, I
 Grand Duo, D. 812, IV

In these works, the coda plays an increasingly important role in the overall form. In keeping with the scope of the movement, Schubert prefers a long coda, comparable in size to Beethoven's. Usually the coda performs an effective tonal closure; it incorporates further developmental procedures (D. 812/IV and 944/IV), and confirms and sums up the main events of the movement either by bringing out the progression omitted in the recapitulation (D. 898) or by restating the main theme in a new and fresh way (D. 840 and 845).

2. Tonic recapitulations

In this period the tonic recapitulations contain more frequent alterations than ever before. Some recapitulations in the movements with two-key expositions stay in the tonic key. A typical bifocal close is observed in the D-major Sonata (D. 850), where the second theme at m. 191 is restated in the tonic, immediately following a I - V half cadence.

The recapitulations in the movements with three-key expositions have diverse tonal plans. All the movements (except D. 840) have tonic recapitulations, confirming Schubert's general "three-key" practice of 1817-1819. The second key usually has a non-tonic counterpart in the recapitulation. Notable exceptions to this are the first movements of the D-minor Quartet (D. 810), the Grand Duo (D. 812) and the "Great" Symphony (D. 944), where the exposition's second key material is recapitulated in the tonic minor. For the unusual second key of VII in the expositions of D. 840 and 947, both recapitulations have VI. The table below summarizes the tonal plans of the movements with three-key expositions.

(Exp.)	(Recap.)
I - $\flat$ VI - V:	I - III - I (D. 812/II)
	I - $\flat$ II - I (D. 929 and 960)
	I - I (D. 812/I)
I - VI - V:	I - II - I (D. 803)

(Exp.)

(Recap.)

I - $\flat$ III - V:	I - $\flat$ VI - I (D. 956)
I - III - V:	I - I (D. 810/I)
	I - I minor (D. 944/I)
I - VII - V:	I - VI - I (D. 840)
I - $\sharp$ VII - III:	I - VI - I (D. 947)

Although I have not dealt with individual cases of the tonic recapitulation in previous chapters, I shall examine here the five tonic recapitulations from this chapter that have the most interesting alterations. Although these all have regular tonic recapitulation, they are irregular because of their deviations from Schubert's general practice: Two movements with three-key expositions have recapitulations that are confined wholly to the tonic key (D-minor Quartet, D. 810 and Grand Duo, D. 812). The procedure in the recapitulation of the G-major Quartet (D. 887) is markedly different from the general procedure in that the second theme starts in the key of IV--the only instance employed after 1815.¹⁶ Also, the B $\flat$ -major Sonata (D. 960), which has an altered first theme, is unlike the other three-key movements that have a transposed recapitulation (i.e., D. 803,

16. Other cases are the B $\flat$ -major String Quartet, I (D. 74) of 1813, and the Overture in C for Die Freunde (D. 326) of 1815.

929, and 956).

a. String Quartet in G, D. 887, I

In this movement with a I - V exposition, the second theme is recapitulated in the key of IV--a very rare incident in Schubert's works composed after 1816. The recapitulated first theme begins to deviate at m. 321 from the exposition, and moves to IV at the transition (m. 333). Ex. 5.5 shows that the I - VII - V progression of mm. 54-64 is answered by IV - VI - IV at mm. 333-344, so that the second theme starts in the key of IV. This is contrary to the expected IV - III - I (transposed I - VII - V). The IV - III - I progression actually does occur much later--at mm. 356-389.

The second theme's beginning with IV may be somewhat related to the fact that this theme is shortened in the recapitulation. The second theme of the exposition consists of a "theme and three variations" which are connected by descending major thirds, D - B^b - F[#] - D, as shown in Ex. 5.5. The second theme in the recapitulation is shortened by omitting the second parts of Variations II (mm. 123-142) and III (mm. 142-153), thereby changing the harmonic progression. Thus, a new harmonic plan (IV - III - I) goes with the new thematic design.

Ex. 5.5: String Quartet in G, D. 887, I, exposition and recapitulation.

Exp (Th I) (1) (43) (44) (44) (57) (58) (59) (Th II) theme (64) Var I (71) Var II (110) Var III (142) (154)

Rec (Th I) (278) (320) (321) (trans) (333) (339) (Th II) theme (344) Var I (356) Var II (385) (389) (401)

I I IV I⁶ I VII[#] V VII[#] V I IV I⁶ IV VI[#] IV III[#] I III[#] I

b. Piano Sonata in A, D. 959, I

The major changes in the recapitulation of the A-major Sonata, D. 959 are confined to the transition. A modified repetition of mm. 213-219 is inserted at mm. 219-225 in order to move down to $\flat$ VI (shown in the brackets of Ex. 5.6-b). By this insertion $\flat$ VI is prolonged quite a long time and leads to a II - V cadence (mm. 239-240). This move

to $\flat$ VI (mm. 219-231) as a detour on the way to the V is the course taken instead of staying on the tonic throughout--a particularly apt alteration. As a result of this recomposition, the bass motion of the recapitulated transition is A- $F\flat$ - $D\sharp$ - E, while the one in the exposition is A- $A\sharp$ -B (see the middleground graphs--Exx. 5.6-a and 5.6-b under [2]).

Ex. 5.6: Piano Sonata in A, D. 959, I, transitions, (a) in exposition; (b) in recapitulation.

a [1] Exp (trans) (16) (21) (22) (27) (28) (38) (39) (TH II) (55)

a [2] I II# V

b [1] Rec (added) (213) (218) (219) (224) (225) (239) (240) (256)

b [2] I $\flat$ VI II# V I

c. String Quartet in D minor, D. 810, I

An unexpected move to VI occurs at m. 260 toward the end of the second thematic group. This VI is not meant to balance the second key (III) of the exposition, as is often the case, but corresponds rather to the exposition's third key (V) at m. 102 (see Ex. 5.7). This curious modulation to

Ex. 5.7: String Quartet in D minor, D. 810, I, tonal plans of the exposition and recapitulation.

Exposition (Exp)

Thematic Groups: (Th I) (41) (1), (Th II) theme (61), Var I (83), Var II (102), (112), Var III (120) (133), (114) (119), (134).

Key Plan: I — III — V — (A: b VI — V — I)

Recapitulation (Rec)

Thematic Groups: (Th I) (198), (Th II) (218), (241), (245), (260), (278) (291), (272) (277), (292).

Key Plan: I — I# — b — VI — V — I

VI has something to do with a prominent appearance of VI in the key of V near the end of the exposition (m. 114). Since the corresponding place in the recapitulation would automatically produce the VI in the tonic key, the appearance of VI at m. 260 is to introduce the later VI in advance--to prepare for it. Thus, as a result of this change, the VI -V -I progression in the key of V (mm. 114-134) is expanded in the recapitulation (mm. 260-272, see brackets). This large VI relieves the long tonic covering the first and second themes.

d. Piano Sonata for four hands in C,

(Grand Duo) D. 812, I

The main themes of the three-key exposition (I-^bVI-V) are recapitulated entirely in the tonic key (I-I-I)--a unique occurrence in Schubert's three-key expositions. As Ex. 5.8-a shows, at m. 202 the first theme is repeated in the key of IV, and then a transition--now expanded--begins in [#]IV (m. 216), analogous to the C - C[#] move (I - [#]I) in the exposition. This would automatically produce a ^bII, but the altered course directs the cadence to the tonic. The second thematic group then starts in the tonic minor.

Why was the second theme not recapitulated in a non-tonic key, as usual? A plausible answer may be found in the overall structure of the movement, as shown in Ex. 5.8-b.

Ex. 5.8: Grand Duo in C, D. 812, I, (a) first theme in exposition and recapitulation; (b) overall structure of the movement.

a

Exp (Th I) (1) (trans) (34) (44) (46) (Th I) (50) (80)

I #I (A^b: IV^x V ^bVI I) V

Rec (Th I) (175) Th I rep. (trans) (202) (216) (230) (238) (Th II) (242) (274)

I IV #IV — 5^b V I ^b — 4

b

Exp (Th I) (1) (Th II) (50) (80) Dev (117) Rec (Th I) (175) (Th II) (242)

I (bVI) V III I —

The prominent III which opens and ends the development results in a V - III - I arpeggiation connecting the end of the exposition to the beginning of the recapitulation. This huge III requires the second theme to stay in the tonic, because after the V - III - I arpeggiation a move to a non-tonic key, particularly to a III, would have been ineffective. Also, the recapitulation's opening tonic, having entered at m. 175 without benefit of a preceding V, becomes more fully established thanks to the extensive cadential progression (V - I) that leads to the second theme.

e. Piano Sonata in B^b, D. 960, I

The recapitulation has an interesting harmonic alteration in both the first theme and the transition that contrasts with the conventional confinement of change to the transition only. The G^b at m. 235 is switched to A at m. 241, and, after adding a 7th in m. 253, finally goes to I at m. 255. (The switch from G^b to A recalls the F[#] and A oscillation in the exposition's second theme.) As Ex. 5.9 shows, the recapitulation also has a very different harmonic structure from the seemingly three-key plan.¹⁷ There is no big voice exchange here, but the second key at m. 267, B

17. For the reading of the recapitulation given in Ex. 5.9, I am indebted to Professor Charles Burkhart.

minor, is also subsumed into the more structural D major (m. 277). This III then functions as a third divider of the I - V progression.

Ex. 5.9: Piano Sonata in B^b, D. 960, I, recapitulation.

(Th I) (Th II)

216 235 244 255 266 277 291 293 298 299

N N N N

6/4 = 5/3

5-(b6) 5-(b6)-5

(D: VI V I)

I III # V I

keys: B^b b B^b

3. Non-Tonic Recapitulations

The works of this period reveal Schubert's persistent search for a satisfactory realization of sonata form. His handling of that form is unprecedented in music history. As

I pointed out in Chapter IV, his unique approach is to pursue intensively a "continuous tonal motion," and thus to turn the essentially bipartite sonata construction into a unitary type of form--one with no interruption in the fundamental line. In the non-tonic recapitulations of his last period, the transition is frequently the point of a dramatically presented tonic return. It is remarkable how the beginning of the recapitulation continues the tonal motion from the development section, while the recapitulated thematic material, though modified, maintains its original order. Speaking of the two-sided nature of this crucial spot, Webster defines "a synthesis of preparation (retransition) and return (recapitulation)."¹⁸ Thus, the beginning of the recapitulation contrasts with the rest of the section, which is tonally and thematically more stable.

Various keys are used for the non-tonic recapitulations, and various approaches are taken to them. The non-tonic keys include not only the $\flat$ VI and $\flat$ III, which Schubert had favored in 1819-1823, but also the more unusual VI $\sharp$, $\sharp$ VI in the minor key, and VII $\sharp$ in the major key, as shown in the following list:

18. "Schubert's Sonata Form," 32.

$\flat$ III: D. 812, IV and D. 944, IV

$\flat$ VI: D. 898, I

VI $\sharp$: D. 840, IV and D. 959, IV

$\sharp$ VI: D. 845, I

VII: D. 840, I

IV: D. 898, IV

As noted, tonic return in this period takes place at the beginning of the transition.¹⁹ The only exceptions are the finales of the "Great" Symphony, with the tonic return at the second theme, and the A-major Sonata, D. 959/IV, a rondo movement, which has a very short non-tonic key (mm. 212-220). Therefore, compared to Schubert's previous practice, tonic return now tends to occur much earlier within the first thematic group. As pointed out above, the coincidence of the tonic return with the beginning of the transition is intimately related to the period structure of the first theme.

From the standpoint of preparation for the non-tonic key, the non-tonic recapitulations of this period can be divided into three groups: (1) a non-tonic key preceded by

19. For the finale of the C-major Sonata, D. 840, we do not know where the tonic return would take place, because it was left incomplete shortly after the beginning of the recapitulation.

its own dominant (first and last movements of the C-major Sonata and finale of the A-major Sonata); (2) a non-tonic key preceded by minimal preparation via a brief and passing V (A-minor Sonata and finale of the B^b-major Trio); and (3) a non-tonic key preceded by the V of the tonic key (the finales of the Grand Duo and the "Great" Symphony, and the first movement of the B^b-major Trio).

Also, these non-tonic recapitulations can be divided according to the two types defined in Chapter I. Most of the recapitulations belong to Type II either by beginning unobtrusively with no or minimal preparation, or by having a modulatory first theme. The few recapitulations belonging to Type I are the rondo or sonata-rondo movements: the finales of the C-major Sonata (D. 840) and the A-major Sonata (D. 959). These have a clear sectional demarcation between development and recapitulation, and take a procedure similar to that of the subdominant recapitulations of 1816-1819.

The different types of non-tonic recapitulation and the various approaches to them yield various rhetorical effects. In the first movements of the Piano Sonatas in C (D. 840) and in A minor (D. 845), the extremely modulatory first theme seems to be in the midst of the development section, thus producing an effect of developmental continua-

tion. The non-tonic beginnings in the finales of the Grand Duo (D. 812) and the "Great" Symphony (D. 944) have a different effect: After the extensive dominant preparation of the tonic key at the retransition, the appearance of the first theme in $\flat$ III is quite a surprise. On the other hand, in the $B^{\flat}$ -major Piano Trio (D. 898) and the finale of the A-major Sonata (D. 959), the non-tonic recapitulation begins as a detour and soon leads into the tonic key. Such an effect--going somewhere other than the expected tonic--is intensified all the more by the ritardando sign at the non-tonic statement of the first theme (m. 218 in the finale of the A-major Sonata, and mm. 191 and 212 in the $B^{\flat}$ -major Trio).

It appears that Schubert cultivated certain types of non-tonic recapitulation at certain times. In 1825, in the first movements of the two consecutive piano sonatas, he used an extremely modulatory first theme, while in the finales of the C-major works composed during 1824-1825, he preferred beginning the recapitulation with a surprising $\flat$ III juxtaposed against the dominant chord. In his last year, 1828, he was interested in beginning the recapitulation with a "detour" to $\flat$ VI or VI (see the $B^{\flat}$ Trio and the finale of the A-major Sonata). The latter work particularly has the effect of an "off-tonic" beginning because it re-

turns to the tonic so soon rather than staying a while in a non-tonic key. As mentioned before, Schubert also used this device at this time in works not in sonata-related form (the minuet of the C-major Sonata, D. 840, and the second of the Two Characteristic Marches, D. 886).

The non-tonic keys function in various ways within the harmonic structure of the entire movement. Four of the recapitulations in our list share a feature that relates them as well to earlier works (1816-1823): The non-tonic key at the recapitulation lies one step higher than the preceding key or chord of comparable structural weight (see Ex. 5.10):

VI - VII in D. 840

VI - $\sharp$ VI in D. 845

V - $\flat$ VI in D. 898

$\flat$ III - IV in D. 898, IV

It is remarkable that the keys of certain non-tonic recapitulations are of very low structural rank, embedded in the main structural harmonies of the movement. Certain recapitulations of 1825 are cases in point. As Ex. 5.10-a shows, the VII in the C-major Sonata (D. 840) completes a very expansive third progression in the bass, G - A - B, within a background V. Likewise the $\sharp$ VI (F $\sharp$ minor) in the A-minor Sonata (D. 845) is a mere passing chord promoting a

smooth large-scale IV to V, which lies within a still larger third progression, C - D - E (see Ex. 5.10-b).

Ex. 5.10: Four movements with non-tonic recapitulatory keys that lie one step higher than the preceding key or chord, (a) Piano Sonata in C, D. 840, I; (b) Sonata in a, D. 845, I; (c) Piano Trio in B^b, D. 898, I; (d) Trio in B^b, D. 898, IV.

a

Exp Dev Rec

① ⑤③ ⑦① ⑩④ ⑮⑦ ⑱① ⑲③

b

Exp Dev Rec

① ④② ⑩⑤ ⑫② ⑭⑥ ⑮③ ⑱④ ⑲⑥

c

Exp Dev Rec

① ⑤⑨ ⑩① ⑮⑨ ⑲⑨ ⑲①

(Ex. 5.10, continued)

Exp Dev Rec 385
 ① 88 116 250 281 345 369 370

4. Selected Examples

Five non-tonic recapitulations will be considered: the finales of the Grand Duo, D. 812 and the "Great" Symphony, D. 944, and first movements of the C-major Piano Sonata, D. 840, the A-minor Sonata, D. 845, and the B^b-major Trio, D. 898. The first two examples, composed during 1824-1825, are counted among Schubert's most successful finales, and are written in sonata, not rondo, form. These two C-major finales use the same non-tonic key (b^{III}) and have a similar overall structure. The two piano sonatas--similar in thematic and harmonic organization--are works of the same year, 1825, and are larger in scope than any of his earlier piano sonatas. They represent a new phase of his mature style in their extremely continuous tonal motion coupled with minimized occurrence of the non-tonic key and the constant thematic development. It can, in fact, hardly be said that these pieces have an explicit recapitulation. The B^b-major

Trio of 1828 is the last example of Schubert's non-tonic recapitulation. This work reveals his renewed interest in it and calls forth another unique solution.

a. Sonata in C major for four hands (Grand Duo),
D.812, IV.

This sonata is an ambitious large-scale work. Einstein has singled out the finale as the most impressive of the four movements, "with all the signs of the genius loci."²⁰

The background of the movement is shown in Ex. 5.11-a. Continuous tonal motion is achieved by the prolongation of the V, which is superimposed over the foreground thematic and tonal events, and the large-scale bass arpeggiation of the tonic triad, V - III - I, spanning m. 221 to m. 293 (see Ex. 5.11-a).²¹

This particular recapitulation is different from all the others, since it has an exposition beginning with a non-tonic opening; the first theme starts on A minor at m. 5, but cadences on C major at m. 12, thus producing an auxil-

20. Einstein, Schubert, 241.

21. A similar arpeggiation, V - III - I, is also prominent in the first movement of the same work (see II. A. 2 of this chapter).

lary cadence. The peculiarity of the movement is that the possibility of a non-tonic beginning of the recapitulation is inherent, on account of the big V at the end of the development. Had Schubert wanted a "tonic" recapitulation, he would have needed a big III[#] here to lead back to the opening auxiliary A. Thus, in a sense, at this point of the recapitulation, the idea of the non-tonic beginning is preconditioned.

In the recapitulation the entire opening is repeated a minor third higher. The piece seems to want to recapitulate in E^b, or some nearby key, but is constantly thwarted. As Ex. 5.11-b shows, the G-octave of the recapitulation keeps coming back (mm. 232, 243, and 254) and wipes out the "attempted" cadences on E^b, B^b, and A^b. Meanwhile, this overriding G projects an arpeggiation in the top voice of g - b - d (mm. 221-254; see Ex. 5.11-b), and is emphasized through dynamics, texture, and duration.

Although the G octave at the beginning of the recapitulation mimics the opening E-octave to signal the arrival of the first theme, it is strongly associated with the same G octave at the end of the exposition (m. 148). During the development section the V has been prolonged by a lower-neighbor harmony, G - F - (F[#]) - G. As Ex. 5.11-a shows, the tonicized V at m. 148 is connected to the V at

m. 221--one huge background dominant.

Ex. 5.11: Grand Duo in C, D. 812, IV, (a) overall structure; (b) details of the first theme in the recapitulation.

a

(Th I) (Th II) Dev Rec (Th I) (trans)

① ⑫ ⑮ ⑰ ⑲ ⑳ ㉑ ㉒ ㉓ ㉔ ㉕ ㉖ ㉗ ㉘ ㉙

I V V III I

b

Rec (Th I) (E^b) (B^b) 3rd

㉒ ㉓ ㉔ ㉕ ㉖ ㉗ ㉘ ㉙ ㉚ ㉛ ㉜ ㉝ ㉞ ㉟ ㊱ ㊲ ㊳ ㊴ ㊵ ㊶ ㊷ ㊸ ㊹ ㊺ ㊻ ㊼ ㊽ ㊾ ㊿

V V III I

A remarkable parallelism is found in the recurrences of a descending third motive, G - F - E. It appears first in mm. 20-24 when the cadence on G (m. 20) moves down to E (m. 24) in order to prepare for the thematic restatement. It occurs more dramatically in the retransitional passage at the end of the exposition (mm. 148-157) to direct the music back to a repeat of the exposition (Ex. 5.11-a). The most structurally important third progression--large and complex--is found in the recomposed recapitulation (mm. 254-280). Here the large-scale third progression, G - F - E, is enclosed within the bass arpeggiation, V-III[#]-I (Ex. 5.11-b).

b. "Great" Symphony in C major, D. 944, IV

Most of the finale of this huge work was composed in 1825. In this finale, with its characteristic breathless rhythms, Schubert reaches new heights, unprecedented in his earlier works.

The overall structure is graphed in Ex. 5.12.²² The movement has a I - V exposition, and a short development section that continues the dominant prolongation. The recapitulation starts in the key of ^bIII at m. 599, but this is a detail within a larger descending third, G - F - E

22. I am indebted to Professor Carl Schachter for this view of the structure.

Ex. 5.12: "Great" Symphony in C, D. 944, IV, overall structure.

(mm. 515-705). Thus, on a higher level the E^b is construed as a sixth over a sustaining bass G (see Ex. 5.12). Particularly noteworthy here is the crucial enharmonic change, E^b (m. 599) $D^\sharp$ (m. 704). Ex. 5.12 illustrates how the voice-leading d to e with a passing $d^\sharp$ lies above the bass $G \ F \ E$. Immediately after the first theme ends on III at m. 750, the second theme follows, structured on the concluding V - I. No interruption takes place in the Urlinie; rather the top line ascends a fourth to g ($\hat{2}$ d - e - f - g, mm. 515-781) within an enormously prolonged V. Therefore,

Webster describes the recapitulation's first theme group as "a huge parenthesis within the dominant."²³

The surprising E^b of m. 599 seems to occur in juxtaposition with G (5^b6) because the only preparation for the key of E^b is a descending third, G -F- E^b (mm. 576-598) in an inner voice played by trombones and bassoon with G-pedal in the bass. At the entrance of the first theme, the E^b chord is suddenly in root position (mm. 599-612). A striking resemblance to the beginning of the development (see m. 385) is the way in which E^b emerges from the well-established V.

As always in Schubert's non-tonic recapitulations, the recapitulation adheres fairly closely to the thematic design of the first theme group in the exposition. There is considerable divergence in tonal structure (see Ex. 5.13). While the exposition's first theme up to the transition (mm.1-89) displays the prolonged tonic, the recapitulation's non-tonic key (E^b), after its cadence on m. 631, soon goes to G minor (m. 641), then by sequences reaches F major (m. 689). Thus the transition at m. 690 starts on a well-established IV, analogous to the strong cadence on the tonic in the exposition (m. 90). The recapitulation diverges from the exposition at m. 702, moving toward the crucial augment-

23. "Schubert's Sonata Form," 33.

Ex. 5.13: "Great" Symphony in C, D. 944, IV, comparison of the first theme in (a) exposition and (b) recapitulation.

The image displays two musical staves, labeled 'a' and 'b', comparing the first theme in the exposition and recapitulation of the 'Great' Symphony in C, D. 944, IV. Both staves are in bass clef.

Staff a (Exposition): Labeled 'Exp (Th I)' at the top. It shows a melodic line starting at measure 1, with measure numbers 1, 25, 36, 90, 106, 113, and 145 circled. Roman numerals I, II, and V are placed below the staff. A bracket connects measures 106 to 113, indicating a descending third.

Staff b (Recapitulation): Labeled 'Rec (Th I)' at the top. It shows a melodic line starting at measure 599, with measure numbers 599, 631, 644, 690, 704, 705, and 733 circled. Roman numerals V, (IV), and III are placed below the staff. A bracket connects measures 646 to 670, indicating an ascending third.

ed 6th (F-D[#]) that leads to E major (III[#], m. 705). An interesting coincidence is the occurrence of descending thirds in the exposition, C - A - F - D (mm. 106-113) and the ascending thirds in the recapitulation, D - F - A - C (mm. 646-670). See the brackets in Ex. 5.13, a and b.

As mentioned earlier, the top-line ascending fourth

(d-g) reaching from the exposition's second theme to the same theme in the recapitulation is additionally interesting because precisely this same technique is observed in our next example, also in C major.

c. Piano Sonata in C major (Reliquie), D. 840, I

The subtle and complex handling of sonata form in this movement is markedly different from that in previous piano sonatas. Most of all, it finds expression in the puzzling tonal plan of the movement: (1) the key of VII (B minor) as second key in a three-key exposition; (2) the non-tonic recapitulation in the key of VII (B major); and (3) the key of VI (A minor) for the second key in the recapitulation. Only this once did Schubert use such an experimental tonal plan. The overall structure of the movement is presented in Ex. 5.14-a. We shall note later that this movement and the first movement of the A-minor Sonata have many similarities.

Most striking is the ambiguous beginning of the recapitulation. The thematic return in B major (m. 151), although enormously anticipated by a prolonged F[#] chord (mm. 126-149), is soon subjected to further modulations to D (m. 162) and F (m. 168), thus weakening a sense of firm recapitulation. Very different opinions on this matter--the

point of the recapitulation--have been held by scholars.²⁴ Probably it is closer to the truth to conclude that the movement does not have an exact point of recapitulation, or, more precisely, that Schubert here wanted to avoid the effect of recapitulation as much as possible. Nevertheless, m. 151 stands out because it is preceded by a long retransition on F[#] as V, and because from m. 151 on the thematic events of the first theme are restated in order. The tonic finally returns at m. 183, with the transition.

This movement is an example par excellence of "continuous tonal motion" enveloped within a long background dominant stretching all the way from the end of the exposition through the entire development and recapitulated first theme to the tonic return (m. 183). Within this large V lies the progression V - VI - VII - V--a composing-out of the upper third of V. The VII - V progression found from the thematic return to just before the tonic return (mm. 151-181) takes a

24. Denny takes m. 151 as the beginning of the recapitulation, while Coren prefers m. 169. The latter seems to choose the thematic statement in F since it resembles more closely the opening theme (mm. 1-4), and is more stable than the B-major statement of m. 151. See Coren's "Ambiguity in Schubert's Recapitulations," 570, and Denny's "Articulation, Elision, and Ambiguity in Schubert's Mature Sonata Forms," 347-349. Levenson regards m. 151 as a false recapitulation and m. 183 as the real recapitulation, in "Motivic-Harmonic Transfer in the Late Works of Schubert," 132-133. This view seems to me more accurate.

very complicated harmonic path, as shown in Ex. 5.14-b. A noteworthy detail is the $f^\sharp$ -g motive, which appears first in mm. 20-24 and recurs in the second theme and the recapitulated first theme (see Ex. 5.14-c).

Ex. 5.14: Piano Sonata in C, D. 840, I, (a) overall structure; (b) details of development and recapitulation; (c) occurrences of $f^\sharp$ -g motive.

a

Exp (Th I) (Th II) Dev Rec (Th I) (Th II)

① ⑤③ ⑧⑥ ⑦① ⑩④ ⑮⑦ ⑱① ⑲③ ⑳④ ㉓② ㉔④ ㉔⑤

I (VII) V 3rd (VI) V I (VI) I II⁶ V I

b

⑦① ⑩③ ⑩④ ⑫⑥ ⑮⑦ ⑮② ⑮⑧ ⑰⑥ ⑰⑦

5 — 6 5 — 6 — 5 8 — 8 — 8

I V VII V₇ I

(Ex. 5.14, continued)

The musical score is in C major, indicated by a 'C' at the beginning. It consists of two staves. The upper staff contains a melody with notes and rests, with measures 1, 20, 24, 53, 71, 151, 181, and 183 circled below it. The lower staff contains a bass line with notes and rests, with measures 1, 20, 24, 53, 71, 151, 181, and 183 circled below it. Roman numerals are written below the bass line: $bVI^x V$, $VII V$, $VII^\# V?$.

The use of A minor for the recapitulated second theme (m. 214) deserves a brief comment. At first sight, this choice seems to jar with Schubert's usual procedure dealing with three-key plan. However, the particular harmonic context of the movement with the huge emphasis on VII makes it hard to choose a second key in the recapitulation. Since the key of A is preceded by a long dominant preparation, if Schubert had aimed for the "automatically produced" E minor, it would likely have been preceded by its dominant, B major. Note that this would have produced a large-scale B (m. 151) - C (m. 183) - B (preceding m. 214) that produces a redundant effect at the second B. The choice of the relative minor, a, avoids this pitfall. It is also a good choice of key here because it does not produce a remote tonal diversion

away from the long-awaited concluding structural tonic.

In summary, the recomposed recapitulation restates the events of the exposition in a new light. In Schubert's entire output, this movement stands out as the most radical treatment of recapitulation, so radical that it seems not to have an exact point of recapitulation.

d. Piano Sonata in A minor, Op. 42, D. 845, I.

This sonata was published in 1825 by Pennauer as 'Premiere Grande Sonate,' Op. 42. Unusual design features of the movement are: 1) the reappearance in the exposition of the first theme in C minor (m. 64), and 2) the nature of the second theme (m. 40f), which sounds like a continuation of the transition theme (m. 26).²⁵ Especially noteworthy is the fact that in each large section the first theme occurs twice a minor-third apart, and every time in the minor mode: A and C in the exposition, D and F in the development, and F[#] and A in the recapitulation. The overall structure is shown in Ex. 5.15-a.

The development seems to continue until the tonic return at the transition (m. 186) because the thematic return at m. 146 is hardly recognizable as the beginning of

25. A. Einstein comments that there is no second theme in this movement (Schubert, 248).

a new section. The texture of the first theme is changed from unison to two voices in imitation. The F[#] minor (#VI)--quite remote from the tonic key--is only briefly touched at mm. 144-149, not established by cadence. Rather, the phrase beginning on F[#] ends on a half cadence on E (m. 150), and, sequentially, the following phrase starts in A minor (m. 152) and ends on G (m. 156). (Obviously this A minor of m. 152f is not functioning as a structural tonic.) Nonetheless, this thematically transformed and modulatory first theme retains the sequence of events of the exposition and ends on V at m. 178, as at m. 18 of the exposition. Thus, the first twenty-five bars of the opening are expanded to thirty-nine bars in the recapitulation: mm. 1-10 become mm. 146-166, and mm. 10-25 become mm. 166-185.

The C-minor reappearance in the exposition of the first theme (m. 64) is structurally parenthetical--mode mixture within a large C major. But when it recurs in the recapitulation in A minor (mm. 224), it is not an interpolation, as in the exposition. Rather it sounds fresh because up to this point we have not heard the complete first thematic statement in the tonic key.

Of all Schubert's non-tonic recapitulations, this one is the most transient within the overall harmonic progression. The graph in Ex. 5.15-b illustrates that the F[#]

Ex. 5.15: Piano Sonata in a, D. 845, I, (a) overall structure; (b) details of development and recapitulation.

(Th I) (Th II) Dev (Th I) (trans)

① ③⑧ ③⑨ ④⑩ ⑦⑦ ⑩⑤ ⑩⑥ ①④⑥ ①⑤⑥ ①⑧⑦ ①⑧④ ①⑧⑥

a

I III V# I

Exp Dev Rec

b

① ③⑧ ④⑩ ⑩⑤ ⑩⑥ ①③② ①③③ ①③④ ①④② ①④③ ①④⑥ ①⑤⑦ ①⑤⑧ ①⑧⑦ ①⑧⑧

I III IV (VI #VI VII) V⁷

functions as a passing tone from F to G, and this F - F[#] - G is an inner voice participating in an unfolding of large-scale thirds, D - F and G - E.²⁶ These thirds in turn lie within the IV - V of a background III - IV - V that stretches from the second theme of the exposition to the recapitulation's transition.

At the end of the development, the emphasized A dominant-7th chord (m. 134f.) is particularly ambiguous. As a dominant chord of D minor it could relate back to the IV of m. 105, or it could function as an augmented 6th and lead to a cadence in C[#] major or minor. But instead, it takes us surprisingly to the V of F[#] minor (m. 144).

The analyses of the first movements of the C-major and A-minor Sonatas reveal their many similarities. In addition to the resemblances between their first themes, they share a similar thematic construction, that is, alternative occurrences of two themes--first theme in unison and chordal texture, and the transition theme in march rhythm. More significant are their structural similarities (see Ex. 5.16). In both works a prominent VII appears in the recapitulated first theme before the structural V arrives.

26. This bass reading (F[#]-G, mm. 146-156), though seemingly incongruent with the sequential design, is confirmed by the very extended G in mm. 156-166.

Ex. 5.16: Similar progressions in (a) Piano Sonata in C, D. 840, I, and (b) Piano Sonata in a, D. 845, I.

a

Exp Dev Rec

I V VI VII V I

5-6*

b

Exp Dev Rec

I III IV (VI VII) V I

b, #, *

In order to move from VII to V, the phrases are constructed in using minor thirds (shown in brackets in Ex. 5.16).

Also, the VII is preceded by VI followed by a chromatically rising bass: A - A[#] - B in D. 840 and F - F[#] - G in D. 845. Thus, the unfolding of V via VII plays a significant structural role in both movements. In spite of these similarities, I would say that the A-minor Sonata is a much more original and successful composition than the C-major

Sonata.²⁷

e. Piano Trio in B^b major, D. 898, I

This movement of 1828 is the last non-tonic recapitulation that Schubert wrote. As shown in Ex. 5.17, the altered first part of the first thematic group in the recapitulation is the only irregularity in an otherwise perfectly normal sonata form. The beginning of the recapitulation is singled out by Coren as a passage in which various elements such as tonality, formal ambiguity, and the structural use of texture are operative.²⁸ Webster validly considers it "another synthesized retransition and reprise based on two paragraphs in the exposition."²⁹ The particular way in which this recomposed recapitulation functions within the structure and design of the whole movement is not only very felicitous in itself, but also based on a harmonic plan not used in any other work.

As Webster implies, the phrase structure of the first

27. In view of the fact that the former was left incomplete, while the latter was completed and published in the same year, one wonders about Schubert's opinion of these two sonatas. Might he have felt that the harmonic exploration in the C-major Sonata had gone too far--was too radical to be understood?

28. "Ambiguity in Schubert's Recapitulations," 578-581.

29. Webster, op. cit., 32.

thematic group might be responsible for the recomposition in the recapitulation. The first group comprises two large parts (mm. 1-25 and mm. 26-55), which are parallel in both phrase structure and, to a large extent, harmonic structure. The first part outlines a I - III[#] - V in the tonic key, and the second part, I - III[#] in the key of V. Here, as pointed out by Webster, the move to the V at mm. 36 is achieved in a perfunctory way since the transition lacks any sense of tonicization of the dominant.

If one imagines what a regular tonic recapitulation might have been, the inherent compositional problem is immediately apparent. Taking into account Schubert's usual practice of recapitulating as exactly as possible the second part of the first group, one might suppose that in the recapitulated second part Schubert would maintain the relation III[#] to I--as a transposed version of VII[#] to V of the exposition, which he actually did (see Ex. 5.17, mm. 234-243). But if we had a tonic opening with an exact repetition of the first part, there would be two I - III[#] progressions, which would produce an unpleasantly redundant effect. Hence the recomposition is confined to the first part only of the first theme group, while the second part is mostly repeated.

Ex. 5.17: Piano Trio in B^b, D. 898, I, overall structure.

Exp (Th I) (1) (18) (24) (26) (Th II) Dev (49) (59) (112) (120) (134) (139) (182) Rec (Th I) (183) (209) (211) (234) (247) (Th II)

I (III[#]V) I (VII[#]) V V (bVI) I (III[#]) I

The development section recalls similar progressions of the exposition in the following ways (see Ex. 5.18): (1) the move from B^b minor (m. 112) to D^b (m. 120) associated with the move from F minor to A^b (mm. 81-85) (which will appear as B^b minor to D^b in the analogous place in the recapitulation); (2) the ascending third, D^b - E^b - F (mm. 120-132) recalling the F - G - A of mm. 37-49; (3) the third drop from C to A^b (mm. 134-139) introducing the second theme in exactly the same way as the second theme was approached in the exposition; and (4) the use of the same thematic material at the retransitional passage at the end of both sections (mm. 100-111 and 175-182). Thus, the whole development paraphrases in order the main events of the exposition.

Ex. 5.18: Piano Trio in B^b, D. 898, I, similar progressions in exposition and development.

The first passage (measures 1-9) is shown on a single staff. The notes are: 1 (A), 37 (F), 49 (A), 57 (F), 81 (A), 85 (F), 89 (A), 90 (F), 91 (A). The progression is labeled (A - F) (f - A^b).

The second passage (measures 112-139) is shown on a single staff. The notes are: 112 (B^b), 120 (D^b), 132 (A), 134 (F), 139 (A). The progression is labeled (B^b - D^b) (C - A^b).

Of particular interest is the relation between the two passages leading to the return to the structural tonic--mm. 108-111, which lead to the repeat of the exposition, and mm. 183-211, which lead to the tonic return in the recapitulation. The second is an ingenious expansion of the first. As illustrated in Ex. 5.19-a, the ascending third in the bass, from F to A, is understood as a motion into an

inner voice, with F held through in the top voice. The rising fourth of the bass becomes the basis of the expansion, as shown in Ex. 5.19-b. The occurrences of the minor triads on A^b , $A^{\sharp}$, and B^b are reminiscent of the parallel minor tenths in the lower two voices of mm. 111-112. The

Ex. 5.19: Piano Trio in B^b , D. 898, I, similar progressions in (a) mm. 108-112 and (b) mm. 183-211.

a

b

transitory effect of the G^b at the opening of the recapitulation (m. 187) is due to the larger ascending fourth (F to B^b), which endows the G^b with a passing function.

Summary

In his final period (1824-1828) Schubert wrote more large-scale instrumental works than in any other period, and in so doing raised his unique sonata procedures to new heights. The bold experimentation of 1820-1823 was channeled into a new idea of form. In this period his mature handling of the form is to employ both traditional and progressive features. His late approach to the form is characterized by a new, subtler treatment of the three-key exposition, the expansion of the development section by the use of large-scale sequences, the very ingenious realization of the recapitulation, and the increasingly important role of the coda.

The subtler treatment of the second key in the three-key exposition results in a profound change in the exposition's harmonic structure. By the much reduced structural role of the second key, the tonal structure is more firmly grounded on I and V (D. 956 and 960).

The recapitulations are introduced by elaborate and lengthy retransitions, or prepared for in quite novel ways. Often the tonic recapitulations include substantial altera-

tions. The non-tonic recapitulations of this last period employ diverse non-tonic keys and various approaches to these keys. For the most part the tonic return occurs at the transition. All the non-tonic recapitulations in sonata-form movements belong to Type II. The achievement of "continuous tonal motion" is promoted by the use of non-tonic keys of lower structural rank than before, and by a first theme that is extremely modulatory. However, the beginning of the recapitulation continues the tonal motion from the development section. The unitary structure found in many works is Schubert's largest contribution to the development of sonata form.

CHAPTER VI

SCHUBERT'S UNUSUAL KEY RELATIONSHIPS

Schubert's predilection for unusual key relations is well known. His use of unorthodox keys causes considerable difficulty for analysts, and challenges the norms of classical tonality. Besides the many cases in the instrumental music are those of the songs, some of which begin in one key and end in another.¹

Tovey was probably the first scholar to draw much attention to Schubert's exploration of unusual key relationships.² He described quite thoroughly many kinds of key shifts: from one key to another by diatonic modulation, by chromatic modulation, or by mode mixture or, more boldly, by double mode mixture (e.g., C to E^b minor, or C minor to A major), as well as by "Neapolitan relation"--moving by half step from the tonic, e.g., to ^bII or VII^{#5}. In the same vein, Daniel Jacobson's statistical study attempts to show the employment of key relations in systematic stages, from

1. See Harald Krebs, "The Background Level in Some Tonally Deviating Works in Franz Schubert," In Theory Only VIII/8 (1985), 5-18. He states; "Approximately one-tenth of his Lieder do not end in the same key in which they begin" (p.5).

2. "Tonality in Schubert," Music and Letters IX (1928), 341-363; repr., in Essays and Lectures on Music (London, 1929), 134-159.

diatonically related keys, to parallel related keys, to third-related keys, to keys using chromatically altered tertian leaps and enharmonic pivots, and to keys by double mode mixture.³

On the other hand, Irene Levenson argues that in Schubert's late chamber works (1824-1828) the unorthodox key areas may be explained by the transfer of chromatic motivic material to the harmonic structure.⁴ Her three categories of chromatic motivic operations are Neapolitan relations, neighbor-note structures, and enharmonically equivalent pitches.

Though the subject of unusual key plans in Schubert is ancillary to my main thesis, it nevertheless deserves mention. This chapter is far from a comprehensive study of such a broad topic, which would need another thesis to do it full justice. Hence, my discussion is necessarily selective. I attempt to point out some types that have not received much attention by others. Starting with unusual keys within a single movement, I shall consider key rela-

3. "Franz Schubert: Expanding the Realm of Harmonic and Formal Thought, c1810-1828" (Ph.D. diss., University of California, Santa Barbara, 1986).

4. Irene A. Levenson, "Motivic-Harmonic Transfer in the Late Works of Schubert: Chromaticism in Large and Small Spans" (Ph.D. diss., Yale University, 1981).

tions between two or more movements of multi-movement works, some of which will involve all the movements.

It is first necessary to clarify the terms tonality, key, modulation, and tonicization from the theoretical standpoint of this thesis. In his excellent article on the Schenkerian concept of key, Carl Schachter elucidates these basic terms.⁵ First of all, all keys are conceptually distinct from the tonality of the work. According to Schachter, the term "tonality" is applied to the totality of foreground keys through their relation to the tonic. These include both diatonically and chromatically related keys. In Schenker's monotonal approach, the concept of the scale step (degree) within the tonality replaces the notion of arbitrary keys other than the tonic within one composition. Tonicization or modulation is the process of making scale steps (degrees) other than the tonic sound temporarily like tonics. In other words, all keys at the foreground are tonicized scale steps in the middleground levels, though there are distinctions between large-scale, structural modulations and smaller, local ones. Thus, in Schenker's theory keys are understood as secondary, not primary, struc-

5. See "Analysis by Key: Another Look at Modulation," Music Analysis VI/3 (1987), 289.

tural elements, and key relations (or key plans) are something quite distinct from structural harmonic progressions.

I use the term "key plan" in a general sense to indicate large-scale compositional planning in terms of keys. There is no doubt that Schubert often consciously planned his works with a certain key plan in mind, but from a Schenkerian viewpoint, he did so within the larger constraints of the tonal system.

Two or more keys in a given work, regardless of their structural level, can be "associated." Schenker himself used this concept of "association," and indicated it graphically by means of asterisks (* *).⁶ The associated keys or chords are not to be understood as connected by voice-leading. They are associated simply by virtue of a similar sonority, or some other attribute, such as a particular chromaticism. It is possible that a particular key, in addition to participating in such an association, is at the same time participating in a structural harmonic progression.

6. See Free Composition, Figs. 121, 102.6, and 114.7

I. Reversed Key Plans

An interesting type of key plan in Schubert is one in which a particular key succession occurring early in the movement is later repeated in reverse order. Such "reversed key plans" are clearly connected to the thematic design. An early example is the first movement of the G-minor Violin Sonata (D. 408). As pointed out by Rosen,⁷ the three-key plan of the exposition--g - B^b - E^b--appears reversed in the recapitulation--g - E^b - B^b - g.

Sometimes a highly unusual key appearing at the beginning of the recapitulation refers to a similar key occurring at an important point earlier in the movement. The first movement of the C-major Sonata (D. 840) has the unusual key of B minor for the second theme, then begins the recapitulation in B major. Though there is a mode difference, the C - b is clearly reversed as B - C. Another, though smaller-scale, reversed key plan is found in the same movement in the C - A^b of the opening fifteen measures and the A^b - C of the coda (see m. 275). This particular key relation is strongly confirmed by the coda's recapitulation of the first theme. Thus a tonicized A^b is the very first and very last chromatic key of the movement.

7. Sonata Forms, rev., 357.

The third movement (Menuetto) of the same piano sonata is in A^b , the flat submediant--a rather unusual choice for a third movement. The opening theme returns--slightly varied--at m. 75 in A major (not A^b), the key of ^bII . This strange non-tonic key--well established by a quite extensive dominant preparation (mm. 57-74)--is associated with the A-major thematic statement of mm. 19-30. Though Schubert did not complete this movement, we can reasonably assume that the tonic key would have followed the A-major return to produce a completely symmetrical key plan: $A^b - A^{\sharp} - E - A^{\sharp} - A^b$.

The finale of the late C-minor Sonata (D. 958) provides a reversed key succession quite unusual for its time. As shown in Ex. 6.1, the keys of the exposition, $c - c^{\sharp}$

Ex. 6.1: Piano Sonata in c, D. 958, IV, showing an inverted retrograde key plan.

Exp Dev Rec

① ⑪③ ⑭⑤ ⑮⑦ ⑰⑨ ⑳③ ㉔③ ㉔⑨

Keys: c c[#] a c e^b - E^b B c

(m. 93 and 113) - a (m. 145), are followed by the keys of e^b (m. 169) / E^b (m. 213) - B major (m. 243) - c (m. 429). This exact inversional retrograde is confirmed by a and e^b sharing the same theme. The striking half-step succession of the opening, c - $c^\sharp$, is reflected in the similar B-c ascent of the development/recapitulation.

II. Key Relationships Between Two or More Movements of a Multi-Movement Work

A. Recurring Key Plans in Two Movements

In certain multi-movement works a three-key plan (usually occurring in the exposition) appears in two movements. A I - IV - V key plan is found in both the first and last movements of the Second Symphony in B^b (D. 125), and a I - III^b - V plan, in the first and last movements of the Seventh Symphony in E (D. 729). In the Grand Duo (D. 812) a I- bVI - V plan occurs in two movements, but in different keys (first movement in C and the second in A^b).

The String Quintet in C is a well-known example of Schubert's predilection for keys in a Neapolitan relationship.⁸ A large-scale key plan, I - bII - I, is employed in both the second movement (E -f -E) and the third (C - D^b -C), a scherzo with trio. This Neapolitan relationship is again

8. See Tovey, "Tonality in Schubert," repr., 150-151.

expressively recalled in the final measures of the finale with the bass notes C - D^b - C.

A reversed key plan occurs in the first and last movements of the Grand Duo (D. 812). The very extensive coda (mm. 396-567) of the finale contains a reminiscence of the first theme in two juxtaposed phrases--in C[#] minor (mm. 422-437) and C minor (mm. 453-468). By means of the preparatory transition (mm. 396-422) and the tempo change (Più Lento, m. 425), the C[#]-minor statement receives emphasis. This surprising diversion to C[#] minor is a reminiscence of the striking C[#] minor at m. 32 of the first movement, where this unusual chord initiates the modulation to the second key (m. 51), A^b (see Ex. 6.2). Thus, I propose that this C[#] chord is related by association to the one of the finale, and the coda there serves as a "coda" to the entire duo.⁹ The first movement began the tonal journey significantly by moving from the tonic to the C[#] chord, and the coda of the finale moves from the C[#] chord back to the tonic, as though closing the curtain on the tonal drama.

9. Also, the curious bass line at mm. 405-422 of the finale, A^b - E - C[#], becomes associated with the reversed bass line of the corresponding place in the first movement (mm. 34-51), C[#] - E - A^b.

Ex. 6.2: Grand Duo in C, D. 812, reversed key plan in I and IV.

I

IV

keys: C C#

C# C

B. Key Associations

We encounter particular keys or chords which recur prominently in two or more movements which are not in the same key. Even though they occur in the movements in different keys, and thus play a different harmonic role in their own contexts, they become associated by virtue of a similar sonority or treatment. An interesting instance is the first two movements of the G-major String Quartet, D. 887. In the contrasting section (m. 43f) of the second movement, which is in E minor, one is struck by the strong allusion to the opening of the first movement--the fortissimo G minor chord arpeggiated in dotted rhythm. Moreover, the main harmonic progression of the section from G minor to F# minor (mm. 43-63) strongly recalls the G to F# of the

corresponding first theme of the previous movement (mm. 1-59). Though F[#] is not established as a key, these two G - F[#]'s constitute a relationship of a special kind between movements.

A particularly rich example is the A-major Sonata, D. 959 (see Ex. 6.3). In the second movement (in F[#] minor), one notes an unexpected key, C minor, at the beginning of the contrasting section (m. 85). Also this same C occurs in the following scherzo in A (m. 17), and even in the trio in D major (as a pedal point at m. 93). This C recalls strongly the one which prevails in the development section of the first movement, where C major later turns to C minor. Thus, this prominent C takes place in the four different harmonic contexts from the three movements--in the keys of A, f[#], and D. All the more significant association is the harmonic context in which C is led to the next important harmony, C[#]. As Ex. 6.3 illustrates, the middle sections of the second movement and scherzo both effect the move from C to C[#]; C is connected to C[#] via a $\frac{6}{4}$ chord over the bass note G[#]. (Note that these $\frac{6}{4}$ chords are also associated by dynamics: Both are played ff.) Even the trio shows a brief move from C to C[#] in the bass.

Ex. 6.3: Piano Sonata in A, D. 959, associated key plans in
(a) I; (b) II; (c) scherzo; and (d) trio.

a

Exp ① Dev ⑬⑩ ⑬①

keys: A C C

b

(A) ① (B) ⑧⑤ ⑨④ ⑩⑦ ⑪② ⑫⑦ ⑬⑦

keys: f# C $\frac{6}{4}$ C# f#

c

① ⑪⑦ ⑫⑦ ⑬⑦ ⑭⑧ ⑮⑦

keys: A C $\frac{6}{4} = \frac{5}{3}$ C# A

d

⑧⑦ ⑨④ ⑩⑦ ⑪②

keys: D C (P.P.) D

The image displays four staves of handwritten musical notation, each representing a different section of a piano sonata. Each staff begins with a treble clef and a key signature of two sharps (F# and C#). The notation includes various musical symbols such as notes, rests, and dynamic markings. Above each staff, there are circled numbers and some text labels. Below each staff, there are handwritten key signatures and other markings. The sections are labeled 'a', 'b', 'c', and 'd'.

C. Key Plans Involving All Movements of the Work

In certain cases the keys of the movements of a work are foreshadowed in a harmonic progression within a single movement. I shall examine several such cases. The first is the "Trout" Quintet in A (D. 667), which is a divertimento-like work consisting of five movements. The movements are based on closely related keys, A - F - A - D - A. The key relations between movements are reflected in a recurring tonal motion, I - $\frac{4}{b}$ VI and I - IV, which occurs within several individual movements. The A - F key relation from the first movement to the second is the initial harmonic progression of the first movement--from the tonic pedal point of mm. 1-10 to the VI pedal in mm. 11-21 (see Ex. 6.4-a). As mentioned in Chapter IV, the unique structural plan of the second movement is a chromatic ascending bass, F - F $\sharp$ - G - A $\flat$ - A $\frac{4}{b}$, plus the return from A minor back to the tonic key, F. This likewise reflects the A - F relationship.

Another key relation, A - D, from the third movement to the fourth is presaged by the subdominant recapitulation of the first movement, in which the tonic at the opening is connected to the IV at the beginning of the recapitulation, and also by the third movement's A major to D major, the keys of the scherzo and trio (see Ex. 6.4-b). Similarly this A - D key relationship may relate to the unusual har-

Ex. 6.4: "Trout" Quintet in A, D. 667, key relations, (a) A - F; (b) A - D.

mov. I II III

a

keys: A — F — A

b

mov. I III IV V

(scherzo) (trio) (S)

keys: A — D — A

monic structure of the exposition of the fifth movement--I-IV. Thus, the relationships A - F and F - A occurring within movements I and II, and the A - D within both III and V, find their largest expression in the tonalities of the five movements--A - F - A - D - A.

The next example is the String Quartet in G (D. 887).

The keys of the four movements are G-E minor-B minor- G. The key of the scherzo, the third movement, is a rather unusual choice, B minor, the relative minor of the dominant key. One notes that B minor figures extensively in the second movement, not as a mere home dominant, but as a key of the returning A section (see brackets with * in Ex. 6.5). (Such an employment of the dominant key for a returning A section is quite rare in Schubert's general practice.) The main harmonic progression of the second half of the second movement, b - D - b (mm. 81-166), recurs in the opening section of the third movement (mm. 1-146). Also the key plan of the scherzo, b - G - b (with the trio in G), foreshadows the

Ex. 6.5: String Quartet in G, D. 887, key plans.

mov. I II III IV

① 59 65 ① 63 63 89 122 166 167 (scherzo) ① (trio) (5) ① 147

keys: G e b G

returning tonic key of the finale.

Thus, the tonal move from the second movement to the third, e - b, appears prominently in the second movement. Likewise, the move from the third movement to the finale, b - G, is realized in the third movement.

Another example, the Fantasy in F minor for four hands (D. 940), shows interesting key planning. Though it is, strictly speaking, a multi-sectional work, its sections correspond to the four movements of a sonata. The key plan of the sections is as follows: (1) Allegro in F minor, (2) Largo in F[#] minor (m. 121f), (3) Allegro vivace in F[#] minor (m. 163f), and (4) Tempo I in F minor (m. 438f). A particular harmonic progression in the opening thirty-eight bars of the Allegro, I - ^bII - V - I, foreshadows the overall harmonic progression of the entire four sections (see Ex. 6.6). Also the final statement of the opening theme at the end (mm. 555-570) sums up the overall progression of the background. Thus the small first foreshadows the large, then the large is reiterated in the small at the end.

The reverse of the process just described can also be found: The keys of the movements are reflected in the harmonic progression of a single movement. Cases in point are the three minor-mode works of 1816, in each of which the key plan of the finale's exposition reiterates the keys of the

Ex. 6.6: Fantasy for 4 hands in f, D. 940, overall structure.

(Allegro) (Largo) (Allegro vivace) (Tempo I)

① ③① ③⑥ ③⑧ ①②④ ①⑥③ ④②② ④②⑥ ④③① ④③⑧ ⑤⑤⑨ ⑤⑥② ⑤⑦①

(I bII V I) (I bII V I) (I bII V I) (I bII V I)

(I ——— bII ——— V I)

Keys: f f# f

preceding three movements (refer to Chapter III). All these works have a highly unusual key for the third movement (minuet)--the key of III or IV.

We have seen how Schubert exploits unusual key-relations within a single movement, and between two or more movements of multi-movement works. This kind of key relationship has received little attention and probably merits further investigation.

CHAPTER VII

SCHUBERT'S TREATMENT OF THE DOMINANT

Schubert's particular treatment of the dominant harmony affects his sonata procedure, as pointed out by James Webster and Arnold Whittall.¹ Therefore, before attempting to summarize his approach to sonata form, one would do well to consider how Schubert approaches the dominant in those places where the V plays an important role.

Schubert chooses to de-emphasize dominant harmony in various ways in his sonata compositions. I shall consider first the V in the exposition. In Schubert's two-key expositions based on I - V, the transition to the second theme is reluctant to establish V via modulation. A general tendency is that no genuine modulation precedes the beginning of the second theme. Instead, the first theme either ends on a half cadence on V in the home key (as in the exposition with bifocal close, i.e., D. 568, 850, and 894) or ends on another harmony (i.e., VII[#] in D. 887 and 898). This approach forms a striking contrast to the transitions of the minor-mode expositions, where substantial modulations

1. See Webster's "Schubert's Sonata Form and Brahms's First Maturity," Nineteenth Century Music II (1978-9), 18, and Whittall's "The Sonata Crisis: Schubert in 1828," The Music Review XXX (1969), 124.

to the key of III always occur (D. 810, 845, and 958).

In the three-key exposition the practice of following the opening I with an important non-V key may be interpreted as clear evidence of Schubert's tendency to de-emphasize V. Here the I-V progression is expanded by an intervening non-V key, which "delays" the arrival of the V. This procedure clearly remained fascinating to Schubert throughout his several creative periods. In his early years (1813-1815) he wrote expositions based on a I - IV - V plan in the manner of the overtures (as in D. 125/I and IV, and D. 200/IV). In the works of 1816-1823 the most common type of three-key exposition is the I - ^(b)III - V plan in which the first theme ends on a half cadence on V, then plunges into the key of ^bIII for the second theme, with the delayed V occurring at the closing theme and thus confined to a very small portion of the exposition. This type of exposition in particular gives an impression of a de-emphasized V. However, in the three-key expositions of his last years (1824-1828) Schubert restored the conventional role of V: The tonal structure became more firmly grounded on I and V with a much reduced structural role for the second key.

Some writers go so far as to question the conventional interpretation of the V in certain of the three-key expositions. For instance, Mary Bante-Knight, in her analysis of

the B^b-major Sonata, I (D. 960), interprets the exposition's V as functioning not as a strongly established key, but as an extended V chord.² There is some merit to her observation, but in my view it is not wholly valid.³ On the other hand, to describe the tonal situation in the exposition of the C-major Quintet, I (D. 956), Judith Shatin Allen coins the term "evolving dominant," and asserts that this particular dominant is "involved in an expanding cycle of approach, deflection, return, and ultimate transformation".⁴ Her notion of "evolving dominant" is particularly apt for describing this exposition, with its vacillation between the keys of E^b and C. The point here is not the relative merits of these particular concepts, but simply to indicate the problem of coming to terms with Schubert's de-emphasis of the exposition's V.

The dominant does not appear at all in certain major-

2. See Mary Bante-Knight's "Tonal and Thematic Coherence in Schubert's Piano Sonata in B^b (D. 960)" (Ph.D. diss., Washington University, 1983), 19 and 93.

3. She contends that the main structural progression of the movement is I - ^bVI - III - I by relegating the key of V (mm. 80-125a) to a mere chord. I disagree with her view of the V and also the structural progression. See Chapter V for my analysis of the movement.

4. "Schubert's C major String Quintet, Opus 163/1: The Evolving Dominant," In Theory Only VI (July 1982), 3-16.

mode expositions in which the conventional role of V is taken by a key other than V. Examples are the second movements of the "Trout" Quintet (F - f[#] - D), the Seventh Symphony (A - f[#]), and the "Unfinished" Symphony (E - c[#]). It appears that Schubert was particularly fond of such an exposition in a slow movement in sonatina form. For expositions that lack a modulatory passage to a non-V key for the second theme, it is hard to specify the form of the movement since the overall design is possibly interpreted as a simple rondo, A B A B (A). Refer to the second movements of the Seventh Symphony and the "Unfinished." Since in both works the first thematic group ends with a strong cadence on I, and the second theme begins in a new non-V key, the second theme sounds like a separate episode--tonally unrelated to the preceding tonic key.

Conventional sonata form calls for the dominant--often a very extensively prolonged one--at the end of the development, where it constitutes a retransition preparing for the tonic return. It should be noted that Schubert's magnificent dominant retransitions are most characteristic of his late period. In his works written before 1824, he preferred to have a short dominant preparation at the end of the development. As noted in earlier chapters, there are even some movements with non-V retransitions. The second move-

ment of the "Unfinished" is a case in point. The C pedal (VI) at m. 129f goes to the tonic (m. 142) without the benefit of the dominant. The Seventh Symphony (D. 729) is similar in this respect. Here the recapitulated first theme occurs suddenly at m. 62 following the established key of VI (F[#] minor) for the second theme (mm. 43-60). One scarcely notices the presence of the V at m. 61.⁵ In the finale of the B^b-major Trio (D. 898) the tonic appearance at m. 345 is not introduced by V, after the first theme has recurred in the key of IV (m. 281f).⁶

Turning to the recapitulation, we find that the use of the dominant in the transition is minimal, precisely as was the use of V of V in the exposition's transition. Even in recapitulations which start in the key of IV, the dominant just before the second theme group is not particularly emphasized (recall the literally transposed recapitulations of D. 459, 575, and 667).

Schubert's peculiar treatment of the dominant is also

5. This approach to the recapitulation and the I - VI key plan of the exposition of this movement may have furnished a model for the slow movement of the next symphony, the "Unfinished."

6. Such a non-V retransition before the thematic return occurs also in movements not in sonata form. See m. 69 in the scherzo of the B^b-major Piano Sonata (D. 960) and m. 104 in the second movement of the B^b-major Trio (D. 898).

referred to by Webster as an "aversion," and A. Whittall calls it "freedom from the V."⁷ In the latter's opinion, this freedom from the V results in what he sees as a 'sonata crisis' in the sense that Schubert's treatment suggests "no new structural principle to replace a form in which the thematic and structural function of the V was basic."⁸ Such criticism seems pertinent when comparing Schubert to his older contemporary Beethoven, who was probably the first composer to de-emphasize V and to seek a substitute for it, and whose practice in this respect may well have influenced the younger composer.

In my view Beethoven's departures from the conventional treatment of the V in sonata form took two distinct designs. In the first (which might be called his "three-key procedure"), the non-V key is a brief detour on the way to V--a detour whose effect is actually to strengthen the ultimate move to V (see the key of VI in the Piano Sonata in D, Op. 10, No. 3, and of $\flat$ VII in the fourth movement of the Eighth Symphony). In the second, a substitute for V governs the entire second theme, and the structural V is delayed until the end of the development. The well-known examples

7. Webster, op. cit., 18, and Whittall, op. cit., 124.

8. Ibid., 130.

from the first movements of the G-major and C-major Sonatas (Op. 31, No. 1, and Op. 53) have III[#] for the second thematic group. This non-V key, which is fully established by its own dominant in the transition, and rules over the entire second thematic group, turns out to be a real substitute for the V.

Beethoven always handled both these procedures in such a way that the I - V relationship was clearly and strongly maintained. Schubert never used the second of them--the "substitute for V"--in his sonata-allegro movements. His three-key expositions always reach V somewhere before their end. But his practice differs from Beethoven's in more crucial ways. He chooses non-V keys (^bIII or ^bVI) that are tonally remote from both I and V, and treats them as independent and stable. Also, his non-V key often enters abruptly without benefit of a transition that prepares for it. Therefore most of his three-key expositions (except the very late ones) effectively weaken the I - V relationship. This "weakening" may be seen as a kind of generation gap between Beethoven and Schubert. To de-emphasize the V and seek alternatives for it not only in sonata form but also in other forms becomes a much more general tendency later in the nineteenth century.

CONCLUSION

A variety of stylistic sources influenced Schubert's constantly evolving sonata procedure: the overtures of Gluck and Salieri; both earlier and contemporary French and Italian opera; sonata form in the works of late eighteenth-century composers, mostly notably Haydn and Mozart; and the modifications of sonata form in works of Beethoven and younger contemporaries. As we have observed in the discussion of his early period (1811-1815), various characteristics, for example, beginning the recapitulation in the key of V, the use of many contrasting keys in the exposition, and the frequent absence of a tonicized V in the exposition, indicate the particular influence of the overture. The works of this time, many written under Salieri, include overtures, symphonies, and string quartets. These works reveal Schubert's lack of experience and his still rather naive conception of sonata form--a conception that is quite free and not far removed from extended binary form.

In his next period (1816-1819) Schubert wrote many piano sonatas, symphonies, and chamber works. The moderate length of the movements in sonata form, their I - V expositions with bifocal close, short developments with minimal retransition, and short codas all suggest the influence of

Mozart. Among Schubert's own innovations are the systematic employment of the three-key exposition, the two-key exposition with "harmonic digression" within the second theme, and the subdominant recapitulation. Moreover, certain works of this period, by being structured on a single uninterrupted progression (e.g., I-^(b)III-IV-V-I in major, I-VI-IV-V-I in minor), reveal the beginning of Schubert's concern with what I have called "continuous tonal motion."

In his middle period (1820-1823) Schubert was searching for novel, often experimental, harmonic structures. Not surprisingly, many works of this time are incomplete. Many also display a highly irregular treatment of sonata form. We find here unusual key plans for the exposition's second theme, and non-tonic keys other than IV or V at the beginning of recapitulations. Certain movements have no development section or omit entirely the first theme in the recapitulation. Schubert's concern with "continuous tonal motion" becomes quite explicit in works in which the exposition is followed not by development or retransition, but by non-tonic recapitulation. Also, Beethoven's influence on Schubert becomes explicitly traceable in this period. As Chusid points out, the "Unfinished" Symphony is a remarkable

example.¹

With growing self-criticism, Schubert achieved a new and consistent approach to sonata form in his final period (1824-1828). The proportionally long development section and long coda (the latter beginning like a second development) bespeak Beethoven's manner. But the notable use of variation technique in the exposition and of large-scale sequences in the development give these works a distinctly Schubertian voice. Schubert's mastery is also evident in a new treatment of the three-key exposition (the middle key of which is now subsumed into a I - V structure) as well as in an ever subtler treatment of non-tonic recapitulation by means of which continuous tonal motion is realized in the highest degree.

In Schubert's sonata works composed over seventeen years the traditional and progressive features complement each other. In spite of his innovations, he adhered throughout his life to certain old traditions: (1) The repeat sign at the end of the exposition is present in all of his sonatas except D. 729; (2) the first theme and the transition to the second theme recur in the recapitulation

1. See his article, "Beethoven and the Unfinished," in Schubert: Symphony in B Minor (New York: Norton, 1928), 98-110.

with only slight changes, and these usually involve the transposition of material without abridgement or thematic development; (3) the second thematic group is almost always reproduced intact in the recapitulation, a feature rarely found in the works of other composers of the post-Beethoven era; (4) the transition to the second theme in the exposition does not modulate to V, that is, it has a 'bifocal close'; and (5) the coda (until 1824) plays no important role.

Some of Schubert's innovations that are usually seen as departing from conventional sonata form are actually derived from his rather old-fashioned treatment of the form. For instance, we have observed that Schubert's practice of three-key exposition is promoted by his predilection for ending the first theme simply on a V chord in the tonic key (bifocal close). Also, the practice of non-tonic recapitulation in the late eighteenth and early nineteenth centuries is, in the opinion of some, one of the conventions stemming from the early Classical composers.² I have suggested above

2. See Rosen, Sonata Forms, rev. ed., 144, 153-162, and 288, and also Denny, "Articulation, Elision and Ambiguity in Schubert's Mature Sonata Forms," Journal of Musicology VI/3 (1988), 354-355. This convention--accepted before the double return has been established as a critical and necessary condition in sonata form--continued to be used in the early 19th century. Examples are found in the works of Rutini, Gassmann, Dittersdorf, Anton Wranitzky, Anton Tey-

in Chapters I and II that Schubert's practice may have originated from overtures or other binary-based forms. In this view his most innovative features--three-key expositions and non-tonic recapitulations--are indebted to his early conception of sonata form. Nonetheless, his innovations cannot be minimized for this reason. On the contrary, Schubert's modeling his works on those of an earlier generation provided fertile ground for his unique approaches. Notwithstanding the influences from diverse stylistic sources, Schubert persevered in the development of his own sonata procedures, most notably the three-key exposition and non-tonic recapitulation.

We have observed how Schubert remolded his sonata form within the basic constraints of the form. He did not seek a totally new principle to replace conventional sonata form. Rather he attempted to adapt certain novel and personal approaches, and achieved a magnificent synthesis of divergent traditions in his late works. His most progressive conception of the form is revealed in those movements with non-tonic recapitulation that are structured on a single uninterrupted progression. In these works conventional

ber, and Clementi, among others.

bipartite sonata construction is replaced by a unitary type of form.

Such a novel conception was so forward-looking that it foreshadowed much later musical developments. Schubert had no immediate followers since his large instrumental compositions remained unknown until after mid-century. But later composers, most notably Brahms,³ felt his influence. Others, if not influenced directly, began to explore paths similar to Schubert's. For instance, many works reveal a tendency to find alternatives to the dominant and a preference for continuous tonal motion. These tendencies can be observed not only in works in sonata form but also in works of many different kinds by many different composers. In this context Schubert was truly one of the first "moderns."

3. See Webster's "Schubert's Sonata Form and Brahms's First Maturity," Nineteenth Century Music II (1978), 18-35, and III (1979), 52-71.

APPENDIX A

CHRONOLOGICAL LIST OF SCHUBERT'S INSTRUMENTAL WORKS
CONTAINING SONATA-FORM MOVEMENTS

(Dating follows Deutsch's Franz Schubert: Thematisches Verzeichnis seiner Werke in chronologischer Folge, 1978; dates in brackets have been more recently proposed by scholars.)

Deutsch number	Date year (month/date)	Works
4	1812 (?)	Overture to <u>Der Teufel</u> <u>als Hydraulicus</u> in D
8	1811 (6/29)	Overture in c for String Quintet
11	1812 (12) began	Overture to <u>Der Spiegelritter</u> in B ^b
12	1811 or 1812	Overture in D
18	1810-11	String Quartet in g/B ^b
94	1811 or 1812 (?)	String Quartet in D
26	1812 (6/26)	Overture in D
28	1812 (7/27 - 8/28)	String Trio in B ^b
32	1812 (9 - 10)	String Quartet in C
36	1812-13 (11/19 - 2/21)	String Quartet in B ^b
46	1813 (3/3 - 3/17)	String Quartet in C
68	1813 (6/8 - 8/18)	String Quartet in B ^b
74	1813 (8/22 - 9)	String Quartet in D
82	1813 (10/28)	Symphony No. I in D
84	1813-15	Overture to <u>Des Teufels</u> <u>Lustschloss</u>
87	1813 (11)	String Quartet in E ^b (Op.125/1)
112	1814 (9/5 - 9/13)	String Quartet in B ^b (Op.168)
125	1814-15 (12/10 - 3/24)	Symphony No. 2 in B ^b
157	1815 (2/18) began	Piano Sonata in E (incompl.)
173	1815 (3/25 - 4/1)	String Quartet in g
190	1815 (5/8-19)	Overture to <u>Der vierjährige</u> <u>Posten</u> in D
200	1815 (5/24 - 7/19)	Symphony No. 3 in D
239	1815 (7/26) began	Overture to <u>Claudine von</u> <u>Villa Bella</u> in E

279	1815 (9)	Piano Sonata in C (incompl.)
326	1815 (11/18 - 12/31)	Overture to <u>Die Freunde von Salamanka</u> in C
353	1816	String Quartet in E (Op.125/2)
384	1816 (3)	Violin Sonata in D (Op.137/1)
385	1816 (3)	Violin Sonata in a (Op.137/2)
408	1816 (4)	Violin Sonata in g (Op.137/3)
417	1816 (4/27)	Symphony No. 4 in c
459	1816 (8)	Piano Sonata in E
470	1816 (9)	Overture in B ^b
471	1816 (9)	String Trio in B ^b
485	1816 (9 - 10/3)	Symphony No. 5 in B ^b
537	1817 (3)	Piano Sonata in a (Op.164)
556	1817 (5)	Overture in D
557	1817 (5)	Piano Sonata in A ^b (incompl.)
566	1817 (6)	Piano Sonata in e (incompl.)
567	1817 (6)	Piano Sonata in D ^b
568	1817 [1825-26]	Piano Sonata in E ^b (Op.122, revision of D.567)
571	1817 (7)	Piano Sonata in f [#] (incompl.)
574	1817 (8)	Violin Duo in A (Op.162)
575	1817 (8)	Piano Sonata in B (Op.147)
581	1817 (9)	String Trio in B ^b
589	1817 (10)-1818 (2)	Symphony No. 6 in C
590	1817 (11)	Overture in D in Italian Style
591	1817 (11)	Overture in C in Italian Style
613	1818 (4)	Piano Sonata in C (incompl.)
617	1818 (summer)	Sonata for 4-hands in B ^b (Op.30)
625	1818 (9)	Piano Sonata in f (incompl.)
644	1820 (summer) began	Overture to <u>Zauberharfe</u> in C
647	1819 (1)	Overture to <u>Zwillingsbrüder</u> in D
648	1819 (2)	Overture in e
655	1819 (4)	Piano Sonata in c [#] (incompl.)
664	1819 (summer) or 1825	Piano Sonata in A (Op.120)
667	1819 (?)	Piano Quintet in A (Op.114, "Trout")
668	1819 (10)	Overture for 4-hands in g
675	1819 (11?)	Overture for 4-hands in F (Op.34)
703	1820 (12)	<u>Quartettsatz</u> in c
729	1821 (8)	Symphony No. 7 in E ("Sketch")
732	1821-22 (9/20 - 2/27)	Overture to <u>Alfonso und</u>

759	1822 (10/30) began	<u>Estrella</u> in D Symphony No. 8 in b ("Unfinished")
760	1822 (11)	"Wanderer" Fantasy in C (Op.15)
784	1823 (2)	Piano Sonata in a (Op.143)
796	1823 (5/25 - 10/2)	Overture to <u>Fierrabras</u> in F
803	1824 (2 - 3/1)	Octet in F (Op.166)
804	1824 (2 - 3)	String Quartet in a (Op.29)
810	1824 (3)	String Quartet in d
812	1824 (6)	Sonata for 4-hands in C (Op.140)
821	1824 (11)	Arpeggione Sonata in a
840	1825 (4)	Piano Sonata in C (incompl.)
845	1825 (5)	Piano Sonata in a (Op.42)
850	1825 (8)	Piano Sonata in D (Op.53)
887	1826 (6/20-30)	String Quartet in G (Op.161)
894	1826 (10)	Piano Sonata in G (Op.78)
895	1826 (10)	Rondo for Violn and Piano in b (Op.70)
898	1828 (?) [1827 (9)]	Piano Trio in B ^b (Op.99)
929	1827 (11) began	Piano Trio in E ^b (Op.100)
940	1828 (1 - 4)	Fantasie for 4-hands in f (Op.103)
944	1825 (summer) - 1828 (3)	Symphony No. 9 in C ("Great")
947	1828 (5)	Lebensstürme in a (Op.144)
951	1828 (6)	Rondo for 4-hands in A
956	1828 (9) (?)	String Quintet in C (Op.163)
958	1828 (9)	Piano Sonata in c
959	1828 (9)	Piano Sonata in A
960	1828 (9)	Piano Sonata in B ^b

APPENDIX B

MUSICAL SCORES OF THE SIX WORKS EXAMINED IN CHAPTER I

1. Clementi, Piano Sonata in f, Op. 13, No. 6, I.....277
2. Matiegka, Nocturne in G for flute,
viola and guitar, Op. 21, I 280
3. Hummel, Piano Trio in E^b, Op. 96, I.....286
4. Salieri, Overture to Les Danaïdes.....290
5. Catel, Overture to Sémiramis.....294
6. Méhul, Overture to Adrien.....302

Allegro agitato.

SONATA III.

5

10

15

20

27

33

39

45

co. li subito

This image shows a handwritten musical score for the piece 'L'Espresso' by Franz Liszt. The score is written on ten staves, each with a treble and bass clef. The measures are numbered 52, 58, 64, 70, 76, 84, 89, 94, 101, and 110. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'dim', 'p', 'pp', 'f', and 'tutti subito'. The handwriting is in ink on aged paper.

31

112

117

120

124

dim

pp

Largo e sostenuto.

colti subito.

2. Matiega, Nocturne in G, Op. 21, I
QUARTETT
 für Flöte, Gitarre, Bratsche und Violoncell.

280

I. Moderato.

Franz Schubert
 (26. FEBR. 1814)

Flöte
 Gitarre
 Bratsche
 Violoncell

EDITION PATTERSON

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2

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[illegible]

*) [Cadenza ad lib.]

Handwritten musical score for three systems of music. The first system is marked with a circled 'D' and a 'cresc.' marking. The second system has a '2' marking. The third system includes markings for 'p' (piano), 'f' (forte), and 'cresc.' (crescendo). The score is written on three systems of staves, with measures numbered 53, 59, and 63.

61

70

crac.

pp

Plagiolito.

(ritard.)

73

77

pp

p

84

molto

crac.

[staccato]

[staccato]

con espressione

con espressione

89

mf

p

mf

p

94

crac.

crac.

crac.

crac.

mf

p

mf

p

7

99

[un poco rit.]

105

113

119

dim. *cresc.* *[un poco rall.]*

124

decresc.

130

cresc.

135 *p dolce* *culando dolce* *pp*

142

149

150

159

164

dolce *(rit. J. m.) dolce*

* [Cadenza ad lib.]

This musical score is for the song "The Rose Tree" from the opera "The Mikado". It is a three-part setting for Soprano, Alto, and Tenor voices, with piano accompaniment. The score is divided into three systems, each with three staves. The first system (measures 73-175) features a vocal melody in the Soprano part, with piano accompaniment in the Alto and Tenor parts. The second system (measures 175-275) continues the vocal melody, with piano accompaniment in the Alto and Tenor parts. The third system (measures 275-375) concludes the vocal melody, with piano accompaniment in the Alto and Tenor parts. The score includes various musical notations such as notes, rests, and dynamic markings like "cresc." and "p".

190

32

cresc.

cresc.

cresc.

191

194

ad libitum *L'Allegretto* *a tempo primo* *L'Allegretto*

[illegible]

3. Hummel, Piano Trio in E^b, Op. 96, I

TRIO VII.

Handwritten signature: J. N. Hummel, Op. 96, I

Measures 18-21 of a musical score. The system consists of five staves. Measure 18 is marked with a brace and the number 18. Measure 19 is marked with a brace and the number 19. Measure 20 is marked with a brace and the number 20. Measure 21 is marked with a brace and the number 21. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Measures 22-25 of a musical score. The system consists of five staves. Measure 22 is marked with a brace and the number 22. Measure 23 is marked with a brace and the number 23. Measure 24 is marked with a brace and the number 24. Measure 25 is marked with a brace and the number 25. The notation includes various musical symbols such as notes, rests, and dynamic markings.

This page contains musical notation for the opera 'L'Alceste' by Christoph Willibald Gluck. The notation is arranged in several systems, each with multiple staves. The music includes various note values, rests, and dynamic markings such as 'poco', 'a tempo', and 'rit.'. The page is numbered '5' in the top right corner and '131' in the bottom right corner. The notation is in a historical style, typical of 18th-century musical manuscripts.

151

152

153

154

155

156

157

158

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160

2

1

LES DANAÏDES

Andante maestoso.

PIANO.

Allegro assai.

The image displays a page of musical notation, likely for a piano, consisting of ten systems of staves. The notation includes various musical symbols such as notes, rests, and dynamic markings. The systems are arranged in two columns of five. The first system on the left is marked with a '3' and a '33'. The second system on the left is marked with a '38'. The third system on the left is marked with a '40'. The fourth system on the left is marked with a '45'. The fifth system on the left is marked with a '50'. The first system on the right is marked with a '4'. The second system on the right is marked with a '55'. The third system on the right is marked with a '60'. The fourth system on the right is marked with a '65'. The fifth system on the right is marked with a '70'. The notation includes various musical symbols such as notes, rests, and dynamic markings. The systems are arranged in two columns of five.

6

83

85

Più All-gro.

90

95

100

105

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115

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170

175

180

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770

775

780

785

790

795

800

805

810

815

820

825

830

835

840

845

850

855

860

865

870

875

880

885

890

895

900

905

910

915

920

925

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115

p

cresc.

120

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p

cresc.

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137-138

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5. Catel, Overture to Semiramis

5(55)

Overture to Semiramis

(D.VII.2) Catel
SEMIRAMIS

4(54)

OUVERTURE.

Lento

Flûtes.
Hautbois.
Clarinètes.
Corns in E.
Trompettes in E.
Bassons.
Tromb. H. C.
Tromb. T.
Tromb. B.
1^{re} Violon.
2^{de} Violon.
Alto.
Violoncelle
Contre Basse

ff Les Tymballes comptent. 12. ff

1

Flûte.
Hautbois.
Clarinètes.
Corns in E.
Trompettes in E.
Basses et Trompettes en Fa.
Tymballes.
Allegro Maestoso.
Contre Basse et Violoncelles.
Allegro Maestoso.

12.

Overture to *Sinnegans*

7 (57)

Measures 7 through 12 of the Overture to *Sinnegans*. The score is written for a full orchestra, including strings, woodwinds, and brass. The notation includes various musical symbols such as notes, rests, and dynamic markings. The key signature is one flat (B-flat), and the time signature is 4/4. The score is arranged in a standard orchestral format with staves for each instrument family.

(D VII 2) *Card*

61 (56)

Measures 1 through 12 of the piece (D VII 2) *Card*. The score is written for a full orchestra, including strings, woodwinds, and brass. The notation includes various musical symbols such as notes, rests, and dynamic markings. The key signature is one flat (B-flat), and the time signature is 4/4. The score is arranged in a standard orchestral format with staves for each instrument family.

8 (58)

(D VII 2) Carel

Musical score for Carel, measures 8-12. The score is written for a string quartet (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature is one flat (B-flat major or D minor). The time signature is 4/4. The notation includes various musical symbols such as notes, rests, and dynamic markings. The score is divided into two systems, with measures 8-11 in the first system and measure 12 in the second system.

Overture to Sémiramis

9 (59)

Musical score for Overture to Sémiramis, measures 9-12. The score is written for a string quartet (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature is one flat (B-flat major or D minor). The time signature is 4/4. The notation includes various musical symbols such as notes, rests, and dynamic markings. The score is divided into two systems, with measures 9-11 in the first system and measure 12 in the second system.

11 (61)

Overture to *Sémiramis*

Measures 7 to 12 of the Overture to *Sémiramis*. The score is written for a full orchestra. Measures 7-11 show a complex texture with multiple staves for strings and woodwinds. Measure 12 features a prominent brass entry with the marking *con sf* (con sordina, fortissimo). The key signature has one flat (B-flat), and the time signature is 3/4.

(D VII 2) *Caïe*

10 (62)

Measures 6 to 12 of the piece (D VII 2) *Caïe*. The score is written for a full orchestra. Measures 6-11 show a complex texture with multiple staves for strings and woodwinds. Measure 12 features a prominent brass entry with the marking *con sf* (con sordina, fortissimo). The key signature has one flat (B-flat), and the time signature is 3/4.

Overture to *Semiramis*

12(62)

(D VII 2) Catel

Handwritten musical score for "Les filles et les garçons" by Lully. The score is written on 16 staves, organized into four systems of four staves each. The instruments and voices are: Les filles et garçons (soprano and alto), Les sons et les trompes (tenor and bass), Violoncelles, Bassons et Contre Basses, and Les Juyelles (soprano and alto). The music is in 3/4 time and features a variety of notes, rests, and dynamic markings such as "p" (piano) and "f" (forte). The score is written in a clear, elegant hand with some corrections and annotations.

A handwritten musical score for the piece "L'Espresso" by Claude Debussy. The manuscript is written on ten systems of five staves each. The notation includes various musical symbols such as notes, rests, clefs, and dynamic markings like "pp". There are also some annotations in French, including "Mouvement. b7" and "Sinfonico". The handwriting is in ink on aged paper, showing signs of wear and discoloration. The score appears to be a working draft or a personal copy, given the informal nature of the notation and the presence of corrections and additions.

(D VII 2) Carel

14(64)

15(65)

Overture to *Sémiramis*

10 *Allegro Maestoso*

11 *pp*

12 *pp*

13 *pp*

14 *pp*

15 *pp*

16 *pp*

17 *pp*

18 *pp*

19 *pp*

20 *pp*

21 *pp*

22 *pp*

23 *pp*

24 *pp*

25 *pp*

26 *pp*

27 *pp*

28 *pp*

29 *pp*

30 *pp*

31 *pp*

32 *pp*

33 *pp*

34 *pp*

35 *pp*

36 *pp*

37 *pp*

38 *pp*

39 *pp*

40 *pp*

41 *pp*

42 *pp*

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69 *pp*

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72 *pp*

73 *pp*

74 *pp*

75 *pp*

76 *pp*

77 *pp*

78 *pp*

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80 *pp*

81 *pp*

82 *pp*

83 *pp*

84 *pp*

85 *pp*

86 *pp*

87 *pp*

88 *pp*

89 *pp*

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91 *pp*

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107 *pp*

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109 *pp*

110 *pp*

111 *pp*

112 *pp*

113 *pp*

114 *pp*

115 *pp*

116 *pp*

117 *pp*

118 *pp*

119 *pp*

120 *pp*

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147 *pp*

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157 *pp*

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167 *pp*

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268 *pp*

269 *pp*

270 *pp*

271 *pp*

272 *pp*

273 *pp*

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280 *pp*

281 *pp*

282 *pp*

283 *pp*

The image shows a page of musical notation, likely a manuscript or a printed score, featuring a 12-part setting of "The Lord's Prayer". The page is organized into two systems, each containing six staves. The notation is in a historical style, possibly 16th or 17th century, with various clefs and note values. The text "The Lord's Prayer" is written in a Gothic script at the bottom of the page.

16 (66)

(D VII 2) Caid

Musical score for Overture to Samsaramis, measures 16-17 (66). The score is written for a large ensemble, including strings, woodwinds, and brass. The notation is complex, featuring many beamed notes and dynamic markings. A section of the score is marked "Trombones" and "Baritone". The score is divided into two systems, with measures 16 and 17 indicated at the top.

Overture to Samsaramis

17 (67)

Musical score for Overture to Samsaramis, measures 18-19 (67). The score continues the complex notation from the previous page, featuring many beamed notes and dynamic markings. A section of the score is marked "Trombones" and "Baritone". The score is divided into two systems, with measures 18 and 19 indicated at the top.

18 (68)

(D VII 2) Card

14 Les flûtes, hautbois, trompettes et tympalles complètent.

Overture to Sémiramis

19 (69)

301

3 (3)

Overture to Adrien

Edited by David Chalton with the assistance of Sarah Fern

Ernest-Nicolas Méhul

4 (4)

(D VII 1) Méhul

Lento

Flute I, II
Oboe I, II
Clarinet I, II
Bassoon I, II
Horn (D) I, II, III, IV
Trumpet (D) I, II, III
Trombone I, II, III
Timpani D/A
Violin I, II
Viola I, II
Cello, Bass

Overture to Admet

5(5)

This block contains the musical notation for measures 5(5) through 6(6) of the Overture to Admet. It features a complex arrangement of staves with various musical notations, including notes, rests, and dynamic markings. The notation is dense and spans multiple systems.

6(6)

(D VII 1) Méhul

This block contains the musical notation for measures 6(6) through 7(7) of the Overture to Admet. It continues the complex arrangement of staves with various musical notations, including notes, rests, and dynamic markings. The notation is dense and spans multiple systems.

Overture to Aïda

7(7)

Musical score for Overture to Aïda, measures 7(7) to 8(8). The score is written for a large orchestra, including strings, woodwinds, and brass. It features complex rhythmic patterns and dynamic markings such as 'f' (forte) and 'solen.' (solenamente).

8(8)

(D VII 1) Mchul

Musical score for Overture to Aïda, measures 8(8) to 9(9). The score continues the orchestral composition with various instruments. It includes dynamic markings like 'f' and 'solen.' and shows a continuation of the complex rhythmic and melodic themes established in the previous measures.

9 (9)

Overture to Aghen

This block contains the musical notation for measures 9 and 10 of the 'Overture to Aghen'. It features a complex arrangement of staves with various musical symbols, including notes, rests, and dynamic markings. The notation is dense and spans multiple systems.

10 (10)

(D VII 1) Mehul

This block contains the musical notation for measures 10 and 11 of '(D VII 1) Mehul'. It features a complex arrangement of staves with various musical symbols, including notes, rests, and dynamic markings. The notation is dense and spans multiple systems.

12 (12)

II (11)

Overture to Adrien

The image displays a page from a musical score, specifically the Overture to Adrien. The page is numbered 306 in the top right corner. The score is written for a large ensemble, with multiple staves for various instruments. The notation includes notes, rests, and dynamic markings such as 'ff' (fortissimo) and 'dim.' (diminuendo). The score is divided into two main sections, labeled 12 (12) and II (11). The first section, 12 (12), begins with a key signature of one flat and a time signature of 3/4. The second section, II (11), is marked 'Allegro' and begins with a key signature of one flat and a time signature of 3/4. The score is written in a standard musical notation style, with notes and rests clearly visible on the staves. The page is oriented horizontally, with the staves running from left to right.

Overture to Adrien

13 (13)

Musical score for Overture to Adrien, measures 13 (13). The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many notes, rests, and dynamic markings. The score is arranged in a system of staves, with some staves grouped together by brackets.

14 (14)

Musical score for Overture to Adrien, measures 14 (14). The score continues from the previous page, showing the same orchestral arrangement. The notation is complex, featuring many notes, rests, and dynamic markings. The score is arranged in a system of staves, with some staves grouped together by brackets.

(D VII 1) Méhul

Overture to Adhni

15(15)

Musical score for Overture to Adhni, measures 15(15). The score is written on 15 staves, organized into three systems of five staves each. The notation includes various musical symbols such as notes, rests, and dynamic markings. The first system (measures 1-5) shows a complex rhythmic pattern. The second system (measures 6-10) continues this pattern with some melodic development. The third system (measures 11-15) features more intricate melodic lines and dynamic changes, including a crescendo leading to a final measure with a strong accent.

16(16)

(D VII 1) Néhul

Musical score for (D VII 1) Néhul, measures 16(16). The score is written on 16 staves, organized into four systems of four staves each. The notation includes various musical symbols such as notes, rests, and dynamic markings. The first system (measures 1-4) shows a complex rhythmic pattern. The second system (measures 5-8) continues this pattern with some melodic development. The third system (measures 9-12) features more intricate melodic lines and dynamic changes, including a crescendo leading to a final measure with a strong accent. The fourth system (measures 13-16) shows a continuation of the melodic and rhythmic themes, with some variations in the instrumentation.

1 (D VII 1) Mithal

18 (18)

Musical score for measures 18 and 19. The score consists of three systems of staves. The first system has four staves, the second has four staves, and the third has four staves. The notation includes various musical symbols such as notes, rests, and bar lines. The first system is marked with a '1' in a box. The second system is marked with a '2' in a box. The third system is marked with a '3' in a box.

17 (17)

Overture to Adnen

Musical score for measures 17 and 18. The score consists of three systems of staves. The first system has four staves, the second has four staves, and the third has four staves. The notation includes various musical symbols such as notes, rests, and bar lines. The first system is marked with a '1' in a box. The second system is marked with a '2' in a box. The third system is marked with a '3' in a box.

20 (20)

19 (19)

Overture to A. Hen

Handwritten musical score for measures 20 and 21. The score is written on five staves. Measure 20 is marked with a box containing the number 20. Measure 21 is marked with a box containing the number 21. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Handwritten musical score for measures 22 and 23. The score is written on five staves. Measure 22 is marked with a box containing the number 22. Measure 23 is marked with a box containing the number 23. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Handwritten musical score for measures 24 and 25. The score is written on five staves. Measure 24 is marked with a box containing the number 24. Measure 25 is marked with a box containing the number 25. The notation includes various musical symbols such as notes, rests, and dynamic markings.

Overture to Adieu

21 (21)

Musical score for Overture to Adieu, measures 21-22. The score is written for a string ensemble (Violins I, Violins II, Violas, Cellos, and Double Basses) and includes a woodwind section (Flutes, Oboes, and Clarinets). The notation features a variety of rhythmic patterns, including eighth and sixteenth notes, and rests. The woodwinds play a melodic line, while the strings provide a harmonic accompaniment.

22 (22)

(D VII 1) Méhul

Musical score for Overture to Adieu, measures 23-24. The score continues the string and woodwind ensemble. The woodwinds play a melodic line, while the strings provide a harmonic accompaniment. The notation includes various rhythmic patterns and rests. The woodwinds play a melodic line, while the strings provide a harmonic accompaniment.

Overture to Adrien

23 (23)

Musical score for measures 23 (23). The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many notes, rests, and dynamic markings. The score is divided into two systems, each with five staves. The first system shows the beginning of the measure, with various instruments playing. The second system shows the continuation of the music, with more complex rhythmic patterns and dynamics.

24 (24)

(D VII 1) Méhul

Musical score for measures 24 (24). The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many notes, rests, and dynamic markings. The score is divided into two systems, each with five staves. The first system shows the beginning of the measure, with various instruments playing. The second system shows the continuation of the music, with more complex rhythmic patterns and dynamics.

Overture to Adnan

25(25)

Musical score for Overture to Adnan, measures 25(25). The score is written for a large ensemble, including strings, woodwinds, and brass. The notation is complex, featuring many beamed notes and dynamic markings. The score is divided into systems, with measures 25(25) and 26(26) indicated at the beginning of the first system.

26(26)

(D VII 1) Mithul

Musical score for Overture to Adnan, measures 26(26). The score continues from the previous system, showing measures 26(26) and 27(27). The notation is complex, featuring many beamed notes and dynamic markings. The score is divided into systems, with measures 26(26) and 27(27) indicated at the beginning of the first system.

Overture to Aïda

27(27)

Musical score for Overture to Aïda, measures 27(27). The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is in 3/4 time and features a variety of musical symbols, including notes, rests, and dynamic markings. The score is organized into systems, with measures 27(27) and 28(28) clearly marked.

28(28)

(D VII 1) Mefhui

Musical score for Overture to Aïda, measures 28(28). The score continues from the previous page and includes a section labeled [Cantata 1-5]. The notation is in 3/4 time and features a variety of musical symbols, including notes, rests, and dynamic markings. The score is organized into systems, with measures 28(28) and 29(29) clearly marked. The word "Cantata" is written above the staff in the final system.

Overture to Adrien

29 (29)

Musical score for Overture to Adrien, measures 29-30. The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many accidentals and dynamic markings. The measures are numbered 29 and 30. The score is written in a standard musical notation with a key signature of one flat and a time signature of 4/4.

30 (30)

(D VII 1) Mchul

Musical score for (D VII 1) Mchul, measures 30-31. The score is written for a large orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many accidentals and dynamic markings. The measures are numbered 30 and 31. The score is written in a standard musical notation with a key signature of one flat and a time signature of 4/4.

Overture to Admet

31(31)

Musical score for Overture to Admet, measures 31(31). The score is written for a full orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many beamed notes and dynamic markings.

32(32)

Cello.
(44-59)

(D VII) Mchul

Musical score for Overture to Admet, measures 32(32). The score is written for a full orchestra, including strings, woodwinds, and brass. The notation is complex, featuring many beamed notes and dynamic markings. The score is divided into two systems, with the first system containing measures 32(32) and the second system containing measures 33(33).

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