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**SCHUBERT'S LATE THREE-KEY EXPOSITIONS:
INFLUENCE, DESIGN, AND STRUCTURE**

by

DEBORAH KESSLER

**VOLUME I
DISCUSSION**

**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**

1996

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Abstract

SCHUBERT'S LATE THREE-KEY EXPOSITIONS:
INFLUENCE, DESIGN, AND STRUCTURE

by Deborah Kessler

Adviser: Professor Carl Schachter

This study focuses on a special type of sonata movement cultivated by Schubert in which the exposition has three key areas rather than the more common two.

Detailed examinations of four first movements written between 1824 and 1828, those from the Octet, D. 803, the Quartet in D minor, D. 810, the Piano Trio in E♭, D. 929, and the Piano Sonata in B♭, D. 960, form the core of the study. Each examination begins with investigation into the context surrounding the movement, especially influence from Schubert's Lieder and Beethoven's instrumental works.

Detailed analysis of the movement itself, using the approach developed by Heinrich Schenker, follows.

Schubert's movements with three-key expositions have been negatively assessed by scholars including Donald Francis Tovey and Felix Salzer. Although recent writers have been more sympathetic, they have tended to focus on key schemes rather

than motivic and expressive features. Consideration of these features in the four movements examined in this study reveals two interrelated phenomena: first, the expositions (or recapitulations) feature large-scale neighbor-note motion in the bass from $(\flat)\hat{6}$ to $\hat{5}$ --this contrapuntal motion is harmonically expressed through prolongation of $(\flat)\text{VI}$ as the middle key area; second, the expositions project dramatic contrast by means of modal shift or chromaticism in the middle key area. These findings, viewed in relation to the context in which these movements were written, lead to three hypotheses: 1) Schubert, for affective reasons, imported the $\hat{5}-(\flat)\hat{6}-\hat{5}$ motive (historically associated with death), in association with modal or chromatic contrast, from his songs into his movements with three-key expositions--Schubert's songs often render textually expressed opposition between past happiness and present misery through these means. 2) Schubert looked to Beethoven for models of sonata form that incorporate the $\hat{5}-(\flat)\hat{6}-\hat{5}$ motive into their large voice-leading structure. 3) Schubert's large-scale use of the $\hat{5}-(\flat)\hat{6}-\hat{5}$ motive or a variant in the three-key exposition (or its recapitulation) results in a disjunction between formal design and harmonic structure: the middle key area prolongs an embellishing neighbor note that is less structurally weighty than the surrounding tonic and dominant prolongations, and yet it carries the dramatically essential contrasting "second theme."

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CHAPTER 1

INTRODUCTION: SCHUBERT'S THREE-KEY EXPOSITIONS IN HISTORICAL CONTEXT

I. Purpose of this study

This study aims to contribute to an understanding of a great and often underrated body of music, the late instrumental works of Franz Schubert. In particular, it focuses on a special type of sonata movement cultivated by Schubert, a type whose expositions have three key areas rather than the more common two.

Schubert wrote three-key expositions throughout his very short career; among these are nine first movements from works written between 1824 and his death in 1828: the Octet, D. 803 (1824); the D-minor String Quartet, D. 810 (1824); the C-major Piano Sonata (four hands), "Grand Duo," D. 812 (1824); the unfinished C-major Piano Sonata, *Reliquie*, D. 840 (1825); the C-major Symphony, "Great," D. 944 (1825-1828); the E♭-major Piano Trio, D. 929 (begun 1827); the Piano Allegro (four hands), *Lebensstürme*, D. 947 (1828); the C-major String Quintet, D. 956 (1828); and the B♭-major Piano Sonata, D. 960 (1828).¹ I will examine four

¹The dates of composition given here come from Eric Sams's worklist in Maurice J. E. Brown, *The New Grove Schubert* (New York: W. W. Norton, 1980 and 1982).

There is no ideal way to segment chronologically a composer's output. Scholars differ in their periodization of Schubert's instrumental works: for example, see Felix Salzer, "Die Sonatenform bei Franz Schubert," in *Studien zur*

of these, from the Octet, the D-minor Quartet, the E♭ Trio, and the B♭ Piano Sonata, in detail; each exemplifies a particular type of three-key exposition, and comparison of their similarities and differences reveals significant aspects of Schubert's compositional practice and development.²

Pertinent scholarly literature often takes the position that Schubert's instrumental works are inferior to Beethoven's.³ Schubert's alleged failure to match Beethoven's accomplishments in the instrumental realm is attributed to a lyrical tendency more appropriately vented in Lieder. I disagree, for the most part, with negative assessments of Schubert's prowess as an instrumental composer; however,

Musikwissenschaft, ed. Guido Adler, v. 15 (Vienna: Universal-Edition, 1928), p. 97; James Webster, "Schubert's Sonata Form and Brahms's First Maturity," Part I (henceforth cited as "Schubert's Sonata Form"), *19th Century Music* II/1 (July 1978), and Part II (henceforth cited as "Brahms's First Maturity"), *19th Century Music* III/1 (July 1979), Part I, p. 26; and Mi-Sook Han Hur, *Irregular Recapitulation in Schubert's Instrumental Works* (Ph.D. dissertation: City University of New York, Graduate Center, 1992), pp. vii and 192. I have followed Hur's chronology, which I find to be the most differentiated on the basis of specific compositional procedures.

²In this dissertation, references to musical works are made to first movements unless otherwise indicated.

I depart slightly from strict chronological order, beginning the core of my study with discussion of the D-minor Quartet (composed March 1824) rather than with the Octet (composed February 1824). The harmonic and expressive contents of these two works are, in my view, closely related because they both draw from the song "Der Tod und das Mädchen," D. 531. However, since the Quartet draws material more directly from the song than does the Octet, it is more convenient to begin by delineating the relationship between the song and the Quartet.

³Such negative criticism of Schubert's instrumental works is discussed by Leonard Michael Griffel in *Schubert's Approach to the Symphony* (Ph.D. dissertation: Columbia University, 1975), pp. 85-87 and 199-200.

the notion that Schubert's lyrical disposition infused his instrumental works turns out to have surprising validity. This infusion is manifest not only on the thematic surface of his instrumental works but also in their deep voice leading--indeed the neighbor-note motive, often a pervasive shape in Schubert's songs, is imported from them into the large structures of his three-key expositions. (This transferral is also evident in the developments and recapitulations of movements with three-key expositions.)⁴ Schubert looked to Beethoven for instrumental exemplars on which to model motivic aspects of his three-key expositions; these exemplars are not necessarily three-key expositions but include two-key expositions with special motivic-harmonic features. My study thus traces a two-pronged influence, Schubert's own songs and Beethoven's instrumental works, on Schubert's movements with three-key expositions.

⁴Irene Montefiore Levenson, *Motivic-Harmonic Transfer in the Late Works of Schubert: Chromaticism in Large and Small Spans* (Ph.D. dissertation: Yale University, 1981) observes that both Schubert's instrumental works and songs involve "motivic-harmonic transfer": "It may be said that examination of Schubert's songs proves that motive and surface detail are just as powerful in determining harmonic structure in these works as they are in his other, instrumental works. Schubert's attention to details of text invariably relates back to melodic motives, just as in his chamber music" (p. 221). Levenson analyzes three Schubert songs, "Gruppe aus dem Tartarus," D. 583 (1817), and two songs from *Schwanengesang*, "Der Atlas" and "Die Stadt" (1828), as a basis for discussing Schubert's influence on Schumann, Liszt, Brahms, and Mahler. Levenson does not pair these songs with specific Schubertian instrumental works, as I shall, but instead suggests general procedural similarities with respect to chromatic techniques and motivic enlargement. I arrived at my conclusions concerning the relationship between Schubert's songs and three-key expositions independently.

Study of these movements is neither trivial nor deliberately arcane; they are masterpieces by a major figure in the history of Western music. Furthermore, scholars such as James Webster have testified that Schubert's three-key expositions, rather than forming an experimental dead end in the history of sonata-form movements, influenced later composers, especially Brahms.⁵ Indeed, Schubert's late instrumental works form a fascinating bridge between instrumental works of the Classical and Romantic eras, and his development of the three-key exposition is quintessentially Romantic in its harmonic, affective, and dimensional expansion of sonata form. The scholarly disparagement these movements have met with is attributable to their path-breaking departures from existing models of the sonata construct, especially as measured against Beethovenian exemplars; to their problematic disjunctions between thematic and harmonic design; and to their ill-understood and complex motivic relationships. The present study aims to address these issues and, in so doing, to challenge negative views of Schubert's instrumental works.⁶

⁵See Webster, "Schubert's Sonata Form," p. 35.

⁶A number of sources make valuable contributions in this direction: regarding Schubert's departures from models of the sonata construct, see Hur, *Irregular Recapitulation in Schubert's Instrumental Works*; regarding disjunctions between thematic and voice-leading parameters, see David Beach, "Interactions between Design and Structure in Tonal Music," paper read at the Second International Schenker Symposium, held in March 1992 at The Mannes College of Music, New York; in a related vein, see also David Beach, "Harmony and Linear Progression in Schubert's Music," *Journal of Music Theory* 38/1 (Spring 1994): 1-20; regarding multilevel motivic relationships, see Levenson, *Motivic-Harmonic Transfer in the Late Works of Schubert*.

II. *The three-key exposition in relation to the history of sonata form*

Sonata form is the centerpiece of scholarly constructs developed to describe works from the eighteenth and nineteenth centuries. The evolution of this model has been chronicled by others and is much too long and complex to rehearse here.⁷ Thus I will only sketch its history, emphasizing sources that have the most direct bearing on the present study. The sonata model, throughout its history, has struggled to account for the interaction between harmonic structure and thematic design. The nature of this interaction changes with the evolution of music; the steady expansion of sonata movements in length and harmonic complexity has spurred scholars to amend and elaborate their notions as to what essentials a sonata-form movement tends to have. According to certain scholars such as Leonard Ratner, a historical shift on the part of theorists, from emphasizing harmonic structure to emphasizing thematic design, is reflected in respective

⁷See William S. Newman's three-volume history: *The Sonata in the Baroque Era* (New York: W. W. Norton, 1972); *The Sonata in the Classic Era*, 3rd ed. (New York: W. W. Norton, 1983); and *The Sonata Since Beethoven* (Chapel Hill, NC: University of North Carolina Press, 1969); see also Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: W. W. Norton, 1972) and *Sonata Forms*, rev. ed. (New York: W. W. Norton, 1988); James Webster, "Sonata form," in *The New Grove Dictionary of Music and Musicians*, 6th ed., ed. Stanley Sadie, v. 17 (London: Macmillan, 1980), pp. 497-508; and Roger Graybill, *Brahms's Three-Key Expositions: Their Place Within the Classical Tradition* (Ph.D. dissertation: Yale University, 1983), pp. 1-20. In the Preface to the first edition (1980) of *Sonata Forms*, which is reprinted in the 1988 edition, Rosen notes that his plural title "is meant to emphasize that what was eventually to become the canonic type of sonata form developed along with other forms, which influenced each other and were, in fact, interdependent." He further notes that "without aria and concerto the history of sonata forms is quite simply unintelligible."

descriptions of sonata movements as either binary (harmonic bias) or ternary (thematic bias).⁸ But James Webster, in his entry "Sonata form," dismisses the binary/ternary distinction:

The old dispute, whether sonata form is binary or ternary, is idle and superficial. Sonata form is a synthesis of binary and ternary principles: it integrates three sections into a two-part structure. Sonata form is bipartite, in that the exposition has the same tonal structure as a half-cadence or the first half of a binary form. . . . The power of sonata form is due principally to this bipartite structure governed by the tonal polarity of the exposition. Most sonata-form movements articulate this polarity by contrasting material, or contrasting treatment of the material, in the second group. . . . The second part of a sonata-form movement . . . comprises two sections, the development and the recapitulation. . . . In sonata form, the central aesthetic event of the entire movement is a return to the main theme within the second part, timed to arrive simultaneously with the return to the tonic (p. 497).

Webster's statement raises interesting issues. He rightly sees sonata form as "a synthesis of binary and ternary principles." Nevertheless, his *location* of the large binary division at the end of the exposition is debatable (though supported by the vast majority of theorists throughout history), as evidenced by his location of the "central aesthetic event of the entire movement" at the onset of the recapitulation. (In Heinrich Schenker's view of sonata form, to be discussed later in this chapter, the important binary division, caused by *interruption*, occurs at the end of the development.) In Webster's view of a sonata movement's conventional exposition, he emphasizes a tonal polarity that suggests loose analogy with a sonata

⁸See *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), pp. 217-221.

movement's larger binary structure. This points to potential evolution of the exposition itself into a synthesis of binary and ternary principles. In a Schubertian three-key exposition, the main thematic contrast is bestowed upon its middle key area rather than upon its final harmonic prolongation; the resulting interaction between harmonic structure and thematic design is intriguing and problematic.

The history of the sonata paradigm, with emphasis upon consideration of the interaction between theme and harmony, may be divided conveniently into three phases:

1) Eighteenth century. A representative of the prevailing view, Heinrich Christoph Koch (1749-1816), in his *Versuch einer Anleitung zur Composition* (1782-1793), describes first movements as two-part forms, the first of which corresponds to an exposition and the second of which corresponds to a development and recapitulation.⁹ Hence Koch describes symphonic first movements (with

⁹The term *sonata form* was probably first used in the nineteenth century by Adolph Bernhard Marx. See Ratner, *Classic Music*, pp. 220-221.

William Rothstein maintains that Koch's view of sonata form "remains exemplary in its recognition of the balance between two-part and three-part aspects" because Koch's two large parts (reprises) accommodate three main periods (equivalent to exposition, development, and recapitulation). However, Rothstein continues, Koch finds that the presence or absence at the end of the development of a perfect authentic cadence in a nontonic key defines its status as a period. Thus, in Koch's view, movements whose developments lack such a cadence have only two periods, one in each reprise. Even in this case, however, Koch notes that the second of these periods "breaks down into two halves." See William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), p. 111; see also Heinrich Christoph Koch, *Introductory Essay on*

reference to symphonies by Franz Joseph Haydn and Karl Ditters von Dittersdorf) as follows:

The first allegro of the symphony . . . has two sections which may be performed with or without repetition. The first of these consists only of a single main period and contains the plan of the symphony; that is, the main melodic phrases are presented in their original order and afterwards a few of them are fragmented. . . . Very often no formal phrase-ending is written until the rushing and sonorous phrases are exchanged for a more singing phrase, usually to be played with less force. Thus many such periods are found in which a formal phrase-ending is not heard until there has been a modulation into the most closely related key. For the main melodic sections are all presented in the main key just as infrequently in the symphony as in other compositions. Rather, after the theme has been heard with another main phrase, the third such phrase usually modulates to the key of the fifth--in the minor mode also towards the third--in which the remaining sections are presented, because the second and larger half of this first period is devoted particularly to this key.

The second section of the first allegro consists of two main periods, of which the first tends to have greatly diverse structures. . . . The last period of our first allegro, which is devoted above all to the main key, most frequently again begins with the theme in this key. . . . The most prominent phrases are now compressed . . . during which the melody usually shifts to the key of the fourth, but, without making a cadence in it, soon again returns to the main key. Finally the second half of the first period, or those melodic ideas of the first period which followed the V-phrase in the fifth, is repeated in the main key and with this the allegro ends.¹⁰

Current scholars emphasize the harmonic underpinning of such descriptions. For example, Ratner maintains that "Classic theorists . . . explained the form of a long

Composition: The Mechanical Rules of Melody, Sections 3 and 4, trans. and ed. Nancy Kovaleff Baker (New Haven, CT: Yale University Press, 1983), p. 233.

¹⁰See *Introductory Essay on Composition*, pp. 199-201.

movement as a harmonic plan, with two large phases of action, resulting in a *two-part* form." Graybill notes that Koch's "periodic concept of the exposition goes hand in hand with a harmonic concept of form." William Rothstein observes that for Koch form is identified with cadence structure; thus, as mentioned earlier, only a development that ends with a perfect authentic cadence (in a nontonic key) is deemed an independent period.¹¹ Unquestionably, Koch is primarily interested in periodic structure as defined by cadences; nevertheless, he also discusses thematic disposition. His description of "rushing and sonorous phrases . . . exchanged for a more singing phrase" approaches nineteenth-century accounts of first and second themes in an exposition.

As for the layout of first periods in larger compositions (including the exposition of a sonata movement), Koch holds that a first period "divides into two sections, namely one in which the main key prevails, and one in which the key of the fifth prevails." He then offers a more detailed paradigm in which the first two "punctuation sections" prolong I, the first of these sections ending on I and the second ending on V; the third section modulates, ending on V of V (II $\sharp$ in a Schenkerian view); and the fourth section prolongs V. Subsidiary melodic sections may be connected with these four main punctuation sections.¹²

¹¹See Ratner, *Classic Music*, p. 217; Graybill, *Brahms's Three-Key Expositions*, p. 6; and Rothstein, *Phrase Rhythm in Tonal Music*, p. 111.

¹²See Koch, *Introductory Essay on Composition*, pp. 213-233; see also Graybill, *Brahms's Three-Key Expositions*, pp. 6-7.

2) Nineteenth century. A representative of the prevailing view and an ardent Beethoven admirer, Adolph Bernhard Marx (1795-1866), in *Die Lehre von der musikalischen Komposition* (1837-1847), describes sonata form as three-part: "Die Sonatenform kann einen mittlern Theil (zwischen dem ersten und letzten der Sonatine) nicht entbehren, sie muss dreitheilig werden."¹³ Ratner finds that this "three-part division rests upon thematic layout—*exposition, development, and recapitulation* of themes" and that Marx's "views were decisive in establishing the thematic view of sonata form." Birgitte Moyer, in a similar interpretation, compares the approaches of Koch and Marx as follows: "Whereas . . . Koch was mainly concerned with the large-scale harmonic progression of the form in time, as well as the rhythmic and melodic expansion and connection between sections, for Marx the essence of musical form was a matter of juxtaposing a certain number of independent, ready-made building blocks with basis in melody. One might describe these two concepts as time-orientation (Koch) vs. space-orientation (Marx)."¹⁴

¹³Sonata form cannot do without a middle section (between the first and last sections of the Sonatina); it must have three sections. See Adolph Bernhard Marx, *Die Lehre von der musikalischen Komposition, praktisch-theoretisch*, 5th (unaltered) ed., v. 3 (Leipzig: Breitkopf u. Härtel, 1879), p. 221; translation given here is by Siegmund Levarie.

¹⁴See Ratner, *Classic Music*, pp. 220-221; and Birgitte Plesner Vinding Moyer, *Concepts of Musical Form in the Nineteenth Century, with Special Reference to A. B. Marx and Sonata Form* (Ph.D. dissertation: Stanford University, 1969), p. 89.

Regarding Marx's approach to the internal layout of the exposition, Moyer writes that "the division of the exposition . . . into two main groups (*Hauptsatz* and *Seitensatz*), each in its key area, is a rigid rule with Marx." Marx, however, is less rigid regarding the internal layout of these groups, offering several formal possibilities for each, including a chain of ideas (*Satzkette*).¹⁵ He is probably best known for promulgating opposition between groups through characterizations of the *Hauptsatz* as masculine and the *Seitensatz* as feminine. Marx sees this contrast (described in the third of his four rules governing a *Seitensatz*) in the context of a greater (dialectical) unity:

In diesem Paar von Sätzen ist Drittens der Hauptsatz das zuerst, also in erster Frische und Energie Bestimmte, mithin das energischer, markiger, absoluter Gebildete . . . , das Herrschende und Bestimmende. Der Seitensatz dagegen ist das nach der ersten energischen Feststellung Nachgeschaffne, zum Gegensatz Dienende, von jenem vorangehenden Bedingte und Bestimmte, mithin seinem Wesen nach nothwendig das Mildere, mehr schmiegsam als markig Gebildete, das Weibliche gleichsam zu jenem vorangehenden Männlichen. Eben in solchem Sinn ist jeder der beiden Sätze ein Andres und erst beide mit einander ein Höheres, Vollkommneres.¹⁶

¹⁵See Moyer, *Concepts of Musical Form*, p. 112; see also Graybill, *Brahms's Three-Key Expositions*, pp. 11 and 15-16.

¹⁶Third, in this pair of groups the main group is in its first freshness and energy the determinant, thus formed more energetically, vigorously, and absolutely . . . dominating and determining. But the subordinate group, following the earlier energetic statement, functions as contrast to what was conditioned and determined by the preceding group, consequently it is essentially milder, pliant rather than vigorous, the feminine complement of the foregoing masculine. In this sense, each of the two groups is distinct, and only both together achieve something higher, perfect. See Marx, *Die Lehre von der musikalischen Komposition*, p. 282; translation given here is by Siegmund Levarie. See also Moyer, *Concepts of*

Although a prescriptive contrast between principal and subordinate groups is most often associated with Marx, it is, as mentioned earlier, already implicit in Koch's description of a symphony's first movement. And although Marx is usually criticized for stressing thematic design rather than harmonic design, he does, of course, consider harmonic organization. In his second rule governing a *Seitensatz*, Marx says: "Zweitens sich von ihm entschieden als ein Anderes, als ein Gegensatz loszulösen durch den Inhalt, namentlich durch die Modulation, gern auch durch die Form; Haupt- und Seitensatz stehn als Gegensätze einander gegenüber."¹⁷ Thus Marx locates the source of contrast between groups first through the modulation and then through the form.

To be sure, duality through contrast between the principal and subordinate groups is essential to Marx's view; however, his paradigm for an exposition, included here, leaves room for expansion:

Theil 1.

Theil 2.

Theil 3.

HS SS G Sz

HS SS G Sz

Musical Form, pp. 112-113; and Graybill, *Brahms's Three-Key Expositions*, pp. 11 and 15-16.

¹⁷Secondly, [it must] distinguish itself from it [the first group] as something different, as a group contrasting through its content, mainly through modulation, often also through form. First and second groups stand to each other in opposition. See Marx, *Die Lehre von der musikalischen Komposition*, p. 282; the translation given here is by Siegmund Levarie.

In this paradigm, the *Hauptsatz* (HS) and *Seitensatz* (SS) are followed by a *Gang* (G) and a *Schlussatz* (Sz). Although arising from Marx's evolutionary approach to forms, in the course of which various rondos give rise to sonatina and sonata, it is nevertheless surprising that here (notwithstanding Marx's discussion of the transition between the principal and subordinate groups elsewhere in the text) a *Gang* is shown following rather than preceding the *Seitensatz*.¹⁸ Marx's thematic approach to the second group, one that emphasizes the second and closing themes, and the connection between them, produces ternary views both of the second group (SS G Sz) and of the exposition (HS SS [G] Sz); these views in turn suggest an expansion to the second group that is related to Schubert's procedure in his three-key expositions. Indeed, on the face of it, Marx's diagram fits a Schubertian three-key exposition rather well.¹⁹

A view somewhat different from Marx's is offered in *School of Practical Composition*, Op. 600 (1848-1849) by Carl Czerny, who describes sonata form as

¹⁸Scott Burnham, "The Role of Sonata Form in A. B. Marx's Theory of Form," *Journal of Music Theory* 33/2 (Fall 1989), pp. 256 and 258, says that in Marx's theory the *Gang* arises from the need to connect two statements of the *Hauptsatz* in first rondo form; the *Schlussatz* arises from the need to close off a first *Seitensatz* from a second *Seitensatz*, where there is no intervening restatement of the *Hauptsatz*, in fifth rondo form.

¹⁹Rosen, *Sonata Forms*, rev. ed., pp. 3-4, says that Marx's codification of sonata form, premised on the supremacy of Beethoven, was "largely a generalization of the procedures of Beethoven before 1812. . . . As the basis for generalization, those aspects of Beethoven (and of Mozart--not of Haydn) which had the greatest interest for the nineteenth-century composer were isolated; these were, principally, the order and the character of the themes."

having two (rather than three) parts. Of special interest is his recipe for the first part (exposition):

1. The principal subject.
2. Its continuation or amplification, together with a modulation into the nearest related key.
3. The middle subject in this new key.
4. A new continuation of this middle subject.
5. A final melody, after which the first part thus closes in the new key, in order that the repetition of the same may follow unconstrainedly.

Czerny calls the equivalent of Marx's *Seitensatz* "the middle subject." Like Marx, he stresses that this subject must contrast with the preceding one: It "must consist of a new idea. A good middle subject is much more difficult to invent, than the commencement; for, *first*: it must possess a new and more beautiful and pleasing melody than all which precedes; and *secondly*, it must be very different from the foregoing."²⁰ Despite its prescriptive dualistic thematic opposition, Czerny's recipe characterizes the second subject as *middle*; thus the recipe is easily regrouped so that two harmonic areas are distributed among *three* thematic areas: 1) principal subject and its modulating continuation; 2) middle subject in a new key and its continuation; 3) final melody and close. (These three entities may be

²⁰See Carl Czerny, *School of Practical Composition*, trans. John Bishop (Augener/Robert Cocks, 1848; rpt. New York: Da Capo, 1979), pp. 33-36; see also Graybill, *Brahms's Three-Key Expositions*, p. 9.

viewed as corresponding to Marx's *Hauptsatz*, *Seitensatz* with *Gang*, and *Schlussatz*.) This hypothetical regrouping could easily support three, rather than two, harmonic prolongations, resulting in a three-key exposition. In Czerny's expositional recipe, as in Marx's, then, a preoccupation with thematic disposition leads to an incipiently ternary view, recalling Ratner's contention that ternary categorization of sonata form as a whole arises from a thematic bias.

3) Early twentieth century. Despite influence by Marx and Czerny on many later scholars, two, Donald Francis Tovey (1875-1940) and Heinrich Schenker (1868-1935), take a harmonic view often considered to be more characteristic of eighteenth-century than of nineteenth-century writers. Tovey views sonata form as originating from "the so-called binary form," that is, one whose first section is incomplete and whose second section is complete. His general approach to the sonata exposition is evident in these remarks, made in the course of discussing Schubert's "second subjects":

There are no rules whatever to determine how many themes a sonata exposition shall contain, nor how its themes shall be distributed; but that whatever is contained in or about the tonic key, from the outset to the first decisive change of key, shall be called the first subject, and that whatever is contained from that decisive change of key to the end of the exposition shall be called the second subject. The material that effects the decisive change of key will obviously be called the transition. . . . The real fixed points in the matter are: that there is at the outset a mass of material clearly establishing the tonic key; that there then follows a decisive transition to another key; and that in that other key another mass of

material completes the exposition. In any case, the exposition asserts its keys in order to maintain them.²¹

While Tovey's approach to the sonata exposition is essentially harmonic, it assumes agreement between harmonic and thematic entities; his first and second subjects "assert" the exposition's two key areas.

Since Heinrich Schenker's work, enriched by later theorists, forms the foundation from which I draw my analytical *modus operandi*, I will briefly outline essential features of his mature work as set forth in his 1935 *Der freie Satz (Free Composition)*.²² An antithematic approach is inherent in his theory: he holds that masterpieces of Western music are shaped by multilayered embellishment of the tonic triad; in the course of a piece, these layered embellishments temporarily prolong scale degrees other than (and including) the tonic through contrapuntal gestures such as neighbor-note and passing-tone motions, arpeggiation of triads, and stepwise filling-in of chordal intervals.

²¹See "Sonata Forms," *Encyclopedia Britannica* (London, 1911); rpt. in *The Forms of Music--Musical Articles from the Encyclopedia Britannica* (London: Oxford University Press, 1944, 1957, and 1967), pp. 210-213; and "Franz Schubert," *Music and Letters* 9/4 (October 1928); rpt. in *The Mainstream of Music and Other Essays*, ed. Hubert Foss (New York: Geoffrey Cumberlege/Oxford University Press, 1949), p. 120. I will discuss Tovey's treatment of Schubert's three-key expositions later.

²²See Heinrich Schenker, *Free Composition*, trans. and ed. Ernst Oster (New York: Longman, 1979).

Schenker views sonata form as an expression of *interruption*, in which the recapitulation completes both a melodic descent to scale degree $\hat{1}$ and a harmonic motion to the tonic that are interrupted with attainment and prolongation of scale degree $\hat{2}$ and the dominant in the preceding sections.²³ The concept of interruption, like that of the antecedent-consequent period, depends, in part, for its meaning upon attainment of the dominant at the end of its first stage--this dominant has great structural importance, second only to that of the key-defining tonic. Thus the development section of a sonata movement, which so often ends with a crucial dominant, is viewed as an extension of the exposition, belonging to the first, preinterruption part of the movement.²⁴ Though premised on large harmonic motion, Schenker's binary view of sonata form differs from mainstream binary views: while theorists including Koch, Czerny, Tovey, and Webster emphasize the articulation at the end of the exposition, Schenker emphasizes the

²³Schenker arrived at the concept of interruption relatively late in his career. There is no mention of interruption, for example, in Schenker's 1926 article "Organic Structure in Sonata Form," in *Das Meisterwerk in der Musik* (Jahrbuch II); trans. Orin Grossman, in *Readings in Schenker Analysis and Other Approaches*, ed. Maury Yeston (New Haven, CT: Yale University Press, 1977), pp. 38-53. Interruption appears in Schenker's 1930 study of Beethoven's Third Symphony ("Eroica"), in *Das Meisterwerk in der Musik* (Jahrbuch III), and in the 1932 *Fünf Urlinie--Tafeln*; repub. *Five Graphic Music Analyses*, intro. Felix Salzer (New York: Dover, 1969). Furthermore, many sonata movements, including the first movements of Schubert's D-minor Quartet and Octet, cannot be interpreted strictly according to Schenker's models of interruption in *Free Composition* because their top lines do not make clear linear descents in the exposition. Ernst Oster discusses such departures in a supplementary note to Schenker's chapter on form in *Free Composition*, p. 139.

²⁴See Schenker, *Free Composition*, pp. 36-30 and 133-138; see also my discussion in Chapter 2, pp. 111-113.

articulation at the end of the development. The mainstream view emphasizes a *formal* articulation, the double bar; for the cadence at the end of the exposition, though important, is en route to the development's retransitional V. Schenker's approach is more truly *structural*, for it emphasizes a voice-leading connection between the exposition and development.

Schenker's construct permits a very loose analogy between large-scale sonata form and the three-key exposition; for example, an encompassing harmonic motion from I to V, articulated into three harmonic areas such as I-III-V, might underlie the combined exposition and development of a minor-mode movement as well as the three groups of a three-key exposition. In a Schenkerian view of the former (I-III-V structure in the exposition and development of a minor-mode sonata), the middle key area serves to connect superior tonic and dominant prolongations. Schubert's three-key expositions feature related voice-leading constructs in that their middle key areas are structurally subordinate to the surrounding key areas.²⁵

²⁵Schenker did not publish analyses of Schubert's three-key expositions. (Schenker sketches of these works are hardly in evidence: The Ernst Oster Collection, in the New York Public Library, contains one sketch by Schenker of Schubert's B-major Piano Sonata, D. 575, first-movement; but this movement has a "four-key," rather than a three-key, exposition--see, for example, Hur, *Irregular Recapitulation in Schubert's Instrumental Works*, p. 95. The Oster collection catalogue, compiled by Robert Kosovsky, also lists the contents, unavailable at this writing, of Felix Salzer's *Nachlass*; included therein are studies of a C-major Symphony, Octet, and Quintet by Schubert.) Of great interest, however, is Schenker's analysis of Brahms's Cello Sonata, Op. 99, first movement, in *Free Composition*, Figure 110/d2. The second and third key areas of Brahms's problematic three-key exposition are analyzed by Schenker as embodying an *auxiliary cadence*. An auxiliary cadence is a progression that begins without the

Schenker overtly expresses his attitude toward parsing formal articulations in two statements from his chapter on form in *Free Composition*. The first statement, from the section on song forms, compares music to language:

Coherence in language does not arise from a single syllable, a single word, or even from a single sentence; despite the correspondence of words and things, every coherent relationship in language depends upon a meaning hidden in the background. Such meaning achieves no fulfillment with mere beginnings. Similarly, music finds no coherence in a "motive" in the usual sense. Thus I reject those definitions of song form which take the motive as their starting point and emphasize manipulation of the motive by means of repetitions, variation, extension, fragmentation, or dissolution. I also reject those explanations which are based upon phrases, phrase-groups, periods, double periods, themes, antecedents and consequents (p. 131).

The second statement, from the section on sonata form, cautions that, as with song forms,

It is necessary to discard the concepts and terminology of conventional theory. These all involve the "motive" and are therefore most imprecise. It does not matter that so many designations are offered for the prolongation of the primary tone of the fundamental line ("first theme," "main theme," "first theme-group," and such);²⁶ what matters is that none of these designations answers the essential question, not one explains why the first

tonic that it prolongs and with which it concludes. See also Graybill, *Brahms's Three-Key Expositions*, pp. 277-319, and his article "Harmonic Circularity in Brahms's F major Cello Sonata: An Alternative to Schenker's Reading in *Free Composition*," *Music Theory Spectrum* 10 (1988): 43-55; and L. Poundie Burstein, *The Non-Tonic Opening in Classical and Romantic Music* (Ph.D. dissertation: The City University of New York, Graduate Center, 1988), pp. 21-42.

²⁶The primary tone of the fundamental line is a member of the tonic triad, emphasized at (or after) the beginning of the movement, from which the movement's melodic line eventually descends.

prolongation takes just this particular course and no other. Conventional theory simply does not know how to read diminutions; it assumes erroneous entities, splitting up those actually present and creating new ones where none exist (p. 133).

As far as Schenker is concerned, "Only the prolongation of a division (interruption) gives rise to sonata form" (p. 134).

Despite Schenker's condemnation of a thematic approach to analysis, he uses formal designations as sectional headings (see *Free Composition*, # 313-315), and he includes them in his voice-leading graphs of sonata movements: these graphs sometimes have labels such as Exp., Dev., and Recap., and they are sometimes provided with double bars and repeat signs. His graphs for other types of movements, such as rondos, include both capital and lower-case letters corresponding to sectional repetitions and contrasts. More importantly, the concept of interruption tacitly suggests partial reprise of thematic material from a work's beginning; this facilitates retracing of the work's governing melodic line and harmonic shape prior to the point of interruption.²⁷ (Again, interruption is

²⁷Schenker's description of sonata recapitulations in *Free Composition* assumes reprise of expositional material to be the norm and modification of this material to be a "liberty." Thus he says, "Since the principle of division necessitates the closure of the fundamental line and the bass arpeggiation, a return to the main key is understood for the recapitulation. When the main tonality is thus secured it is also possible to take some liberty in restating the content of the exposition" (p. 137).

loosely related to the antecedent-consequent construct.) Thus Schenker considers the interaction between harmonic and formal anatomy; no great theorist ignores this interaction, despite preoccupation with one or the other of its aspects.

III. *Literature about, and origins of, the three-key exposition*

Though not named as such, the "three-key exposition" is described by the late nineteenth-century scholar Ebenezer Prout (1835-1909) in *Applied Forms* (1895). Prout takes a thematic approach to conventional sonata form, describing it as "a modified ternary" form in which the exposition's first and second subjects are developed and recapitulated. More surprisingly, he also describes the exposition as having "three parts: the first subject, the bridge-passage, and the second subject"--with the "bridge-passage" counted as a full-fledged section.

For each of the exposition's three sections, Prout catalogues exemplars of various types. In his discussion of second subjects, he credits Beethoven with developing "the introduction of the second subject in a major movement in a key which was in the second, instead of in the first degree of relationship to the tonic . . . those which are at the distance of a major or minor third above or below the tonic" (Beethoven's Quartet Op. 130, Trio Op. 97, and Piano Sonata Op. 106). Also within his discussion of second subjects, he includes those whose "second subject begins in some different key from that in which it ends." His illustrative subtypes include minor-key movements whose second subjects begin in the relative major

and end in the dominant minor; movements whose second subjects prolong one tonic first through the minor mode and then through the major mode; movements by Beethoven whose second subjects have a preliminary section in a closely related key that soon leads to the second subject's expected harmonic goal; and, most interesting, movements whose second subjects begin "in a key extremely remote from that in which it ends" (Beethoven's "Emperor" Concerto and Schubert's B♭ Piano Sonata).²⁸ Although Prout presents different types of second subject without commenting on the ramifications of their differences, he implicitly suggests a connection between Beethoven's "second-subject" innovations and Schubert's three-key expositions. I will discuss the influence of Beethoven on Schubert later.

More recent literature on the three-key exposition usually engages in detailed discussion of individual movements, especially by Schubert or Brahms, the most important cultivators of the form. Each of these sources has a slightly different view as to what constitutes a three-key exposition (whether or not this terminology is used). These differences of opinion affect determination of when and from whom the three-key exposition arose; in addition, they can raise sticky issues concerning conventional designations such as "transition" and "second subject,"

²⁸See *Applied Forms* (London: Augener Ltd., 1895; rpt. St. Clair Shores, MI: Scholarly Press, 1970), pp. 132 and 142-157.

designations that arose in conjunction with the two-key exposition. (Criteria for making such terminological judgments will emerge in the course of this study.)

In Schubert's mature three-key expositions, certain interrelated features tend to occur: 1) the middle key area is approached abruptly, rather than by a substantial bridge leading to its dominant; 2) onset of the middle key area is thematically memorable and most often contrasts in mode, harmony, and affect with the preceding first subject; 3) the middle key area soon becomes, to varying degrees, harmonically unstable and may or may not reach cadential closure; 4) the middle key area may be followed by a substantial transition to the third key area; 5) the third key area, almost always the dominant, lacks thematic individuality and instead reinforces sectional closure through cadential gestures. These anatomical features form the focus of literature on the three-key exposition.

A. Origins of the three-key exposition. The origins of Schubert's three-key exposition are suggested by their irregular features, in particular, a middle key area that is entrusted with a memorable theme despite subordinate structural status in relation to the exposition's surrounding key areas. Carl Schachter's study of a post-Schubertian three-key exposition, in the first movement of Brahms's Second Symphony, reveals a special type of voice-leading structure, one resulting

in an especially dramatic disjunction between formal design and voice-leading structure.²⁹ He describes Brahms's D-major movement as follows:

Like some of Schubert's expositions (and others by Brahms), this one divides into three main key areas instead of the usual two. The 'second theme' appears in the mediant key, F# minor. A brief transition follows, culminating in an augmented sixth that leads to a strong V of A major, the dominant key. The remainder of the exposition is in A (p. 62).

Schachter rejects a I-III-V reading of this exposition because it "fails to reflect the extraordinary emphasis given to the V of A major that enters at the *quasi ritenente* of b. 118" (pp. 62-63); he prefers a I-II#-V reading, one which accounts for this emphasis on V of A (II#). Furthermore, he shows that the F#-minor second theme is subsumed under an overarching chromatic voice exchange between the movement's opening tonic and the augmented sixth following the second theme (see Example 1.1).

Schachter observes that "in this exposition . . . the 'second theme' occupies a place in the tonal scheme that would usually form part of the bridge section" (p. 64). He then locates indirect precedents for Brahms's movement in those by Mozart whose thematic transitions are subsumed within a chromatic voice exchange:

Bridge themes interpolated between the tonic group and a modulating augmented sixth appear frequently in earlier music.

²⁹See "The First Movement of Brahms's Second Symphony: The Opening Theme and its Consequences," *Music Analysis* 2/1 (1983): 55-68.

Mozart, in particular, would sometimes bring in an unexpected key on the flat side of the tonic ($\flat$ III or $\flat$ V) and have it support a fairly extended quasi-thematic statement. The new 'key' would then dissolve into an augmented sixth leading to the introductory V of the dominant group. . . . This technique occurs most readily in the concerto movements, where an apparently stable theme can evaporate into soloistic figuration with great naturalness and where sudden, dramatic contrasts are often appropriate (pp. 64-65).

Schachter gives as examples the first-movement expositions of Mozart's Piano Concertos K. 467, K. 503, and K. 622, whose extra key areas are considered "thematic episodes within bridge sections; their tonal remoteness, the suddenness with which they enter, and the instability they eventually manifest prove them to be transitional." (The first-movement exposition of K. 595 provides another example.) He also places Schubert within this voice-leading tradition; for example, he finds that the first-movement exposition of the "Great" C-major Symphony has a related structure, one whose middle key area occurs within a chromatic voice exchange between the movement's opening tonic and an augmented sixth; here, by contrast with the Mozart examples, the middle key area is considered to carry a second theme rather than a transition, for, "as in the Brahms, the theme on III contains materials that continue throughout the dominant group of the exposition" (pp. 64-65). It will be seen that the first-movement exposition of Schubert's $\flat$ B Piano Sonata, D. 960 belongs to the C-major Symphony's voice-leading category, although its second theme does not continue into the dominant group. In the Schubertian members of this family of

expositions, the middle key area is highlighted thematically and deemphasized structurally.³⁰

Another telling irregularity of Schubert's three-key expositions, one that suggests the origins of the form, is the absence of a fully fleshed-out transition to the second key area. This is not an innovation of Schubert's but probably began with the Classical "bifocal close." Robert Winter describes movements exhibiting the "complementary" bifocal close as including the following elements:

1) a diatonic first group that reaches a half cadence on the dominant; 2) the articulation of this half cadence by a prominent rest immediately after; 3) the continuation and immediate tonicization in the second group of the local dominant harmony of the half cadence; and 4) a parallel structure in the recapitulation in which the half cadence now functions as a local dominant to the second group in the tonic.³¹

He notes that, notwithstanding the respective disdain and neglect of nineteenth-century and twentieth-century scholars, W. A. Mozart used the bifocal close in 150 movements.³²

³⁰I will return to Schachter's article in Chapter 4, pp. 204-205, on the relationship between Beethoven's "Emperor" Concerto and Schubert's E♭ Piano Trio; and in Chapter 5, pp. 343-344, on Schubert's B♭ Piano Sonata.

³¹See "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* 42/2 (Summer 1989), p. 278; Winter, p. 275, credits Jan LaRue with coining the term "bifocal." See also Rosen, *Sonata Forms*, rev. ed., pp. 230-235.

³²Winter, "The Bifocal Close," pp. 280-287 and 337.

Mi-Sook Han Hur proposes that Schubert's three-key exposition is "a kind of conflation of the old-fashioned bifocal close and of 'harmonic digression'."³³ Not a defining characteristic of Schubert's three-key expositions, harmonic digression *within* an exposition's second group occurs commonly in his two- and three-key expositions. Like the bifocal close, intragroup harmonic digression is not an innovation of Schubert's. Regarding Classical expositions by Haydn and Mozart, Ratner says that key area II "may incorporate a variety of melodic material, *harmonic digressions* [italics mine], and a firm melodic statement to emphasize closure."³⁴ Hur's proposal emanates from her study of Schubert's sonata movements from 1816-1819: she finds suggestive similarities between major-mode two-key expositions (mostly from 1817) whose second key areas digress to local $\flat$ III (of V)--for example, the first movement of the Sixth Symphony in C, D. 589--and major-mode three-key expositions (mostly from 1818-1819) whose middle key areas prolong $\flat$ III (of I) before moving to V--for example, the Overture in D, D. 590 and the four-hand B $\flat$ Piano Sonata, D. 617. Both types of exposition manifest a "tendency on Schubert's part to expand the second theme group harmonically" (p. 93). Hur further observes that in most of the three-key expositions with the I- $\flat$ III-V plan, "as soon as the first theme ends on a local, back-relating V, the appearance of $\flat$ III, often in sudden juxtaposition, comes as a

³³See *Irregular Recapitulation in Schubert's Instrumental Works*, citation on pp. 98-99; see also full discussion on pp. 88-99, including Hur's Examples 3.2 and 3.3.

³⁴Ratner, *Classic Music*, p. 224.

surprise" (p. 95).³⁵ Hence arises Hur's proposal concerning the two-pronged influence of second-group digression and the bifocal close upon the three-key exposition.

Hur's claim is indirectly supported by the sonata expositions of one of Schubert's older contemporaries, Jan Ladislav Dussek (1760-1812).³⁶ Indeed, William S. Newman suggests that Dussek's possible influence on Schubert is "plausible on internal musical grounds."³⁷ According to Winter, Dussek used the bifocal close in the first movements of his keyboard sonatas Op. 9 No. 1 ("modified complementary"), Op. 9 No. 2, Op. 39 No. 3, Op. 43, and Op. 44, "Farewell." (The first two were published around 1789; the last three were published around 1800.³⁸) He traces Dussek's bifocal sonatas to "lingering effects of the proto-Romantic bifocal close," cultivated by Mozart, for example, in the first movements

³⁵There exists a family of *minor-mode* movements whose principal groups end with a back-relating V and whose subordinate groups enter suddenly with (b)III. Among these are several movements (II, IV, and VI) from Haydn's *Seven Last Words* and the last movement of Beethoven's Piano Sonata Op. 10 No. 1. They may be viewed as being indirectly related to the Schubertian major-mode sonata movements of 1818-1819 described by Hur.

³⁶The spelling of the composer's name given here is that used by Howard Allen Crow in his article "Dussek," *The New Grove Dictionary of Music and Musicians*, 6th ed., ed. Stanley Sadie, v. 5 (London: Macmillan, 1980), p. 754. Variants in the spelling of the composer's name occur in other sources.

³⁷See *The Sonata Since Beethoven*, pp. 673-674.

³⁸See "The Bifocal Close," pp. 326-330; publication dates given for the Op. 9 sonatas come from Orin Louis Grossman, *The Piano Sonatas of Jan Ludislav Dussek (1760-1812)* (Ph.D. dissertation: Yale University, 1975), pp. 87, 101, and 119.

of his Piano Concertos K. 537 and K. 595.³⁹ Orin Grossman describes Dussek's Op. 9 No. 1 as follows (score of the exposition included in the Appendix, pp. 660-665):

The exposition of the first movement of Op. 9 # 1 . . . , in B-flat major, is in three distinct sections. The first (measures 1-35) states the main theme after an opening fanfare and, without modulation, ends with a half cadence on three repeated dominant chords. The second section (measures 36-54) begins abruptly in the dominant key. The thematic material consists of new triplet figuration. This section closes on the dominant of the new key. The final section (measures 55-86) begins with the main contrasting theme in the dominant. If we consider harmony to be the crucial formal determinant, the exposition is in two sections with the second section beginning in measure 36. If we assign a prominent role to melody, we must put the important exposition division beginning with measure 55. This places material in the dominant key before the main division of the sonata. . . . The recapitulation rearranges the exposition material. . . . The clearly separated section in the dominant which preceded the second theme, measures 36-54, has been greatly abridged and placed before the repeat of the opening fanfare. . . . Dussek goes to great lengths to play down

³⁹See "The Bifocal Close," pp. 324-326. Winter (pp. 324-325) describes the dominant-minor theme beginning in m. 108 of K. 595 as "initial second group" despite locating "the first V of V of V" well after "the lyrical theme that begins in m. 123 [?]." I prefer to categorize the theme at m. 108 as transitional material of the kind described by Schachter in his article on Brahms's Second Symphony; this theme leads to an important augmented sixth and prolongation of V of V (II $\frac{1}{4}$) in mm. 119-129, finally leading to the second group in m. 130. The difficulty of drawing distinctions between "transition" and "second group," though, is apparent in "bifocal" expositions such as this one.

the importance of this material in the recapitulation.⁴⁰

Grossman concludes that Dussek "creates an ambiguity as to whether the key change or the melodic contrast is the true definer of the form; in the recapitulation he makes a clear decision in favor of melody" (p. 87). Upon examining the first movements of Op. 35 No. 3 (1797), Op. 43, and Op. 44, "Farewell," in addition to Op. 9 No. 1, Grossman generalizes as follows:

In all of these movements there is a clear articulation between the first theme and the modulatory transition to the second key area. This transition, however, begins abruptly in the new key. Thus what would normally be heard as the transition is easily confused with the second key area, since it is detached from the opening theme and unambiguously in the new key. . . . The four sonatas, then, have three-part expositions in which the key change and melodic contrast occur at different points."⁴¹

Grossman's characterization of these expositions requires clarification. If they manifest an ambiguity resulting from disjunction between harmonic and thematic arrival, it is because the first, bifocal, arrival at V is structural. (In Schubert's three-key expositions, the locus of ambiguity is reversed--melodic contrast *precedes* attainment of the exposition's harmonic goal.) But if the dominant material

⁴⁰*The Piano Sonatas of Dussek*, pp. 87-88.

⁴¹*The Piano Sonatas of Dussek*, pp. 89-92. Rosen, *Sonata Forms*, rev. ed., pp. 236-238, remarks that "in Dussek's Piano Sonata in A major, op. 43 . . . , the simple move to V seems to require a gigantic half cadence later on V of V. . . . This is an absurdly lavish, if splendid, way of arriving at V of V. (It is clear that one has arrived at the dominant early on in this passage, and even clearer that Dussek wants his pause on V of V anyway.)"

preceding the main melodic contrast is, as Grossman suggests, transitional, that is, structurally subordinate to the later prolongation of V, then arrival at the true V coincides with arrival at the main melodic contrast, and there is no true disjunction between harmonic and thematic entities. This view is supported by Dussek's recapitulations, which usually omit the earlier dominant material. It is true, however, that Dussek's expositions manifest formal ternary division in conjunction with the bifocal close.

An especially thought-provoking movement by Dussek is the first movement of Op. 9 No. 3 in D major (*ca.* 1789--score of the exposition included in the Appendix, pp. 666-670). This exposition combines bifocalism with harmonic digression: the principal group arrives "on" V in m. 26; a recitative-like passage "in" V begins in m. 27 but is soon interrupted in m. 29 by a brief but thematically memorable digression to F# minor (VI of V) which leads through V of V (II#) back to V; prolongation of "the real?" V begins at m. 36 with cadential arpeggiation and scales (most interestingly, there is a digression to F# in m. 48, a counterpart to the earlier F# digression, which leads through E back to A); a closing section begins in m. 52. (Each of the two digressions seems to arise from 5-[#]6 motion above prevailing bass tone A.) In the recapitulation, material corresponding to the exposition's mm. 9-35 is deleted. On the basis of this exposition, it is easy to imagine an even more revolutionary one whose principal group ends in a back-relating V, and in which ensuing prolongation of a once

"digressing" harmony completely supplants early, tentative prolongation of the dominant. Thus this movement indirectly supports Hur's contention that Schubert's three-key expositions arise from conflation of bifocalism with harmonic digression.

Dussek also wrote movements with three-key expositions. Two are listed in an article by Rey M. Longyear and Kate R. Covington, "Sources of the Three-Key Exposition," which investigates early prototypes, from about 1770-1820, for later three-key expositions.⁴² The authors divide these prototypes into two categories: 1) minor-mode expositions that prolong key areas I-III-V; and 2) major-mode expositions in which a transition prepares the dominant and in which "the second theme-group begins, but in a key other than the dominant. . . . In the course of the theme the music gradually backs into the dominant area, almost as if it were backing into a parking space." For the second category, the authors further require "that the degree of tonal remoteness from the expected outcome be at least two notches away on the circle of fifths and . . . that the initial key be maintained long enough to give at least an initial impression of the music's being in that key" (p. 460). The second movement of Dussek's Sonata Op. 10 No. 3 (*ca.* 1789) and the first movement of his Sonata Op. 61, *Élégie harmonique* (1807), a variant of the prototype, moving I-VI/IV-V, are listed along with the first

⁴²Rey M. Longyear and Kate R. Covington, "Sources of the Three-Key Exposition," *Journal of Musicology* 6/4 (1988): 448-470.

movement of Haydn's Symphony No. 45, "Farewell," Beethoven's *Coriolan* Overture, and the first movement of Clementi's Sonata Op. 50 No. 3, *Didone abbandonata*, as having expositions that belong to the first category.⁴³ Dussek is not represented in the listing for the second category, which includes the first movements of Mozart's Quartet K. 428 and Beethoven's Quartet Op. 18 No. 3, Piano Sonata Op. 28, and Eighth Symphony.⁴⁴ Longyear and Covington end their article with a discussion of certain Schubertian expositions, from 1816 to 1819, which the authors describe as "syntheses" or "coalescences" of earlier

⁴³Regarding the first movement of Haydn's Symphony No. 45, see James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), pp. 30-57.

Regarding the exposition of the *Coriolan* Overture, see Hur, *Irregular Recapitulation in Schubert's Instrumental Works*, pp. 63-64 and 99-101; she finds its middle key area (III) to be subsumed under a I-I[#] motion en route to II and V. Furthermore, Hur disagrees with James Webster's suggestion in "Schubert's Sonata Form," pp. 26-27, that *Coriolan* spurred or reinforced Schubert's exploration in 1817-1819 of the three-key exposition.

Regarding Clementi's Op. 50 No. 3, see Newman, *The Sonata Since Beethoven*, p. 673; he traces influence of Clementi on Dussek, connecting the first movements of Clementi's Sonata "*Didone abbandonata*" (Op. 50 No. 3) and Dussek's "*Élégie harmonique*" (Op. 61/C. 211).

⁴⁴The authors seem somewhat beholden to Prout's *Applied Forms*, pp. 150-151, both for their categories and for their examples; yet they criticize Prout for his inclusion of the first movement of Beethoven's Op. 10 No. 3 in his discussion of Beethoven's two-key *second subjects*. (See their n. 15 on p. 465.)

Regarding the first movement of Beethoven's Eighth Symphony, see Oswald Jonas, *Introduction to the Theory of Heinrich Schenker (Einführung in die Lehre Heinrich Schenkers)*, ed. and trans. John Rothgeb (New York: Longman, 1982), pp. 117-118. Jonas notes the "early" arrival of the second theme in the key of D, which comes "without waiting for the harmonic goal," though the harmonic goal, C, soon follows. He explains the theme's preliminary statement in D as resulting from a 5-6-5 alternation (F-A-C/ F[#]-A-D/ G-B^b-D) that unites the tonic triad of the "first theme" with the impending II^b (V of V) that leads to V. This voice leading avoids parallel fifths between I and II^b.

expositional types belonging to their two basic categories. The authors eschew consideration of the relative importance or structural weight of an exposition's constituent "keys"; this limitation makes it difficult to assess the nature (and existence) of the relationship between Schubert's early three-key expositions and those listed by the authors as precedents.

In *Irregular Recapitulation in Schubert's Instrumental Works*, Hur criticizes Longyear and Covington's broad conception of the three-key exposition, especially with their inclusion "not only [of] 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." By contrast, she confines "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" (n. 33 on p. 63). Her examination of major-mode Schubertian expositions (mostly from 1818-1819) with a I- $\flat$ III-V plan (see her Example 3.3) leads to these conclusions:

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 differentiate it from other procedures by his predecessors. In Schubert the second key, $\flat$ III, 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 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 (pp. 99-100).

I agree, generally, with Hur's distinctions, which arise from her appraisal of the structural weight of an exposition's constituent key areas. I believe, however, that even movements that are only indirectly related to Schubert's three-key expositions may be fruitfully included in a comprehensive study of the genre, as long as vital voice-leading distinctions are made. Indeed Schubert's own three-key expositions changed with time; a case can be made that, in his late three-key expositions, Schubert increasingly demoted his middle key areas in terms of structural weight. Hur (pp. 193-199) points to this trend in her examination of Schubert's later works. She says, "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" (p. 199). Such variability makes it difficult to define the three-key exposition.

B. Beethoven's Influence on Schubert. Beethoven's general influence on Schubert is well recognized and chronicled. The scholars to be cited here testify to Schubert's borrowings from Beethoven, although they differ as to whether these

borrowings were unconscious or deliberate.⁴⁵ Newman finds borrowing throughout Schubert's *oeuvre*:

The influence is manifest in the frank imitations of the student--for example, through Schubert's "Tragic Symphony" in c (1816; D. 417), or the opening theme of the "Allegretto" from his Sonata in e/E for piano (1817; D. 566), which so closely resembles the opening theme of the similarly paced finale in Beethoven's Op. 90, likewise in e/E. And the influence is still manifest in the more confident allusions by the mature composer--for example, in the homage or less conscious respect paid throughout the Sonata in c for piano (1828; D. 958), including at the start . . . what must have been a deliberate reference to, as well as an intensified expansion of, the theme in Beethoven's 32 Variations in c (WoO 80).⁴⁶

Martin Chusid posits an inadvertent relationship between respective second and third movements in Schubert's "Unfinished Symphony (Andante con moto and incomplete Scherzo) and Beethoven's Second Symphony (Larghetto and Scherzo's Trio). He suggests that Schubert abandoned the Symphony because, "while working on the final, orchestral version of the third movement he became consciously aware of the thematic relationship with Beethoven's Trio"; furthermore, Chusid suggests that cyclic relationships within Schubert's Symphony caused the worrisome thematic connection with Beethoven's Trio to taint the

⁴⁵Some of these sources are listed in Webster, "Schubert's Sonata Form," n. 8 on p. 20.

⁴⁶See *The Sonata Since Beethoven*, citation on p. 193 and discussion on pp. 192-194.

entire work.⁴⁷ L. Michael Griffel, while disagreeing with Chusid's claim regarding the specific relationship between Beethoven's Second and Schubert's "Unfinished," observes a connection between Beethoven's Third and Schubert's First: "The first movement is . . . somewhat unusual for Schubert . . . in that it contains the most striking example in his symphonies of a melody borrowed from another composer, in this case Beethoven. The second theme (mm. 77-97) is a variation of the Prometheus theme employed by Beethoven in the 'Eroica' Symphony. . . . The same melody recurs in . . . variation as the second theme of this work's [Schubert's] finale (mm. 84-114)."⁴⁸

⁴⁷See "Beethoven and the Unfinished," in *Schubert: Symphony in B Minor ("Unfinished")*, rev. ed., ed. Martin Chusid, Norton Critical Scores (New York: W. W. Norton, 1971), pp. 109-110.

⁴⁸See *Schubert's Approach to the Symphony*, pp. 204-206, regarding Schubert's First Symphony. See also in Griffel's dissertation pp. 36-39, 61-62, and 198-199 regarding Beethoven's influence on Schubert's composition of symphonies, and pp. 59-66 regarding the incomplete status of Schubert's B-minor Symphony. Griffel, pp. 62-63, finds that "Chusid's . . . thesis that Schubert was upset by the similarity of some of his themes to certain of Beethoven's is not really very convincing. . . . Even if the themes of Beethoven's Second and Schubert's Unfinished look alike on paper, they really do not sound alike when played. Moreover, one can hardly think of two symphonies less alike in character." Griffel, pp. 65-66, finds it more likely that Schubert discontinued the Symphony because he "did not feel capable of writing a finale appropriate to the first two movements. Knowing Beethoven's Fifth, Schubert may very well have wanted to compose a rousing B-major resolution-finale for his B-minor symphony. Furthermore, in this 1822 work Schubert appears to have been aiming at a cyclical symphony, demanding some sort of apotheosis in its finale." In this view, Schubert's *lack* of composition is attributed to Beethoven's influence.

Edward T. Cone believes that Schubert deliberately imported Beethovenisms into his last three sonatas: "When one finds in each of the last three piano sonatas, composed almost simultaneously in 1828, a reference to the music of the master, then one begins to suspect that Schubert may have been deliberately trying to pay tribute to the memory of the illustrious colleague who had died only a short time before."⁴⁹ Cone also suggests that Schubert's insecurity in composing sonata-rondo finales led him to pattern the finale of his late A-major Piano Sonata, D. 959 on the finale of Beethoven's G-major Piano Sonata, Op. 31 No. 1 and to pattern his Rondo in A for Piano Duet, Op. 107 on the finale of Beethoven's E-minor Piano Sonata, Op. 90. Cone notes that Schubert's chief departure from Beethoven's example in both cases is his "expansion of the second half of the exposition" (p. 791). In *Sonata Forms*, Rosen comments that "Schubert was to win . . . mastery of instrumental forms later [after the "early period"], and he acquired exactly as much classical technique as he needed. What he never lost was a classicistic dependence on models." (In *The Classical Style*, pp. 456-458, Rosen, like Cone, remarks on the similarity of formal layout between the finales of Schubert's D. 959 and Beethoven's Op. 31 No. 1.) Despite this praise, Rosen disparages some of Schubert's borrowings: "With Schubert, when the source is not irrelevant--a kind of involuntary memory, an exterior stimulus to his creative imagination--the adaptation is often a failure. . . . The beautiful slow movement of

⁴⁹"Schubert's Beethoven," *The Musical Quarterly* 56 (October 1970), p. 780.

Schubert's Grand Duo is slightly diminished by the way it recalls Beethoven's Symphonies nos. 2 and 5; the sources are unfortunately relevant for once."⁵⁰

Several authors have drawn a general connection (overt or tacit) between certain works by Beethoven and Schubert's three-key expositions. These authors, including Prout, Tovey, Salzer, Webster, Longyear/Covington, and Rosen, cite one or more of Beethoven's works, including his Piano Concerto No. 4 (Rosen); Piano Concerto No. 5, "Emperor" (Prout and Rosen); Quartet Op. 18 No. 3 (Salzer and Longyear/Covington); Piano Sonata Op. 10 No. 3 (Prout, Tovey, and Rosen); Piano Sonata Op. 28 (Prout, Tovey, and Longyear/Covington); Eighth Symphony (Salzer, first movement and Longyear/Covington, first and last movements); and the *Coriolan* Overture (Webster and Longyear/Covington).⁵¹ As mentioned earlier, Webster's suggestion concerning the influence of the C-minor *Coriolan* Overture on the young Schubert is disputed by Hur. She notes that *Coriolan*'s structure is I-(#I)-II-V rather than I-III-V.⁵² The most interesting connection is the one concerning the "Emperor" Concerto. Rosen's careful analysis of it and of

⁵⁰See *Sonata Forms*, rev. ed., pp. 357-359.

⁵¹See Prout, *Applied Forms*, pp. 151-154; Longyear and Covington, "Sources of the Three-Key Exposition," pp. 451-459 and 461-464; Tovey, *Franz Schubert*, p. 121; Salzer, "Die Sonatenform bei Franz Schubert," pp. 101-104; Webster, "Schubert's Sonata Form," pp. 26-27; Rosen, *Sonata Forms*, rev. ed., pp. 246-261; and Hur, *Irregular Recapitulation in Schubert's Instrumental Works*, pp. 63-64 and 99-101. Also, see this chapter, pp. 18, 27-31, and 35-36.

⁵²See *Irregular Recapitulation in Schubert's Instrumental Works*, pp. 100-101.

other three-key expositions, including those in Schubert's String Quintet, D. 956 and B $\flat$ Piano Sonata, D. 960, hinges on his concept of *expansion*; that is, the middle key area is shown to arise from internal expansion of a simpler harmonic progression.⁵³ While Rosen's discussion of the three-key exposition generally links Beethoven and Schubert, I draw a specific connection between the "Emperor" Concerto, Op. 73 and Schubert's E $\flat$ Piano Trio, D. 929 (see Chapter 4, pp. 187-207).

In this study, I investigate the following specific relationships between works by Beethoven and Schubert (in addition to that between Beethoven's "Emperor" Concerto and Schubert's E $\flat$ Piano Trio): Beethoven's Septet, Op. 20 and Symphony No. 1, Op. 21 with Schubert's Octet, D. 803; Beethoven's "Archduke" Piano Trio, Op. 97, "Hammerklavier" Piano Sonata, Op. 106, and B $\flat$ Quartet, Op. 130 with Schubert's B $\flat$ Piano Sonata, D. 960. I do not exclude Beethoven's two-key expositions as sources of influence because the bases for my connections are voice-leading relationships, especially the $\hat{5}-(\flat)\hat{6}-\hat{5}$ neighbor-note motive, that are expressed both on the level of the detail and on that of large structure; I am less concerned with thematic quotation and formal organization, although these are also of interest.

⁵³Rosen, *Sonata Forms*, rev. ed., n. 4 on p. 248, cites his monograph *The Classical Style*, pp. 83-89 and 279-82, "for a longer discussion of the essential classical technique: the inner expansion of a phrase." For another discussion of internal expansion, see Rothstein, *Phrase Rhythm in Tonal Music*, pp. 74-93.

C. Literature on Schubert's three-key expositions. Donald Francis Tovey, in his 1927 essay "Franz Schubert," and Felix Salzer (1904-1986), in his 1928 essay "Die Sonatenform bei Franz Schubert," credit Schubert as innovator of the three-key exposition; their respective discussions of Schubert's three-key expositions occur within more general surveys of Schubert's output. Their attitudes are similar in that they attribute weakness in Schubert's instrumental works, by comparison to Beethoven's, to an expansionist or lyrical, rather than a dynamic, disposition. A sampling of Tovey's remarks will serve to illustrate his assessment of Schubert's instrumental works, including his three-key expositions:

Schubert's first subjects are generally of magnificent breadth, and the length of his big movements is not actually greater than their openings imply. If Beethoven had to set to work from any one of Schubert's finest openings two things are certain: that he would have produced quite as long a movement, and that its materials would have been very differently distributed, especially as regards the continuation of the second subject. Up to that point all is well with Schubert. . . . Schubert's strange event is usually the beginning of his second subject in a quite unexpected key, remote from that in which it is going to continue. . . . The device is a true art form, widely different from the things in Beethoven which may have suggested it (see Beethoven's Sonatas, op. 10 no. 3, and op. 28); and Schubert's ways of bringing the unexpected key round to the orthodox one are thoroughly masterly. The trouble begins after this problem is solved. Then Schubert, feeling that the rest of his exposition must not be less spacious than its enormous opening, fills up most of what he guesses to be the required interval with a vigorous discussion of the matter already in hand. Even if the discussion does not lead him too far afield, it inevitably tends to obliterate the vital distinction between exposition and development. . . . The real classical procedure with the continuation of a big second subject, the procedure of Mozart and Beethoven, is to produce a series of new sentences, all conspicuously shorter than

the main themes but not less sharply contrasted in length and shape among themselves. If the key of the second subject is not remote, one of these themes will probably have a strong admixture of a remote key within its own single phrase. This instantly serves all the purpose of Schubert's widest digressions. . . . They [second-subject themes] are epigrams, not discussions. That is why they make paragraphs that will bear recapitulation in the later stages of the movement, while Schubert's expositions will not, though there is no other means of dealing with them (pp. 120-122).

In his assessment of Schubert's innovation Tovey does not comment on the disjunction between thematic and harmonic design. His major reservation concerns what he considers to be elaboration of "the matter already in hand" in the "orthodox" key area. Despite this reservation, however, Tovey sympathetically acknowledges Schubert's greatness:

We already see that it is no mechanical matter to sift 'right' and 'wrong' from Schubert's instrumental forms, even with the earlier great masters to guide us. But when we find (as, for instance, in the first movement of the great C major Symphony) that some of the most obviously wrong digressions contain the profoundest, most beautiful, and most inevitable passages, then it is time to suspect that Schubert, like other great classics, is pressing his way towards new forms (p. 122).

Felix Salzer's essay is a much more detailed and more critical survey than Tovey's. I will discuss his article at length for several reasons. First, his views perhaps reflect contemporary views of his teacher, Heinrich Schenker, helping to explain Schenker's relative avoidance of Schubert's instrumental music. Second, it offers insights that a Schenkerian approach, though not yet fully formed, nevertheless

provides. Third, English translation of the article is not readily available (translations used in this study are mine).⁵⁴

In his introductory section, "The Nature of Sonata Form," Salzer builds a foundation from which to assess (negatively) Schubert's sonata forms. His argument proceeds roughly as follows: 1) There is a distinction between external form and inner content. 2) Sonata's external form evolved indirectly from two-part *Liedform* (forephrase and afterphrase) and more directly from three-part *Liedform* (*A-B-A*¹).⁵⁵ There is a correspondence between the respective sections of *A-B-A*¹ song form and the exposition, development, and recapitulation of a sonata movement. The sonata exposition, however, departs from the *Liedform*'s first *A* section in that it expands the ending half cadence to become a prolonged key area. Thus the exposition has two opposing key areas. 3) The sonata exposition's prolongation of a second key area challenges its coherence and unity. This challenge is insurmountable if lyrical melodic construction is imported from the song, because lyrical melodies tend to be closed structures that expand through block repetition (retention of one motivic chain). Such closed structures impede continuity and are unsuitable for the respective groups of a sonata exposition. 4) Sonatas must disrupt lyrical formations by means of the

⁵⁴I have also referred to a draft of the English translation (in progress) prepared by Mark Stevens for the journal *Theory and Practice*.

⁵⁵By contrast, Tovey views sonata form as a *direct* expression of binary form. See discussion on p. 15 of this chapter.

improvisatory element, whereby brief differentiated ideas follow one another in an unbroken stream, thus guaranteeing expositional unity despite key contrast. 5)

The four great masters of sonata form, C. P. E. Bach, Haydn, Mozart, and Beethoven, successfully countered lyrical formations with the improvisatory element. 6) The history of sonata form is marked by expansion, especially of the transition; thus examination of sonata form should focus on the modulation between principal and subordinate themes.

Salzer's second and main section, "Schubert's Treatment of Sonata Form," seeks to explain the great length of Schubert's sonata-form movements in terms of their novel procedures as measured against procedures used by Schubert's predecessors, especially Beethoven. Salzer's wide-ranging and astute observations of Schubert's expositions, developments, recapitulations, and codas lead to one conclusion--that the constituent thematic groups of Schubert's sonata-form movements are lyrical constructions, featuring repetition of one motivic idea, whose expansionism is unchecked by the improvisatory element. The resulting movements are deemed overlong, sectional rather than cohesive, and lacking in dynamic drive.

In his discussion of Schubert's expositions, Salzer begins by criticizing ternary organization of thematic groups (principal or subordinate).⁵⁶ This discussion of

⁵⁶For Salzer's remarks on ternary organization of the principal groups in the B♭ Piano Sonata, D. 960 and G-major Piano Sonata, D. 894, see this study, Chapter 5, pp. 311-321. Salzer's remarks on developments, recapitulations, and

ternary thematic groups leads Salzer to introduce the three-key exposition by way of the D-minor Quartet, whose "subordinate group" (*Seitensatz*) consists of two distinct key areas, F and A, joined by a substantial transition. This results in a large ternary form; the entire exposition, which, Salzer points out, deviates from three-part *Liedform* in having the first and last sections end in different keys! Salzer (pp. 101-102) describes specific features of the Quartet's *Seitensatz* that result in a *three-key exposition* (*das Dreitonartensystem der Exposition*): its second, F-major theme (mm. 61-70) is expanded (mm. 71-83), postponing the broadly conceived transition to A that might have been accomplished earlier (m. 71) and permitting the initial section of the dominant group (mm. 102-114) to present a variant of the second theme by borrowing thematic and harmonic features from its expanded portion; furthermore, the third key area's "closing section" (mm. 114 *ff.*) endows it with importance equal to that enjoyed by the second key area. By way of comparison, Salzer extols the virtues of Beethoven's *Seitensatz* in the first movement of the Eighth Symphony: its two keys (D and C) are expressed as fore- and afterphrase; expansion of its first key is avoided so as not to endanger the unity of the exposition; the superiority of its second key area is clarified by lengthening of the afterphrase; and, most importantly, it has only one important key.⁵⁷

codas will be discussed, in part, later, within the context of detailed analyses to which they apply.

⁵⁷See n. 44 on p. 33 in this chapter concerning Jonas's interpretation of Beethoven's subordinate group.

Salzer's discussion of a particular type of three-key exposition displays a tacit concern with the interaction between thematic design and voice-leading structure. The three-key expositions involved are those, like the "Great" C-major Symphony's and the D-minor Quartet's, whose second key areas are attained relatively abruptly but whose second and third key areas are connected by a substantial modulating transition. Salzer (p. 110) calls this phenomenon "displacement of the transition" (*Verschiebung der Modulationspartie*); the displaced transition is noteworthy precisely because it does not lead to the formal *Seitensatz*, as one would expect, but instead occurs within it. Salzer observes that this displacement serves to "assign the rank of a main key to the second key of the subordinate group" (p. 110). (In other words, because of its superior rank, the subordinate group's second key receives much more preparation than does the group's first key.) These observations implicitly presume a disjunction between formal and structural organization. I will return to Salzer's discussion of the displaced transition in my Chapter 2, p. 98.

In his discussion of other three-key expositions (pp. 102-104), Salzer criticizes their subordinate groups, sometimes returning to the subordinate group in Beethoven's Eighth Symphony by way of comparison. Salzer describes the respective subordinate groups in the four-hand "Grand Duo," D. 812 and the "Great" C-major Symphony, D. 944 as having two thematically linked parts (*zwei Teile*) that are joined by a transition (*Modulationspartie*). By contrast, he notes that in the

four-hand B♭ Piano Sonata, D. 617, the *Seitensatz*'s two key areas are *not* thematically linked; this constitutes another (unfortunate) deviation from Beethoven's practice as found in the Eighth Symphony. Salzer faults the Octet for its allusion to the tonic within its subordinate group (see my discussion of this subordinate group on pp. 151-159 in Chapter 3 of this study). And he criticizes the four-hand *Lebensstürme*, D. 947 for the inordinate length of the two key areas within its subordinate group, again upholding the subordinate group in Beethoven's Eighth Symphony, now for the relative concision of its corresponding key areas. (The C-major String Quintet is discussed in the section on two-key expositions because Salzer considers its subordinate group to prolong one key only.) Salzer concludes his discussion of the three-key exposition by listing several earlier works by Schubert that employ it.

Salzer's article was published early in his career and is not entirely representative of his (or Schenker's) later work.⁵⁸ His treatment of Schubert's three-key expositions is in many respects insightful and thorough; it tends, however, to focus on sectional rather than large motivic entities. In part this follows from his basic premise that Schubert imported periodic formations from song forms into the constituent groups of his expositions. Symptomatic of this approach, also taken by scholars such as Prout, Tovey, and Webster, is Salzer's unwavering location of a

⁵⁸Later in his life, Salzer apparently came to regret his article's anti-Schubertian position (personal communication from Carl Schachter).

three-key exposition's latter two key areas within a subordinate group; while justifiable in formal terms, this placement obscures the motivic role of the exposition's middle key area, which often prolongs a bass embellishment that links the first key area to the third. Schenker's rejection in *Free Composition* (1935) of periodic formations as analytical determinants can be understood, within this context, as a liberating step forward.

After years of relative neglect, Schubert's three-key exposition reclaimed attention in 1978-1979 from James Webster in his two-part essay, "Schubert's Sonata Form and Brahms's First Maturity." In this essay, Webster investigates Tovey's claim (made in "Franz Schubert," p. 123) that Schubert's sonata-form techniques find fruition in those of Brahms, and he surveys Schubert's sonata-form procedures in the service of this investigation. (Webster's points of departure for Part I, devoted to Schubert, are essays by Tovey and Salzer described above.⁵⁹) He concludes his discussion of Schubert with this assessment:

The principles of Schubert's sonata form are logical and admit of manifold subtle artistic realizations. When he fails to achieve such realization, the cause is not his fondness for multiple remote key-relations, nor his use of a three-key exposition, nor his reluctance to provide a traditional transition to the second group. Nor can the basic trouble really be laid to his extended lyricism--although the Salzer-Tovey view that such lyricism is incompatible with sonata style has never been seriously challenged. Rather, the cause seems to lie in Schubert's inhibitions--against leaving the tonic, against establishing new keys by dominant preparation, at times against the

⁵⁹Webster also draws on Tovey's "Tonality in Schubert."

dominant itself, and against placing an entire large section in a single key. But many other principles of Schubert's form, especially his key-relations, are quite similar to Beethoven's. . . . Salzer's conclusion that Schubert represents "a detour from the main line of development . . . Ph. E. Bach, Haydn, Mozart, and Beethoven" is therefore unwarranted. And his conclusion that Schubert had no real influence on form in later composers is equally mistaken (p. 35).

This assessment follows from specific observations that bear some scrutiny.

Webster begins by placing Schubert and Brahms within the Classical-Romantic sonata-form continuum. His study of Schubert's departures from Classical traditions ensues (pp. 20-22), *pace* Salzer, with a survey of Schubert's principal and subordinate groups that feature lyrical themes cast in periodic designs. Webster goes on to describe Schubert's transitions to the second group. Here he observes that Schubert, unlike his predecessors, prefers to begin his second group in a key, often remote, other than the dominant and that "his transitions do not comprise a single paragraph which firmly establishes the dominant of this new key" (p. 22). After surveying Schubert's various means of approaching his second group, often involving an abrupt modulation accomplished through common tone or pivot chord, Webster observes that "Schubert hates to leave the tonic in the Classical manner. Only there--or in a remote key--does it seem possible for him to sing. . . . Indeed, many of Schubert's transitions fail to leave the tonic at all; they remain 'on' the dominant" (p. 24). (In this regard, see my discussion of the E♭ Piano Trio in this study, Chapter 4, pp. 230-232.) Later Webster reiterates: "Schubert's lyrical impulse was comfortable in the tonic, and in distant regions, but

not in the act of establishing the dominant as a key in a large-scale work, or with dominant preparation of any new key" (p. 26).

Webster now defines the three-key exposition, which he suggests arises from Schubert's just-mentioned reluctance to attain the dominant:

He [Schubert] always *concludes* the exposition of a major-mode sonata-form movement in the dominant major, and often does so even in minor-mode pieces. Whenever some other key is established for the second theme, therefore, the second group as a whole comprises two tonal areas, usually articulated as separate sections, often with an extended transition between them. The result is a "three-key exposition," comprising a first group and a "double second group" (p. 26).

If Schubert, however, is simply averse to establishing the dominant, why does he not follow Beethoven's general procedure in pieces such as the "Hammerklavier" Sonata, Op. 106, the "Archduke" Trio, Op. 97, and the B $\flat$ Quartet, Op. 130, two-key expositions whose second group prolongs a key other than the dominant--why does he feel compelled, as Webster observes, to conclude his expositions in the dominant, sometimes creating a "double second group" and a "three-key exposition"? And why do Schubert's major-mode two-key expositions prolong the dominant as the prevailing second key area? Webster addresses the issue of two-key expositions with dominant groups, in part, by pointing to second groups of relatively short duration (A-minor String Quartet and B $\flat$ Piano Trio) and to second groups that include digressions--"It is primarily in these movements, rather than in connection with the double second group, that Schubert commits himself

to 'digressions,' 'redundancies,' and 'a confusion between expositions and development,' as Tovey calls them" (p. 31). I take a different view, believing that a positive attribute--Schubert's need for emotive contrast, expressed thematically *in conjunction* with embellishing, often chromatic, harmony--is the determining factor in his sonata forms, rather than a negative attribute--his aversion to the dominant. Indeed, without the relative tonal grounding provided by the dominant at the end of the three-key exposition, the coloristic value and motivic coherence provided by the exposition's middle key area would be lessened.⁶⁰ And Schubert's ineluctable (if reluctant) confrontation of the dominant in his exposition is a vital aspect of its drama.

In endeavoring to evaluate the role of the middle key area in different three-key expositions, Webster describes resulting disjunctions between voice-leading and rhetorical entities:

Most of the movements discussed so far entail a strong establishment of the first, non-dominant key of the second group. But this key is not always established strongly. Some other movements whose second groups begin in a remote key do not come to a close there, or do not have strongly lyrical or independent character in the first section. Three of Schubert's largest and most familiar works fall into this category: the String Quintet, the E $\flat$ Piano Trio, and the B $\flat$ Sonata (p. 28).

⁶⁰Levenson, *Motivic-Harmonic Transfer*, in her analysis of *Lebensstürme*, p. 186, criticizes Webster's explanation for Schubert's three-key exposition as arising from his aversion to the dominant; she finds this explanation to "fall somewhat short of the real essence of the matter" in that it "leaves out entirely the possibility that melodic, linear events are in operation as well as harmonic events."

The opening sections of these three second groups are thus expanded transitions. They must be distinguished from the *Quartettsatz*, the D-Minor Quartet, and the *Grand Duo*, in which the second group begins with a coherent closed theme in a single key, followed by a transition leading to the dominant. A middle category includes the "Great" Symphony, the Octet, and the *Reliquie Sonata* (p. 29).

In harmonic terms, the first section in a double second group always leads from the tonic to the dominant, and thus always constitutes a transition. . . . The correlation between lyrical interlude and remote (or unstable) key, within an overall I-V framework, is logical and compelling. When the opening section of the second group is unstable, its transitional function is clearest. The only possible criticism would be a felt dissociation between the "otherworldly" character of a lyrical theme and its tonal instability. . . . When the opening section is tonally stable and presents a closed theme, one might feel a dissociation between its firmness of character and its tonal function as a transition (p. 30).

Webster crystallizes the disjunction between formal and structural design in the three-key exposition when he calls the "opening section of a second group" a "transition" (String Quintet, E♭ Piano Trio, and B♭ Piano Sonata).⁶¹ What makes the middle key area in a work like the E♭ Piano Trio the "opening section of a second group" if not the emphasis accruing to it through formal and thematic design? On the other hand, if it is an "expanded transition" by virtue not only of

⁶¹Graybill, *Brahms's Three-Key Expositions*, pp. 28-29, finds that Webster confuses two meanings of the term *transition*--that he uses the term both to mean "any harmonic area that connects the tonic and dominant key areas" and "a harmonically unstable area that connects key areas of greater stability." He attributes this confusion to Webster's "failure to distinguish between a harmonic polarity created by the tonic-dominant axis, and a *dramatically-projected* tonal polarity." If I understand Graybill correctly, the first type of polarity is an *a priori* function of tonal relations, while the second type results from tonal emphasis accruing to formal and rhetorical design.

its larger voice-leading role but also by virtue of its internal instability and references to the tonic, one must ask why it, together with the third key area, belongs to a "double second group," that is, a single composite entity. (Webster consistently follows the approach of writers such as Prout, Salzer, and Tovey in categorizing the second and third groups of a Schubertian "three-key exposition" as a "double second group.") Webster pinpoints a crucial source of the symptomatic terminological dilemma (although I find his psychological interpretation of this source to be oversimplified):

The first section of the second group sounds like a sharp break, and it presents a new idea in a new key; but the underlying reality--in Schubert's unconscious, one is tempted to add--is that the tonic still holds sway. Perhaps the violence of Schubert's moves to remote keys masks his reluctance to take the truly significant step to the dominant (p. 30).

The relationship between thematic design and voice-leading structure will be explored further within the detailed analyses of the four pieces that form the core of this dissertation (for example, see pp. 105-111 in Chapter 2; pp. 153-159 in Chapter 3; pp. 232-234 and 239-242 in Chapter 4; and pp. 341-348 in Chapter 5).

IV. Schubert's three-key expositions in relation to his songs

At the beginning of this chapter, I observe that Schubert imported voice-leading structures, especially the neighbor-note motive, from his songs into his three-key expositions. It is beyond the scope of this study to present a comprehensive view of Schubert's Lieder or of the literature about them. However, examination of certain sources and of the songs discussed therein points to a motivic connection between the songs and the three-key exposition.

In his article "Motive and Text in Four Schubert Songs," Carl Schachter calls attention to motivic parallelisms in "Der Tod und das Mädchen," D. 531 (Op. 7 No. 3), showing how the pervasive use of a motive, A-B $\flat$ -G-A, and its variants and enlargements, binds this song together. He comments on the motive's import as follows:

The basic motive itself--the double neighbor figure--is a most appropriate one for a song about death. Its most prominent tones--A-B $\flat$ -A--form a musical idiom that has had an age-old association with ideas of death, grief, and lamentation. The musical basis of this association is surely the descending half-step (6-5 in minor) with its goal-directed and downward motion, its semitonal intensity, and the "sighing" quality it can so easily assume.⁶²

I have found that this death-related motive and its variants also pervades the first movement of the D-minor Quartet, D. 810. (See Chapter 2 in this dissertation;

⁶²See "Motive and Text in Four Schubert Songs," in *Aspects of Schenkerian Theory*, ed. David Beach (New Haven, CT: Yale University Press, 1983), p. 70.

pp. 64-65 and 69-70 include a more detailed discussion of Schachter's observations on D. 531.) Thus the Quartet movement has a motivic relationship to the song. Most strikingly, it will be seen that a variant of the motive, D-B $\flat$ -A, governs the large-scale bass line both of Death's reply in the song and of the Quartet movement's recapitulation, a structure that is replicated in the Quartet on multiple levels. The D-B $\flat$ -A bass line includes the death-associated descending semitone B $\flat$ -A; nevertheless, in both song and Quartet, prolongations of B $\flat$ *major*, as part of this semitone, offer tonal-modal relief and contrast from a prevailing D-minor context.

Schachter's study of "Der Tod und das Mädchen" has inspired other scholars to research the role of the $\hat{5}$ - $\flat\hat{6}$ - $\hat{5}$ neighbor-note formation in songs by Schubert. Walter Everett investigates the use of this motive in his article "Grief in *Winterreise*: A Schenkerian Perspective."⁶³ Citing Schachter, Everett states that his aim "is to show that this same figure, the decoration of the fifth scale degree with its semitone upper neighbour note, is Schubert's principal means of portraying the wanderer's grief, thus unifying the individual songs in a cohesive cycle" (p. 157). He offers detailed analyses of "Einsamkeit" and "Der Wegweiser,"

⁶³See *Music Analysis* 9/2 (1990): 157-175. Other scholars influenced by Schachter's study include Timothy L. Jackson in "Schubert's Revisions of *Der Jüngling und der Tod*, D 545a-b, and *Meeresstille*, D 216a-b," *The Musical Quarterly* 75/3 (1991): 336-361; and Eytan Agmon in "Music and Text in Schubert Songs: The Role of Enharmonic Equivalence," *Israel Studies in Musicology*, v. 4, ed. Roger Kamien (Jerusalem: Israel Musicological Society, 1987): 49-58.

songs in which "perhaps the strongest statements of the wanderer's misery" are expressed through use of the $\hat{5}-b\hat{6}-\hat{5}$ motive. Everett finds structurally significant manifestations of the motive, in association with tears and anguish, in "Gefrorne Tränen,"⁶⁴ "Erstarrung," "Auf dem Flusse," "Der stürmische Morgen," "Rast," and "Wasserflut" (pp. 162-167). He finds the C-B incomplete upper-neighbor relationship to be important in the contrasting sections of "Der Lindenbaum," "Irrlicht," "Frühlingstraum," "Einsamkeit," "Täuschung," "Der Wegweiser," and "Die Nebensonnen" (p. 166). Further, Everett observes the grief motive (in conjunction with diminished harmonies and the tritone) in "Letzte Hoffnung," "Der greise Kopf," and "Die Krähe." Finally, he concludes that "it is only in the singer's last notes of the cycle, in bs 56-8 of 'Der Leiermann', that he encapsulates the grief expressed in so many songs . . . in the song's only appearance of the $\hat{6}-\hat{5}$ neighbour-note motive in the voice part" (p. 172).

Two other Schenkerian scholars focus on the $\hat{5}-b\hat{6}-\hat{5}$ motive in songs from *Winterreise*. Oswald Jonas observes its role in expressing textual contrasts within a strophic song, "Der Lindenbaum."⁶⁵ He comments that "the art with which Schubert achieves a strophic songform in 'Der Lindenbaum' (*Die Winterreise*, no. 5) in spite of seemingly almost insurmountable difficulties is unique in the song

⁶⁴Regarding "Gefrorne Tränen," Everett cites Carl Schachter's 1983 keynote address to the Society for Music Theory.

⁶⁵See *Introduction to the Theory of Heinrich Schenker*, pp. 159-161.

literature." These difficulties arise from the way in which "the contrast of happy recollection and harsh reality permeates all stanzas of the poem." The contrast is musically rendered through contrast between alternative versions of the $(\flat)\hat{6}-\hat{5}$ incomplete upper-neighbor motive, $C\sharp-B$ and $C\flat-B$. The E-major piano introduction to the first stanza features $C\sharp-B$ (happy recollection); however, the abridged E-minor introduction to the second stanza intones $C\flat-B$ (harsh reality). Most strikingly, the piano ushers in the third stanza (harshest reality) with bass appoggiatura $C\flat$; through enlargement, this $C\flat$ resolves to B *within* the third stanza. Similar contrasts between wholetone and semitone versions of the upper-neighbor motive occur elsewhere in Schubert's songs; for example, as Carl Schachter points out, $A-B\flat-(G)-A$ is replaced by $A-B\flat-(G\sharp)-A$ at the end of "Der Tod und das Mädchen," when Death brings peace to the Maiden.⁶⁶

Eytan Agmon, "Music and Text in Schubert Songs," traces the incomplete $\flat\hat{6}-\hat{5}$ motive in "Letzte Hoffnung." (See my Chapter 4, pp. 218-220, for a more detailed discussion of "Letzte Hoffnung.") In this song, Agmon says, there is a "functional opposition between $C\flat-\flat\hat{6}$ -and its enharmonic counterpart, $B\flat (\sharp\hat{5})$ " (p. 51). After examining the motivic appearances of $C\flat$ and $B\flat$ throughout the song, Agmon concludes that $B\flat$ is connected to hope and $C\flat$ to despair. Furthermore, he says, " $B\flat$ is associated in the song with major, or at least, a major triad (G

⁶⁶See "Motive and Text in Four Schubert Songs," p. 70; see also Jackson, "Schubert's Revisions," p. 344.

major); C $\flat$, on the other hand, is associated with minor (E $\flat$ minor as a key or A $\flat$ minor as a triad). In addition, B $\sharp$ tends to resolve *upwards* (to C . . .), while C $\flat$ naturally resolves downwards (the C $\flat$ -B $\flat$ motive)" (pp. 53-54).

Further evidence regarding the significance of the $\hat{5}-\flat\hat{6}-\hat{5}$ motive in Schubert's songs is provided by Charles Burkhart in his article "Schenker's 'Motivic Parallelisms'." Burkhart observes "a remarkably extended example of bass parallelism," involving the $\hat{5}-\flat\hat{6}-\hat{5}$ configuration, in Schubert's "Erlkönig": the striking bass motive G-A-B $\flat$ -C-D-E $\flat$ -D-B $\flat$ -G, in mm. 2-3, is "stretched out," shaping the song's large bass-line structure, when Schubert "treats several of its tones as temporary tonics."⁶⁷ Burkhart finds, too, that this enlargement serves to delineate the song's drama, in which the Erlking, an agent of death, first lures and then snatches a young boy from the arms of his father:

Particularly interesting is the way the neighbor tone E-flat is worked into the plan: the rising keys, B-flat major, C major, and D minor, are exactly synchronized with the three increasingly insistent speeches of the Erlking. Each of these keys clearly demarcates a closed musical section, and each of these sections is preceded by a "transitional," modulating section. When D minor is reached . . . the Erlking's third speech, instead of starting at once, is delayed until the sudden entrance of an E-flat major chord, which is not a key, but only the flat-II of a I-flat-II-V-I progression in the prevailing key of D minor. While Schubert scarcely tonicizes the E-flat, his paralleling of the motive is all the closer for that, because, just as the E-flat of the motive belongs to the note D, so this flat-II belongs to D minor (p. 159).

⁶⁷See "Schenker's 'Motivic Parallelisms'," *Journal of Music Theory* 22/2 (Fall 1978), pp. 157, 159, and Example 12 on p. 160.

Thus the $\hat{3}-b\hat{6}-\hat{3}$ motive, salient in the song's foreground and deep middleground, is associated with the Erlking's decisive and overt claim to his victim.

The sources examined here point to upper neighbor $b\hat{6}$ as a tonal and motivic agent of despair in Schubert's songs. The texts of the songs often contrast anguish (represented by $b\hat{6}$) with happiness, thus affecting the motive: happiness may be represented by a wholetone upper neighbor ($\natural\hat{6}$, as in "Der Tod und das Mädchen" and "Der Lindenbaum") or by an enharmonic inflection of the neighbor note ($b\hat{6}$ becomes $\sharp\hat{5}$, as in "Letzte Hoffnung"). Furthermore, modal change may be instrumental in inflecting the motive to express the text; thus, at the end of "Der Tod und das Mädchen," the change from D minor to D major changes Bb to $B\natural$; at the beginning of the second stanza in "Der Lindenbaum," the change from E major to E minor replaces $C\sharp$ with $C\natural$; in the second stanza of "Letzte Hoffnung," a G-major triad ($III\natural$) replaces Cb with $B\natural$. However, modal change may express emotional contrast *without* effecting a change in the motive's upper neighbor. For example, in Death's reply to the Maiden, $b\hat{6}$ is prolonged through Bb -major harmony to render his message "Sei gutes Muts! Ich bin nicht wild!" In "Ihr Bild," $b\hat{6}$ is prolonged through Gb -major harmony to render the protagonist's nostalgic description of his departed beloved. Thus harmonic prolongation of $b\hat{6}$ may be a realm of remembered or illusory happiness in Schubert's songs. Nevertheless, on a deeper level, the resolution of $b\hat{6}$ to $\hat{3}$ in these songs is most often associated with catastrophe.

I believe that Schubert's sonata expositions and recapitulations (covertly), like his songs (overtly), are tonally structured around an emotional contrast between happiness and despair. (This claim need not be documented by a specific relationship between a particular song and a particular movement.) Although this contrast is evident in Schubert's two-key expositions, it is more evident in his three-key expositions, in which the tonal agent of contrast, a neighbor note (or passing tone), is granted large-scale structural importance. Most strikingly, the expressive function of this large-scale embellishment is projected by its statement of a new (or modified) second theme *in an opposing mode*,⁶⁸ usually following an articulation or caesura. The contrast thus afforded is secured by the third group, which returns to the mode of the opening group, and which prolongs a large-scale resolution (or post-resolution harmony) of the middle key area. In the exposition, the middle key area moves to the dominant; in the recapitulation, it returns to prevailing tonic harmony. More specifically, it will be shown that the movements examined in this paper all show the important motivic function of scale degree $\hat{6}$: $\flat \hat{6}$ functions as a large-scale upper neighbor in the recapitulation of the D-minor Quartet and in the expositions of the E $\flat$ Piano Trio and B $\flat$ Piano Sonata; although $\sharp \hat{6}$ functions as a large-scale upper neighbor in the exposition of the Octet, $\flat \hat{6}$ sounds prominently there as a chromatic foil. It also has an important motivic function in other Schubertian movements: $\flat \hat{6}$ forms the middle key area

⁶⁸In the "Grand Duo," the exposition's A $\flat$ -major middle group retains the mode of the surrounding groups; however, in the recapitulation, its corresponding C-minor group provides modal contrast.

in the expositions of the "Grand Duo" and the *Quartettsatz* and it is a large-scale embellishment in the recapitulations of the four-hand *Lebensstürme* and the String Quintet; $\sharp \hat{6}$ is featured in the recapitulations of the "Great" C-major Symphony and the C-major Piano Sonata, *Reliquie*. Schubert's importation of emotional contrast, expressed through the $\hat{5}-(\flat)\hat{6}-\hat{5}$ motive, from the song into the sonata movement, and his conferral of structural significance to the area of contrast, transforms the sonata exposition. This transformation causes disjunction between thematic design and voice-leading structure in the three-key exposition.

In the following detailed analyses, I use Schenkerian methods to aid in investigating interrelated issues raised in this Introduction; these include the influence of Beethoven's and of Schubert's own works (especially songs), expressed through importation of the $\hat{5}-(\flat)\hat{6}-\hat{5}$ motive into the three-key exposition, and the resulting disjunction between thematic design and voice-leading structure in these expositions. More specifically, I will address these questions: 1) What is the voice-leading function of the exposition's second key area? 2) How do motivic parallelisms, thematic design, and phrase rhythm interact with harmonic structure? 3) How are the structure and design of the exposition reflected in the recapitulation?

CHAPTER 2

D-MINOR QUARTET, D. 810, "DER TOD UND DAS MÄDCHEN"

I. CONTEXT

The first movement poses problems typical of the three-key exposition, problems raised in my Introduction.¹ But it is special in having a deep and demonstrable relationship to Schubert's song Op. 7 No. 3 (D. 531), from which the Quartet gets its name. (The song was written in February 1817 and published in 1821; the Quartet was written between March 1824 and January 1826 and published in 1831.) Christoph Wolff finds foreground thematic relationships between the song and the entire Quartet, including the well-known quotation of the song in the Quartet's variation movement.² The song's relationship to the first movement, however, is operative on deeper structural levels. Tonal and metric analyses show that the Quartet movement derives important features of structure, design, and motivic coherence from the song, and that these are expressed in manifold contexts.

¹From here on, unless otherwise specified, discussion of Schubert's D-minor Quartet will refer to its first movement.

²See "Schubert's 'Der Tod und das Mädchen': Analytical and Explanatory Notes on the Song D 531 and the Quartet D 810," in *Schubert Studies*, ed. Eva Badura-Skoda and Peter Branscombe (Cambridge: Cambridge University Press, 1982), pp. 143-171; regarding the first movement, see pp. 160-164 and 167-168. Future references to this essay will give author's name only.

Most generally, both works share the key of D minor and duple meter. (Although the Quartet movement is notated in common time, it can easily be heard in the cut time of the song.) Beyond these similarities, it will be seen that the song and Quartet movement share two large-scale compositional resources: first, the mediant F and submediant B $\flat$ serve as crucial areas of harmonic prolongation; second, the pitch A and its embellishing neighbors B $\flat$ and G or G $\sharp$ serve as a primary motivic resource. This neighbor-note configuration also occurs in abbreviated and transposed versions. It is noteworthy that both song and Quartet feature B $\flat$, which serves two interrelated functions--it behaves both as a stabilized area of harmonic prolongation and as a motivic upper neighbor to A. The ensuing discussion will show how these compositional resources are manifested in the song and in the Quartet movement.

"Der Tod und das Mädchen" Op. 7 No. 3 (D. 531)

This tiny drama of forty-three measures begins with an eight-bar piano introduction that prolongs D minor. (See Example 2.1.) The repeated dactylic rhythm within alla breve time evokes the funeral march.³ The first stanza, mm.

³Grosvenor Cooper and Leonard B. Meyer refer to this rhythm as anapestic. See *The Rhythmic Structure of Music* (Chicago: University of Chicago Press, 1960), p. 52, Example 70a (showing second movement of Schubert's D-minor Quartet). Wolff (pp. 151, 160, and n. 33 on p. 164), however, describes the rhythm as dactylic. I prefer Wolff's interpretation; the dactyl, historically associated with death music, aligns itself with the earthbound downbeat.

9-21, is the Maiden's terrified plea to Death to spare her. The first part of her setting, in comparison with the introduction, is in a faster tempo, has more active rhythms, and an urgently rising melodic line shot through with dissonant appoggiaturas. But beginning in m. 14 the Maiden's melodic line begins to fall, and in m. 16 her accompaniment begins to slow, assuming the funereal rhythms of the introduction and suggesting her weakening. The second stanza is Death's persuasive reply. It follows the measured tempo and rhythms of the introduction. The vocal line is mostly a monotone, leaving motivic and melodic motion to the accompaniment. The D-major piano postlude signals peace in Death's victory.⁴

As mentioned earlier, in his previously cited article "Motive and Text in Four Schubert Songs," Carl Schachter reveals motivic parallelisms in Op. 7 No. 3,

⁴In his monograph *Tanz und Musik des Todes: Die mittelalterlichen Totentänze und ihr Nachleben* (Bern: Francke Verlag, 1980), pp. 12-14 (cited by Wolff in n. 10 on p. 145), Reinhold Hammerstein connects the song's poem, by Matthias Claudius (1740-1815), to the tradition of the medieval Totentanz. As evidence, he provides a comparison between Claudius's poem and a selection from an Upper German Totentanz dating from some time between the fourteenth and fifteenth centuries. The Totentanz text consists of two strophes, the first in which Der Tod orders Die Edelfrau to dance to the pipe's fatal music, and the second in which Die Edelfrau protests. Despite strikingly similar two-stanza formats, several important differences obtain between the two poems: in the older poem, Death begins the dialogue, offers dance and music, and is essentially evil; by contrast, in the later poem, Death ends the dialogue, offers sleep, and is metamorphosed from a clearly evil entity into one that may be viewed as benign. Hammerstein holds that Schubert restores the traditional reference to dance lacking in Claudius's poem, and Hammerstein views the rhythm of Death's reply as an evocation of a sedate, measured dance in the style of a pavane. Regarding the relationship between Schubert's "Der Tod und das Mädchen" and the Dance of Death, see also Jackson, "Schubert's Revisions," pp. 348-350.

showing how the pervasive use of a motive, A-B $\flat$ -G-A, and its variants and enlargements, bind this mini-opera together. (For example, he observes that the contrast between the song's two main sections in terms of tempo, rhythm, and texture might have been disruptive if not for the unifying use of the motive.) Schachter shows that during the Maiden's impassioned melodic ascent, an abbreviated form of the motive, one which omits the lower neighbor, is everywhere evident. For instance, A-B $\flat$ -A is featured both on the surface in mm. 8-9 and in the middleground in the accompaniment of mm. 9-12. A transposition of the abbreviated motive up a fourth, D-E $\flat$ -D, is also featured in the middleground in mm. 12-14. This statement of the motive reaches for upper neighbor e $\flat$ ², the highpoint of the Maiden's melodic curve. And, as mentioned earlier, Schachter observes that the abbreviated motive's descending semitone between scales degrees $\hat{6}$ and $\hat{5}$ in the minor mode is traditionally associated with grief and death.⁵

As shown in Example 2.2a, the Maiden's plea traces an arpeggiated bass motion from D through F to A.⁶ Significantly, the prolongation of F, in the second half

⁵See "Motive and Text in Four Schubert Songs," pp. 67-70: regarding the motive's appearances in the song, see Examples 6 and 7 on p. 69; regarding the abbreviated motive, see pp. 68-70; regarding the unifying power of the motive, see p. 68; regarding the operatic nature of the song, see p. 68, n. 7 (and Wolff, pp. 156-159); regarding death-related forms of the motive, see p. 70. Also, see my earlier discussion about Schachter's study in Chapter 1, pp. 54-55.

⁶I am indebted to Carl Schachter for the top-line reading given in Example 2a and 2b, in which the most important melodic tone (*Kopftön*), f¹, comes late in the

of the Maiden's plea (mm. 16-21), accompanies the words "und rühre mich nicht an" [And don't touch me], indicating her apparent wish to evade Death. (Curiously, however, the preparatory V of F in m. 15 sets the Maiden's conciliatory words "Geh, Lieber.") Indeed, the prolongation of F major in mm. 16-17 seems to convey a momentary feeling of relaxation and safety. But the refuge provided by F is shortlived. In m. 17 the accompaniment's motion from c^1 to $c\sharp^1$ forces the Maiden's bb^1 to behave as $\hat{6}$ in D minor rather than as $\hat{4}$ in the sphere of F. One's heart sinks with the Maiden's arrival at the semicadence on A in m. 19; the pathos is made more unbearable through the repetition of her words "Und rühre mich nicht an."⁷ This motion from light into darkness, represented by two melodic descents (c^2 to g^1 and a^1 to e^1) and two cadential motions in mm. 16-19, are summarized in microcosm by the accompaniment in mm. 20-21, where an ambiguous F chord makes its last, vain, attempt on behalf of the Maiden to avoid a dominant semicadence. But the converging outer voices (f^1 - e^1 - d^1 - $c\sharp^1$ and F-G-G $\sharp$ -A) pull yet again to the inevitable semicadence.

Interpretation of the Maiden's plea, particularly the setting of her words "Geh, Lieber, Und rühre mich nicht an, und rühre mich nicht an," requires additional

drama (m. 30). Prominent, too, are inner-voice tones A (around which the neighbor-note motive revolves) and D. Notice the steep registral descent carried by inner-voice d^2 (m. 12), d^1 (m. 22), and d (m. 37).

⁷Wolff, p. 151, points out that Claudius's poem does not repeat the line "Und rühre mich nicht an," and that Schubert's decision to reiterate this line is his only departure from the poem.

comment. Wolff (p. 152) finds that the setting of the Maiden's two-fold plea "don't touch me" in mm. 16-21 manifests a "sudden predominance of the major mode . . . leading toward A major." He attributes this modal change, including "the modulation to F and C major in bars 16-17," to "the Maiden's recognition of Death as a dear friend." Yet Wolff (p. 152) says, ". . . the Maiden is giving up resistance, gradually, with a final gesture of withstanding at the beginning of the last 'Und rühre mich nicht an'." And why does she ask "don't touch me," not once (Claudius), but twice (Schubert)? I hear the material in mm. 18-19 to be squarely in *D minor*, not A major, and to reflect the Maiden's defeat. I acknowledge the latent ambiguity in Claudius's and, to a far lesser extent, Schubert's characterizations: the Maiden, in a weakened state, might resort to a bargaining strategy of false endearment; or, she might begin to accept Death, even to consider his charms. However, I prefer an interpretation in which the F-major prolongation (mm. 16-17) symbolizes the Maiden's attempt to evade Death--I believe that here Schubert identifies with the distress of his victim and that only later, in Death's reply, he reassesses Death's virtue. Finally, the Maiden's F-major prolongation is best viewed as a poignant turning point which, for good or ill, can reach only one conclusion. This is also the most useful view to bring to the first movement of the D-minor Quartet.

In connection with the difficulty of interpreting the end of the Maiden's plea, and as a matter of historical interest, I would like to mention four iconographic

representations. The first two representations (Plates A-B) are only indirectly connected to Claudius's poem through the Totentanz tradition; from 1621 and 1773, respectively, they derive, via a 1568 restoration, from the destroyed *Grossbasel Totentanz* frescoes of ca. 1445. They show Death luring a pagan woman with bagpipe music. Although the victim appears receptive in the illustration, the text suggests otherwise.⁸ The third representation, the frontispiece to the first volume of Claudius's *Asmus* (1775), the volume from which Schubert extracted the poem for his song "Der Tod und das Mädchen," depicts death (alone) as a skeleton with a scythe who, despite his frightening appearance, is, nonetheless, dubbed "Freund Hain" (Plate C).⁹ Wolff (pp. 144-146) explains that writings by the eighteenth-century writers Gotthold Ephraim Lessing (1729-1781) and Johann Gottfried von Herder (1744-1803), in which death is viewed as a benign spirit, influenced Claudius, prompting his characterization of death as "Freund." Yet it seems that, despite influence from Lessing and Herder, Claudius's illustration evinces an ambivalence toward death that is reflected in his

⁸The two-stanza text, an exchange between Der Tod und Die Heidin, closely resembles the exchange between Der Tod und Die Edelfrau mentioned earlier (see n. 4, p. 64 in this chapter); they may both date from the fifteenth century. See Hammerstein, *Tanz und Musik des Todes*, pp. 12, 15, and 183-188.

⁹See Wolff, pp. 145-146 and his Figure 1. See also Kathi Meyer-Baer, *Music of the Spheres and the Dance of Death* (Princeton: Princeton University Press, 1970), p. 296; commenting on the title-page illustration from Savonarola's *Ars Moriendi* (1494), in which death wields a scythe, the author says that the scythe "makes sense only in periods of great catastrophes like the plagues in the fourteenth and fifteenth centuries, when death reaps crowds. If death comes to an individual, death cuts down only one among many, and the scythe is not the appropriate emblem."

poem. The fourth iconographic representation is *Death and the Maiden*, an 1883 painting by the Norwegian artist Edvard Munch (1863-1944), in which the Maiden aggressively seduces Death (Plate D). This intriguing painting bears only an oblique connection to Schubert's setting of Claudius; I include it as a caveat against anachronistic interpretations of the Maiden's plea to the effect that she said "no" but really meant "yes." All four representations seem to reveal the artist's (or his character's) ambivalence toward death.

Example 2.2b shows the harmonic outline of Death's stanza. Here the bass moves from D through F to B $\flat$, A, and D. The motion to F, accomplished in mm. 27-29 when B $\sharp$ behaves as $\sharp 4$ leading to a cadence in F, occurs as Death protests "komme nicht, zu strafen" [I do not come to punish]. Death thus appropriates the Maiden's key of refuge for his own agenda. This appropriation continues in mm. 29-30 when F is made to serve as V of B $\flat$. Furthermore, as Carl Schachter remarks, during the prolongation of B $\flat$, Death (in an accompanimental inner line) seems to complete and permute the Maiden's D-E $\flat$ -D motive to further his argument. This connection is suggested by a textual parallelism between the Maiden and Death: "Ich bin noch jung" (mm. 12-14) vs. "Ich bin nicht wild" (mm. 30-33).¹⁰ (The Maiden's statement occurs within a G-minor context, whereas Death's occurs within a B $\flat$ -major context.) The prolongation of B $\flat$ is soothing, for it is in major and grows out of F; but in short order B $\flat$ (m. 33) resumes its

¹⁰Schachter, "Motive and Text in Four Schubert Songs," p. 69.

true identity as part of the double-neighbor motion to A, leading to the irrevocable final cadence and the Maiden's death. Thus B $\flat$ represents Death's gradual possession of the Maiden. The piano postlude, prolonging the tonic major, in which F and B $\flat$ are replaced by F $\sharp$ and B $\natural$, signals peace in Death's victory. Here Schubert's setting seems to represent Death as benign Freund Hain.

We may now address the matter at hand, namely, how the motives and harmonic gestures established in the song are transferred to the first movement of the D-minor Quartet. The movement's formal, textural, and durational prerogatives discourage any simple or direct borrowing from the song. Yet transferral is everywhere in evidence:

1) In terms of voice leading, the exposition and recapitulation resemble the Maiden's plea and Death's reply, respectively:

- a) The Maiden's plea and the exposition juxtapose prolongations of D, F and A, forming the bass arpeggiation I-III-V; furthermore, in both pieces, the prolongations of F and A share thematic material. (Compare Examples 2.2a and 2.3a.)
- b) Death's reply and the recapitulation feature the bass line D-(F)-B $\flat$ -A-D, forming a Phrygian tetrachord (that is, a fourth with an embedded

semitone) and its resolution as support for a I-VI-V-I progression.¹¹

(Compare Examples 2.2b and 2.3b.)

(The song's tonal plan also informs the Quartet's last movement, a five-part sonata-rondo: its first two sections are shaped by the D-F-A arpeggiation and its last three sections are shaped by the D-B $\flat$ -A-D Phrygian bass.)

2) The motive A-B $\flat$ -G(G $\sharp$)-A and its abbreviated and transposed versions appear in the song and Quartet movement on various structural levels. In the Quartet, neighbor notes belonging to large-scale expressions of the motive may function locally as passing tones within chromatic scale segments. Such dual-purpose embellishments are associated harmonically with strategic augmented sixths. For

¹¹William Kimmel describes the Phrygian tetrachord in his article "The Phrygian Inflection and the Appearances of Death in Music," *College Music Symposium* 20/2 (1980): 42-76: "I am coining the term 'Phrygian Inflection' to refer to a cluster of melodic, harmonic, and structural configurations which, singly or in combination, produce musical gestures universally recognized by composers . . . as appropriate and adequate gestures in contexts of death. . . . I use the term 'Phrygian' because it is the most familiar label for the tetrachord consisting of two tones and a semitone, the latter at the bottom" (p. 44). In the Quartet, this configuration, especially a variant formed by a major third and semitone (D-B $\flat$ -A), often substitutes for complete neighbor-note motion. Wolff, in his discussion about the Quartet's scherzo movement (p. 164), identifies two pervasive versions of the descending [Phrygian] tetrachord, D-C $\sharp$ -B $\flat$ -A and D-C $\sharp$ -C $\flat$ -B $\flat$ -A, that are associated with the *passus duriusculus* figure and with the *lamento* bass. He notes that the *passus duriusculus* "is historically linked with requiems and elegies, and has a particular association with D minor." Wolff (n. 34 on p. 164) cites the following sources: Peter Williams, "Figurenlehre from Monteverdi to Wagner" (parts 1-2), *The Musical Times* 120 (1979): 476-479 and 571-573; and Ellen Rosand, "The Descending Tetrachord: An Emblem of Lament," *The Musical Quarterly* 65 (1979): 346-359. Chromatic scale segments, found throughout the Quartet's first movement, are related to the *lamento* bass.

example, the $g\sharp^2$ s in mm. 39 and 181 participate in local chromatic ascents, and yet they function as large-scale lower neighbors within important augmented sixths.¹² Chromatic scale segments occur in the song (bass line of mm. 12-14 and mm. 20-21) and throughout the Quartet movement.

The above-mentioned broad principles of construction are related to the following pitch patterns in the Quartet:

- 1) F repeatedly tries, unsuccessfully, to evade the inevitable dominant semicadence (on A)--this is most apparent in the exposition. F's ephemeral status is expressed both tonally and metrically.¹³
- 2) As mentioned earlier, B $\flat$ serves two interrelated functions. It behaves as upper neighbor to A within the motive A-B $\flat$ -G($\sharp$)-A--this is most apparent in the development; and, as an outgrowth of F, it delays the dominant semicadence. Its

¹²Deborah Stein has called attention to a conjunction of neighbor-note and passing-note motion in her article "Schubert's *Erlkönig*: Motivic Parallelism and Motivic Transformation," *19th Century Music* 13/2 (Fall 1989): 145-158. The similarity between her discoveries in the "Erlkönig" and mine in the Quartet movement suggests the possibility of a motivic "fingerprint" to be found in Schubert's death music.

¹³In his article "Schubert's D Minor String Quartet," *The Music Review* 19 (1958): 27-36, Harold Truscott intuitively grasps the struggle between F and A in the exposition's [double] second group. He says, "The whole group is an affair of two fully established keys and two full transition passages, with F major continually reappearing, but each time with a different character, each time less of a key and more of an independent harmony gradually being absorbed into another key simultaneously establishing itself" (p. 29). Truscott, however, does not connect this phenomenon to the song, nor does he discuss its manifestations in the exposition's principal group and in anatomical features of the recapitulation.

second function, however, is destined to revert to its first function--this is most apparent in the recapitulation.

- 3) G# often appears in conjunction with Bb as lower neighbor to A; it also appears as a passing tone within foreground chromatic scale segments.¹⁴
- 4) Eb functions as upper neighbor to the tonic within the context of the transposed and abbreviated motive D-Eb-D. Eb may be enharmonically reinterpreted as D# for reasons that will be discussed later.
- 5) C#, lower neighbor to D, is associated with the terrible dominant semicadence; however, in the Quartet, C# may be reinterpreted enharmonically as Db in order to evade this cadence.
- 6) Flats tend to represent evasions or embellishments of structure, whereas sharps represent structural arrival.¹⁵ If one acknowledges the transferral of material from song to Quartet, it is not unreasonable to associate structural arrival in the Quartet with Death's victory.

¹⁴In this movement, G# is often avoided at important formal junctures, for example, in mm. 39 and 181; thus, in a sense, G# is reserved for the second movement.

¹⁵T.C.L. Pritchard finds that Schubert, in his songs, "generally expresses happiness and comfort by turning to the flat side, dread and excitement to the other [sharp side]." See "The Schubert Idiom," in *The Music of Schubert*, ed. Gerald Abraham (New York: W. W. Norton, 1947), p. 249.

II. D-MINOR QUARTET, D. 810: ANALYSIS

Exposition

Overview

The exposition's "three-key" plan permits the Maiden's arpeggiated bass line D-F-A to govern its respective three groups. The principal group, composed of statement and counterstatement, establishes D minor until a one-note pivot D $\flat$ leads to C and F (mm. 51-52); a preliminary phrase on F (mm. 52-60) ushers in the second group, which establishes F major (mm. 61-83); a transition (mm. 83-101) leads from F major (becoming an augmented sixth in m. 96) to A major; finally, the third group (mm. 102-140) prolongs the dominant A, first in the major (mm. 102-112) and, after an excursion to F, in the minor (mm. 134-140). (See Example 2.3a.) Since the areas in F and in A share thematic material, the listener groups the latter two key areas together and separates them from the tonic area; in this sense, the material, approximately double the length of the principal group, merits the term used by James Webster, *double second group*. As mentioned earlier, Salzer refers to this material as a subordinate group (*Seitensatz*) with two parts (*Teilen*).¹⁶ In this chapter, I will use both their characterizations, as well as another, *second and third groups*, as convenient. (Second and third groups are

¹⁶See Webster, "Schubert's Sonata Form", p. 26; and Salzer, "Die Sonatenform bei Franz Schubert," pp. 110-111. See also my Chapter 1, pp. 46-47 and 51-53.

understood to belong to the larger subordinate group.) I will return to the issue of appropriate terminology in my concluding chapter.

Principal group: statement (mm. 1-41)

This area establishes the tonic D minor. It is articulated into three large phrases, mm. 1-15, 15-25, and 25-41, all of which seem to be overlapping.¹⁷ For instance, m. 15 would conclude the first phrase and simultaneously begin the next one. But to me the phrase structure here is more like a series of small interruptions than a series of overlaps. That is, each phrase begins with the tonic and ends with a dominant semicadence. Then each phrase, rather than being followed by a consequent, is followed by another "antecedent."¹⁸ Furthermore, within each of the principal group's three large phrases there is a two-fold attempt to reach the

¹⁷I will adopt William Rothstein's concept of *phrase* as set forth in his book *Phrase Rhythm in Tonal Music*. According to this concept, a phrase contains a tonal motion which may be regarded as having a "degree of completeness" (p. 9). For a more complete discussion on phrase, see his Chapter 1, "What Is a Phrase? What is Phrase Rhythm?" (pp. 3-15). Regarding the *subphrase*, Rothstein says that "identification of melodic units as subphrases is based on the incompleteness of their tonal contents" (p. 30). Rothstein defines two phrases as *overlapping* "when the last note (or chord) of the first phrase acts simultaneously as the first note (or chord) of the second phrase. Subphrase overlap is precisely analogous" (p. 44).

¹⁸Rothstein, *Phrase Rhythm in Tonal Music*, p. 18, says that "an *antecedent* . . . will always feature a half cadence as its goal. A *consequent* will begin more or less as the antecedent did, and it will either proceed to a full cadence in the same key (a regular consequent) or end with a half or full cadence in a different key (a modulating consequent)." James Webster, "Brahms's First Maturity," p. 66, describes "a series of antecedents on an increasingly large scale" in reference to Brahms's F-minor Piano Quartet, Op. 34. In my view, this concept can be applied to mm. 1-41 of Schubert's principal group.

dominant (in each a tonal evasion delays attainment of the dominant): compare mm. 7-10 and mm. 11-14; mm. 15-19 and mm. 20-24; and mm. 29-31 and 32-40. Thus it is as if one begins all over again with each phrase-pair. This phenomenon contributes to a sensation of "nested antecedents," an experience analogous to viewing a picture within a picture. The culmination of these nested antecedents is the augmented sixth of m. 39. In this chord, outer-voice tones $g\sharp^2$ and $B\flat$ function as neighbors to A; that is, these neighbors, horizontally stated in the song's motive A-B $\flat$ -G($\sharp$)-A, are sounded vertically in the augmented sixth. When viewed as an entity (shown in Example 2.4), the statement's top line moves from a^1 (mm. 13-14) to $g\sharp^2$ and a^2 (mm. 39-40); the bass moves from d (m. 1) to $B\flat$ and A (mm. 39-40), forming a Phrygian tetrachord. (It will be recalled that a Phrygian tetrachord shapes the large bass line of Death's reply to the Maiden.) Thus it may be seen that the opening statement is governed not only by the I-(VI)-V progression but also by the motive $\hat{3}-\flat\hat{6}-(\sharp)\hat{4}-\hat{5}$ in conjunction with the augmented sixth, in which both neighbors sound simultaneously.

First phrase

Felix Salzer observes that the Quartet's first phrase has a "decidedly introductory nature." He cites the cadential $\frac{6}{4}$ chord in m. 13 and its resolution to a root-position chord (both chords in whole-note values with the latter chord lengthened by a fermata) and the frustrated attempt to reach this cadence in mm. 7-9 as

contributing to the "impression of an extended cadence in D minor."¹⁹ Thus a similarity between the song and the Quartet is immediately in evidence: they both begin with "introductory" material.²⁰ (The song's introduction, however, unlike the Quartet's opening, ends with a full cadence followed by a caesura.) The introductory nature of the Quartet's opening will later be seen to affect the design of its recapitulation and coda.

Both the Quartet's opening phrase and the song highlight the configuration A-B $\flat$ -G-A. (The Quartet's main melodic tone is A; although the song's is F, A is featured there as a pedal tone.) In the Quartet, A is suggested as *Kopftön* in m. 3, when the opening headlong octave descent from D to D is slightly retarded by lower neighbor G as it struggles up to A.²¹ As shown in Example 2.5a, A's melodic status is strengthened by the double voice exchange in mm. 5-8 between outer-voice tones G and B $\flat$; but these tones resolve to A, in m. 9, within the unstable context of a deceptive F $\flat$ chord. The outer voices form another voice exchange between B $\flat$ and G in mm. 11-12, this time resolving to A within a true $\frac{6}{4}$ - $\frac{5}{3}$ semicadence (mm. 13-14). Because of the strength of this harmonic resolution, I take the a¹ above it to be the movement's *Kopftön*. The special role

¹⁹Felix Salzer, "Die Sonatenform bei Franz Schubert," pp. 106-107.

²⁰Wolff, pp. 160-162, also refers to these phrases as introductory.

²¹It seems possible that this scalar descent also derives from the song. The second half of the Maiden's accompaniment descends from d² (mm. 12-14) to c² (mm. 15-16); from c² to g¹ (mm. 16-17) and a¹ to e¹ (mm. 18-19); and from f¹ to c^{\sharp}¹ (mm. 20-21).

played by F in this phrase is apparent: subdominant harmony, prolonged through A's double neighbors B $\flat$ and G, seems headed for the dominant, but F-major harmony intervenes (mm. 9-10); the subdominant's reiteration, though, leads inevitably to the dominant.

Rhythm and meter in the first phrase

Quasi-programmatic elements are encoded in the Quartet's rhythmic surface; for example, the triplet rhythm, established in the first measure and continuing through most of the movement, suggests a chase on horseback (by Death and/or his victim).²² On a deeper level, motivic and emotive elements, transferred from song to Quartet, affect the Quartet's hypermetrical organization. This is evident in the first large phrase, where the inference of an underlying four-bar hypermeasure is meaningful with respect to the role of F. Bars 1-4 present a metrical unit of two plus two bars. When the phrase continues, the two-bar units are retained, but their joining into larger four-bar hypermeasures is frustrated. Indeed, it is the expansion of the motivic B $\flat$ and G, together with the two-fold attempt to reach a dominant semicadence, that frustrates our expectation of four-bar

²²Wolff finds that a drawing depicting "death as a frightening figure on horseback" by Moritz von Schwind, from the 1823 cycle entitled *Gräber oder Todesgedanken*, embodies a *topos* relevant both to Schubert's *Erkönig* and D-minor Quartet. See Wolff, n. 38, pp. 169-170, and his Figure 2, reproduced from *Schwind. Des Meisters Werke in 1265 Abbildungen*, ed. Otto Weigmann (Stuttgart and Leipzig, 1906), pp. 15-23.

hypermeasures.²³ As shown through metrical reduction in Example 2.5b, however, underlying mm. 1-15 are two background four-bar units.²⁴ This is revealed through two normalizing operations: in level 2 of Example 2.5b, the expansion of B♭ and G is abbreviated; then, in level 3, the evasive movement to F is completely eliminated. This leap is justified on the basis of mm. 1-4 and 11-14, which clearly express a four-bar norm or prototype; furthermore, mm. 11-14 traverse territory analogous to mm. 7-10 while superseding them in structural importance. Thus, despite a risk of circular reasoning, I posit a meaningful relationship here between tonal and metrical profile that will persist throughout the movement: F is both tonally and metrically a fleeting evasion of a fated design that governs the background--A will win out and F will evaporate.

²³Rothstein, *Phrase Rhythm in Tonal Music*, defines *hypermeter* as "suprameasure units that are perceived as if they were measures, because they exhibit a regular alternation of strong and weak 'beats' analogous to that of single . . . measures." For more on hypermeter, see Rothstein, pp. 8-14; for a detailed explanation of *phrase expansion*, see his Chapter 3, pp. 64-101.

²⁴My example employs the technique of metrical reduction. Regarding the role of metrical reduction in clarifying the interaction between tonal and metrical structure, see Carl Schachter's pioneering articles in *The Music Forum*, ed. Felix Salzer and Carl Schachter with Hedi Siegel (New York: Columbia University Press): "Rhythm and Linear Analysis: A Preliminary Study," vol. 4 (1976), pp. 281-334; "Rhythm and Linear Analysis: Durational Reduction," vol. 5 (1980), pp. 197-232; and "Rhythm and Linear Analysis: Aspects of Meter," vol. 6, part 1 (1987), pp. 1-59.

Second phrase

Salzer characterizes the second large phrase as "arousing in us the impression of a true disappointment." He attributes this sensation to the abandonment of the opening material and its replacement with a two-fold progression from tonic to dominant--a progression which is neither expanded nor varied, but merely repeated in a higher register.²⁵ Indeed each of the phrase's constituent twin miniphrases (mm. 15-19 and 20-24) moves from tonic to dominant in the manner of an interrupted antecedent without a consequent.²⁶ As Example 2.6a shows, the melodic line creeps up linearly through the tonic triad, first diatonically (from D to F), then chromatically (from F to A). The chromatic segment of the ascent is supported by an incipient 5-6 sequence in which $\frac{6}{3}$ chords twice substitute for $\frac{5}{3}$ chords as dominant resolutions; F harmony occurs in mm. 18 and 23, supporting melodic tone A, as the second of these substitutions. But this F-major harmony only briefly delays the inevitable dominant it hopes to replace, and the dominant occurs imminently in mm. 19 and 24. Once again, F has merely delayed A's arrival.

²⁵Salzer, "Die Sonatenform bei Franz Schubert," p. 107. But Schubert has not entirely abandoned the opening material. The descending scale of mm. 1-2 is recomposed in mm. 15-16 and 20-21, where it is divided between the viola and cello accompaniment.

²⁶It is difficult to decide whether to describe mm. 15-19 and 20-24 as phrases or subphrases. Since I am interpreting these segments as antecedents, I have chosen to describe them as phrases. The decision as to which of these terms best describes any particular passage will always be open to question, since notions of tonal "completeness" are relative to structural level.

Rhythm and meter in the second phrase

The phrase-pair of mm. 15-24 continues to articulate two-bar units, but these are disrupted by "extra" bars 19 and 24. These extra bars contain the dominants that occur at the end of each five-bar miniphrase. As shown in Example 2.6b, however, these phrases are reducible to four bars, supporting continuation of an underlying four-bar hypermeter: 1) the extra bars are reduced to the equivalent of half-measures; 2) dominant chords then replace the evasive F^6 chords of mm. 18 and 23. As in the first phrase, F chords are eliminated at a middleground level, and the fated dominant semicadence has more structural weight, both tonally and metrically.

Third phrase

Salzer comments that mm. 25-41 finally "cultivate the tonality more thematically."²⁷ (Indeed measures 25-28 contain scalar descents reminiscent of the opening bars, but now communicating pathos rather than fateful resolve.) Nevertheless, Salzer continues, "this group lacks any confirmation by an afterphrase, and when we closely examine this group . . . it yields as a whole only a progression from the tonic to the dominant. Thus it is an extended replica of the preceding group."²⁸ In other words, there is yet another, albeit expanded,

²⁷The difficulty of locating the principal group's thematic onset is evidenced by Wolff's assertion (pp. 160-161) that the principal group's "core" begins in m. 15.

²⁸Salzer, "Die Sonatenform bei Franz Schubert," p. 107. Salzer's use of the word *Gruppe* (group) seems to mean phrases or subphrases united by common

"antecedent" bereft of a consequent. In this phrase, the neighbor-note motive is expressed not only at the original pitch level, (D)-B $\flat$ -A (bass line), but also transposed, D-E $\flat$ -D (upper line). (It will be recalled that D-E $\flat$ -D is prominently featured in mm. 12-14 of the Maiden's plea and mm. 30-33 of Death's reply.) As shown in Example 2.7a, the tonic, supporting d², tries, via B $\flat$, to settle on the dominant three times, resulting in a three-tiered nesting of the Phrygian tetrachord D-B $\flat$ -A (see mm. 25-28, 25-31, and 25-40.) The first dominant is cut short in m. 28 by a melodic slide into upper neighbor e $\flat$ ². This e $\flat$ ², supported by the same diminished harmony that it carried in the Maiden's plea (now spelled with G $\flat$ rather than F $\sharp$), twice resolves to d² above B $\flat$ harmony in mm. 29-30 (e $\flat$ ² and the second dominant arrive in m. 31). The large path to the dominant, mm. 25-40, may be regarded as a varied expansion of the enclosed path, mm. 25-31. Both essentially move from tonic harmony that supports d², through diminished harmony that supports neighbor note e $\flat$ ², to B $\flat$ and A chords that support d² and e $\flat$ ²/c $\sharp$ ², respectively. These paths reveal the interdependency of the semitone motive's two pitch levels when e $\flat$ ² resolves to d² over B $\flat$, itself resolving to A. This interdependency, which derives from the song's B $\flat$ prolongation, in which

motivic/thematic content. In describing this principal group, Salzer accuses Schubert of "an overuse of the tonic." James Webster, alluding to other musical contexts, also describes "Schubert's inhibitions . . . against leaving the tonic"--see "Schubert's Sonata Form," pp. 24 and 35. Although Schubert may be prone to this practice, the constant retracing of tonal steps seems to have a special function in this piece, a function related to textual and musical content in the song "Der Tod und das Mädchen": it forces the listener to experience the inexorable journey down a path that cannot ultimately be avoided.

Death appropriates the Maiden's upper neighbor $E\flat$, has important ramifications, particularly in the recapitulation.

In mm. 32-40, the bass line $A-(F)-B\flat-A$ is filled in by chromatic stepwise descent; above this descent, a subordinate upper line, $(e\flat^2)-f^2-f\sharp^2-g^2-g\sharp^2-a^2$, ascends chromatically. The penultimate goal of these chromatic lines is the augmented sixth of m. 39, a focal point of the principal group's entire opening statement (mm. 1-41). On the local (phrase) level, the augmented sixth's outer-voice tones are passing; however, in the context of the entire statement, these tones are neighbor notes. Thus the interrelation between the chromatic scale and motivic neighbor-note configurations involving the augmented sixth is established.

Rhythm and meter in the third phrase

The third phrase begins with a strong four-bar antecedent subphrase (mm. 25-28); one expects a four-bar consequent. But the ensuing two-bar unit is followed by only one bar of semicadence; the resulting truncated three-bar subphrase (mm. 29-31) arrives at the dominant semicadence too soon and signals tonal and metrical expansion. The expansion begins with a written-out ritard (mm. 32-36, with one chord per bar) that is followed by a written-out accelerando (mm. 36-40). Viewed as an entity, shown in Example 2.7b, the third phrase begins with $\frac{2}{2}$ and $\frac{3}{4}$ hyperunits and ends with $\frac{2}{2}$ and $\frac{5}{4}$ hyperunits. The resulting hypermetrical irregularity imbues the third phrase with instability often attributed to transitions;

had Schubert not run head on into the dominant semicadence in m. 40, the third phrase might have led to a second group. But Schubert here transcends proportions typical of earlier sonata expositions and instead returns to the tonic in m. 41 with a counterstatement of the "first theme."

Counterstatement (mm. 41-61)

The counterstatement leads to the subordinate group by moving from D minor through A to F, with associated melodic motion from D to C. (See Example 2.8a.) After a varied return of the opening four bars (mm. 41-44), in which tonic harmony supports melodic descent from d^3 to a^2 , there is a new continuation (mm. 45-51), in which dominant harmony supports a chromatic descent from a^2 to $f\sharp^2$ --this melodic chromatic descent recasts the cello's bass descent in mm. 32-36 and retains its associated harmonic deceleration. (As shown in Example 2.8b, this composed ritard, with one chord for every two bars, prepares the turn from D toward F. It may, however, be normalized by restoring one harmony per bar and by omitting m. 50, whose harmony is retained in the first half of m. 51--see level 2.) The harmonic motion from tonic to dominant suggests another in a series of unrequited antecedents; but just when a cadential $\frac{6}{4}$ chord on A (mm. 50-51) is at the point of resolution, a dominant semicadence is averted by the second violin in a most astonishing fashion: $c\sharp^2$ (m. 50) is reinterpreted as a passing $d\flat^2$ en route to $c\flat^2$ and F harmony (m. 52). The one-note enharmonic pivot $C\sharp/D\flat$ is a magic door to another realm. It is the more beautiful for having been subtly prepared

by earlier contexts in which $C\sharp/D\flat$ is a descending passing tone: these include allusions to the chromatically descending tetrachord $D-C\sharp-C\flat-(B\flat)-B\flat-(B\flat)-A$ (split between the second violin and viola lines in mm. 15-17, 20-22, and 25-31); and they include polyphonic motions in which $d\flat^2$ and $d\flat^2$ alternate as passing tones between $e\flat^2$ and c^2 (first violin in mm. 32-35). (The semitone $D\flat-C$ is not only an agent of tonicization but also has motivic import as $\flat\hat{6}-\hat{5}$ in the "new key.") Despite the preparatory deceleration in mm. 45-51, F's provisional arrival is hard to accept, for dramatic reversals of fortune generally require more tonal labor. Yet F remains.

The ensuing period (mm. 52-61), a sing-song ditty on F, provides the normalcy of a previously withheld antecedent/consequent phrase structure, but its rhythmic and tonal monotony seem surreal. (As shown in Example 2.8b, these antecedent/consequent phrases are clearly based on a four-bar norm; mm. 59-60 are easily condensed into one bar, leaving two four-bar units.) The melodic line begins with a scalar descent and then rises through the F-major triad by means of reaching over. It thus resembles the melodic lines of previous phrases, especially of the phrase beginning in m. 15, which features a middleground ascent through the D-minor triad (Example 2.6), and the phrase beginning in m. 25, which features local melodic descent that is countered by reaching over (Example 2.7). These similarities highlight the affective contrast between the D-minor and F-major areas while seamlessly ushering in the second group.

Second group (mm. 61-83)

The attempted evasions of A by F discussed thus far are fleeting and occur on the musical surface; by contrast, the enormous prolongation of F in the second group carries far greater structural weight. Yet the large prolongation of F, consisting of two phrase-pairs (mm. 61-71 and 72-83), is also an evasive gesture, an illusory respite from the inexorable march toward the dominant. (There is little question that m. 61 marks the onset of the second theme or group;²⁹ in comparison to the weakly articulated slip into F at mm. 51-52, the arrival of F in m. 61 is marked by the expanded cadence and rests in mm. 59-60. And the initiation of a new accompanimental figure in m. 61, an introductory vamp or *prefix*, signals thematic onset.³⁰) The first phrase-pair features static alternation of tonic and dominant harmonies and a constrained melodic line that seems to circle around itself. As

²⁹See Wolff, p. 167; Salzer, "Die Sonatenform bei Franz Schubert," p. 111; and Webster, "Schubert's Sonata Form," p. 26.

³⁰For a definition of *prefix*, see Rothstein, *Phrase Rhythm in Tonal Music*, pp. 68-70; see also Rothstein's discussion of successive downbeats (p. 63), where he cautions that "an initial measure of accompaniment cannot unequivocally be interpreted as a hypermetrical downbeat if the first measure of melody is itself a downbeat measure."

Janet M. Levy, in her article "Texture as a Sign in Classic and Early Romantic Music," *Journal of the American Musicological Society* 35/3 (1982), p. 489, observes that "the beginning of a conventionally figured and regularly measured accompaniment pattern, such as an Alberti bass, is a sign that we will hear a presentational passage--probably a full statement, such as a stable phrase-group or period." Furthermore, she finds, p. 491, that such accompaniments sometimes give *advance* notice of an impending presentational passage, as does, for example, the accompanimental approach to the second theme (m. 28) in the first movement of Haydn's String Quartet in F# Minor, Op. 50 No. 4. The accompanimental approach to Haydn's second theme, a prefix, is analogous to the approach to Schubert's second theme in the D-minor Quartet.

shown in Example 2.9a, melodic tone C tries to descend to F in conjunction with I-V-I harmonic motion, but closure is thwarted by the deceptive "resolution" to $f\sharp^2$ and diminished harmony $F\sharp-A-C-E\flat$ (m. 71). In the second phrase-pair, this diminished harmony precipitates a struggle to escape its dark realm and to regain the brightness of F major. Each of the two constituent phrases engages in this struggle by moving from V of F minor toward V of $A\flat$ major; but whereas the first phrase is overcome by resolution to the now-familiar diminished harmony, the second phrase succeeds in regaining F major.³¹ From a middleground perspective, the second phrase-pair, for most of its duration (mm. 72-81), prolongs F's $V\flat^9$ with c^2/c^3 's neighbors db^2/db^3 (mm. 72 and 77) and $b\flat^2$ (m. 81). The ensuing cadential progression, supporting a^2 and g^2 (m. 82), ushers in long-awaited melodic and harmonic closure in F major (m. 83).³² The F-major area recalls the principal group's third phrase; in each context, the very same diminished chord (derived from m. 13 in the Maiden's plea) launches a chromatic excursion featuring a motivically salient chromatic upper neighbor in the melodic line. (Compare Example 2.7a, mm. 29-30 and 32; Example 2.9a, mm. 71 and 76.)

³¹The diminished resolutions feature prominent tritones--between bass and soprano, $C-f\sharp^2$ in m. 71 and $E\flat-a^1$ in m. 76--that have long-range associative connections, respectively, to the augmented sixths of mm. 254 and 96.

³²Since mm. 70 and 82 contain the same cadential material, the intervening bars could be regarded as an interpolation to be eliminated at deep levels of structure. But I find these intervening bars to be integral to the larger progression.

Rhythm and meter in the second group

As shown in Example 2.9b, the F-major area manifests a prevailing five-bar hypermeter. The first three hypermeasures end with "resolutions" that fill their fifth bars; the last hypermeasure, however, ends, not with a one-bar resolution but with a two-bar extension of the local V, resulting in a six-bar unit. If this extension is eliminated (Example 2.9b, level 2), the unit is reduced to the five-bar length shared by the previous three hypermeasures. The first and fifth bars within each hypermeasure are emphasized, causing "successive downbeats" to occur across units (see mm. 66-67, 71-72, and 76-77). In the course of discussing successive downbeats, Carl Schachter describes a similar hypermetrical phenomenon in Schubert's "Der Wegweiser," a song from *Winterreise*:

Bars 1-4 could easily constitute a perfectly balanced four-bar unit, one that could very well close on the dominant chord of bar 4. . . . In both the piano introduction and the song proper, a tonic resolution uncharacteristically appears at the end of the phrase, extending it to five bars. Since the scansion of bars 1-4 and 6-9 must be SWSW [strong-weak-strong-weak], the tonally emphasized fifth bar sounds strong; indeed it sounds like a "1." And since bars 6 and 10 are in fact "1's," two strong bars come together without an intervening weak one. The last hypermeasure, mm. 77-82, ends not with a resolution, but with a two-bar expansion of V of F. If this expansion is reduced to one bar, then the six measures of this hypermeasure are reduced to five. Thus on the foreground the entire section falls into five-bar hypermeasures.³³

³³See the third of Carl Schachter's three articles on rhythm in *The Music Forum* series, "Rhythm and Linear Analysis: Aspects of Meter," pp. 38-39.

The second group's five-bar hypermeter is significant in its musical effect and contrasts markedly with the prevailing four-bar hypermeter in the principal group. It will be recalled that the principal group is characterized by "nested antecedents." This kind of phrase structure, in which phrases end on dominants, tends to create tension as expectations are amassed rather than fulfilled. By contrast, in the tonal domain of F, there is a lulling phrase stasis, caused by a tonal halt or resolution at the ends of hypermeasures. Particularly in the first phrase-pair (mm. 61-71), metrical structure reinforces the sensation, suggested tonally, of being in a contained area of safety.

Expressive import of the second theme

The second theme features a drone bass that evokes a bagpipe or hurdy-gurdy. Christoph Wolff writes that Schubert's stylized imitation of the hurdy-gurdy here is related to the concluding song of *Winterreise*, "Der Leiermann," and arises from "the iconographic tradition since the middle ages" in which "the hurdy-gurdy player frequently serves as an image of death."³⁴ Wolff's interpretation suggests that the Quartet's large F-major area symbolizes death; by contrast, I believe it derives from the Maiden's evasion.

³⁴See Wolff, pp. 167-169. Wolff rejects the existence of an explicit program for the Quartet; nevertheless, he acknowledges that "Schubert's use of musical *topoi* and imagery plays a rather decisive role in this quartet" (pp. 169-170). Alfred Einstein, *Schubert: A Musical Portrait* (Oxford: Oxford University Press, 1951; rpt. New York: Da Capo Press, 1981), p. 254 (cited by Wolff in n. 33, p. 164), asserts the presence in the Quartet of "symbols of inevitability and consolation."

My belief arises from the following musings and observations. There is truth in Wolff's assertion regarding the F-major theme; even in the song, the Maiden's F-major area is already infected with Death's measured rhythm. And, as Wolff remarks, Claudius's poem stems from a medieval iconographic and dramatic-literary genre, the Dance of Death, in which Death is represented as a musician. The illustrations in my Plates A-B, derived from the *Grossbasel Totentanz* frescoes, depict death luring a pagan woman with bagpipe music; the accompanying text is similar in format to Claudius's poem. Susan Youens, in her discussion of "Der Leiermann" (similar in style to the Quartet's second theme, although in A *minor*), also cites the Dance of Death tradition; she describes a landmark in this tradition, Hans Holbein's woodcuts from 1522-1526 (published in *Simulachres & historiees faces de la mort* of 1538). This series shows Death playing a number of instruments, including the tabor, vielle, trumpet, and psaltery. Youens, however, believes that, in the context of Müller's cycle, the protagonist's encounter with the hurdy-gurdy player represents "the artist's discovery of his calling," with its concomitant social isolation, rather than representing an encounter with Death.³⁵

³⁵See *Retracing a Winter's Journey: Schubert's 'Winterreise'* (Ithaca, NY: Cornell University Press, 1991), pp. 66-70 and n. 13 on p. 64, citing: Hans Holbein the Younger, *The Dance of Death: A Complete Facsimile of the Original 1538 Edition of "Les Simulachres & historiees faces de la mort,"* intro. Werner L. Gundersheimer (New York, 1971).

There is no extant musical tradition for the medieval Dance of Death.³⁶ But the Quartet's second-theme drone derives from a musical genre later than, and probably related to, the Dance of Death, namely, the pastoral. This view, drawing on the history of the bagpipe and of historical associations with F major, permits a less sinister view of the Quartet's second theme. Emanuel Winternitz's survey of the bagpipe and its cousins shows complex shifts in its social status: in sixteenth-century Germany, a version of the bagpipe called the *Bock* ("billy goat") developed that was associated with Satanic and coarse peasant dances, recalling the "dance of Walpurgis Night"; in seventeenth-century France, the bagpipe and hurdy-gurdy were absorbed into the aristocratic, though not innocent, *pastorale*, putting "shepherd and peasant instruments in a refined and prettified form into the hands of the courtiers of Versailles"; and in mid-seventeenth-century Italy, drone effects, imported from the bagpipe's cousins and descendants, were imitated by *pifferari* who played *pastorales* consisting of "idealized shepherd tunes" during Christmas celebrations. The Italian *pastorale* influenced Baroque composers such as Corelli, the Scarlattis, Telemann, Bach, and Handel.³⁷ The *pastorale* and Schubert's

³⁶Kathi Meyer-Baer, *Music of the Spheres and the Dance of Death*, p. 308, says that Dances of Death were performed as plays, but that the printed editions of these plays do not include music. She knows of only one song from Montserrat in Spain that may have been used for such a performance. This song is in a Hypolydian mode closely related to F major.

³⁷See Emanuel Winternitz, *Musical Instruments and Their Symbolism in Western Art* (London: Faber, 1967), pp. 75-84.

theme admit of a Dionysian-Apollonian duality that I believe is congenial to Schubert's grand scheme for his Quartet movement.

The second theme's key of F major is historically connected with peace and calm, as evidenced by descriptions cited in Rita Steblin's monograph *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*: 1) by G.G. R. . . . r in Cramer's *Magazin der Musik* (1786)--"Gentle dignity and lovely smiles are unmistakably prominent"; 2) by Justin Heinrich Knecht in *Gemeinnützlichtes Elementarwerk* (1792)--"Gentle and calm"; 3) by Johann Jakob Heinse in *Hildegard von Hohenthal* (1795)--"A degree more sober than C major. Joyful certainty and confidence"; and 4) by Carl Ludwig Seidel in *Charinomos* (1828)--"Resounding in F major and breathing of calmness and comforting peace is the closing song in Beethoven's *Fidelio* ['O Gott! welch' ein Augenblick']." Furthermore, F major is traditionally associated with the pastorale. In commenting on Handel's use of keys, Hugo Leichtentritt observes that "F major . . . is the key of the pastoral idyll all through the eighteenth century, and it is certainly not by chance that Beethoven a hundred years later chooses it for his Pastoral Symphony and for his 'Spring' Sonata for violin and piano, op. 24."³⁸ In

³⁸See Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Ann Arbor, MI: UMI Research Press, 1983), Appendix A, pp. 260-264; also see Hugo Leichtentritt, *Music, History, and Ideas* (Cambridge, MA: Harvard University Press, 1938), pp. 143-144 (cited by Steblin on p. 7 and n. 25). Admittedly, F major is also historically associated with death. For example, George Joseph Vogler, "Vergleichsplan der Neumünsterorgel" (1812), observes that "in Gluck's *Orpheus* and Vogler's *Castor and Pollux* this key appeared to

Example 2.10, I give three dance-like excerpts from Beethoven's Symphony No. 6 that bring to mind Schubert's F-major theme. The beginning of the third movement (Example 2.10b) is noteworthy for its juxtaposition of F major and D major--these are the respective keys of Schubert's second theme in the Quartet's exposition and recapitulation.³⁹ In Schubert's song "Der Tod und das Mädchen," these keys are associated with the Maiden's temporary safety and final peace, achieved first through her evasion (F major) and then through her attainment of Death (D major).⁴⁰ In the Quartet movement, as in the song, F major belongs to the Maiden rather than to Death; the Maiden's plea and the Quartet's F-major area both forestall inevitable harmonic closure represented by the dominant. (In my later discussion of the recapitulation, I will address the second theme's D-major reprise.)

agree especially with a quiet joy in the happy shades of Elysium" (cited by Steblin in her Appendix A, p. 261). Even in Schubert's song *Der Tod und das Mädchen*, the F-major portion of the Maiden's plea is already permeated with Death's dactylic rhythms.

³⁹Beethoven's Bagatelle Op. 33 No. 3, a work in $\frac{6}{8}$ time and with a drone-like accompaniment, also juxtaposes F major and D major (mm. 1-8 and 32-47).

⁴⁰Needless to say, the Quartet movement does not reflect, point for point, the song's dramatic evolution. Indeed, the song ends in a tranquil D major, whereas the Quartet ends in a turbulent D minor. Wolff (p. 162) finds that, in a general way, "the structural relationship of the two song stanzas (A:B) . . . appears stylized in the juxtaposition of the [first] two quartet movements"--in other words, the Quartet's first movement inhabits the affective orbit of the Maiden's plea, whereas the second movement inhabits Death's world. Wolff (pp. 167-168), however, says that the first movement's second theme has obvious B-related qualities, particularly its "static harmonic character," hence his association between the second theme and death as hurdy-gurdy player.

Transition (mm. 83-102)

The transition pulls away from the F-major area established in the second group and moves toward arrival of the death-associated dominant. As shown in Example 2.11a, it consists of a chain of three sequences: the first (mm. 83-90) embellishes a series of parallel tenths descending by third; the second (mm. 90-93, beat 1) elaborates descending sixths in invertible counterpoint with the first sequence; the third (mm. 93-97), an intensification and continuation of the second sequence, features a series of 7-6 suspensions (first violin) and a descending melodic chain of thirds (resembling the melodic line of the first sequence). The transition, reflecting its location *within* the subordinate double group, features the second theme as a wandering bass line (first sequence) and as a top line (second sequence). These thematic allusions begin on the upbeat to beat 3, rather than on the upbeat to beat 1, the theme's metric position at the opening of the second group. This half-bar displacement is symptomatic of impending tonal reversal and is out of phase with the notated meter and resulting hypermeter (Example 2.11c).⁴¹

The first sequence resolves rather strongly to A minor (m. 90); the second sequence alights on V of A as a fleeting goal (m. 93); the third sequence implicitly

⁴¹Related to this half-bar shift is a tendency throughout the movement to stress second halves of measures. For example, accented chords in mm. 7, 11, and 32-40 stress the second halves of measures. This is a tension-producing device akin to syncopation.

prolongs bass F until an augmented sixth above it (m. 96) leads to E (V of A). Viewed as an entity, the transition features bass motion F-A-F-E (mm. 83-90-96-97) with melodic line $f^2-e^3/e^2-d\sharp^1-e^1$. A subordinate melodic line initiated by a^2 , perhaps more audible than the line emanating from f^2 , features the motivically salient double-neighbor configuration. In the first sequence, this configuration undergoes upward registral transfer: a^2 (m. 83)-- $b\flat^2$ (m. 87)-- a^2 (m. 88)-- $g\sharp^3$ (m. 89)-- a^3 (m. 90). (In the second sequence, a variant of this configuration, $a-b\flat-a-g\sharp$, forms the bass line.) Spanning across the second and third sequences, the double configuration is freely recomposed, shaped by descending registral transfer, in two stages: a^3/a^2 (mm. 90/93) and $a^1-b\flat^1-a^1-g\sharp^1$ (mm. 94-97). Of major significance in both song and Quartet, the double-neighbor motive on A will later be seen to inform the large-scale structure of the development section.⁴²

Close scrutiny of the transition shows that it is difficult to decide whether bass F prevails until the very end (Example 2.11a), or whether A is inaugurated at m. 90 (Example 2.11b). If A prevails over F in m. 90, then it prepares, without significant mediation, the more conclusive arrival of A in m. 102.⁴³ (The F-major

⁴²It would be valuable to examine the relationship between transitions and developments in Schubert's sonata forms. An article by Jack Adrian, "The Ternary-Sonata Form," *Journal of Music Theory* 34/1 (Spring 1990): 57-79, focuses on the transition-development relationship in Brahms's E $\flat$ Clarinet Sonata, Op. 120 No. 2.

⁴³Salzer, "Die Sonatenform bei Franz Schubert," p. 111, suggests this interpretation.

theme at the head of the subordinate group is prepared in a similar fashion.) The arrival at A minor in m. 90 is emphasized in several ways. As Example 2.11c shows, the first sequence (mm. 83-90) and the combined second and third sequences (mm. 90-97) form a pair of seven-bar units.⁴⁴ (These units are followed by a five-bar expansion of A's dominant.) Thus the arrival at A minor in m. 90 is emphasized as a hypermetrical downbeat. Furthermore, this arrival is marked *fortissimo*; and, as we have seen, it supports the melodic highpoint a³ of the arch formed by registral ascent (mm. 83-90) and subsequent descent (mm. 90-96). On the other hand, if bass F prevails through m. 96, then the A harmony of m. 90 is subsumed under an overarching F-E bass motion. This interpretation is supported by the five-bar expansion of A's dominant, a written-out ritard beginning on a hypermetrical downbeat (m. 97). (The preceding augmented sixth, however, is metrically, durationally, and dynamically unemphasized.) Furthermore, the recapitulation's transition opens with D minor (m. 241) and emphatically returns to D minor (m. 248) at those points corresponding to the exposition's motion from F (m. 83) to A minor (m. 90). This suggests a retained bass tone in both transitions. (Later, however, it will be seen that the exposition's transition moves toward structural closure, whereas the recapitulation's transition moves away from it.) I prefer this interpretation for the way that its bass motion aligns itself with the formal boundaries of the transition and for the greater importance

⁴⁴These units, however, are not analogous. The first is shortened by the mid-sequence elision in m. 87; the second is shortened by the overlap of its expected eighth bar into the following unit.

it gives to the augmented sixth and its resolution. In either interpretation, however, the struggle for dominance between F and A emerges as a preoccupation of the transition.⁴⁵

A few additional words should be said concerning motivic associations with the augmented sixth of m. 96. The augmented sixth (not this particular one) is a salient sonority elsewhere in the Quartet, for instance in m. 39 and, as will later be seen, at the end of the development.⁴⁶ The augmented sixth in m. 96 is notable for highlighting E $\flat$ /D $\sharp$. It will be recalled that e $\flat$ ² is featured in the Maiden's plea (m. 13), Death's reply (m. 32), and in the Quartet's third phrase (mm. 25-41). In the Quartet, E $\flat$ has dual roles: when it behaves as upper neighbor to D within the semitone motive, it tends toward B $\flat$ harmony (mm. 29-30); but when it behaves as D $\sharp$, it tends toward E $\natural$, leading more directly to the dreaded dominant (mm. 96-97). (See Example 2.12.) This last D $\sharp$ requires reconversion to E $\flat$, a mission reserved for the recapitulation and coda.

⁴⁵In his article "Schubert's D Minor String Quartet," Harold Truscott says that "the whole point of this passage is the simultaneous disappearance of F major and appearance of A major" (p. 28).

⁴⁶The augmented sixth also plays an important role in the first movement of Schubert's Octet (mm. 41, 111, 121, 191-200, and 230); this work was written almost at the same time as the D-minor Quartet. In this paper, see Chapter 3, n. 1 on p. 134, and pp. 138 and 163-164.

Felix Salzer characterizes this transition as the "real" one. In comparison to the scant preparation for the subordinate group's F-major area (notwithstanding the preliminary phrase on F in mm. 52-60), this passage more nearly fulfills conventional expectations--that is, it changes tonal direction gradually.⁴⁷ As mentioned in Chapter 1, p. 46, Salzer describes this phenomenon, in which an exposition's most transition-like passage, rather than leading from the principal to the subordinate group, leads from the subordinate group's first key area to its second key area, as "displacement of the transition":

The real transition ensues with the modulation to the second and last part of the subordinate group, whereas the first modulation only serves to allow the subordinate group to appear in two keys. . . . That is, the transition is no longer a connection between principal and subordinate groups, but rather one within the subordinate group from the key of the first part to the key of the second part. Thus we may . . . establish . . . that Schubert wanted to confer on the key of the second part the character of the main key, and he emphasized this through the design and shaping of the modulations.⁴⁸

⁴⁷Harold Truscott, "Schubert's D Minor String Quartet," pp. 28-29, holds that the subordinate group's F- and A-major areas receive equal degrees of transitional preparation. I agree, however, with Salzer for reasons that can be gleaned from the following characterization of transitions by Rothstein in *Phrase Rhythm in Tonal Music*, p. 118: "Transitional phrases . . . are often non-thematic in the sense of being not strongly individualized. . . . Non-thematic segments tend to consist of sequences, repeated short figures, scales and arpeggios, or other melodically rather neutral material. . . . From the standpoint of phrase rhythm, it is noteworthy that those parts of the exposition conventionally regarded as non-thematic are just those that are especially likely to involve phrase expansion."

⁴⁸Salzer, "Die Sonatenform bei Franz Schubert," pp. 110-111, first discusses displacement of the transition with reference to the first movement of Schubert's C-major Symphony, later applying this concept to the first movement of the D-minor Quartet and the exposition of Schubert's *Quartettsatz*. The *Quartettsatz* shares qualities, in addition to formal layout, with the Quartet movement,

Salzer locates the exposition's overriding goal as the dominant A, largely because of the transition's "displacement"⁴⁹; it tilts structural weight away from F toward A. This formal attribute, together with others listed earlier, including the transition's expansion of A's dominant, the possibility of smooth bass-line voice leading from F to E, and motivic associations with the augmented sixth and its member D#/E♭, make it tempting to invest the augmented sixth in m. 96 with deep middleground status. In this interpretation, the augmented sixth F-B♭-A-D# (considered a #I in first inversion) completes a chromatic voice exchange with the tonic established at the very beginning of the movement; it then leads to II# or V of V in m. 97. (See Example 2.13.) The F-major area is thus subsumed under tonic prolongation despite its thematic role as initiator of the subordinate group.

Upon careful consideration, however, I find the above-mentioned interpretation to be less good than the one suggested in Example 2.3a, in which the large prolongation of F participates in a background arpeggiation of the tonic triad. Guidelines for assessing the role of the middle key area vis-à-vis large structure in a three-key exposition may be gleaned from Carl Schachter's previously mentioned

including the affective nature of its principal and second groups and the sounding of the augmented sixth at the end of its displaced transition (mm. 83 and 87-88).

⁴⁹Einstein, *Schubert: A Musical Portrait*, p. 254, more narrowly locates the exposition's goal as A minor, saying, "There is no trace of the easy-going Schubert here; the exposition tends not towards F major or A major, but towards A minor."

analysis of the first movement of Brahms's Second Symphony.⁵⁰ With regard to the D-major Brahms movement, Schachter determines that the F#-minor theme area (mm. 82ff.), a phrase-pair, is subsumed under a chromatic voice exchange between the opening tonic (m. 1) and the augmented sixth chord or inflected tonic (mm. 116-117) that leads to the dominant of A (mm. 118ff.). He prefers this I-(#I)-II#-V reading to a possible I-III-V reading of Brahms's movement for reasons that are highly instructive: 1) The transitional harmonic function of the F#-minor second theme is suggested through its pronounced tonal instability; F#, after its initial prolongation at the head of each phrase, is denied key-confirming cadences and fails to achieve closure. 2) The F#-minor theme is animated by the movement's chief motive, D-C#-D; that is, its prevailing melodic tone, C#, grows out of the principal group's inner-voice tone D, enlarging, in an incomplete version, the movement's neighbor-note motive. The tension generated through this enlargement, whereby C# seeks satisfactory resolution (necessarily *after* the F#-minor prolongation), drives C# past D# and through the augmented sixth's D# to E. 3) The dominant of A (II#) beginning at m. 118 is greatly emphasized through design. The exposition of Schubert's D-minor Quartet differs from the Brahms movement in important respects: 1) Schubert's F-major second theme, a phrase-pair or period (mm. 61-83), is more tonally stable than is Brahms's second theme: despite temporary destabilizing harmonic digression within its afterphrase, it is

⁵⁰See "The First Movement of Brahms's Second Symphony," pp. 62-68; see also my discussion of this article in Chapter 1, pp. 23-26.

composed largely of drone-like key-confirming I-V progressions; furthermore, local tonic F twice receives cadential closure (mm. 66 and 83). 2) The function of Schubert's second-theme prolongation as participant in a large-scale tonic arpeggiation receives motivic support; this function reflects the voice-leading structure of the Maiden's plea in the song "Der Tod und das Mädchen." The underlying motivic function of Brahms's second-theme prolongation contradicts the theme's participation in a large tonic arpeggiation. 3) Schubert's V of A (mm. 97-101), though expanded, is not as greatly emphasized through features of design as is Brahms's V of A.⁵¹

Third group (mm. 102-140)

The structural dominant arrives in m. 102 with a variant of the second theme in A major. The F-major theme's pastoral affect infuses the A-major variant with an aura of peaceful stability. It must be remembered, however, that, in previous contexts, when A overcame F, it did so as V of D, including raised third C# (see the Maiden's plea, Example 2.1; and the Quartet's principal group, Examples 2.5

⁵¹Schachter, pp. 65-66, compares the first movements of Brahms's Second Symphony and Schubert's "Great" C-major Symphony, both of whose expositions contain large-scale tonic chromatic voice exchanges. Comparison of the first-movement expositions in Schubert's C-major Symphony and D-minor Quartet is likewise thought-provoking: they similarly feature thematic parallelism across their respective second and third groups; and their respective second and third groups are connected by a substantial transition ending with an augmented sixth. However, the Symphony differs from the Quartet in that its transition's augmented sixth is emphasized by features of design; in addition, its augmented sixth is preceded by dominant harmony that suggests its tonic function.

and 2.6); thus the arrival at A major in m. 102 is a large-scale parallelism. The transition's emphasized arrival at A minor in m. 90 warns that the exposition's ultimate goal will not be A major but A minor; this warning is reflected in parallel cadential passagework (first violin) that links the transition (mm. 88-90) to the A-major theme (mm. 105-106 and 111-112).

Ironically, it is the ongoing conflict between F $\sharp$ and A that undermines the stability of A major and leads toward A minor. As shown in Example 2.14a, the A-major area (mm. 102-112) consists of a phrase-pair whose melody, supported by a line moving in parallel tenths below, tries to descend from e² to a¹: in the first phrase, e² is decorated by upper neighbor f $\sharp$ ² before its incomplete descent to c $\sharp$ ²; however, in the second phrase, e² is decorated by f $\sharp$ ², causing a turn, via A minor, toward C $\sharp$ (mm. 108-109). It is as if F, through its dominant C, opposes A by negating F $\sharp$ and C $\sharp$. Although there is an immediate correction (m. 111), allowing the second phrase to reach melodic and harmonic closure in A major, the struggle is far from finished.

The exposition's struggle between F and A erupts one last time when an almost completed cadence in A major is robbed of closure: the C $\sharp$ s of m. 113 give way to C $\flat$ s, leading to F and launching an excursion *within* the subordinate group's

dominant prolongation.⁵² This astonishing tonal reversal recalls the initial magical slip into F caused when $c\sharp^2$, reinterpreted as $d\flat^2$, dropped to $c\flat^2$ in mm. 51-52. In the later context, however, $C\sharp$ moves directly to $C\flat$, indicating that A, rather than F, is here the ascendant key. In the earlier context, F arrives gently; but in the later context, it arrives violently (m. 114), with angry *fortissimo* Fs shouted by all of the Quartet's voices. Of all the exposition's F allusions, this one sounds most like an aggressive and desperate evasion of A. The ensuing F excursion, a phrase-pair whose second phrase is expanded, features a new variant of the second theme. In the first phrase (mm. 115-120), the theme begins on the upbeat to beat one, its metrical position in the second group. The resulting alignment with the notated meter confers a hypermetrical clarity on the theme, contributing to the initial power of F's resistance. In the second phrase (mm. 120-134), however, the theme shifts, beginning on the upbeat to beat 3, its position at the beginning of the third group; this is a sign of the inevitable conquest of F by A.

In the excursion (Example 2.14a), the struggle between F and A is manifest in a three-fold bass motion from F to E, the dominant of A (see mm. 114-119, 120-128, and 132-133). The last E finally resolves to A minor in m. 134. Viewed as

⁵²Each of the exposition's three groups includes a tonal excursion motivated by a chromatic upper neighbor to the locally prevailing melodic tone: in the principal group's third phrase, see $e\flat^2$ (mm. 32-39, Example 2.7a); in the F-major group, see $d\flat^2$ (mm. 72-77, Example 2.9a); and in the A-major/minor group, see f^2 (mm. 114-132, Example 2.14a).

an entity, the third group is thus governed by large Phrygian bass motion A-F-E-A (mm. 102-114-133-134); this bass motion supports upper line e^2 - f^2 - e^2 (mm. 102-114-133) and the third group's final melodic closure e^2 - d^2 - c^2 - b^1 - a^1 (mm. 132-134). (See Example 2.14b.) In the excursion's two-tiered upper line, e^2 's neighbor f^2 prevails; however, there is also a prominent melodic line emanating from subordinate tone a^2 . In the first phrase, there is a melodic descent, supported by a line in parallel sixths below, from a^2 to a^1 --this descent is mediated by the motivically salient double-neighbor motion around A, familiar from the song "Der Tod und das Mädchen." This melodic insistence on A and its neighbors suggests A's latent dominance; in particular, lower neighbor G# (m. 117), supported by diminished harmony closely related to A's dominant, heralds the first cadence on E (m. 119). The second phrase launches a new effort by F to subvert A; it retraces the territory traversed in the previous phrase until A's lower neighbor G#, again supported by diminished harmony related to A's dominant, initiates an expansion (m. 124). The expansion is an arduous and ominous chromatic descent through a chain of 4-3 suspensions (an embellishment of descending tenths) that returns to the same diminished harmony (m. 128). This diminished harmony is converted into an extended dominant of A (mm. 128-131); but instead of resolving to A directly, it returns to bass F (m. 132, equivalent to m. 118). Here F makes its third, futile attempt to forestall A, but the inevitable closure in A minor ensues. (The excursion's large bass motion from F to E, recasting the transition's large F-E bass progression, accomplishes this closure; it represents a reversal of earlier E-

F motions, in mm. 18/23, 60-61, and 113-114, associated with the Maiden's escape.) The exposition ends with a seven-bar codetta (mm. 134-140) that hammers away the arrival at A minor.⁵³ A has vanquished F.

Reflection reveals that, not surprisingly, the F excursion resembles the transition from the second to the third group in several respects. Both move from F through E to A, in the process of which F is converted from a I to a VI. Both feature a two-tiered melodic line where f^2 prevails in the middleground and a^2/a^2 dominates the foreground. (Compare Examples 2.11a and 2.14.) Both feature two-fold descents from a^2 involving parallel motion in sixths or tenths--in both, one of these descents is diatonic and the other prevailingly chromatic. Finally, both chronicle the doomed struggle by F to stave off A.

Relationship between formal design and voice-leading structure

A pressing issue in Schubert's sonata movements concerns correlation of structure and design. At the Second International Schenker Symposium, held March 1992 at The Mannes College of Music, David Beach presented a paper entitled "Interactions between Design and Structure," in which he discussed instances where the two parameters seem to diverge. Not surprisingly, much of his

⁵³Rothstein, *Phrase Rhythm in Tonal Music*, p. 71, defines *suffixes*, including codettas, as expansions that "extend the basic phrase's closing harmony." For more on suffixes, see Rothstein, pp. 70-73.

discussion centered around Schubert, including analysis of first movements from the A-major (Piano) and C-major (String) Quintets and the G-major String Quartet. But to a certain extent design and structure are inseparable. After all, how are interpretive decisions to be made regarding structure if not on the basis of design?⁵⁴

As discussed earlier (Chapter 1, pp. 23ff. and 51-53), Schubert's three-key expositions, including this one, present a disjunction between formal design and voice-leading structure. The problem (oversimplified) is to reconcile two givens: 1) the structural superiority of I and V as key-defining harmonies; 2) the individual manifestation of formal and rhetorical gestures typical of Classical sonata form, including entities such as *first group*, *transition*, *second group*, and *closing theme*. Schubert's sonatas challenge attempts at reconciliation of these compositional resources because the key of the third group (almost always the dominant) belongs to a deeper structural level than does the key of the second group. This is problematic because Schubert's second groups contrast with their respective principal groups in terms of mode, affect, and thematic design; according to conventional sonata rhetoric, they lend themselves to the notion of "second theme," "subordinate group," or *Seitensatz*. On the contrary, Schubert's

⁵⁴Carl Schachter spoke of the necessity to relate structure and design at the 1992 Second International Schenker Symposium. Beach's allusion, in the course of his paper there, to Schachter's previously cited article, "The First Movement of Brahms's Second Symphony," occasioned Schachter's comment.

third groups tend not to offer a great degree of thematic individuality and emphasize cadential formulae; they readily lend themselves to the notion of "closing themes" or "closing group." The A-major group in the D-minor Quartet exposition is more thematically distinctive than other third groups discussed in this study because of its thematic congruence with the second group; this is reflected in the third group's approach by a lengthy transition.

With regard to conventional two-key expositions, William Rothstein conceives of closing themes as pendants or suffixes that confirm the harmony prolonged in that portion of the second group ending in a strongly articulated perfect cadence.⁵⁵

The characterization of closing theme as suffix does not suit Schubert's three-key expositions, whose closing groups are entrusted with the structural dominant!⁵⁶

⁵⁵See *Phrase Rhythm in Tonal Music*, pp. 116-118. Rothstein, p. 116, defines *closing theme* in this way: "Following the reasoning of these older theorists [Koch and Anton Reicha], we will term as closing theme, or in some cases codetta, only the suffix or suffixes to the exposition--that is, only those portions of the second group following the first strongly articulated perfect cadence in the goal key." He cautions, however, that "analyzing the second group on the basis of its closing cadence does not entirely relieve the analyst of ambiguities, because there may be some question as to which of two or three cadences is *the* closing cadence. . . . In such cases it is still usually best to identify the first of the series as the closing cadence. . . . The cadences that come later may be considered reinforcements of the closing cadence; their purpose is often to satisfy some element of closure left incomplete in the closing cadence itself."

⁵⁶Rothstein, p. 115, however, views the middle key area of a three-key exposition as a transition, similar in function to that found in a two-key exposition: "The length of [an exposition's] transitional phrase is highly variable. It may itself comprise two or more complete phrases, in which case one could legitimately speak of a transitional period. In extreme cases, especially where much of a transitional phrase or period is itself tonally stable (but not in the original key), a

Carl Schachter, however, holds a different view, wherein closing groups (as distinct from codettas) may participate in an exposition's large-scale structure. By way of example, he adduces the first-movement exposition of Mozart's F-major Piano Sonata, K. 332, in whose closing group he locates the exposition's important melodic descent.⁵⁷ Furthermore, Schubert's practice is surprisingly explainable within eighteenth-century theory of sonata form as exemplified by Heinrich Christoph Koch. As mentioned earlier, scholars such as Rothstein, Ratner, and Graybill observe that, for Koch, form is identified with cadence structure: in this view, *endings* are form-defining. Schubert's practice is likewise explainable within related conventions of sonata rhetoric and compositional practice. As described by Leonard Ratner, the second key area of a two-key exposition has two striking features: the placement of a "salient theme" within a second group and "the breadth of the *effect of arrival* at the end of the key area II. Haydn dramatizes this phase by introducing here the chief melodic contrast in his expositions." (Charles Rosen holds--of two-key expositions--that "the confirming final cadence is

sort of false second group may emerge, the impression of a second group arising from the extended tonal stability. If the prevailing key of this passage is neither the original tonic nor the key of the closing cadence, the result is the "three-key exposition" favored by Schubert and Brahms and described by James Webster, Rosen, and others." By extension, in this view, the third key area of a three-key exposition is a second, rather than a closing group. This terminological approach, in my opinion, minimizes (excessively) the disjunction between formal design and voice-leading structure inherent in these expositions.

⁵⁷Personal communication. Oswald Jonas, *Introduction to the Theory of Heinrich Schenker*, p. 133, Example 199, gives a similar interpretation of this material.

always set in relief thematically.") Ratner adds that "delay in establishing the second key at the beginning of key area II can dramatize its final confirmation at the end of the exposition."⁵⁸ (In Schenkerian terms, the structural dominant simply arrives later than usual.) Schubert's three-key expositions maximize this dramatic effect by delaying the establishment of the second *background* key until the closing group, thus setting the exposition's final cadence in harmonic rather than thematic relief. This is accomplished at the expense of conjunction between voice leading and formal design.

Each of Schubert's three-key expositions is unique in the relative harmonic stability of its second group and in the thematic and formal relationships between its second and third groups. It will later be seen that, of the four second groups discussed in this study, the F-major group in the D-minor Quartet is the most harmonically stable. F major receives full closure through an authentic cadence in

⁵⁸See Ratner, *Classic Music*, pp. 224-225. See also Charles Rosen, *Sonata Forms*, rev. ed., p. 241. Ratner points out that the eighteenth-century view of sonata form as having two parts, defined by movement away from and back to the tonic, "emphasizes the *close* of major sections." In contrast, the nineteenth-century view of sonata form as having three parts, defined by thematic layout, "emphasizes *opening* statements."

Schenker's concept of sonata form, based on interruption, binds harmonic beginnings and endings. As mentioned earlier, in this perspective, the articulation at the end of the exposition is seen to occur within an overarching progression from I to V that spans the exposition *and* the development. As such this articulation is deemphasized. Yet Schenker's theory does provide a top-line linear descent (perfect authentic cadence) at or near the end of the exposition. In this way it accommodates eighteenth-century views of sonata form as expressed in theory and practice.

m. 83 with arrival at the transition. Two other three-key expositions, in Schubert's *Quartettsatz* and four-hand "Grand Duo" Sonata, similarly confer full closure on the second key with the onset of a transition. In the later movements analyzed in this study, however, the second key area is not followed by a clearly marked transition, and it is denied closure through an authentic cadence. Thus the F-major area of the D-minor Quartet is one of the structurally weightier of Schubert's second groups. Nevertheless, like Schubert's other middle groups, it prolongs a large-scale embellishment by means of contrasting material.

The parallel thematic relationship between the second and third groups in the D-minor Quartet requires further comment. (The expositions of the C-major four-hand "Grand Duo," the C-major *Reliquie* Piano Sonata, and the C-major "Great" Symphony also have such thematic congruence between their respective second and third groups; these three C-major works date from approximately the same period of 1824-1825.) I think it possible that, in the D-minor Quartet, this thematic congruence is linked to a parallelism between subphrases in the Maiden's plea, accompanying her two statements of "und rühre mich nicht an." In the Quartet, the thematic parallelism between the F- and A-major areas squares well with the notion of a "double second group."⁵⁹ Even in those expositions from which this thematic congruence is absent, however, it is still possible to think of the second and third key areas as constituting a double second group, especially

⁵⁹See Webster, "Schubert's Sonata Form," p. 26.

because the third area, in most cases, is cadential and lacks thematic individuality. On the other hand, it is more accurate, considering the complex interaction between voice leading and design in these pieces, to speak of their expositions as having three groups. This issue will be readdressed in my concluding chapter.

Development

The development in relation to the exposition

As mentioned earlier, from a Schenkerian perspective development sections are large-scale extensions of the preceding expositions. In a conventional sonata (with a two-key exposition), the development is usually interpreted in one of two ways:

- 1) In a major-mode movement where the exposition closes in the dominant, it is viewed as a harmonic prolongation of the exposition's dominant and also a melodic prolongation of $\hat{2}$. The exposition and development together participate in the first part of a large-scale interruption. (See Figure 1.)

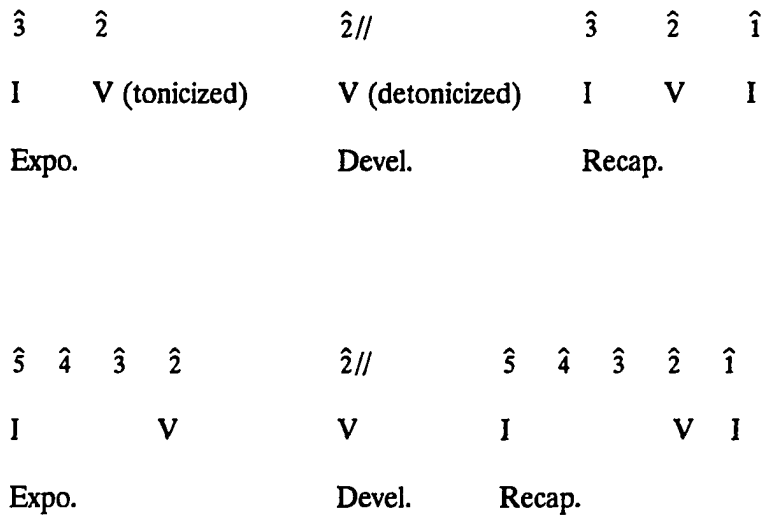


Figure 1

2) In a minor-mode movement where the exposition closes in the mediant, the development is viewed as completing a bass arpeggiation from I through III to V. As in the first type, however, the exposition and development together comprise the first part of a large-scale interruption.⁶⁰ (See Figure 2.)

⁶⁰The two categories listed above represent norms most often met with in Classical sonata movements. Obviously many sonata movements depart from these norms, particularly many by Beethoven and his successors. (Regarding this, see Ernst Oster's previously mentioned gloss in Schenker's, *Free Composition*, pp. 139-141.) Nevertheless, these norms provide models of structure which are easily modified to accommodate sonata-form variants.

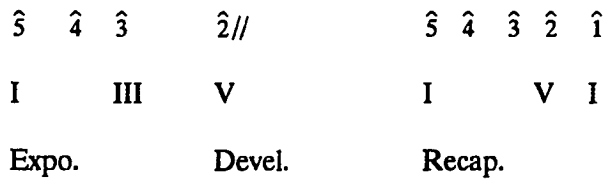


Figure 2

The first movement of the D-minor Quartet, harmonically speaking, falls into the first category. The dominant has already been reached at the end of the exposition, notwithstanding that this occurs within a minor-mode movement or that the exposition has "three keys." (See Example 2.15a.) Thus, at the highest structural level, this development prolongs the dominant established in the exposition and completes the first part of a background interruption. Melodically, however, this movement departs from a strict model of interruption because the top line of its exposition does not make a clear linear descent: $\hat{5}$ (A), established as the *Kopfton* in the exposition, prevails in the development's melodic background; in the development, however, inner-voice tone $\hat{2}$ (E), carried over from the exposition's third group, is the more proximate organizing upper-voice tone.⁶¹

⁶¹Oster describes this type of movement in his previously cited supplementary note in Schenker's *Free Composition*, p. 139: "In a sonata movement that starts on $\hat{5}$, the upper voice does not descend via $\hat{4}$ and $\hat{3}$ to the $\hat{2}$ at the interruption point, as it normally would. This means that the composition is not based on the interruption principle in the strictest sense. . . . The tone that would be the $\hat{2}$ of

Overview

In the development, neighbor-note configurations around A, featured in the song "Der Tod und das Mädchen," are composed out in several ways. On a grand scale, the development's bass line traces the neighbor-note motion A-B $\flat$ -A (mm. 140-181-182). (See Example 2.15a.) Above this bass line, the two-tiered melody features a descent e²-d²-c² and a subordinate line, a¹-g²-a², created through reaching over and registral shift. The subordinate line provides A's lower neighbor and thus complements the large bass line. Large-scale neighbors B $\flat$ and g² (m. 181) enclose an augmented sixth, the harmonic vehicle through which both of A's neighbors are sounded at the same time. It will be recalled that the same augmented sixth fulfilled a similar function in the principal group's opening statement (see m. 39 and Example 2.4). The structural importance of the development's augmented sixth (m. 181) is made manifest on the musical surface: augmented sixth-dominant progressions recur, at shorter and shorter time intervals, forming an expansion of the structural dominant immediately preceding the retransition (mm. 181-186). The retransition (mm. 186-197) also features bass motion A-B $\flat$ -A, where upper neighbor B $\flat$ supports the augmented sixth. As will be seen in the later discussion of the development's foreground, the general

the fundamental line . . . comes . . . from the chordal third of the tonic harmony, and it must therefore be considered an inner-voice tone. In such a sonata exposition this tone is then composed out in the usual way. . . . In the meantime the $\hat{5}$ is extended till the end of the exposition and from there to the beginning of the recapitulation; it only descends to $\hat{1}$ as late as the end of this section."

importance of augmented sixths in the development is evident in local Phrygian bass-line progressions occurring in the middle of the development; in each of these progressions (a descending fourth filled by a semitonal neighbor note), a neighbor note supports an augmented sixth (see mm. 156, 158, 166, and 168).

The large-scale bass motion from A to B $\flat$ occupies most of the development.

Example 2.15b shows this bass motion is formed by a chain of descending thirds:

A (mm. 140ff.); F $\sharp$ (mm. 152ff.); D (mm. 173ff.); and B $\flat$ (supporting the augmented sixth in m. 181). As will be seen later, changes in design emphasize arrival at nodal points in this chain. The accompanying middleground melodic line, e²-f $\sharp$ ²-d²-d², is somewhat dependent on the bass, sometimes moving with it in parallel, though broken-up, octaves (mm. 152-173).

Earlier in this chapter (p. 95), I asserted a relationship between the transition and development in this movement. On the surface, the transition and development share subordinate-group material. Below the surface, these passages feature contrapuntal lines that traverse a chain of descending thirds, culminating in an augmented sixth. (Compare Examples 2.11a and 2.15b.) In the transition's first sequence (mm. 83-88), the subordinate melodic line traverses a chain of descending thirds, a²-f $\sharp$ ²-d³-b $\flat$ /b $\flat$ ²-a², similar to the chain traversed by the development's bass line, although within a different harmonic context. In the transition's third sequence (mm. 93-97), the subordinate melodic line traverses a

similar chain of thirds, $a^2-f\sharp^2-d^2-b\flat^2-a^1$ (in this chain, a^1 is en route to the structurally weightier $g\sharp^1$ of m. 97).⁶²

Foreground aspects of the development

The development derives thematic material from the exposition's subordinate double group, particularly from the area bounded by the approach to the F excursion and the end of the exposition (mm. 112-140). The development's opening C-major harmony (mm. 141-143) promises to struggle against A by leading to F. This is the development's only area of sunshine, and its melodic shape suggests the F-major digression beginning in m. 115. But a Phrygian bass motion leads from C through A (m. 144) to $G\sharp$ (m. 145), V of $C\sharp$ minor. (See Example 2.15c.) Arrival at $C\sharp$ as temporary tonic is prevented by a disrupting diminished harmony on bass $E\sharp$, a harmony closely related to $C\sharp$ as $F\sharp$'s dominant (mm. 146-149). The expansion of this diminished harmony assumes a thematic shape closely associated with the dominant-ninth prolongation leading to A minor at the end of the exposition (mm. 128-133) and signals an impending "wrong" harmonic turn. This diminished harmony launches a second Phrygian bass progression, leading from $E\sharp$ through D (m. 150) to $C\sharp$ (m. 151), V of $F\sharp$ minor.

⁶²The development of Beethoven's Op. 10 No. 2, third movement, contains a progression similar to that underlying Schubert's development in the Quartet, a descent by thirds that culminates in an augmented sixth. Schenker's analysis of Beethoven's development in *Free Composition*, Fig. 100-4a, shows that the development (up to m. 63) traverses the path $A\flat-F-D-B\flat-A$; $B\flat$ and A carry the same augmented sixth and dominant found at the end of Schubert's development.

F# minor indeed arrives and is confirmed as a significant goal by its own cadential phrase (mm. 152-156). The development's opening harmonic motion through C and C# to F# (mm. 141-152) subtly reverses earlier melodic motions from C#/Db to Cb that led to Fb (mm. 51-52 and 112-114). Thus the sphere of Cb and its tonic Fb, suggested at the beginning of the development, is irrevocably lost; the arrival at F# is a turn away from Fb and the safety it symbolizes. (The Fbs that occur within the development's important D-minor and Bb-augmented harmonies do not have the import they carry within F-major harmony.)

With arrival at F#, a new three-stage sequence begins, with segments beginning on F# (m. 152), E (mm. [160] 163), and D (mm. [170] 173). The segment on E is a passing prolongation between the more structurally important segments on F# and D. Each segment begins with cadential material derived from the end of the exposition (mm. 135-140); following this cadential material, two concatenated Phrygian bass descents (filled-in fourths followed by local resolutions) lead to the next tonal center. Thus, in the first segment of the sequence, F# moves to E by means of bass lines F#-D-C#-Bb (mm. 156-158) and Bb-G-F#(D#)-E (mm. 158-160); in the second segment of the sequence, E moves to D by means of bass lines E-C-Bb-A (mm. 166-168) and A-Fb-E(C#)-D (mm. 168-170). (As mentioned earlier, the second tone in these bass progressions supports an augmented sixth.) The sequential segment on D begins with cadential material, like the previous segments, but this cadential material veers off course by crashing into an apparent

ninth chord above D (m. 176) that resolves to a D-major dominant. (The ninth chord is a familiar sonority--see mm. 72-77 and 128-131; the development's ninth chord includes the motivically significant diminished harmony $F\sharp-A-C-E\flat$ found in the Maiden's plea, m. 13, and the Quartet's principal group, third phrase, mm. 29/32-40.) The D-major dominant fails to reach G, instead resolving to an $E\flat \frac{6}{3}$ chord; thence ensues a chain of embellished ascending sixths (mm. 176-180) that is related to chromatic passages in the principal group's second and third phrases. The principal group's second phrase (Example 2.6) contains a chromatically rising 5-6 sequence similar to the development's chain of sixths: both sequences entail stepwise chromatic ascents emanating from f^1 , $f\sharp^1-g^1-g\sharp^1-a^1$ (see violin I in mm. 17-18 and 22-23 and violin II/viola in mm. 176-180), and bass motions by ascending fourth, D-G and E-A. The development's sequence has a looser connection to the chromatic passage in the principal group's third phrase (Example 2.7). Both emanate from D and sound diminished harmony $F\sharp/G\flat-A-C-E\flat$ en route to an augmented sixth on $B\flat$ that resolves to A. The development's chain of sixths provides the intensity one would expect upon approaching the death-associated dominant at a critical structural and formal juncture.

The Quartet's retransition, although not Schubert's most remarkable, effectively prepares for the recapitulation. First, the prevailing dominant pedal point creates expectation of harmonic "resolution" (within the context of a large-scale

interruption); second, a gradual crescendo from *pianissimo* to *fortissimo* further increases tension; third, registral ascent from a^1 (m. 188) to a^2 (m. 193) to a^3 (mm. 197) creates expectancy of a change in melodic direction. (The movement's nearly ubiquitous triplet figure, suppressed in mm. 176-186, returns to form ascending scalar segments, creating an expectation of the descending scalar triplets that form the principal theme.) At the end of the retransition, the return of the opening material seems inevitable.

Recapitulation

Overview

The principal group reestablishes the tonic D minor (mm. 198-209); after provisional prolongation of D major (mm. 209-218, end of the principal group), the second group further establishes D major (mm. 218-241) before reverting to minor; a transition leads from D to B $\flat$ major (mm. 241-260); the third group prolongs B $\flat$ before moving to A and D minor (mm. 260-297); finally, a coda reinforces tonic closure. Thus the recapitulation appears to distribute two keys among three formal areas: D min./D maj.-min./B $\flat$ -D or I $\sharp$ /I $\sharp$ $\flat$ /VI-I. However, it is better to view the recapitulation's essential bass motion as D-B $\flat$ -A-D or I-VI-V-I. (See Examples 2.3b and 2.16.)

Interrelationship between thematic design and voice-leading structure

With the exception of the principal group, the exposition and recapitulation follow parallel thematic courses; nevertheless, the way in which the recapitulation's thematic design interacts with its voice-leading structure is anything but straightforward. The principal group is abbreviated and corresponds to the exposition's counterstatement of mm. 41-61. Three considerations may explain the *recapitulation's elimination of the exposition's entire opening statement (mm. 1-41)*:

- 1) The phrase structure of the exposition, described by me as a series of nested antecedents, is a collection of unrequited beginnings. The recapitulation is not the place for a long series of beginnings. In addition, the goal of these antecedents, of the exposition as a whole, and of the development is the dominant. The recapitulation is thus likely to reserve the well-trodden dominant for its structural recurrence at the end of the section.
- 2) Two of the Maiden's F-major evasions (shown in Examples 2.5 and 2.6) are thus eliminated, indicating a dramatic progression into Death's tonal realm.
- 3) This movement has a frame provided by the opening statement and the coda. In a loose sense the movement is circular, ending the way it began. The coda sums up and clarifies many of the compositional issues raised in the movement by recomposing material from the beginning.

The recapitulation's complexity arises from the way that its keys are distributed in the subordinate double group. Whereas the exposition's subordinate group moves from F to structurally weightier A, the recapitulation's subordinate group moves from the tonic D to *less* structurally weighty B♭ at the parallel formal juncture. In both, lengthy transitions ending in augmented sixths effect these changes. This raises the question as to why the recapitulation's subordinate group doesn't *begin* in B♭ and *end* in D, thus matching the exposition by coordinating transposition down a fifth with thematic restatement.

The vastly reduced dimension of the recapitulated principal group is responsible for the subordinate group's unusual visage. If, as I think he did, Schubert wished to reestablish the tonic convincingly at the onset of the recapitulation, with a tonic prolongation approaching symmetrical proportion in relation to the exposition, this prolongation would have to spill into the subordinate group. Since the recapitulation's subordinate group is as lengthy as the exposition's, it requires the tonal variety provided by a nontonic digression; furthermore, symmetry suggests that the subordinate groups from both exposition and recapitulation each have two "keys." The recapitulation's second key bears the same relationship to its closing key as the exposition's "extra" key bears to its closing key: in the exposition, F moves via E to A; in the recapitulation, B♭ moves via A to D, both involving ascents of a major third. Since, however, these relationships are established at disparate formal junctures, that is, relatively later in the

recapitulation than in the exposition, some recapitulatory catching up is necessary to attain parallel sectional endings.

Although the formal distribution of "extra" keys F and B $\flat$ is unusual in this movement's respective outer sections, their tonal relationship is not--Schubert's recapitulations often transpose much of the exposition's material down a fifth.⁶³ But in this movement the relationship of these keys transcends the mundane dictates of tonal machinery--for the tonal plans of the Maiden's plea and Death's reply inform the respective designs of the exposition and recapitulation. The connection between song and Quartet has subtle yet telling consequences in the recapitulation.

Foreground aspects of the recapitulation

Principal group (mm. 198-218)

The abbreviated principal group (Example 2.17) is noteworthy in two respects:

- 1) At the end of its first phrase, the dominant $\frac{6}{4}$ on A resolves to its expected $\frac{5}{3}$ position (mm. 207-208); death-associated C $\sharp$, a member of this harmony, functions

⁶³Regarding Schubert's recapitulatory habits, see Hur, *Irregular Recapitulation in Schubert's Instrumental Works*; Webster, "Schubert's Sonata Form," pp. 31-35; Salzer, "Die Sonatenform bei Franz Schubert," pp. 121-124; Malcolm Boyd, "Schubert's Short Cuts," *The Music Review* 29 (1968): 12-21; and Daniel Coren, "Ambiguity in Schubert's Recapitulations," *The Musical Quarterly* 60 (1974): 568-582.

as leading tone to D. This cadential voice leading contrasts starkly with the equivalent juncture in the exposition (mm. 51-52), where D $\flat$ passes to C $\sharp$ en route to F, maneuvering a long-term evasion of A. The dual nature of C $\sharp$ /D $\flat$ is thus highlighted by the comparative designs of the movement's respective principal groups. (See Example 2.18.)⁶⁴

2) The ensuing parallel period (mm. 209-218) is now in D major, a minor third lower than its F-major appearance in the exposition (mm. 52-61). This phrase prepares for a recapitulated second group in the tonic major.

Second group (mm. 218-241)

The "hurdy gurdy" theme (mm. 218-228) establishes D major. In the song, it will be recalled, the D-major postlude expresses profound peace in Death's victory. The replacement of B $\flat$ by B $\sharp$ eradicates the painful semitone between scale degrees $\hat{5}$ and $\hat{6}$ at the song's conclusion.⁶⁵ But in the Quartet, the D-major prolongation seems deceptive in its promise of peaceful stability, for here it reverts to D minor immediately before the transition (the exposition's F-major theme does not mutate modally at this juncture). Furthermore, it precedes the large-scale prolongation of B $\flat$ that leads to A and the movement's D-minor ending, thus failing to eradicate the semitone between B $\flat$ and A. In the context of the entire

⁶⁴Salzer, "Die Sonatenform bei Franz Schubert," p. 110, provides a similar illustration.

⁶⁵Carl Schachter comments on this transformation in "Motive and Text in Four Schubert Songs," p. 70. See also Timothy Jackson, "Schubert's Revisions," p. 344.

movement, I view the recapitulated D-major second theme as symbolizing Death's tragic encroachment into what had been the Maiden's area of evasion, that is, the F-major area of the exposition.

The F-major and D-major versions of the second theme are nearly identical (except for their respective endings), but they are not symbolically equivalent.⁶⁶ Although it is true that the key of D major, like the key of F major, may be associated with the pastorale (see, for example, Beethoven's Piano Sonata Op. 28), historical associations with D major generally differ markedly from those for F major (see discussion on pp. 92-93 in this chapter). Heinrich Weikert's *Kunstwörterbuch* of 1827 (cited in Steblin) includes the following description of D major: "D major is the key of triumph, of Hallelujahs, of war-cries and victory-rejoicing. This key is used for marches, holiday songs, choruses of joy and indeed for all pompous and noisy pieces." Other historical associations with D major (also cited by Steblin) are more thought-provoking: 1) By G.G. R. . . . r in Cramer's *Magazin der Musik* (1786)--"The serious quality [of C major] is ousted, the gentle quality has disappeared, and unruly, often base gaiety steps into its place"; 2) by Johann Jakob Heinse in *Hildegard von Hohenthal* (1795)--"Bacchus"; by W.C. Müller in *Versuch einer Ästhetik der Tonkunst* (1830)--"Noisy vulgarity";

⁶⁶In my discussion of the exposition's second theme (pp. in this chapter), I disagree with Christoph Wolff's characterization of it as symbolizing Death the musician; however, my view of the recapitulated second theme squares with his interpretation.

and by Hector Berlioz in *Grand traité d'instrumentation* (1843)--"Gay, noisy, and rather commonplace."⁶⁷ The dualistic potential of the second theme enables it to serve first the Maiden's and then Death's tonal agenda. Finally, it should be recalled that, in the song, the Maiden's F-major plea and Death's D-major postlude share dactylic patterning and major-mode serenity; nevertheless, their voices are clearly distinguished.

The recapitulated second theme, whose upper voice begins on A, belatedly restores the movement's main melodic tone. (See Example 2.19.) In the exposition, *Kopftón* A arrived at the end of the first phrase (m. 13, see Example 2.5a); however, the recapitulation's omission of the exposition's opening statement results in the *Kopftón*'s delayed reestablishment. The recapitulated second theme, like the exposition's, is soon frustrated in its attempt to reach harmonic and melodic closure by a melodic semitone slip and deceptive diminished harmony; close examination reveals that this diminished harmony (though not the melodic misstep) is the *same* (spelled with E $\flat$ or D $\sharp$) in both contexts! (Compare mm. 71 and 76 in Example 2.9a with mm. 228 and 233 in Example 2.19.) The recapitulation's transposition of the exposition's theme down a minor third permits this lovely parallelism, in which the same chord launches both second-group

⁶⁷See Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, p. 161 and Appendix A, pp. 237-241. My comparison of traditional associations with F major and D major is neither comprehensive nor fully representative of Steblin's substantial research; further investigation would be needed to present a more reliable distinction between these keys.

digressions. (See also the development's dominant ninth in mm. 176-177, which includes this harmony, and the Maiden's diminished chord in m. 13 of the song.) For most of its duration, the later digression prolongs D's V⁹ with A in the bass and B $\flat$ in the upper voice. The digression thus highlights the motivic salience of A's upper neighbor B $\flat$ in two ways: first, "harmonically," through the vertical clash of the dominant ninth's outer voices; and second, melodically, in that upper tone B $\flat$ emanates from the second theme's reestablished *Kopft*on.

Transition (mm. 241-260)

This transition must diverge in design from its sibling in the exposition; for whereas the exposition's transition leads from F to A, up a major third, the recapitulation's leads from D to B $\flat$, down a major third. The earlier transition features a two-tiered melodic line in which the primary line, f²-e²-(d $\sharp$ ¹)-d $\sharp$ ¹-e¹, carries a subordinate line, a²-a²-(b $\flat$ ¹)-a¹-g $\sharp$ ¹. (See Example 2.11a and discussion on pp. 94-97 in this chapter.) As shown in Example 2.20, the later transition features a collapsed one-tiered melodic line centering on d¹: in the first sequence, d¹ is embellished by motivically salient double-neighbor motion d²-e²-d²-c $\sharp$ ²-d² (mm. 241-245-248); in the second and third sequences, d¹ rises through a third, d²-e $\flat$ ²-e $\flat$ ¹-f¹ (mm. 248-254-255), and then returns through e $\flat$ ² to d².

Example 2.21 compares the movement's subordinate-group transitions: the exposition's culminates in an augmented sixth on F that resolves to E (V of A);

the recapitulation's culminates in an augmented sixth on G $\flat$ that resolves to F (V of B $\flat$). (The two augmented sixths are a semitone apart! Comparison shows that each shares a tritone, respectively D $\sharp$ -A and G $\flat$ -C, with the diminished harmony A-C-E $\flat$ -G $\flat$ that is featured throughout the movement, e.g., in mm. 29/32, 71/76, 176, and 228/233.) The recapitulation's augmented sixth and its resolution cannot have the structural significance of the exposition's corresponding progression, for the exposition's is moving toward structural V, whereas the recapitulation's is moving toward embellishing VI. This reversal is reflected in voice leading: the exposition's augmented sixth and its resolution feature bass motion from F to E, whereas the recapitulation's corresponding chords feature upper-voice motion from E to F. Astonishingly, because of the semitonal transpositional level between the two augmented sixths, the first (m. 96) is reinterpreted in the second's resolution (m. 255); that is, F-A-B $\sharp$ -D $\sharp$ becomes F-A-C-E $\flat$.

The "sonata principle," as set forth by Edward Cone, entails that the recapitulation resolve large-scale dissonance by restating the exposition's nontonic material in the tonic (or in a key more closely related to the tonic than before).⁶⁸ Beethoven stretched the norm in several sonata movements, such as the first movements of Piano Sonatas Op. 10 No. 1, Op. 13, Op. 31 No. 1, and Op. 53, in which the recapitulation's second group features two keys, the second of which is the tonic.

⁶⁸See *Musical Form and Musical Performance* (New York: W. W. Norton, 1968), pp. 76-77. See also Webster's article "Sonata form," p. 498.

(The history of the two-key recapitulation is most interesting and certainly bears on the evolution of the three-key exposition, but it is the subject for another study.) Although Schubert's restated second group prolongs the tonic, most of his restated third group does not.

Third group (mm. 260-297)

Much of the restated third group, including the mutated second theme and what had been the exposition's F-major excursion, now prolongs B♭; B♭ resolves to A and D only at the end of the group. This large-scale deployment of B♭ derives from the song's B♭ prolongation, when Death persuades the Maiden with the reassurance, "Sei gutes Muts! Ich bin nicht wild." What should be the third group's excursion area is the point in the recapitulation where it "catches up" to the exposition. In the equivalent thematic portion of the exposition, the victory of structure represented by the prevailing prolongation of dominant A was challenged by the F excursion. But the double use of B♭ for both second theme and former excursion material in the recapitulation not only highlights the importance of B♭ on a large scale but also symbolizes Death's continuing encroachment on what had been the Maiden's territory. In the song, B♭ is approached from F and represents Death's promised haven; inevitably B♭ moves to A and D, leading to Death's victory. It is precisely in this tonal fashion that the recapitulation's structural dominant is reached at the end of the subordinate group.

The recapitulation's third group emphasizes the motive A-B $\flat$ -A both in its upper and lower voices. In the restated theme (mm. 260-270), B $\flat$ harmony supports a linear melodic descent from F to B $\flat$ (see Example 2.22). This melodic B $\flat$ functions as *Kopftón* A's large-scale upper neighbor and prevails in the melodic background of the ensuing phrase-pair (mm. 272-292) until m. 290, when it resolves to *Kopftón* A for the structural melodic descent. (This interpretation differs from that given for the exposition's third-group theme; in the earlier reading, the theme's initial tone E is the more important of the theme's boundary tones. [Compare Examples 2.14 and 2.22.] These differences in interpretation arise from the influence of sonata-form harmonic formations on voice leading in the upper voice.) In the phrase-pair corresponding to the exposition's F-major excursion and structural close, bass B $\flat$ three times resolves to A (V of D)--once in the first phrase and twice in the second phrase.

The third group also features D as a secondary inner-voice tone. For example, in the opening thematic phrase-pair, the motive d¹-e $\flat$ ¹-d($\flat$)¹ sounds in the cello's apparent bass line. (See Example 2.22.) In the subsequent phrase-pair, subordinate melodic tone D is embellished twice through double-neighbor motion while en route to lower-neighbor C $\sharp$ (see mm. 272-277 and 278-290). This larger melodic motion from D to C $\sharp$ is supported by bass motion from B $\flat$ to A. In this context, as in Death's reply (mm. 30-33) and the exposition's principal group (mm.

29ff.), the transposed neighbor-note motive D-E♭-(C♯)-D occurs melodically in conjunction with bass expression of the primary motive A-B♭-A.

The recapitulation ends with a dramatically telling (though transpositionally predictable) tonal detail: when the structural melodic descent begins in m. 290, an F-major chord, rather than a tonic or dominant, supports the *Kopfton*, delaying the dominant for the last time within the structural background.

Coda

The coda is remarkable for summing up and clarifying complex and salient relationships in the movement. For me it symbolizes a final confrontation with Death, although the Quartet has three additional movements; I view the last three movements as post-mortem events analogous to the final two movements of Chopin's B♭-minor Sonata or the "Witches' Sabbath" from Berlioz's *Symphonie fantastique*.

As shown in Example 2.23, the coda has three large phrases, each of which restates Death's Phrygian bass line, D-B♭-A-(D). The first phrase begins with inverted B♭ harmony that supports melody tone d². Motion to neighboring diminished harmony A-C-E♭-G♭ (sitting above bass D as a stack of

appoggiaturas) entails melodic motion from d^2 to its upper neighbor $e\flat^2$ and from the cello's $B\flat$ to an embellishing A. Remarkably, this neighbor chord is related to the same subversive harmony that launched chromatic excursions earlier in the movement (mm. 29/32, 71/76, 176, and 228/233). This chord's resolution to $B\flat$ harmony entails the return of $e\flat^2$ to d^2 ; immediately afterwards upper neighbor $B\flat$ itself resolves to A. Thus this phrase again marries the two semitones $E\flat$ -D and $B\flat$ -A. (Similar voice leading occurs in the recapitulation's third group, as discussed on pp. 129-130 in this chapter; it also occurs in the exposition's third phrase, as shown in Example 2.7a.)

The coda's second phrase (mm. 311-326) recomposes material from the movement's second phrase (mm. 15-25); retrospectively this causes the coda's first phrase to be heard as an analogy to the movement's opening phrase (mm. 1-15). The coda's second-phrase review evokes that proverbial moment before one's demise, when one's life flashes before one's eyes--but with a twist. After the melody's initial chromatic ascent through the D-minor triad supported by bass motion from tonic to dominant (mm. 311-315), the dominant is robbed of its power by an F^7 chord leading to $B\flat$! In the course of the melody's continued chromatic ascent through the $B\flat$ -major triad, d^2 moves through $e\flat^2$ and $e\sharp^2$ to f^2 . The melody continues to rise an additional third to a^2 , when the wild chromatic

ascent finally stops and the dominant regains control (mm. 321-323).⁶⁹ Thus the Phrygian bass line D-(F)-B $\flat$ -A-D, the bass line of Death's reply and of the movement's recapitulation, is reenacted in microcosm and a gesture of escape is foiled. During this last frantic gesture of escape, however, that is, before the dominant's reassertion, e $\flat$ ² (m. 318) eludes resolution to d²; and the Maiden's F²-major evasions twice recur (see asterisks in Example 2.23).

The third phrase (mm. 326-341) is an intensified and more conclusive version of the first. It signals defeat through its funereal march rhythm, slowed harmonic rhythm, and hushed dynamic level. At phrase onset, the bass descends steeply through two major thirds from D to B $\flat$ and from B $\flat$ to an embellishing G $\flat$; d² (above D and B $\flat$) rises to its neighbor e $\flat$ ² (above G $\flat$). This is a journey outside the normal tonal realm to reach the nether world of altered Phrygian $\flat$ II $\flat$, a harmony that provides the semitonal upper neighbors for all three of the tonic's triadic members. It is thus the most extreme expression of the semitonal motive associated with grief and death. (This eventuality is prefigured by the $\flat$ II $\flat$ at the end of the restated transition, in m. 254; it occurs in a related tonal context, that is, leading from D to B $\flat$). The use of $\flat$ II $\flat$ is uncommon; it occurs, however, in the D-minor dirge-like second movement of Beethoven's Piano Sonata Op. 10 no.

⁶⁹In this passage, segments of the chromatic melodic ascent are supported by 5-6 harmonic motions. Two other passages behave similarly, the exposition's second phrase, reiterated at the beginning of the coda's second phrase (mm. 311-315), and the development's approach to its structural dominant (mm. 176-182). (Compare Examples 2.6a, 2.15c, and 2.23.)

3, m. 67. More than any other feature of Schubert's coda, this harmony symbolizes death. With the resolution of $\flat\text{II}\flat$ to the augmented sixth on $\text{B}\flat$, $\text{E}\flat$ (violins) returns to D (viola), reenacting, for the last time, Death's appropriation of the Maiden's motive D- $\text{E}\flat$ -D in the context of his $\text{B}\flat$ harmony. The coda's augmented sixth (mm. 329 and 335), carrying A's semitonal neighbors $\text{B}\flat$ and $\text{G}\sharp$, is familiar; this chord had regained strategic dominants at the end of the exposition's opening statement (m. 39) and at the end of the development (mm. 181-186). Now, it resolves to A, for the last time traversing Death's tonal course, the Phrygian tetrachord D- $\text{B}\flat$ -A and, in so doing, for the last time fusing the semitonal motions $\text{E}\flat$ -D and $\text{B}\flat$ -A, which resolve in tandem. Then there is nothing left but to end.

It is unusual to be able to speak of quasi-programmatic elements in connection with an "abstract" instrumental work. But the voice-leading connection between the song D. 531 and the Quartet D. 810 is deep and unmistakable. This relationship affects the Quartet movement's structural and formal organization, and is responsible for forming its particular expositional three-key plan.

CHAPTER 3

THE OCTET, D. 803

I. CONTEXT

The Octet was written between February and March of 1824. Three other works have striking features that connect them to the Octet: Beethoven's Septet and First Symphony, and Schubert's own D-minor Quartet. (Though beyond the scope of this study, an exhaustive investigation of related works might include Schubert's A-minor Quartet,¹ the "Fragment aus Schiller's Gedicht: *Die Götter Griechenlands*,"² which resurfaces in the A-minor Quartet's Menuetto and in the Octet's last movement, and the duet "Gelagert unter'm hellem Dach" from his Singspiel *Die Freunde von Salamanka*, which serves as the basis for the Octet's

¹The A-minor Quartet was written during the same two-month period (February-March 1824) as the D-minor Quartet and Octet. (See Brown with Sams, *The New Grove Schubert*, p. 119.) It is closely related to the latter two works in terms of key relations; also, all three works feature the augmented sixth. (In the exposition of the A-minor Quartet, the augmented sixth built on F moves to E in mm. 21-22 and 50ff.; the same augmented sixth appears prominently in the D-minor Quartet exposition, m. 96, en route to the third key area of A.) Einstein, *Schubert: A Musical Portrait*, p. 253, writes of the A-minor Quartet's first movement that "the 'lovely world' appears in the C major of the second subject; but in the D minor of the development, Schubert is also thinking of death, which is to become the main theme of the following [D-minor] Quartet."

²See John Reed, *The Schubert Song Companion* (Manchester: Manchester University Press, 1985; paperback ed., London: Faber and Faber, 1993), pp. 164 and 496; see also Einstein, *Schubert: A Musical Portrait*, pp. 167-168 and 253.

theme and variations movement.) The dates of composition for the related works are as follows: the Septet and First Symphony are from 1799-1800; and the D-minor Quartet is from March 1824, with revisions in 1826.³ Although the Octet appears to antedate the Quartet by a month, their dates of composition are so close as to be almost concurrent. Neighbor-note motion, outlining of the fourth, arpeggiation, and dotted rhythm are salient features of the Octet and of both Beethoven works. But aspects of the Octet that are uniquely Schubertian stem more from structural and expressive ideas shared with the D-minor Quartet.

The connection between the Octet and Beethoven's Septet is well known. The Octet was commissioned by Count Ferdinand Troyer, a clarinetist in the employ of Archduke Rudolf, who may have asked for a work "exactly like" Beethoven's very popular Septet.⁴ And the Septet and Octet cycles are obviously similar in instrumentation as well in the number, type, key relations, tempos, and meters of the respective movements. The connection between the Octet and a Beethoven symphony is provided by Schubert's famous letter of March 31, 1824 to Leopold Kupelwieser. In this letter Schubert lists three string quartets (two already

³Dates for Beethoven's works come from *Thayer's Life of Beethoven*, rev. ed., ed. Elliot Forbes (Princeton, NJ: Princeton University Press, 1967), p. 267; dates for Schubert's Quartet come from Brown with Sams, *The New Grove Schubert*, p. 119. See also Martin Chusid, "Schubert's Cyclic Compositions of 1824," *Acta Musicologica* 36 (January-March 1964), p. 37.

⁴Einstein, *Schubert: A Musical Portrait*, p. 256. The public's longstanding enthusiasm for the Septet, not shared by Beethoven himself, is documented in Forbes, *Thayer's Life of Beethoven*, pp. 260, 620, and 970.

written) and an octet written in preparation for the composition of a grand symphony. In the sentence immediately following, Schubert turns to news about an upcoming Beethoven concert, to include a performance of Beethoven's new symphony (the Ninth), and he eagerly indicates his wish for such a concert of his own works.⁵ Although this letter suggests the likelihood of a symphonic model by Beethoven for the Octet, it does not establish specifically *which* Beethoven symphony fits the bill. In his article "Schubert's Cyclic Compositions of 1824," Martin Chusid investigates Beethovenian models for the Octet. He suggests that the Octet's cyclic motive consisting of a "dotted pattern, movement by step in either direction and repeated notes" is derived from the Septet's Minuet movement. But while Chusid ascribes the motive itself to the Septet, he ascribes Schubert's cyclic use of this motive to the influence of Beethoven's Fifth Symphony.⁶ His observations are plausible but limited to foreground phenomena.

⁵The complete letter is translated by Charles Osborne in *Schubert and His Vienna* (New York: Alfred A. Knopf, 1985), pp. 113-114. An excerpt from this letter, the excerpt under discussion, is also translated by Martin Chusid in his article "Schubert's Cyclic Compositions of 1824," p. 40. These translations differ as to whether Schubert lists only the two quartets already written (Osborne) or whether he also mentions a third quartet yet to be written (Chusid). Chusid, p. 40, remarks that "the two quartets referred to as having been written are the A Minor and D Minor, and Schubert explicitly states that both of these quartets and the Octet were intended as preparation for 'grand Symphony,' clearly in Beethoven's manner."

⁶See Chusid, "Schubert's Cyclic Compositions": regarding the derivation of the Octet's motive from the Septet, see p. 39; regarding Beethoven's influence on Schubert and evidence of this influence in Schubert's letter to Kupelwieser, see p. 40; regarding the relationship between Schubert's cyclic procedure and the Fifth Symphony, see pp. 38 and 41-42. Chusid states that Schubert's cyclic procedure is "one significant feature which Schubert did *not* derive from the Septet" (p. 38). I

I believe that deeper consideration of motivic and middleground events suggests that Schubert derived a great deal more from Beethoven's First Symphony than from his Fifth. Support for these claims will emerge in the following detailed discussions.

Septet, Op. 20

A comparison of the first movements of the Septet and Octet reveals that Schubert derived more material from Beethoven's introductory Adagio than from his subsequent Allegro con brio. (See Examples 3.1 and 3.2.) The considerable motivic and harmonic detail imported from Beethoven's Adagio into Schubert's includes:

- 1) an opening bar of assertive tonic, marked *forte*--a rhetorical frame, so to speak;
- 2) tonic pedal point (mm. 1-7, clarinet, horn, and viola, in the Septet and mm. 1-4, clarinet, horn, and double bass, in the Octet);
- 3) early tonicization of the subdominant (mm. 5-6 in the Septet and mm. 2 and 4 in the Octet);

suspect that an exhaustive study of the Septet (and of the C-major Symphony) along Schenkerian lines would reveal their incipient cyclic organization.

- 4) prominent use of the augmented sixth. This is related to the tonicization of the subdominant just mentioned in that together these chords lead to a dominant (mm. 7-8 in the Septet and mm. 4-5 in the Octet);
- 5) mode mixture (mm. 9-12 in the Septet and mm. 6-8 and 18-19 of the Octet);
- 6) local dominant/tonic alternation (mm. 12-15 in the Septet and mm. 6-10 in the Octet);
- 7) neighbor-note motion. In the Septet, the grace notes of mm. 2, 4, and 6 and the d^2 s in mm. 8-10 are lower neighbors. Double-neighbor motion is evident in the violin's figuration of mm. 12-15. In the Octet, double-neighbor motion is immediately evident around $\hat{5}$ in mm. 2-3. Upper-neighbor motion is implied in mm. 6-7, $f^1-(a^1)-g^1-f^1$, in m. 10, $c^2-(e\flat^2)-d^2-c^2$, and in m. 12, $f^1-g\flat^1/g\flat^2-(a\flat^2)-f^2$. On a larger scale, bass $B\flat$ (m. 15) and $D\flat$ (m. 17) form double neighbors to C;
- 8) outlining of the fourth. The prevalence of the fourth in both Adagios is shown in voice-leading graphs (Examples 3.1b and 3.2b);
- 9) middleground structure. Examples 3.1b and 3.2b/c reveal that both Adagios have essential harmonic motion from I to V and a melodic descent from $\hat{5}$ to $\hat{1}$.

I will not dwell on Beethoven's ensuing Allegro. It features motivic ideas, especially the outlining of the fourth in conjunction with embellishing neighbor-note motion, that are eminently applicable to the Octet; nevertheless, its clear bifocal design and relative Classical simplicity (shared by the First Symphony) are far removed from the complex three-key design of the Octet's Allegro. Requiring

further discussion, however, is the double-neighbor embellishment of $\hat{5}$, an important motivic configuration in the Octet that is evident throughout the Septet. In the Septet, this configuration is most closely associated with subdominant $A\flat$, which plays a significant harmonic role throughout and often carries prolongation of C or $C\flat$ with it. The importance of IV (related to melodic outlining of the fourth) and $(\flat)VI$ is prefigured in the Adagio's opening bass progression, $E\flat-C-C\flat-B\flat$, where $C\sharp$ supports subdominant harmony. (A related progression governs the last movement's Andante introduction.) $A\flat$ achieves large-scale prolongation in the first movement's restated principal group (counterstatement/transition), where it leads through $C\flat$ to the dominant; as the key of the second movement, whose development prolongs $C\sharp$ extensively (mm. 53-77); and in the development of the last movement, where extensive prolongations of $C\sharp$ and $A\flat$ lead to the structural dominant.

First Symphony

I will discuss certain features in each of the Symphony's four movements because I find the relationship between Schubert's Octet and this work to be deeply rooted yet unexplored elsewhere. This relationship, which is manifested most clearly between the Octet and the Symphony's second movement, rests broadly on the following prominent features: 1) linear interaction between C and its neighbor notes $D/D\flat$ and $B/B\flat$ (the actual pitches, not necessarily the scale degrees, emphasized in the Octet are also emphasized in the Symphony); 2) interval of a

fourth filled in with an embellishing neighbor note⁷; 3) harmonic emphasis on the subdominant; 4) arpeggiation; 5) dotted rhythms. More specifically, these features are manifested on various levels from the foreground to the background in the following events:

First movement

- 1) Adagio: The famous nontonic opening tonicizes IV. Something quite similar happens at the beginning of Schubert's Adagio.
- 2) The first theme of the Allegro con brio features the interval of a fourth filled in by a neighbor note, ascending tonic arpeggiation, and dotted rhythms (see mm. 1-5 in Example 3.3a).
- 3) The middleground of the first theme features, in the bass, double-neighbor motion around C (see mm. 1-31 and Example 3.3a). The beginning of this progression (from I to II in mm. 1-23) is highlighted by passing motion $c^3-c\sharp^3-d^3$ in the flute (mm. 17-19).
- 4) The second theme opens with an ascending fourth (see mm. 52 *ff.*).

Second movement

- 1) The key of F (subdominant in this work) is the tonic key of the Octet.

⁷For a discussion of the rising fourth in Beethoven's First Symphony, see Carl Schachter's article "Mozart's Last and Beethoven's First: Echoes of K. 551 in the First Movement of Opus 21," in *Mozart Studies*, ed. Cliff Eisen (Oxford: Clarendon Press, 1991), pp. 245-246.

- 2) The first theme opens with an ascending fourth and features ascending arpeggiation and dotted rhythm.
- 3) The second theme opens harmonically with an applied dominant to D and melodically with an ascending sixth, two events that suggest Schubert's second theme. This occurs within a larger context of bass line double-neighbor motion around C (see mm. 26-30 and 34-38 and Example 3.3b).
- 4) The latter portion of the exposition (mm. 42ff.) and the entire development feature dotted rhythm.
- 5) The development features large-scale neighbor-note motion that is very suggestive of background structure in Schubert's development (and to some extent in Schubert's opening Adagio). The bass moves from C to D $\flat$ (via A $\flat$), prolongs D $\flat$ by means of B $\flat$ and voice exchange, then returns to C, V- $\flat$ VI/(IV)-V. In addition, the inner-voice middleground fourth, g¹-a $\flat$ ¹-b $\flat$ ¹-b $\flat$ ¹-c², spanning Beethoven's development is traceable in a polyphonic upper line of Schubert's (see Examples 3.3c and 3.9e).⁸

Third movement

- 1) The opening melody emphasizes two tetrachords within the octave (rhythmically but *not* structurally).

⁸The graph for Example 3.3c is from a class handout distributed by Charles Burkhart at Queens College, City University of New York.

- 2) Section *b* of the Menuetto features bass neighbor-note motion, C-D $\flat$ -C, that recalls the previous movement's development and suggests Schubert's development and Adagio (see mm. 9-44 and Example 3.3d).⁹
- 3) The codetta (mm. 58-66) stresses the relationship between c^2 and its neighbors $d\sharp^2/db^2$ and $b\sharp^1$ (see Example 3.3e).¹⁰

Fourth movement

The recapitulation's second theme begins in the subdominant F (mm. 192ff.). This is not merely the tonic key of the Octet; the recapitulation of Schubert's Octet movement also moves prominently to its subdominant B $\flat$ (although within the first group).

D-minor Quartet, D. 810

In the first movement's exposition, described in my Chapter 2, the first group prolongs D minor; the second group initially prolongs F major, after which a transition leads to A major/minor. As in the song "Der Tod und das Mädchen," on which the movement is based, the Quartet's F-major prolongation represents a respite both from the tonic and the dominant. Throughout the exposition, and on many levels, F tries to forestall the arrival of A. A "key" ingredient in the

⁹The graph for Example 3.3d is from a handout by Carl Schachter for his Beethoven seminar given at the Graduate Center, City University of New York.

¹⁰Regarding the rising fourth in this movement, particularly the codetta shown in Example 3.3e, see Schachter, "Mozart's Last and Beethoven's First," p. 246.

exposition, then, is the interaction between D, F, and A. These interactions, by analogy with the song, enact the struggle to evade Death. The recapitulation has two keys: the first group and the beginning of the second group prolong D minor/major; the second group continues with a transition leading to prolongation of B♭ major that is followed by a return through A to D minor. Significantly, material from the exposition's second group that had occurred in the Maiden's key of F now occurs in B♭. (Compare mm. 114ff. and 278ff.) In the song, Death appropriates the Maiden's key of F, forcing it to become the dominant of B♭. By analogy with the song, the recapitulation, in replacing F material with B♭ material, represents the Maiden's capitulation to Death.

The first movement of the Octet also has a three-key exposition, now moving from F through D to C. Here F major and D minor play expressive roles similar to those enacted in the D-minor Quartet (and song): F major exudes the magical safe atmosphere it also has as the Maiden's key, and D minor has the tragic, stormy import it also carries as Death's emissary. In the Octet's recapitulation, as in the Quartet's, F moves to B♭. In both recapitulations, B♭ challenges F, although within different structural contexts and with different outcomes.¹¹

¹¹Schubert's choice of tonics and key relations in these works is appropriate given their respective genres. Certainly, one expects the Octet, a divertimento (as is Beethoven's Septet), to be lighter in tone than its related quartet. Nevertheless, the Octet's complexity distances it from a traditional eighteenth-century divertimento and indeed from Beethoven's Septet. Curiously, in his monograph *Schubert: A Musical Portrait*, Einstein comments that Beethoven's Septet "had been a *happy* work. . . . without dualism" and that Schubert's work likewise betrays

A related phenomenon concerns the motivic organization of the Octet and of the Quartet. Both movements exploit the relationship between $\hat{5}$ and its neighbor notes, especially $\hat{5}/\flat\hat{5}$. This compositional resource is evident on several levels even within the confines of the Octet Adagio. (See Example 3.2.) For example, in mm. 2-3, c^2 is embellished by d^2 and $b\flat^1$. The Adagio's large-scale bass motion F-B $\flat$ -D $\flat$ -C-F also features double-neighbor motion around C. Neighbor-note configuration may also be expressed as embellishment within the fourth. The bass motion F-D $\flat$ -C in mm. 1-5 highlights the relationship between D $\flat$ and C within a Phrygian tetrachord. The D-minor Quartet also features the semitone between $\hat{5}$ and $\hat{6}$ (A and B $\flat$) either alone or within a Phrygian tetrachord.¹²

"no trace of dualism" (p. 257). However, the pervasive use of mode mixture and the resulting contest between chromaticism and diatonicism in the Octet do reflect a duality that binds the Octet and D-minor Quartet despite differences dictated by genre.

¹²As discussed in my Chapter 1, pp. 54-59, it is well known that neighbor-note motion involving the Phrygian second is often featured in Schubert's grief-laden vocal works, where the semitone between $\flat\hat{6}$ and $\hat{5}$ in minor and its traditional associations with lamentation and death are most apt. But Schubert uses it, in conjunction with mode mixture, in the predominantly joyful Octet. See also the ominously symptomatic bass G $\flat$ trill with its resolution in mm. 8-9 of the B $\flat$ Piano Sonata.

II. OCTET: ANALYSIS

Adagio

L. Michael Griffel has said that the movement "wears the Adagio as a crown," a crown that is integral to the work.¹³ For the Adagio raises several interrelated issues that need to be worked out in the ensuing Allegro. One broad issue is the duality between diatonicism and chromaticism. The magical quality of F major, felt immediately, results from the use of mode mixture and its iridescent chromaticism.¹⁴ The interpenetration of diatonic and chromatic realms is striking in mm. 2-3, where the chromatic passing tones $c\sharp^2$ and $b\flat^1$ (violin I) and $e\flat^1$ and $d\flat^1$ (cello) form two vertical augmented sixths that bend diatonic reality (represented by neighbor notes d^2 and $b\flat^1$) and open space through contrary motion. The introduction of passing tones $c\sharp^2$ and $d\flat^1$ in mm. 2-3 prepares the chromaticism that follows. This chromaticism includes the Phrygian tetrachord, F-D $\flat$ -C, formed by the bass in mm. 1-5 and the Adagio's large-scale bass prolongation, F-B $\flat$ -D $\flat$ -C-F, both of which emphasize D $\flat$ rather than D $\sharp$ as upper neighbor to C. (See Example 3.2.) There is no doubt that the duality

¹³Griffel made this comment in his class "Schubert's Sonata Style," held at Hunter College, City University of New York in Spring 1992.

¹⁴The relationship between mode mixture and the supernatural is discussed in reference to Mendelssohn's Overture to *A Midsummer Night's Dream* in Edward Aldwell and Carl Schachter, *Harmony and Voice Leading*, 2nd ed. (San Diego: Harcourt Brace Jovanovich, 1989), p. 356.

between diatonicism and chromaticism is a central focus of this piece (and of others by Schubert).

Narrower issues raised in the Adagio are motivic and harmonic. Most important among these is the double-neighbor configuration around C (mentioned earlier). Another motivic idea introduced in the Adagio (also mentioned earlier) is the fourth embellished by an incomplete neighbor. The Phrygian tetrachord formed by the bass progression F-D $\flat$ -C in mm. 1-5 falls within this category. A similar descending fourth, f¹-e $\flat$ ¹-d¹-d $\flat$ ¹-c¹, occurs in mm. 1-3 (cello). Among the ascending fourths that reverse the Phrygian tetrachord are a²-c $\sharp$ ³-d³ in mm. 13-14 and f²-a²-b $\flat$ ² in mm. 14-15.¹⁵ These recall Beethoven's First Symphony Allegro. Also significant is the sixth F-B $\flat$ -D $\flat$ outlined in the bass in mm. 1-15-17 (Example 3.2c). Yet another idea introduced in the Adagio is the struggle for dominance between the tonic F and the subdominant B $\flat$. This is evident immediately when B $\flat$ is "tonicized" in mm. 2 and 4 at a point when the tonic F has barely been legitimized and brings to mind the opening of Beethoven's First Symphony Adagio. The *fortissimo* arrival at B $\flat$ minor in m. 15 also emphasizes the subdominant. Naturally, the harmonic emphasis on B $\flat$ is intimately tied to the motivic use of B $\flat$ as lower neighbor to C. B $\flat$ plays a similar dual

¹⁵Kimmel, "The Phrygian Inflection," p. 46, identifies the life force with this configuration, saying that "in the ascent through the major form of the tetrachord the arrival is felt as an active and successful attainment of a melodic goal."

motivic/harmonic role in the D-minor Quartet. The above-mentioned features of the Adagio inform the rest of the movement.

Exposition

Overview

Its broad layout is as follows: The tonic F is prolonged in mm. 19-37. A counterstatement of the opening theme at m. 38 leads to the second group and D minor. D minor holds sway (albeit challenged by F major and C minor) until m. 90. The dominant C major is prolonged by means of closing material for the remainder of the exposition. Thus the exposition's broad structure appears to be I-VI-V. However, this scheme does not tell enough about the exposition. In particular, the relative structural weight of the middle key area must be evaluated and its formal function defined.

Principal group (mm. 19-50)

Measures 19-37 of the first group form a large-scale antecedent moving from I to V, the first part of an implied interruption. This antecedent is formed of four gestures, the last three of which are subphrase-pairs: 1) After the one-bar assertion of F in m. 19, a four-measure phrase (mm. 20-23) seems to begin by ending. This opening unit suggests a four-bar hypermetrical prototype. The

finality of the premature perfect cadence in m. 23 demands elucidation. 2) The first explanatory subphrase-pair (mm. 23/beat 3--27 and 27/beat 3--30) rehearses part of the preceding cadence, moving from I to IV and falling back. 3) The second subphrase-pair (mm. 30 and 31) is connected to the previous pair through overlap; consisting of two I-V cadential motions, it fails to reach closure but initiates a series of further attempts to regain the closure achieved by the first gesture. 4) The third subphrase-pair (mm. 32-34 and 35-37) provides the full I-II⁶-V⁷ progression that is necessary in order to achieve the counterstatement. (The second and third subphrase-pairs grow out of the first subphrase-pair and are integrally connected with it.)

In ascending importance, the first group is characterized by dotted rhythm, arpeggiation, outlining of an embellished fourth, and the exploration of the relationship between C and its neighbor notes. All of these, with the exception of arpeggiation, are salient features of the Adagio. Dotted rhythm and arpeggiation are evident on the surface and possibly derive from Beethoven's First Symphony. The embellished fourth is less obvious, for it tends to occur in the middleground. See Example 3.4. In the bass, the embellished fourth F-A-B $\flat$ is introduced in mm. 19-21 (within a larger fifth progression) and recurs in mm. 23-25 and 27-29. This fourth is tied to the harmonic struggle of B $\flat$ to unseat F and will be discussed again in connection with the recapitulation. In the top line, the fourth f²-d²-c² is obsessively rehearsed. This is evident in mm. 19-22 as shown in

Example 3.4. The ascending and descending arpeggios in mm. 20-22 open the space between f^1 and f^2 and between c^1 and c^2 , emphasizing the fourth. In the first ensuing subphrase-pair, the clarinet, reinforced by the viola, retraces this tetrachord. The first violin seems to challenge the descent to c^2 , for it moves from d^2 to f^2 in mm. 25 and 29, obscuring the clarinet's line. But the violin too finally drops to c^2 in mm. 26-27 and later in mm. 30 and 31. In the last subphrase-pair, the fourth $f^2/f^1-d^2-c^2$ is twice suggested as an inner voice by the violins and clarinet. Finally, in a summarizing surface gesture, the first violin reiterates the fourth $f^2-d^3-c^3$ (m. 37).

It should be noted that in the first group neighbor-note motion is incomplete and occurs within a larger progression. When the bass fourth $F-B\flat$ continues on to C , as it does in the first and last gestures (mm. 19-22, 32-34, and 35-37), $B\flat$ functions as lower neighbor to C . Exploration of the relationship between C and its upper neighbor(s) occurs mainly within the top-line fourths, where D embellishes C , breaking the fourth into a third plus a step. Although here $D\sharp$ is featured more than $D\flat$ (in contrast with the Adagio), both are actually present. For example, see the passing $d\flat^2$ s in mm. 25 and 29. Allusion to $D\flat$ also occurs by way of its alter ego $C\sharp$: the bass motions $f-c\sharp^1-d^1$ in mm. 32 and 35 foreshadow the large-scale prolongation of D minor that constitutes this movement's "extra" key. Even such a detail as the melodic ornament $f^3-c\sharp^3-d^3$ in m. 36 is significant in this regard.

Measures 38-50 are a truncated counterstatement of the opening followed by a deliberate but premature transition; this is a modulating consequent forming the second part of an implied but thwarted interruption. After the first theme's opening ascending arpeggio is restated, instead of closing, the melodic line opens out, continuing to ascend by step (in a typically Schubertian method of growth).¹⁶ The emphasized subdominant in m. 40 is prolonged (by means of 5-6-#6 motion over B $\flat$) until the augmented sixth in m. 41 leads to A (V of D). See Example 3.5. Here the safety of F major is left behind for the troubled realm of D minor by means familiar from the D-minor Quartet. For now B $\flat$ behaves as upper neighbor to A rather than as lower neighbor to C. (The bass motion responsible for this event, F-B $\flat$ -A, is a permutation of the embellished fourth F-A-B $\flat$). And the augmented sixth on B $\flat$, which pushes decisively away from F and toward A, is the very same augmented sixth that appears at key junctures in the D-minor Quartet--at the end of its first group's large antecedent (m. 39), the end of the development, and the end of the coda. This shared augmented sixth further supports the existence of a relationship between the two pieces and results from interactions between D, F, and A.

The transition's upper line traces an ascending arpeggiated sixth: f²-a²-c³-d³. This configuration is forecast in m. 2 by the violins and viola, whose vertical sonorities

¹⁶Similar passages, occurring in first-movement codas, include mm. 311-326 in the D-minor Quartet, mm. 310-327 in the Octet, and mm. 623-631 in the E $\flat$ Piano Trio.

include $f^1-a^1-c\sharp^2$ moving to $f^1-(b\flat^1)-d^2$. The pitch similarity between the first theme's top-line fourth $f^2-d^2-c^2$ to the transition's $f^2-a^2-c\sharp^3-d^3$ is noteworthy. Within the transition's sixth f^2-d^3 the fourth a^2-d^3 is embedded, embellished by neighbor note $c\sharp^3$. The reversal in emotional state represented by the shift from F major to D minor is signaled by a motivic reversal: $C\sharp$ is now subordinate to D, whereas previously D served C. There is a sense of frustration engendered by this reversal, for in the larger scheme D must eventually move to C. But for now the harmonic stabilization of this large-scale neighbor note delays gratification.

Second group (mm. 50-90)

The D-minor group strives to right itself by resolving to the structural dominant C via G. It does this in four stages or "phrase-pairs." (See Examples 3.6a and b.) The first phrase of each pair (forephrase) clearly prolongs a local tonic within a four-bar unit (e.g., mm. 71-74 are 3 + 1). The second phrase of each pair (afterphrase) moves to another local tonic within an expansion:

- 1) The first forephrase (mm. 50-53) introduces the turbulent new theme that prolongs D minor. In a first attempt to reach V, the afterphrase (mm. 54-60) moves to C via G within an expansion of the four-measure prototype to seven measures. (The fourth bar, m. 57, is a weak bar reinterpreted as strong, so that mm. 54-60 might be thought of as two overlapping four-bar phrases.)

- 2) The second forephrase (mm. 61-64) restates the new theme in the F-major tonic, retroactively foiling the attempt to stabilize C. Since D, in the context of this work, wants to go ahead to C rather than backwards to F, this event is a setback. The afterphrase, mm. 65-71, moves to D minor (via an expanded phrase similar to the previous afterphrase), testimony to the continuing ascendancy of D.

- 3) The third forephrase (beginning in m. 71 by means of overlap) affirms D minor with emphatic cadential material that sounds like closing material. But the afterphrase (mm. 74-77) makes a second escape attempt, swinging out to C minor by way of G. The arrival at C minor rather than C major is another setback.

- 4) The fourth forephrase prolongs C minor by means of a stormy thematic variant of the previous phrase-pair's cadential material. The last afterphrase (mm. 82-90), an expansion of an expansion (mm. 83 and 86 could easily be lifted out leaving a six-bar unit that is itself an expansion of a four-bar construction), finally leads conclusively via G to C major, the structural V of the exposition. The deep need for D to move to C is finally consummated.

The thematic and phrase design of mm. 50-90 must be viewed in relation to middleground structure. (See Example 3.6b.) The first two phrase-pairs (mm. 50-60 and 61-71), which share thematic material, move harmonically from D to C and from F to D, respectively. Taken together they prolong D. (In the background

this D is part of a 5-6 motion above the tonic F.) The top line of mm. 50-71 is two-tiered. D^3 is prolonged at the higher level, forming a large-scale neighbor note to the *Kopft* c^2 . On the lower level there is an enlargement of the f^2 - a^2 - $c\sharp^3$ - d^3 configuration noted earlier in the counterstatement and transition. Both bass and top line of mm. 50-71 prolong D.

The latter two phrase-pairs (mm. 71-77 and 78-90) taken together move harmonically from D via G to C major, forming a harmonic transition. The two-tiered upper line continues to prolong neighbor note d^3 at a higher level and descends from f^2 to c^2 on a lower level. In this top-line reading the expected linear descent from $\hat{5}$ to $\hat{2}$ is absent even in the most important inner voice or lower-level tier. It remains for the C-major group to introduce $\hat{2}$ as a prominent *inner voice*. Thus this exposition resembles those described by Ernst Oster that prolong $\hat{5}$ in the background.¹⁷

Relationship between design and voice-leading structure

The problem posed by the Octet exposition (and by other Schubertian three-key expositions) is that its second theme prolongs a key of lesser structural rank than that prolonged by its closing material. This statement assumes that the D-minor

¹⁷ See Oster's gloss in Schenker's *Free Composition*, p. 139.

area initiates the second group, that the C-major area presents closing material, and that C is more important harmonically than D. The basis for these assumptions lies, in part, in apparently conflicting aspects of the D-minor area: 1) features that weaken its structural status; 2) features that obscure its structure; 3) features that strengthen its thematic status. Each of these aspects will be considered in turn.

I. Features that detract from the structural rank of the D-minor area

1) Tonal flux. The rate of tonal flux in the D-minor group is far greater than that in the preceding or following groups. For example, in the first group each phrase-pair following the first four-bar assertion of F continues to prolong F by means of various cadential formulas. But in the D-minor group each phrase-pair, even the two that form the "second theme" (mm. 50-60 and 61-71), moves from one key center to another. This tonal flux creates relative instability that points to the structurally subordinate role played by the D-minor group in relation to the two outer groups of the exposition.¹⁸

¹⁸A similar kind of tonal flux occurs in the F#-minor group of Brahms's Second Symphony. But this flux is more pronounced in Brahms's extra key area than in Schubert's (in the Octet). In Brahms's much briefer middle group, F#'s own dominant never appears once the theme is underway; in addition, after the initial F# prolongation (formed by the starting point of the group's two large phrases) is completed, F# is left, never to be regained on the way to the dominant group. (See Schachter, "The First Movement of Brahms's Second Symphony," pp. 66-67.) However, in the Octet's middle group, D minor is reinforced by its own dominant (in the first and third forephrases); furthermore, D minor is regained after the shocking departure to F major in m. 61. Brahms's movement is more closely related to the first movement of Schubert's Bb Piano Sonata than to the

2) Allusion to the tonic. The restatement of the new theme in F major beginning at m. 61 occurs before D minor has achieved closure, creating temporary confusion despite its placement as an answer to the previous D-minor statement. The subsequent move from F back to D retroactively clarifies the subordinate role of F within D minor. Schubert delights in this multilevel play involving structural role reversal between D and F. (The contrast in character dramatized by this juxtaposition recalls the D-minor Quartet.)

II. Features that obscure structure

It has been established that the most important motivic relationship in the Octet is the neighbor-note relationship between C and D/D $\flat$. The fact that D minor and C minor/major are adjoining key areas suggests a straightforward background reading of I-VI-V in which the D-minor area is a large-scale neighbor note to C. However, in my reading (see Example 3.6b) the D-minor area grows out of a 5-6 motion above the tonic F, making D an *inner voice* neighbor note to preceding *inner voice* C above F. Rather than showing the D-minor area as moving directly to C, my reading shows D becoming the inner-voice fifth above structural II (or V of V). (In a more harmonic, less contrapuntal, view of my interpretation, D may be expressed as VI on the way to II $\sharp$.)¹⁹ Both readings show the D-minor area

first movement of the Octet. See my discussions of Schachter's article in Chapter 5, pp. 343-345, Chapter 1, pp. 23-26, and Chapter 2, pp. 99-101.

¹⁹Carl Schachter related to me Ernst Oster's idea, expressed during a conversation between them, that alternative harmonic and contrapuntal views of

to be of middleground structural status despite the formal emphasis it receives as initiator of the second group. While these readings are similar, the first places the D-minor area either on the way from I to V or in the structural space of the C-major group, suggesting a two-key second group.²⁰ The second reading either places the D-minor group on the way from I to V or in the space of the first F-major group, conferring upon this group the harmonic function of a typical transition. Structural ambiguity is exacerbated by the relatively weak articulation of the structural II (V of V) in m. 89. Regarding a related case, in comparing the first movements of the "Great" C-Major Symphony with Brahms's Second Symphony, Carl Schachter describes Schubert's style as follows:

Typically, Schubert partitions his exposition into sharply defined thematic groups, but the active harmonies--especially the important preparatory dominants--are very weakly articulated. For this reason, the large-scale harmonic motion emerges much less distinctly than in the Brahms.²¹

Indeed the articulation of D minor's dominant A in mm. 42-49 is a great deal stronger than the articulation of G in m. 89 before C. The resulting ambiguity of structure, leading to a "both/and" situation, in which two interpretations coexist,

one essential reading might coexist. Schachter added that in most instances he himself finds the contrapuntal view to yield greater insight.

²⁰This raises the issue of whether to speak of two groups or three. In the Octet it is most convenient to speak of first, second, and third groups with the understanding that this alludes to thematic and key formations that may be distinct from structural voice leading. I will return to issues of terminology in the concluding chapter of this study.

²¹See Schachter, "The First Movement of Brahms's Second Symphony," p. 65.

dramatizes the struggle between D and C, which C wins only gradually. My preference for the reading given in Example 3.6b reflects my hearing of the D-minor area as belonging more directly to the preceding tonic prolongation than to the ensuing dominant prolongation.

III. Features that promote thematic status of D-minor area as onset of second group

1) At m. 50 there is a "new" theme, albeit one that preserves elements from the first group. Among the obviously new elements are the focus on the rising sixth, the arrival at a new key, and the prevailing change of mode from major to minor. Nevertheless, the elements retained from the first group are significant and should be noted. The dotted rhythm is kept, as is the general thematic profile of moving from dotted to undotted values within a phrase. More subtle are foreground melodic manipulations. For example, the rising sixths a^1-f^2 (mm. 49-52) and c^1-a^1 (mm. 60-63), which sound new, may be heard in relation to the opening bars (mm. 20-22). Although the embellished tetrachord $f^2-d^2-c^2$ is most salient, the listener also hears the rising sixth f^1-d^2 formed at the beginning of the configuration because the lower f^1 is present in m. 20. In addition, there is an interesting manipulation of the fourth in the new theme. When the clarinet descends from f^2 via $e^2-d^2-c\sharp^2$ to d^2 in mm. 50-53, the minor third decorated by lower neighbor, $f^2-c\sharp^2-d^2$, outlines a diminished fourth. This foreground detail is virtually synonymous with the rising sixth $f^2-a^2-c\sharp^3-d^3$ forming the top line in mm. 38-50 and

50-71. (An analogous allusion occurs in mm. 61-64 where the horn's a^1 moves to e^1 and f^1 .) As mentioned earlier, this in turn recalls the opening tetrachord f^2 - d^2 - c^2 . Although these melodic allusions are sonoric rather than structural, they are intuited nevertheless. Despite these intergroup connections, I must restate that the D-minor group begins with a new theme.

2) D minor is prolonged (albeit within a context of tonal flux) in mm. 50-71 and receives closure in m. 71.

3) D minor is preceded by a transition that emphasizes its dominant A although A is not itself the goal of a phrase.

4) Conventional sonata rhetoric entails that, following the first group, a new theme group that prolongs a new key (especially a closely related one) with any degree of either stability or duration is probably the second group.

5) Material carried over from the D-minor to the C-major group includes the cadential material of mm. 71ff. which reappears in mm. 110ff. In that the ends of both groups rhyme, a connection between them is clearly established. This tends to reinforce the motivic interpretation of the D-minor group as large-scale neighbor to the C-major group.

Evaluation of the above-listed features points to a disjunction between thematic design and structure. Voice-leading considerations suggest a harmonic background of I-II $\sharp$ -V, with D serving as an inner voice (or as VI moving to II $\sharp$). The fact that the structural dominant is achieved only within "closing material" does not

cancel its structural force. (See my discussion on "closing" themes or groups in Chapter 2, pp. 106-109.) The disjunction is more dramatic in the Octet than in the D-minor Quartet. This is because the Quartet's third group opens with a thematic variant of its second group, conferring some thematic emphasis on the third group. In the Octet, however, the third group opens with bland cadential formulas; its thematic profile is weak by comparison to that of the second group. Although, as mentioned in this study, Chapter 2, pp. 110-111, there are thematic correspondences between second and third groups in the expositions of the C-major four-hand "Grand Duo," the C-major *Reliquie* Piano Sonata, and the C-major "Great" Symphony, such direct correspondences are not the rule. Thus three of the four expositions investigated in this study (including the Octet movement) lack such correspondence.

Third group (mm. 90-139)

The dominant group is formed of two large sections: The first is a period, or forephrase and afterphrase (mm. 90-97 and 98-110), best described rhetorically as closing material (rather than as second group).²² This section brings closure in the subsidiary upper line. The second section (mm. 110-132) consists of cadential

²²In part this is a matter of proportion: in an exposition of 132 measures, the arrival of a second group at m. 90 would seem quite late. Also, the tonic/dominant oscillation followed by cadential formulae is clearly meant to ground the listener harmonically rather than to serve as a new point of thematic departure.

peroration or codetta. (See Examples 3.7 and 3.8.) The way in which this material integrates features of structure, motive, and design from the F-major and D-minor groups is noteworthy.

As the dominant group begins, it bubbles over with a sense of animated well-being, offering absolute affective contrast to the preceding D-minor group. The clarity and relief that are projected at m. 90 are attributable to the hard-won arrival at structural V. In the background C is prolonged both harmonically and melodically. (See Example 3.7.) The melodic prolongation of c^2 completes the neighbor-note motion $c^2-d^2-c^2$ that spans the entire exposition. The period described as closing material also fulfills the previously unmet obligation to bring middleground $\hat{2}$ into melodic prominence and to provide local closure through linear descent from $\hat{2}$. Indeed G is featured through registral shift (note the g^3 in mm. 91, 93, 99, and 101) and by means of repeated attacks.²³ At the beginning of both forephrase and afterphrase, g^2 is prolonged by a two-fold statement of the embellished fourth $g^2-e^2-d^2$ (mm. 90-91, 92-93, 98-99, and 100-101); this relates to the first group's reiterations of the embellished fourth $f^2-d^2-c^2$, despite divergent voice-leading contexts. This g^2 , deeper in the middleground, is decorated by its upper neighbor a^2 , forming a transposition of the original $\hat{5}-\hat{6}-\hat{5}$ configuration that

²³The melodic emphasis here on G relates to the first group's emphasis on F. The first violin's arpeggiation from g^1 to g^2 in mm. 90, 92, 98, and 100 mimics the first group's opening arpeggiation from f^1 to f^2 , despite different voice-leading contexts.

is at the heart of the entire movement (m. 96, vlms. and horn, and Example 3.7). This neighbor note is supported by subdominant F/F#, G's lower neighbor. (The a^1 prolonged in mm. 104-106 participates in an inner-voice neighbor-note motion that is subsidiary to the upper line's linear descent from $\hat{2}$.) Melodic g^2 is also embellished by upper neighbor a^2 in the foreground (mm. 90, 92, 98, and 100--vln. I).

With respect to surface design, the period's heavy thematic debt to both previous groups is evident throughout. For instance, the dotted rhythm persists although it is less prominent in mm. 90-110 than elsewhere in the movement. In the two-bar pairs (mm. 90-91, 92-93, 98-99, and 100-101) that open the group, the countermelody in the viola and clarinet is obviously dotted. But even the violin material in mm. 90, 92, 98, and 100 is dotted by implication. The c^2 in beat 1, as well as the g^2 's in beats 3 and 4 are "held" the length of a dotted eighth.

The motivic intervals of the fourth and sixth, established earlier, also appear saliently here. The fourth g^2 - e^2 - d^2 prolonging g^2 in mm. 90-94 and 98-101 has already been mentioned. The countermelody at the group's onset (m. 90, viola/clarinet) begins by outlining the sixth g - e^1 .²⁴ The sixth is imported from the D-minor group, whose new theme outlines a^1 - f^2 (m. 50) and c^1 - a^1 (m. 61). In

²⁴The sixth also appears on the surface in figured passagework or as inner-voice superposition. For example, the sixth g^2 - c^3 - e^3 appears in mm. 95 and 103 (vln. I) and the sixth a^1 - d^2 - f^2 appears in m. 105 (clarinet).

addition, the sixth $f^2-a^1/a^2-c\sharp^3-d^3$ has middleground melodic significance in mm. 38-50 and 50-71. (See Examples 3.5 and 3.6b.) Significantly these sixths include an embedded fourth.²⁵

Codetta

The codetta consists of cadential material borrowed from mm. 71ff. of the D-minor group, creating the cross-group rhyme mentioned earlier. It has two phrases, the second of which is an expansion of the first. The codetta's most salient feature is its chromaticism, manifested when C is prolonged harmonically by two Phrygian cadences, C-A $\flat$ -G-C. (See mm. 110-113 and 113-123 and Example 3.8.) The bass A $\flat$ upper neighbors embellish G and support augmented sixths whose upper voice embellishes g^2 with lower neighbor $f\sharp^2$. The dominant seventh chord on A $\flat$ in m. 114, while not of commensurate function or structural status in relation to the surrounding augmented sixths, highlights the enharmonic relationship between the dominant seventh and augmented sixth as well as the dual identity of F $\sharp$ as G $\flat$; these features figure importantly in the ensuing development.

²⁵There are other hidden sonoric references to the fourth in this period. For example, see mm. 95-96 and 103-104 where e^1/e^3 moves to $g\sharp^1$ and a^1/a^2 . This recalls the configuration a-c $\sharp$ -d from the top line of the D-minor group. Other fourths include $a/a^1/a^2-c\sharp^1-d^1$ in mm. 104-105; $f^2-d^2-c^2$ in mm. 105-106 (clarinet); and $c/c^1/c^2-a^1-g^1$ in mm. 106-107 (horn).

A most beautiful touch is the move to D $\flat$ within the second phrase expansion (m. 116). The larger bass progression of which it is a part, C-(A $\flat$)-D $\flat$ -A $\flat$ -G-C, harks back to the Adagio (see Example 3.2b) and looks ahead to the development, in both of which D $\flat$ figures prominently. It also recalls the third movement *b* section of Beethoven's First Symphony (see Example 3.3d.) The codetta's excursion to D $\flat$ is a deliberate contrast to the diatonicism of the D-minor area and dramatizes the diatonic-chromatic dualism at work in this piece.²⁶

Development

The arrival at F $\sharp$ minor at m. 142 is an event in which things have gone awry and from which the development must find a way out. The ensuing discussion traces the tonal and thematic origins of this crisis and the means of escape.

In the background (Example 3.9e) the structural dominant C is prolonged by means of bass motion through A $\flat$ (m. 183) to large-scale chromatic upper

²⁶Some of the details that keep the C $\sharp$ /D $\flat$ conflict alive in the second group should be mentioned. These include the bass oscillation between D and lower neighbor C $\sharp$ in mm. 50-51 and 54-55 followed by the bass detour D-D $\flat$ -C-C $\sharp$ -D in mm. 55-57; the ubiquitous tenor cadential embellishment c¹-c $\sharp$ ¹-d¹ in mm. 59 and 89 (see also mm. 32-33, 35-36, 97, 107-109, 123-124, and 127-129); and the bass C-C $\sharp$ -D in mm. 84-85.

neighbor D $\flat$ (mm. 191-200) and back to C (m. 201). Bass D $\flat$ supports an augmented sixth. (As in the development section of the D-minor Quartet, an augmented sixth carries the large-scale neighbor notes.) In the upper voice G is prolonged by means of chromatic neighbor-note motion to A $\flat$ (mm. 183 and 191-200) and back to G.²⁷ As shown in Example 3.9d-e, the development has two large stages, the first leading from the end of the exposition to the arrival at A $\flat$ in m. 183, and the second from this point to the arrival at the dominant C in m. 201. The first stage draws thematically from the D-minor group and is fraught with tonal turmoil. It begins by moving from the large-scale dominant C through a C $\sharp$ dominant seventh to F $\sharp$ minor, precipitating a tonal crisis. The remainder of this stage (mm. 142-183), is devoted to escaping from F $\sharp$ and reaching what turns out to be A $\flat$. The second stage draws thematically from the Adagio; its bass moves from A $\flat$ (through nontonic F at the onset of the restated Adagio!) to large-scale neighbor D $\flat$ and thence to C, completing the development's prolongation of the structural dominant.

Consideration of the development's tonal shape suggests that its crisis as well as its salvation is generated by large-scale bass upper neighbor C $\sharp$ /D $\flat$. This pitch has two identities: passing tone C $\sharp$ subversively leads away from C toward F $\sharp$ (as its

²⁷Also suggested is a middleground statement (between upper and inner voices) of the embellished fourth: g² (established at the end of the exposition) moves through a b¹ (m. 183) to b $\natural$ ¹ (mm. 191-200) and up to c² (m. 201). This fourth (excluding A $\flat$) is the very one opening Beethoven's First Symphony Allegro con brio.

dominant) at the beginning of the development whereas upper neighbor D $\flat$ leads safely back to C at the end of the development. Although the C $\sharp$ of mm. 136-141 and the D $\flat$ of mm. 191-200 are not of the same structural level, they are alter egos nevertheless. (The duality of this pitch, as well as many other features of the development, is prefigured in the Adagio; these connections will be discussed later.) Indeed Carl Schachter has observed that the development's middleground is dedicated to the task of enabling the errant dominant seventh on C $\sharp$ to become an augmented sixth on D $\flat$. The development's first stage presents the greatest challenge, for it is here that the tonal crisis is precipitated by the "wrong" turn to F $\sharp$ and that following this crisis an underlying coherence must be developed. How does the bass move from F $\sharp$ in m. 142 to A $\flat$ in m. 183 and what is the rationale behind this motion? (Once A $\flat$ is attained in m. 183 the route to D $\flat$ is in place.) In order to address these questions the first stage must be examined in detail.

The first stage comprises three progressively shorter overlapping phrases: one that prolongs bass F $\sharp$ by means of upper neighbor G (mm. 142-162); one that moves from F $\sharp$ through F $\natural$ to E (mm. 162-176); and one that moves from E to E $\flat$ and A $\flat$ (mm. 176-183). Together these three phrases describe a chromatically descending bass F $\sharp$ -F $\natural$ -E-E $\flat$ followed by dominant motion to A $\flat$. (See Example 3.9b.) In the first phrase bass upper neighbor G supports an implied augmented sixth (mm. 159-161) with e $\sharp$ /(f $\natural$) in the upper voice; this resolves to an F $\sharp$ chord that promises to be but does not finally become a dominant. Likewise in the

second phrase, bass passing tone F $\sharp$ supports another implied augmented sixth (mm. 173-175) with d $\sharp$ /(e $\flat$) in the upper voice; this resolves to a would-be dominant on E.²⁸ Thus an incipient sequence is formed whereby augmented sixths are directional agents in the quest to move away from F $\sharp$ toward D $\flat$ and C. For if this sequence were pursued, the bass line would continue to descend chromatically from E $\flat$ to D and from D $\flat$ to C, facilitating attainment of the structural dominant. E $\flat$ and D $\flat$ would each support an augmented sixth on the way to a quasi-dominant resolution. But Schubert eschews this direct linear solution, instead conferring harmonic status as dominant upon the E $\flat$ ⁷ chord in m. 182. Examples 3.9c and d show both possibilities, the more direct linear route as well as Schubert's more harmonic solution.

This development as an entity derives its structural underpinning from the potential enharmonic relationship between C $\sharp$ (mm. 136-141) and D $\flat$ (mm. 191-200). But another, related, enharmonic relationship, between F $\sharp$ and G $\flat$, propels

²⁸In his article "Mozart's Last and Beethoven's First," Carl Schachter describes a similar situation in the development of Mozart's "Jupiter" Symphony, first movement. Here there is a motion through an augmented sixth on F that leads to an E chord; this E chord "takes on the colour of a dominant, an impression that results in large measure from the augmented sixth F-D $\sharp$ that resolves into it (m. 152). As it happens, no A minor goal materializes, so the E chord turns out not to function as a dominant in any very meaningful way" (p. 230). Schachter shows that a similarly "dominantized" E chord occurs in the development of Beethoven's First Symphony, first movement. Although the larger voice-leading contexts surrounding the augmented-sixth/quasi-dominant progression in these developments are quite unlike the voice-leading context in the Schubert development described here, the use of such progressions in all three points to a larger familial relationship between the three works.

the development's evolution from sharps to flats by means of the unfolding from $F\sharp/(G\flat)$ (mm. 142ff.) to $E\flat$ (m. 182); this unfolding is followed by harmonic motion to $A\flat$ (m. 183). The $F\sharp/(G\flat)$ prolonged in both soprano and bass in the first stage of the development is subordinate to the preceding structural dominant C and to the approaching $E\flat$ dominant; in the upper voice $f\sharp^2$ functions as a lower neighbor to g^2 , as shown in Example 3.9e. The $E\flat^7$ that leads from $G\flat$ to $A\flat$ has a potential dual harmonic identity; that is, its interpretation as a dominant seventh rather than as an augmented sixth breaks up the incipient sequence mentioned earlier so that the bass moves to $A\flat$ rather than to D . Although the $A\flat$ chord of m. 183 is a triad, it is prepared (in a broad, nonstructural sense) by the $A\flat^{(7)}$ chords in the exposition's codetta, where, as shown in Example 3.8, the possible dual functions of the $A\flat^{(7)}$ chord as augmented sixth leading to G (dominant of C) and as dominant seventh leading to $D\flat$ are plainly juxtaposed. While $A\flat^{(7)}$'s function as an augmented sixth prevails at the end of the exposition, its subordinate function as a dominant seventh chord carries over to the development's $A\flat$ triad of m. 183.

Certain aspects of the first stage's foreground structure and design merit discussion. In the initial phrase beginning at m. 142, $F\sharp$ is first prolonged by sequential motion whereby the bass ascends by fourth: $F\sharp - (A\sharp) - B$ (m. 150) -

(D#) - E (m. 154).²⁹ Foreground events are shown in Example 3.9a.

Melodically the ascending sixth, borrowed from the D-minor group, resurfaces, moving from soprano to bass in conjunction with the bass-line sequence. Thus $c\sharp^2$ - a^2 is outlined above $F\sharp$ ³⁰; $f\sharp$ - d appears in a middle voice above B; and B-G sounds in the bass *below* root e^2 , now in the upper voice. In traveling from top to bottom the sixth disrupts the bass-line sequence by fourth; this leads to the outburst (thematically derived from the C-minor material within the exposition's D-minor group) in which bass upper neighbor G leads to $F\sharp$. Thus, the first phrase, like the D-minor group from which it borrows, manifests tonal turmoil culminating in an outburst; here the outburst spends itself in returning to the phrase's point of origin.

In the second phrase, beginning at m. 162, despite the changes in surface design (with upbeat ascending sevenths instead of sixths and a seemingly new melodic descent spiced with 9-8 suspensions), there is a sense of continuation through recomposition of the first phrase. While the first phrase moves from $F\sharp$ to B in

²⁹These embellished fourths have both motivic and modulatory value. Two more bass statements of the embellished fourth, $F\sharp$ - $A\sharp$ -B and E-G $\sharp$ -A, occur in the second phrase (mm. 162-165) and third phrase (mm. 176-179), respectively.

³⁰The development's $F\sharp$ -minor statement of the second theme contrasts with the exposition's earlier statement in F major (mm. 61ff.). The F-major statement had been a momentary sunny remembrance of the tonic within the prevailingly troubled D-minor group. The development's contraction of the theme's salient sixth from c^1 - a^1 to $c\sharp^2$ - a^2 dramatizes the gravity of the development's harmonic situation.

mm. 142-150, the second phrase moves from F# (through B, D, G, and F#) to Bb in mm. 162-169.³¹ Thus where the upper voice in mm. 142-150 descends a perfect fifth from f#² to b¹, in mm. 162-167/169 it descends an augmented fifth from f#² to bb¹, moving stepwise within two major thirds (!) and transforming a#¹ (m. 162) into bb¹ (m. 167). Although these melodic descents by fifth are not synonymous intervallically or thematically, there is a similarity of contour nevertheless. It is as if the only way to escape F# is to twist tonality's arm by stretching and violating the perfect fifth. But the cadence to Bb in m. 169 does not bring structural salvation for it does not function as C's lower neighbor, a function reserved for the recapitulation; it moves to A within a chromatically inflected bass unfolding: F# (m. 162) - (Bb) - A (m. 169) - F# (m. 170). (Bb moves toward D minor through A, as it had in the approach to the D-minor group.) This motion leads to the outburst at the end of the second phrase, in which bass motion from passing tone F# to E transposes the first phrase's outburst down a whole step. Thus similarities of design and structure (especially at phrase beginnings and endings) contribute to the identification of mm. 142-162 and 162-176 as distinct but related phrases.

³¹Indeed the bass motion of mm. 162-168, F#-B-D-G-F#, seems to be a compressed and distorted microcosm of the first phrase's entire bass line, F#-B-E-G-F#.

The third phrase finally reaches $A\flat$ by transposing a whole tone lower that material from the beginning of the second phrase that successfully reaches a flat key ($B\flat$). In other words, the beginning of the second phrase (mm. 162/164-169) is transposed down a whole step to generate the entire third phrase (mm. 176/178-183). But the transposition of material extends beyond this to include the outbursts at the end of the first and second phrases; thus mm. 156-169 correspond to mm. 170-183. Using Rothstein's criteria, I have defined these phrases by their tonal goals as expressed in cadential gestures; thus I have determined the first two phrases' endings by the augmented sixths and their resolutions contained in the outbursts. As noted earlier, these progressions approximate local semicadences. (There is no corresponding outburst in the third phrase.) The resulting disparity between phrase design and transpositional spans may be reconciled by taking a broad view of the phrase overlaps, that is, by viewing these overlaps as encompassing the entire outbursts (mm. 156-162 and 170-176) rather than only their endings. But even if this disparity between phrase design and transpositional span is reconciled, there remains a disparity between phrase design as gauged by local cadential motion and larger middleground voice leading. This is because the bass unfolding from $F\sharp/(G\flat)$ to $E\flat^7$ and the subsequent harmonic motion from $E\flat^7$ to $A\flat$ cuts across the three overlapping local phrases. These interrelationships are represented in the following diagram (slurs show middleground voice leading; shaded areas show transpositional spans):

As suggested earlier, the development borrows heavily from the Adagio. Thematically, this borrowing is most apparent in the second stage: mm. 183ff. vary the tonic/dominant oscillation in mm. 6-10; far more striking is the reappearance of the Adagio's opening material within the prolongation of the augmented sixth built on D $\flat$ in mm. 191-200. Harmonically the borrowing of mode mixture and chromaticism from the Adagio pervades the entire development and is engendered by the C $\sharp$ /D $\flat$ duality. This duality is prefigured embryonically at the beginning of the Adagio when c $\sharp^2$ passes from c ^{2} to d ^{2} (vln. I, m. 2) and d $\flat^1$

passes from d^1 to c^1 (cello, m. 3). (See Example 3.2.) This relationship is explored on a larger scale when bass c moves deceptively to $d\flat$ (mm. 11-12) and is reinterpreted as $c\sharp$ (m.13). Bass $c\sharp$ then supports $F\sharp$ -minor and A^7 chords leading to D -minor and F^7 chords (mm. 13-14). The tendency for $C\sharp$ to move harmonically to $F\sharp$ and/or melodically to D , established in the Adagio, is later explored in the exposition, in the approach to the D -minor group, and in the development, binding these sections of the movement. The first stage of the development, then, while alluding thematically to the D -minor group, refers harmonically to the Adagio.³² In particular, the development's harmonic motion from $C\sharp$ to $F\sharp$ (mm. 136-142/162) through A to D minor (mm. 162-170) augments and varies a similar progression from the Adagio (mm. 13-14). (Compare Examples 3.2b and 3.9a.)

While the development's first stage explores the (notated) sharp side prefigured in the Adagio, the second stage of the development explores the flat side. Indeed the development as a whole owes its large-scale bass motion $C-A\flat-D\flat-C$ to the Adagio. These motions are forecast in the Adagio's bass Phrygian tetrachord in mm. 1-5, in the bass motion from $A\flat$ to $D\flat$ in mm. 10-12, and in the motion from $D\flat$ to C in m. 17. Furthermore, the bass semitone $D\flat-C$ underlines the very ends of the Adagio, exposition, and development, and is thus used as a means of formal

³²The similarity between the clarinet melody in mm. 15-18 and the exposition's second theme in mm. 50ff. forges a thematic connection between the Adagio and the D -minor group.

delineation.³³ Ultimately the dual identity of C♯/D♭ informs the chromatic explorations that occupy both the development and the Adagio.³⁴

Recapitulation

Many of Schubert's recapitulations involve prolongation of the subdominant, either at the onset of a nontonic recapitulation or immediately following a tonic recapitulation of part of the principal group. The Octet falls into the latter category, as do the String Quintet and E♭ Piano Trio first movements. Indeed Schubert has been criticized for this practice since it permits literal transposition of all or much of the exposition a fifth lower (or fourth higher). However, as

³³Schubert's penchant for delineating ends of large formal sections through similar *harmonic* (and thematic) means is evident in the other works analyzed in this study and may be related to his cultivation of three-key expositions whose third key is the dominant.

³⁴In his article "Mozart's Last and Beethoven's First," p. 245, Carl Schachter points to a not dissimilar situation in Beethoven's first movement, where material from the end of the Adagio is recomposed at the end of the development. It seems possible that Schubert's inspiration to quote the Adagio at the end of his development came from Beethoven's First Symphony.

acknowledged by several writers, Schubert rarely took wholesale advantage of this option.³⁵

Schubert's mature movements with three-key expositions all have tonic recapitulations, with the exception of the C-major Sonata, D. 840. The need to reestablish the tonic at the beginning of the recapitulation is related to the sheer length of the movement, caused in part by its three-key exposition.³⁶ Naturally, three-key expositions tend to be longer than their two-key relatives, for each key is generally prolonged through its own formal group. And although Schubert's developments vary in length, they must bear some proportional relationship to the surrounding sections. The result is Schubert's often criticized "heavenly length"³⁷; the attendant complexity in many of these movements makes it more difficult for the listener to relate events of the recapitulation retrospectively to events in the exposition. To reintroduce the tonic at the beginning of the recapitulation in such

³⁵See Hur, *Irregular Recapitulation in Schubert's Instrumental Works*; Coren, "Ambiguity in Schubert's Recapitulations"; and Boyd, "Schubert's Short Cuts." Boyd, "Schubert's Short Cuts," pp. 13-14, mentions three of Schubert's earlier recapitulations that pursue wholesale transposition of most of the exposition by moving from I to IV in the principal group: 1) Quartet in B $\flat$ (D. 112) from 1814; 2) Sonata in B major, Finale (D. 575) from 1817; and 3) Violin Sonata in A major, Finale (D. 574) from 1817. In the same article, p. 21, Boyd acknowledges that the E $\flat$ Piano Trio, a late work, shows "a readiness to slip into the subdominant at an early opportunity and remain there for the remainder of the recapitulation." The above-listed "late" movements by Schubert with three-key expositions do likewise.

³⁶See Boyd, "Schubert's Short Cuts," p. 21.

³⁷This phrase, by Robert Schumann, is cited in Brown, *Schubert: A Critical Biography*, p. 201.

movements facilitates tonal orientation, ensuring that digressions, sometimes to remote keys, within the section are coherently related to the tonic and that the recapitulation to some extent fulfills traditional expectations vis-à-vis the exposition.³⁸ Several movements with two-key expositions, written by Schubert between 1815 and 1819, have recapitulations that begin with the subdominant;³⁹ but in these works the recapitulated second group would be in the tonic. Schubert's usual practice of composing recapitulations that begin in the tonic for works with three-key expositions is related to the greater demands their second groups make on the listener.

To turn to the subdominant after a normative "double return" is not at all unusual in the recapitulations of Mozart and Beethoven. In his monograph *Sonata Forms*, rev. ed., Charles Rosen discusses a typical turn toward the subdominant (or related flat) side in the transition as follows:

The Secondary Development section appears in the great majority of late eighteenth-century works soon after the beginning of the recapitulation and often with the second phrase. Sometimes it is only a few bars long, sometimes very extensive indeed. The purpose of this section is to lower harmonic tension without sacrificing

³⁸See this study, Chapter 2, pp. 127-128, for discussion of Edward Cone's "sonata principle" and Cone, *Musical Form and Musical Performance*, pp. 76-77; see also Webster's dictionary entry "Sonata form," p. 498.

³⁹Boyd, "Schubert's Short Cuts," p. 21, says that "in no work after 1819 did he [Schubert] actually *begin* his restatement in the subdominant key."

interest; it introduces an allusion to the subdominant or to the related "flat" keys (p. 289).⁴⁰

Beethoven does this in the first movement of his Septet, where the recapitulation's "second phrase" prolongs IV (A♭) as dominant preparation. Another possibility is to state the beginning of the second theme in the subdominant. Beethoven does this in the last movement of his First Symphony.

The issue at hand is to understand how and why Schubert turns to IV in the Octet's recapitulation. (The influence of the above-mentioned Beethoven works is a factor to consider.) Although Schubert does this elsewhere, I prefer to look at his procedure within the specific context of this work rather than as a generic phenomenon. For surely Schubert might have done otherwise. In this work, the harmonic role of the subdominant is related to B♭'s contrapuntal role as C's lower neighbor, as well as to its position in the embellished fourth F-A-B♭. B♭ ultimately leads to C but, unlike C's upper neighbor D♭, exhibits ambivalence in fulfilling this function. B♭, through its aggressive tonicality, attempts to forestall the cheerful reality of structural closure in F. (However, in the recapitulation of the D-minor Quartet, B♭ is destined to succeed in this endeavor.)

⁴⁰I disagree with Rosen's characterization of the subdominant; as the Octet's recapitulation demonstrates, the introduction of the subdominant does not necessarily lower tension.

The recapitulation begins in m. 203 with a double return of most of the first group's antecedent.⁴¹ Rather than ending on V⁷ as in the exposition, this antecedent, after recasting I in m. 220 as I^{b7} in m. 221, ends on V⁷ of IV in m. 226. The rest of the recapitulation, including the counterstatement and transition, beginning in B $\flat$ and moving to G (mm. 227-239); the G-minor group (mm. 239-279); and the closing F-major group (mm. 279-310) virtually transpose, with minor alterations, the material of the exposition from mm. 38-123 a fifth lower. (See Example 3.10.) Such usage of extensive transposition invites agreement with those who have criticized Schubert's recapitulatory laziness; but, as always, things are not so simple as they at first may seem.

B $\flat$ and G are the recapitulation's "extra" keys; in order to elucidate their respective roles the recapitulation's structural and formal design must be assessed. In background terms the recapitulation prolongs one key, the tonic F. (The recapitulation's background is sketched in Example 3.10b.) However, in more traditional parlance one might speak of a three-key recapitulation, where F, B $\flat$, and G achieve the status of "keys" that are heard in the order F-B $\flat$ -G-F. But this type of key count is misleading; for as Example 3.10b shows, I believe that the recapitulation's two-stage harmonic background is F-B $\flat$ -C-F-(C)-F. (The background consists of two large-scale cadential progressions.) Indeed it is the

⁴¹This double return is not as clear-cut as it might have been, for the almost literal restatement of the Adagio's opening within the development's retransition blurs the recapitulation's arrival point. More will be said about this later.

recapitulation's mission to confer upon B $\flat$ large-scale neighbor-note status to C. While the exposition and development explore C's upper neighbors D and D $\flat$, the recapitulation explores its lower neighbor, in a sense completing the double-neighbor configuration around C prefigured in mm. 2-3. (This completion is adapted to the exigencies of the "double return," so that F intervenes.) G minor is subsumed under B $\flat$ harmony as part of an inner voice 5-6 motion above B $\flat$; in a more harmonic, less contrapuntal, view of this interpretation G is (II) within a I-IV-(II)-V-I-(V)-I progression. (Indeed even in the second group's first two phrase-pairs, mm. 239-250 and 250-260, where G minor holds sway, B $\flat$ undermines G's structural authority, thus recalling the tonic F's erosion of D minor's authority in the exposition's analogous passage.) It is not until the end of the G-minor group that a harmony of comparable rank with the IV of m. 227 (that is, the V of m. 278) arrives.

The occurrence of two large-scale cadences in the recapitulation (mm. 203-279 and 279-297) entails two stages in the upper line: in the first stage (mm. 203-279), c² is prolonged by motion into an inner voice; in the second stage, c² is prolonged until the quick background linear descent at the end of the closing group. This reading assumes that the closing group in the recapitulation will receive the same melodic interpretation that it received in the exposition--that is, that $\hat{5}$ (now c²) is considered the main local melodic tone. (See Examples 3.10a and b.)

This reading resurrects the problem concerning correlation of structure and design.⁴² The structure/design dichotomy in the recapitulation is even more perplexing than in the exposition, despite (or because of) the deceptively simple transposition of much of the exposition's material. For the 5-6 motion over B♭ in the recapitulation corresponds to the 5-6 motion over F in the exposition. Yet as embellishment of IV, G represents a "middleground of the middleground" and is one level removed from the exposition's D-minor prolongation, which embellishes I. Thus the recapitulation's second group is deemphasized structurally: the preceding counterstatement carries the middleground harmony to which it is subservient. Furthermore, there is a tendency to measure divergent recapitulations such as this one against conventional models in which the entire second group prolongs the background tonic. Even in conventional sonatas the exposition's second group departs from the tonic. Thus, as measured against conventional sonatas, the structural demotion visited upon the second group in this recapitulation appears even more striking than that visited upon it in the exposition.

The large-scale role of G minor as participant in a 5-6 motion is carefully prepared. Most obvious in this regard are the large-scale 5-6 motions in the exposition and development. More specifically, this progression is prepared in the

⁴²See discussion in this chapter, pp. 21-28, regarding this issue as it relates to the exposition.

exposition's counterstatement/transition (mm. 40-41) when the 5-6 motion over B $\flat$ becomes 5-6- $\sharp 6$, so that B $\flat$ supports an augmented sixth leading to A (V of D minor).⁴³ The shift of B $\flat$ from the orbit of C to that of D via A in the approach to the D-minor group (and later in the development) is now "corrected" in the recapitulation. That is, in the recapitulation, despite B $\flat$'s prolongation as a key, its function as lower neighbor to C is ultimately restored. B $\flat$'s two resolutions are compared in Example 3.11.

Retrospective consideration of B $\flat$'s role earlier in the movement reveals its aggressive tonality from the start. Indeed the first chord heard, after open octaves assert the tonic F in m. 1, is I $\flat^7$ moving to IV in m. 2, recalling Beethoven's First Symphony. This progression recurs in m. 4. It is not until m. 6 that F's tonic identity is fully established by means of an authentic cadence. Furthermore, the top line of mm. 2-3 crystallizes the motivic kernel $\hat{5}-(\sharp \hat{5})-\hat{6}-\hat{4}-(\flat \hat{4})-\hat{5}$, establishing B $\flat$'s (and B $\natural$'s) place along with D/D $\flat$ in the motivic firmament. Later, in mm. 14-15, B $\flat$ minor is approached by I $\flat^7$ as the fortissimo climax leading to the Adagio's structural dominant; this happens in the foreground (mm. 14-15) as well as in the middleground--for the I $\flat^7$ in m. 14 completes a

⁴³While inner-voice g $\flat$ tends to grow out of f over B $\flat$, melodic g $\flat$ tends to behave as chordal seventh, resolving to f over D $\flat$. See the Adagio (m. 12) and the exposition (mm. 114-116). The g $\flat$ -f motion is reversed at the beginning of the development when e $\sharp^2$, above C $\sharp$, resolves to f $\sharp^2$ in mm. 141-142. A related progression occurs in the recapitulation's codetta (mm. 301-303), where D $\flat^7$ resolves to Neapolitan G $\flat$.

middleground prolongation of I begun in m. 1.⁴⁴ (See Example 3.2.) As mentioned earlier, the pull of F to B $\flat$ is a salient feature not only of the Octet but also of the recapitulation in the D-minor Quartet and of the related song "Der Tod und das Mädchen." In the last two works the F-B $\flat$ progression seems to represent Death's victory over the Maiden.

B $\flat$'s attempts to assert its tonality persist in the exposition (Example 3.4). Following the Allegro's opening arpeggiation of the tonic tetrad, in m. 21 I becomes I $\flat$ ⁷ and turns to IV within a larger I-IV-V-I progression. (The supporting bass line F-A-B $\flat$ in m. 21 is a motivic statement of the embellished fourth.) It would be a mistake to dismiss this applied dominant progression as an insignificant detail; although not remarkable in itself, the occurrence of I $\flat$ ⁷-IV at the very beginning of the Allegro (and of the Adagio) signals the remarkable will of the subdominant.

During the course of the exposition B $\flat$ begins to abandon its lower-neighbor function to C and takes on upper-neighbor function to A or V of D. (This may be regarded as another symptom of B $\flat$'s will to subvert F.) In this role B $\flat$ supports

⁴⁴In the course of this progression, bass c $\sharp$ is transferred through voice exchange to soprano c $\sharp$ ³, whereupon it rises through d³ and e $\flat$ ²; this linear motion originates from inner voice c above the opening tonic F. The middleground inner voice c-d $\flat$ /c $\sharp$ -c $\sharp$ ³-d³-e $\flat$ ² thus prolongs the opening tonic until the B $\flat$ -minor IV $\flat$ chord arrives in m. 15. Inner voice d $\flat$ ² (e $\flat$ ²'s resolution) supplants c $\sharp$ within this IV $\flat$ harmony.

an augmented sixth moving to a dominant on A (a role it played in the D-minor Quartet) in passages leading toward D: in the counterstatement/transition (mm. 41-42); in the D-minor group (mm. 69-70); and in the development (m. 169). But it is not until the end of the development that B $\flat$ reemerges as a would-be tonic in its own right. Although B $\sharp$ prevails as a member of the large-scale augmented sixth prolonged in mm. 191-200, within this prolongation, B $\flat$ makes a valiant attempt to challenge B $\sharp$ and to prevent a tonic recapitulation. B $\flat$ is aided and abetted by the astonishing I $\flat$ ⁷ in m. 193, which ushers in a restatement (at m. 195) of the Adagio's opening, with its pronounced subdominant flavor. This I $\flat$ ⁷-IV maneuver halts what could and should have been the arrival of the structural dominant. One momentarily wonders whether this will turn out to be one of Schubert's subdominant recapitulations after all. The contest here between F and B $\flat$ is even more pronounced than it had been in the Adagio's opening measures, for now the open F octaves (m. 194) are colored by the preceding I $\flat$ ⁷ (m. 193) and do not represent F as local tonic. But D $\flat$'s superior power prevails and B $\flat$ once again cedes its place to B $\sharp$; the Phrygian bass line of the Adagio's first phrase, F-D $\flat$ -C, completes the prolongation of D $\flat$ and leads to the structural dominant that closes the development. Thus this event and the events recounted from earlier in the movement, prepare B $\flat$'s large-scale prolongation in the recapitulation.

Coda

The coda provides a satisfying conclusion by supplying long-expected elements that were previously withheld in the recapitulation: 1) recasting of the counterstatement/transition as a "normative" (rather than modulatory) consequent in relation to the exposition's first-group antecedent; 2) background tonic recasting of the second theme. During the recasting process the coda exercises and finally exorcizes B♭'s expansionist tendency.

The exposition's first phrase (mm. 19-23), at the head of a large antecedent, is the basis for counterstatement/transitions in the exposition and recapitulation, as well as for the forephrase/afterphrase period (mm. 310-327) in the coda. This period, loosely speaking, serves as the long delayed tonic consequent mentioned above. (See Example 3.12.) More specifically, the Allegro's first-phrase tonicization of B♭ and concomitant bass semitone motion via the embellished fourth, F-A-B♭, precipitates dangerous growth later in the movement. (The semitone motion actually begins with the lower-neighbor embellishments of the Allegro's opening tonic arpeggio.) This growth, achieved by means of embellished 5-6 motions above the bass, is manifested in exciting chromatic ascents in both soprano and bass. (See Example 3.12b-e.) The important role of 5-6 motions in achieving large-scale growth has already been seen in the exposition, development, and recapitulation.

B $\flat$'s egotism results in its continuation, via upper neighbor C, as bass support for the augmented sixth on A in m. 41, causing the turn to D minor at the end of the exposition's counterstatement (Example 3.12b). Here C's servitude to B $\flat$ amounts to role reversal; indeed B $\flat$ tries to expand by seeking D (either through A or directly) or D $\flat$, both potential members of the B $\flat$ triad, in order to evade C and F. In the recapitulation the B $\flat$ counterstatement begins by supplanting F altogether (Example 3.12c).

The coda's fore- and afterphrases (mm. 310-318 and 318-327) are successively longer expansions of the exposition's first phrase, a I-IV-V-I progression (Example 3.12a); more precisely, B $\flat$'s (IV's) growth causes these expansions. In the forephrase (Example 3.12d), bass B $\flat$ is prolonged via passing tone C until it reaches D; passing tone D $\flat$ stems the dangerous bass ascent and, fulfilling its customary role, leads to C. The rising bass motion F-B $\flat$ -D-(D $\flat$), in which both the fourth and sixth above F are outlined, renders explicit the interrelationship between the intervals of a fourth and a sixth, the neighbor-note functions of B $\flat$ and D/D $\flat$, and the harmonic functions of IV and ($\flat$)VI as dominant preparations. The top line imitates the bass fourth F-A-B $\flat$ by describing the filled-in fourth f^2 - g^2 - a^2 - $b\flat^2$ from which it descends.

In the afterphrase (Example 3.12e), B $\flat$ again reaches D via C within subdominant harmony, but the momentum gathered through semitone ascent pushes the bass

up past D through E $\sharp$ and F to B $\sharp$. Thus B $\flat$ moves through passing tone B $\sharp$ to complete the expansion of the exposition's model phrase by embellishing C and achieving an authentic cadence. Indeed comparison of the coda's after- and forephrase shows that B $\flat$'s expansionism is checked by its own (and B $\sharp$'s) neighbor-note tendencies and by the neighbor-note tendencies of D $\sharp$ /D $\flat$, respectively. C's diatonic and chromatic neighbor-note variants finally seem reconciled.

D $\flat$ sounds again as a passing tone in the coda's last phrase, the lovely F-major intonement of the second theme. It appears in the bass-line accompaniment in mm. 331*ff.*, a filled-in descending fourth F-E-E $\flat$ -D-D $\flat$ -C. This is a completed version of the fourth encountered in the Adagio's tenor voice in mm. 2-3 (without e $\sharp$), in the principal group's upper voice (mm. 23-26 and 27-30), and in the recapitulation's codetta (bass line, mm. 297-299). The appearance of this fourth at the ends of the recapitulation and coda underlines their common tonic endings. Its appearance in the coda also provides an antidote to the steep chromatic ascents in the preceding period. B $\flat$ is absent. At the end of the phrase, the augmented sonority D $\flat$ -F-A, formed of the bass chromatic passing tone D $\flat$ beneath the tonic chord, sounds for the last time, recalling the F-A-C $\sharp$ sonority of m. 2. Thus the movement's very end suggests a connection with its very beginning, providing a nostalgic yet peaceful conclusion.

CHAPTER 4

E-FLAT PIANO TRIO, OP. 100 (D.929)

I. CONTEXT

The first three movements of this Trio were composed in November 1827 and published by Probst in Leipzig in October or November 1828. This was the first work by Schubert published outside Austria; his well-documented and urgent efforts to hasten publication failed, and he died before seeing the work in print. The Trio was performed by Carl Maria von Bocklet, Josef M. Böhm, and Josef Linke in the music room of the Gesellschaft der Musikfreunde in March 1828, at the only public performance ever arranged by Schubert. The Trio was well received, and it is clear that Schubert was very proud of it.¹

¹See Eva Badura-Skoda, "The Chronology of Schubert's Piano Trios," in *Schubert Studies*, ed. Eva Badura-Skoda and Peter Branscombe (Cambridge: Cambridge University Press, 1982), pp. 277-295. Badura-Skoda says, p. 283, there is no evidence, such as exists for the first three movements, that the last movement was composed in November 1827. She also finds, pp. 287-288, that, contrary to Deutsch's assertion in his Schubert catalogue, the B♭ Trio, rather than the E♭ Trio, was performed in December 1827. See also Otto Erich Deutsch with Donald R. Wakeling, *Schubert: Thematic Catalogue of All his Works* (London: J. M. Dent, 1951; rpt. New York: Edwin F. Kalmus), p. 453; Otto Erich Deutsch, *Franz Schubert: Thematisches Verzeichnis seiner Werke*, in *Neue Ausgabe sämtlicher Werke*, ed. Walther Dürr, Arnold Feil, Christa Landon, and others, Series 8, vol. 4, *Supplement* (Kassel: Bärenreiter-Verlag, 1978), pp. 594-595; Otto Erich Deutsch, *Schubert: A Documentary Biography*, trans. Eric Blom (London: J. M. Dent, 1946), p. 755; Brown, *Schubert: A Critical Biography*, p. 292; Einstein, *Schubert: A Musical Portrait*, p. 277; and Osborne, *Schubert and his Vienna*, pp. 165-166.

It will be seen that the Trio's first movement shares salient features with Beethoven's "Emperor" Concerto, with Schubert's Impromptu Op. 90 No. 2 (D. 899), and with his later B♭ Piano Sonata (D. 960). These works emphasize ♭VI as a key of potent chromatic and affective contrast. (For convenience, I will reserve discussion of the B♭ Sonata, integrating this discussion into my detailed analysis of the Trio.)²

Beethoven's Piano Concerto No. 5 in E♭ Major, Op. 73 ("Emperor")

The Concerto, dedicated to Archduke Rudolf, was written in 1809 and published by Breitkopf und Härtel in 1811. It was performed by Johann Schneider in 1810 "with brilliant success"; according to Thayer, the *Allgemeine musikalische Zeitung* reported the audience to be in such "a state of enthusiasm that it could hardly content itself with the ordinary expressions of recognition and enjoyment."³ It is certain that Schubert was well acquainted with the "Emperor" Concerto: on April 16, 1827 (only six months before composition of the E-flat Trio), first violinist Ignaz Schuppanzigh gave a subscription concert which featured Schubert's Octet and Beethoven's "Emperor" Concerto (arranged for two pianos and string

²I will also refer throughout this chapter to works indirectly related to the Trio; these include C. P. E. Bach's Fantasia in E♭, W. 58; Beethoven's "Eroica" Symphony and Piano Sonata Op. 81a; and Schubert's Octet, Trio Op. 99, and, from *Winterreise*, "Die Post" and "Letzte Hoffnung." My references to these works will vary in length and importance, but will not approach the scope devoted to the more closely related works named above.

³See Forbes, *Thayer's Life of Beethoven*, pp. 476-477. Forbes, p. 521, adds that the Concerto was published by Clementi as Op. 64 in 1810.

quartet).⁴ My investigations into linkage between particular works by Beethoven and Schubert suggest that Schubert was most interested in (and most exposed to) those of Beethoven's works that had received tremendous acclaim (the Septet, the "Archduke" Trio, and the "Emperor" Concerto) and in those works that were dedicated to Archduke Rudolf ("Archduke" Trio, "Emperor" Concerto, and "Hammerklavier" Sonata). This apparent preference may be attributable to a wish for commissions⁵ and to the influence of performers such as Schuppanzigh, Karl Holz, and Linke, who were favored by both composers.

The relationship between the "Emperor" Concerto and Schubert's E♭ Trio is complex, permeating all structural levels. (In this chapter, the primary focus of the relationship will be the respective first movements of each work; unless otherwise indicated, the following remarks refer to these.) Although the use of ♭VI at deep levels of structure is the most important common bond between these works, demanding substantive discussion, their kinship is best apprehended first through surface similarities.

⁴See Deutsch, *Documentary Biography*, # 850, p. 628.

⁵Schubert's Octet was commissioned by Count Troyer, a clarinetist in the employ of Archduke Rudolph; he may have asked Schubert to write a work like Beethoven's Septet. See my discussion in Chapter 3, pp. 135-137.

Surface similarities

- 1) Arpeggiated principal themes: Schumann described the Trio as "inspired by deep indignation as well as boundless longing" and, by comparison with Schubert's Trio Op. 99, "more spirited, masculine and dramatic."⁶ This assessment is partly attributable to the E $\flat$ Trio's emphatic arpeggiated opening and its uncharacteristic dearth of lush melody until late in the exposition. (Arpeggiated motion will prove to be a salient motivic feature throughout the movement.) The fanfare-like opening, an embellished triadic descent from e $\flat^3$ to e $\flat^2$, may derive from the "Emperor" Concerto:⁷ Beethoven's fanfare opens with a tonic arpeggio; his principal theme rises a third and falls a sixth--e $\flat^1$ -g ^{1} -b $\flat$; and his third movement begins with a tremendous arpeggiated ascent that fills the space from b $\flat^1$ to g ^{3} and an ensuing descent from g ^{3} -e $\flat^3$ -b $\flat^2$. (See Example 4.1a-d.)
- 2) Double neighbor-note motion: The principal themes of both the Concerto and Trio feature double neighbor-note motion. In the Concerto e $\flat^1$ is embellished (m.

⁶Translated by Eva Badura-Skoda in "The Chronology of Schubert's Piano Trios," p. 279; see earlier publication in Heinrich Kreissle von Hellborn, *The Life of Franz Schubert*, 2 vols., trans. Arthur Duke Coleridge (London: Longmans, Green, and Co., 1869; rpt. New York: Vienna House, 1972) vol. 2, p. 233.

⁷Mozart's concertos in E $\flat$ also have triadic principal themes. In his monograph *Mozart and his Piano Concertos*, Cuthbert Girdlestone describes the opening of Mozart's Concerto for Two Pianos, K. 365 as follows: "It opens with one of Mozart's most grandiose subjects--a unison theme based on the common chord, like almost all his E flat first subjects." See *Mozart's Piano Concertos*, 2nd ed. (London: Cassell & Co., 1958); rpt. (New York: Dover, 1964), p. 107. Probably a historic association of the horn with the key of E $\flat$ underlies such triadic themes.

11); in the Trio B♭ is embellished (m. 3). (See Example 4.1b and d.) This embellishment becomes a pervasive motivic element in the fabric of both works.

3) Neighbor-note motion around B♭: As a more specific expression of the double-neighbor configuration, both works feature B♭'s lower and upper neighbors (♯)⁴ and (♭)⁶, often as a by-product of subdominant harmony. The Concerto manifests this in the opening fanfare and particularly in the principal theme's prominent c¹-b♭ motion as seen in m. 12. B♭ is prominently embellished by C♭ in the approach to the orchestral exposition's contrasting theme (mm. 37-41), and by C♭ and C♯ in the orchestral exposition's approach to its closing group (mm. 57-62). Some of the solo exposition's related embellishments are shown in Example 4.4b.

4) Contrasting minor-mode themes: Both movements, in their respective expositions and recapitulations, feature mysterious, hushed, minor-mode themes as their main source of affective contrast. (These themes, both of which are tonally unstable, initiate a larger contrasting section or group.) In the Concerto's solo exposition and in the Trio's exposition, these themes promise, but fail, to prolong the remote key of B minor (♭VI♭). (See Example 4.2.) Both themes are *pianissimo*; both are in a high tessitura; both begin on d³; and both are preceded by emphatic dominant preparations.

5) Chromatic scales: These are a prominent virtuosic feature throughout the Concerto, occurring in the first movement at form-defining junctures (mm. 107-109, 225-227, 264-266, 482-484, and 523-529) and in the subordinate group's

accompaniment (mm. 184-199 and 441-456); in the second movement (mm. 39-44); and in the third movement, for example, in the main theme (mm. 8-16) and in one of the main theme's variants (mm. 165-173). Schubert's Trio features chromatic ascents in the approaches to the mysterious contrasting theme (mm. 38-40 and 44-46; 424-426 and 430-432). (See Example 4.3.) Chromatic scales are also salient in Schubert's B♭ Piano Trio; see the first movement, mm. 22-30, 55-57, 214-215, and 240-242.

Formal similarities

The relationship between the two movements (of Op. 73 and Op. 100/D. 929) is deepened by similarities in formal design. Indeed the design of the "Emperor" Concerto's solo exposition and recapitulation strongly suggests a three-partedness that resembles Schubert's formal design in the Trio movement (to be analyzed in detail later), as well as his designs in other movements (e.g., the first movements of the Octet and B♭ Piano Sonata). In the Concerto, the locus of three-partedness centers on the mysterious contrasting theme alluded to above. In the orchestral exposition (notwithstanding the pianist's initial participation), the mysterious theme initiates a two-part section plus extension: The first part (mm. 41-48) introduces the mysterious theme in E♭ minor; the second part (mm. 49-56/61) recasts this theme, now sounded by the horn in sunny E♭ major.⁸ The

⁸The contrasting manifestations of this theme seem to suggest distance and proximity, respectively. (See Rosen's description of the corresponding section in the solo exposition in *Sonata Forms*, rev. ed., p. 256.) They therefore call up

entire section is followed by a large closing group (mm. 62-111) whose material grows out of the principal theme. If one were to search for a conventional second group in this exposition, one would probably locate it with the contrasting material beginning in m. 41.

The movement's solo exposition, however, as is often the case, is structured differently from the preceding orchestral exposition. Its statement of the principal theme (mm. 111-151) moves from E♭ to G♭; this G♭ will serve as local dominant preparation for the approaching contrasting theme. When the contrasting theme arrives, it initiates a three-part section that departs from its corresponding section in the orchestral exposition: 1) the hushed mysterious theme (mm. 151-158), now in B♭/C♭ minor, is much the same as before; 2) but a new recasting of the theme (mm. 158-166), in C♭ major, suggests deepening mystery and distance; and 3) a new robust manifestation of the theme (mm. 167-183), in B♭ major, is akin to the earlier orchestral horn statement in E♭ major. Actually, it will be seen that both major-mode forms of the theme in the solo exposition are related to the major-mode guise of the theme in the orchestral exposition.

As the voice-leading graph in Example 4.4 shows, however, the keys C♭ and B♭ belong to the foreground of the solo exposition's contrasting section; at a deeper

images evoked by Beethoven's "Les Adieux" Sonata Op. 81a, also in E♭ major, a work occupied with the departure and return of Archduke Rudolf.

level, this section actually prolongs bass tones $G\flat$ (V of $C\flat$) and F (V of $B\flat$ or V of V).⁹ $G\flat$ is strengthened in several ways: 1) the section is preceded by lengthy and assertive dominant preparation that hammers home $G\flat$ (mm. 136-150); 2) the high tessitura of the section's initial B-minor theme weakens $B\flat/C\flat$ as a bass tone; 3) in the theme's first two manifestations (mm. 151-166), $B\flat/C\flat$ always moves *down* to $F\sharp/G\flat$; 4) the cello's dominant pedal point in mm. 158-166 helps $G\flat$ persist; 5) most importantly, the half-step slip from $G\flat$ to F in mm. 166-167 grants $G\flat$ voice-leading priority over $C\flat$ --this voice leading is prefigured in mm. 23-29); 6) finally, the corresponding section in the recapitulation also prolongs the local dominant ($A\flat$) at a deeper structural level than the local tonic ($D\flat/C\flat$).

Consideration of the solo exposition's contrasting section and of its unusual voice leading immediately entails reevaluation of the orchestral exposition's corresponding material. One asks oneself whether the earlier section prolongs the background tonic $E\flat$ by means of bass tone $E\flat$ or $B\flat$. The respective contrasting sections in the orchestral and solo expositions bear certain features in common: 1) the earlier section is prepared by extensive dominant preparation (mm. 29-40), although this preparation is not as pronounced as the preparation for the later section (mm. 136-150); 2) in both sections, the high tessitura of the minor-mode theme weakens the structural status of its respective "tonic" bass tone; 3) both

⁹This reading agrees substantially with the interpretation given by Rosen in *Sonata Forms*, rev. ed., pp. 249-256.

sections contain dominant pedal points. In the earlier section, the dominant pedal point in the bassoons (E $\flat$ -major section, mm. 49-61) corresponds to the later section's pedal point in the cello (C $\flat$ -major section, mm. 158-166). One thus begins to consider that the earlier section might also prolong its local dominant. However, there are important subtle differences between the two sections, beyond the obvious thematic expansion and revision in the latter: 1) In the earlier section, the dominant B $\flat$ simply resolves to tonic E $\flat$ (m. 49), whereas in the later section, the local dominant G $\flat$ resolves down by semitone to F. 2) In the earlier section's major-mode version of the theme (second four-bar unit, mm. 53-56), bass E $\flat$ occurs in mm. 53 and 55, occurring on the first and third measures of the four-bar unit and alternating with a B $\flat$ that occurs on the weak second and fourth bars. However, in the later section's C $\flat$ -major version of the theme (second four-bar unit, mm. 163-166), bass G $\flat$ occurs on the first measure of the four-bar unit and persists until the semitone slip to F in m. 167. Because of these differences, I hear the orchestral exposition's contrasting section as prolonging tonic E $\flat$ in the bass; by contrast, I hear the solo exposition's contrasting section as prolonging two local dominants--G $\flat$ and F.

Retrospectively, then, the section initiated by the mysterious contrasting theme appears to have divergent formal roles in the orchestral and solo expositions--and these disparate formal roles are manifest in divergent thematic and harmonic profiles: in the orchestral exposition, the contrasting section promises to become a

conventional second group through prolongation of E $\flat$ minor, the local (and inflected background) tonic; in the solo exposition, the contrasting section, while forming a "second" group, fulfills the harmonic function of a transition through prolongation of two local dominants. (From here on I will refer to this latter section as a *transitional group*.) Indeed the G $\flat$ -dominant harmony--G $\flat$ -B $\flat$ -D $\flat$ --that is prolonged in mm. 136-166 is closely related to the augmented sixth chord G $\flat$ -B $\flat$ -D $\flat$ -E $\sharp$; if E $\sharp$ or F $\flat$ were present in the G $\flat$ chord of m. 166, a chromatic voice exchange would be formed with the movement's opening tonic. (Chordal seventh F $\flat$ is sounding in the embellishing V ^{7} s of mm. 162 and 164. See Example 4.4.) Such a tonic chromatic voice exchange underlies many sonata principal groups with their component transitions. Thus the Concerto's principal and transitional groups together are related, though not identical, to the family of more conventional principal groups, whose transitions complete a large-scale tonic prolongation by means of chromatic voice exchange.

When the structural dominant arrives in the solo ¹exposition, it is prolonged by means of "new" material (mm. 184-231)--not stated in the orchestral exposition--that develops the principal theme and that fulfills the function of a conventional "second group." (Indeed, this material is followed by another group, beginning in m. 227, that corresponds to the orchestral exposition's closing group of mm. 62-111; the later group both ends the solo exposition and initiates the development.) Yet the solo exposition's dominant group is not typical of second groups: as in

some of Haydn's "monothematic" sonata forms, it offers no thematic contrast to the principal theme; in addition, rather than having the character of a well-formed theme, it gives the impression of being a tremendously expanded cadential or closing section. In this sense, it is similar to some of Schubert's dominant (third) groups.¹⁰

To sum up, the Concerto's solo exposition shares the following characteristics with several of Schubert's three-key expositions:¹¹

- 1) its formal design suggests three groups;
- 2) its contrasting section, an incipient second or transitional group, does not prolong the structural dominant and is of middleground rather than background structural significance;
- 3) its dominant group sounds like closing material.

¹⁰Charles Rosen, *Sonata Forms*, rev. ed., pp. 75-80, points out that the evolution of sonata forms depended upon "mimesis of the tutti-solo alternation" typical of concerto texture, a texture in which material with a melodic profile is followed by contrasting virtuosic cadential material. Such cadential sections, imported from the concerto and the aria into the chamber and symphonic work, serve to delineate important formal junctures, such as the end of a sonata exposition. "Cadential" third groups in three-key expositions serve a related function.

¹¹My ad hoc survey of readily available analytical literature reveals a pervasive neglect of Beethoven's "Emperor" Concerto. (An exception is the discussion in Rosen's *Sonata Forms*, rev. ed., pp. 249-256.) I believe that this neglect is related to the first movement's problematic formal design, that is, to its three-group exposition.

As mentioned earlier, the primary bond connecting the Concerto and Trio is their preoccupation with $\flat VI$ ($C\flat/B\sharp$); as might be expected, these works also gravitate to $\flat III$, that is, to $G\flat/F\sharp$. In the Concerto, this preoccupation is manifested throughout the first movement and beyond.

For the most part, detailed discussion of the Trio will be reserved for later analysis. But I will mention a sketch by Schubert dated November 1827 that sheds light on the rivalry in the Trio's first movement between chromatic tones $G\flat$ and $C\flat$,¹² and that bears on the relationship between the Trio and Beethoven's "Emperor" Concerto. This sketch, the beginning of which is shown in the Appendix, pp. 671-672, drafts the entire exposition and part of the development. In this early version, the thematic material is much the same as in the later version; furthermore, the material up to m. 23 and following m. 88 (corresponding, respectively, to mm. 24 and 88 in the final version) is transferred virtually intact. However the intervening material is quite different: the exposition does not regain I in m. 31 (m. 32 in the later version), but instead regains V; thereafter 5- $\flat 6$ -5 motion above $B\flat$ (rather than $E\flat$) results in a transitional group that begins in $F\sharp(G\flat)$ minor and ends with $F\sharp$ and $B\flat$. (In order to compare the sketch with the final version of the Trio movement, see later discussion of the final version in this chapter, pp. 225-226.) Thus is formed a hugely expanded bifocal exposition,

¹²The sketch is published in *Franz Schubert: Neue Ausgabe sämtlicher Werke*, ed. Walther Dürr, Arnold Feil, Christa Landon, and others, Series VI, vol. 7 (Kassel: Bärenreiter-Verlag, 1975), *Anhang*, pp. 261-270.

whose middle key area occurs within the domain of V! As discussed in my Chapter 1, pp. 28-32, similar expositions are found in the first movements of several piano sonatas by Jan Ladislav Dussek, for example, those belonging to his Op. 9.

Consideration of the sketch invites reevaluation of the relationship I posit between the first movements of Schubert's E♭ Trio and Beethoven's "Emperor" Concerto. After all, it seems that Schubert's original conception of the voice-leading structure of his movement, particularly with respect to the middle "group," was fundamentally different from the one he eventually adopted. Yet I believe that the relationship between Trio and Concerto still holds for three reasons:

- 1) C♭ is an emphasized chromatic tone in the sketch. For example, the development begins by stating the codetta theme in B♭(C♭) minor, as it does in the later version. Moreover, by contrast with the later version, the earlier version's first significant chromatic motion is to C♭; that is, the sketch's substantial deviation from the later version begins in mm. 22-23 when B♭ moves to C♭ rather than to G♭, as happens in mm. 23-24 of the later version. (In a kind of reversal, the earlier version emphasizes C♭ in m. 23 and F♯[G♭] in m. 45, whereas the later version emphasizes G♭ in m. 24 and B♭[C♭] in m. 48.)
- 2) The transitional group in the Concerto's solo exposition is in the key of B♭(C♭). As discussed earlier, however, its prevailing bass tone is G♭, a G♭ which eventually resolves to F en route to B♭. Thus, Schubert's earlier exposition, by

contrast with his later one, resembles Beethoven's with respect to voice leading rather than key scheme. In any case, a tension between $G\flat$ and $C\flat$ is inherent in Beethoven's transitional group.

3) Schubert often transposes much of an exposition's material down a fifth in the recapitulation. So if he had adopted the voice-leading plan in his sketch, his recapitulation would likely have included a transitional group that began in $B\sharp(C\flat)$. In that case, the recapitulation's transitional group would have shared its opening key (and affective nature) with the transitional group in the solo exposition of the "Emperor" Concerto.

Voice leading: middle- and background allusions to $\flat VI$ and $\flat III$

1) Solo exposition: transitional group (contrasting section)

The mysterious B-minor theme and its $C\flat$ -major recasting have already been discussed (see Examples 4.2 and 4.4). Although on the surface the material in mm. 151-166 is in the *key* of $C\flat$, as Example 4.4 shows, on a deeper level it prolongs bass tone $G\flat$.

2) Solo exposition: dominant group

In this group, a variant of 5- $\flat 6$ -5 alternation above bass $B\flat$ is expressed in the melodic line, which features F and its opposing neighbor notes $G\sharp$ and $G\flat$. This progression leads $B\flat$ (m. 184) to neighboring $C\flat$ harmony (mm. 205) and back, via a diminished seventh chord, to $B\flat$, now within dominant harmony (mm. 208). (See Example 4.5.) The $C\flat$ neighbor-note motion, manifest here as a brief

harmonic digression occurring relatively near the surface of the dominant group, arises from motivic prerogatives. Similar motivically salient digressions are found in Schubert's dominant groups, for example, in the D-minor Quartet, mm. 112-134, and in the Octet, mm. 110-123. (See my Chapter 2, pp. 102-105, and Chapter 3, pp. 162-163.) As shown in Example 4.16, the E $\flat$ Trio (mm. 100-116) features a digression that is related, though by no means identical, to the digression represented in Example 4.5.

3) Development

The voice-leading view of the development given in Example 4.6 shows structural B $\flat$ harmony prolonged by F-G-A $\flat$ (5-6- $\flat$ 7) in the upper voice and by alternative neighbor notes C $\sharp$ and C $\flat$ /B $\sharp$ in the bass. The angry thundering C $\flat$ chords of mm. 304-309, which form a focal point of the development, oppose the gentle C-minor expression of the principal theme beginning in m. 276; however, C $\flat$ ultimately cedes its identity to chordal third B $\sharp$ in m. 333 as a concession to C $\sharp$'s diatonic superiority, expressed via its dominant G. (The duality between C $\flat$ and B $\sharp$ has already been dramatized in the solo exposition's transitional group, which begins in B minor and continues in C $\flat$ major.) On a large scale, this contrapuntally conceived passing G-major harmony is ($\sharp$)VI $\sharp$ in the sphere of B $\flat$; thus the development's internal I-VI relationship replicates the movement's more fundamental preoccupation with the E $\flat$ -C/C $\flat$ relationship, while retaining C $\flat$ /B $\sharp$ as the G triad's chordal third.

As will be discussed later, the Trio's development also alludes to $B\sharp$, although in a voice-leading context quite different from the context in which $B\sharp$ arrives in the Concerto's development. In the Trio, $B\sharp$ occurs at the beginning of the development, where it passes from background $B\flat$ to $D\flat/C\sharp$ and thence ultimately to $D\sharp$, $B\flat$'s upper third.

4) Second movement

Each of the works' second movements prolongs one of the two alternative expressions of $\hat{6}$. The Concerto's second movement, which runs directly into the third, is in the key of B major ($\flat VI$)! In its tonal remoteness, final lack of closure, and passages of quiet mystery (*e.g.*, mm. 16-34), this movement evokes the previous movement's contrasting theme. Toward the end of the movement, $B\sharp$ slips a semitone to $B\flat$, preparing for the return to $E\flat$ and the beginning of the Rondo. The Trio's second movement is a processional in the key of C minor ($\sharp VI$); functioning analogously to the Concerto's second movement, it evokes its first movement's processional contrasting theme.

Other structural parallelisms

Additional structural similarities between the Concerto and Trio center around three other tonal areas, which, for the most part, are active in the movements' respective recapitulations or beyond:

1) E♭ minor (I♭)

The E♭-minor scale provides the tonal source for C♭ and G♭ through mixture; thus it is not surprising that it plays a significant role in both first movements: E♭ minor serves as one of the tonal settings for the mysterious theme in each. One would normally expect this tonic-minor setting to occur in the movements' respective recapitulations, where nontonic settings from the exposition should receive a tonic restatement. However, neither Beethoven nor Schubert does this. In the Concerto, the contrasting theme prolongs E♭ minor in the orchestral exposition (mm. 41-48) and in the cadenza (mm. 508-515); indeed the entire contrasting group is imported from the orchestral exposition into the cadenza. But Beethoven withholds a tonic-minor statement of the mysterious theme from the recapitulation, where the theme is instead stated in the key of C♯/D♭ minor over a prolonged A♭, that is, a whole step higher than the exposition's corresponding statement. Thus Beethoven reserves a tonic-minor setting of the this theme *by the piano* until the end of the movement. Schubert reserves the tonic-minor statement of his mysterious theme for his coda, and withholds this setting from the recapitulation, where the theme is stated in E♭/F♭ minor, a fifth lower than the exposition's corresponding statement. (Schubert follows a similar plan in other three-key expositions; for example, in the Octet, a tonic restatement of the contrasting minor theme is withheld from the recapitulation and reserved for the coda, mm. 332-340.)

2) E $\flat$ /F $\flat$ (bII $\flat$) in the recapitulation

As just mentioned, the Trio restates its contrasting theme in E $\flat$ /F $\flat$ minor; however, the Concerto does not, restating its contrasting theme in C $\sharp$ /D $\flat$. Yet although Beethoven avoids bII $\flat$ in his restated transitional group, he does allude to E $\flat$ -major harmony in his third group, which now prolongs tonic E $\flat$. This allusion results from normative transposition of the exposition's dominant group down a fifth. Thus E $\flat$ /F $\flat$ harmony occurs through a variant of 5-b6-5 alternation above E $\flat$ (compare mm. 456-462 with mm. 199-205).

3) A $\flat$ (IV) in the recapitulation

Both the Trio and Concerto turn to IV in the recapitulation; in both movements this IV leads in the background from I to V. The Trio's lengthy A $\flat$ prolongation (mm. 398-461) begins early in the recapitulation, facilitating transposition of the exposition's nontonic material down a fifth. (For discussion of Schubert's transpositional habits, see my Chapter 3, pp. 173-175, and Chapter 5, p. 373.) The Concerto's A $\flat$ prolongation, which emanates from a counterstatement of the principal theme, begins in m. 393 as a local dominant preparation for the ensuing C $\sharp$ (D $\flat$)-minor theme beginning at m. 408; however, on a deeper level, A $\flat$ prevails throughout the transitional group until m. 423, when it rises by semitone to B $\flat$. It is most interesting that in both recapitulations, A $\flat$ prevails as a structural harmony throughout rather unstable transitional groups, superseding the remote keys with which these respective groups begin (E minor in the Trio and

C# minor in the Concerto). It will be recalled that in the respective expositions, background tonic E♭ prevails (transcending both foreground and middleground prolongations) until II♯ (V of V) is reached.

The concerto genre and the three-key exposition

This is a suitable juncture to consider the possible role of the concerto, as a genre, in the development of the three-key exposition. In his previously discussed article "The first movement of Brahms's Second Symphony," Carl Schachter suggests a link between the concerto and the three-key exposition; this link is traced to a certain type of bridge section that, while found in other genres and composers, is found particularly in certain concerto expositions by Mozart. Mozart, in bridge sections of this type, "would . . . bring in an unexpected key on the flat side of the tonic (♭III or V♭) and have it support a fairly extended quasi-thematic statement. The new 'key' would then dissolve into an augmented sixth leading to the introductory V of the dominant group" (p. 64). (See my discussion of Schachter's article in Chapter 1, pp. 23-26.)

Mozart's concerto movements provide precedents, rather than full-blown exemplars, for the later three-key exposition. Beethoven's "Emperor" Concerto is a further evolution in the process initiated by Mozart. Indeed, as was mentioned earlier, its transitional group suggests an implicit chromatic voice exchange with

the movement's opening tonic and is therefore directly related to those of Mozart's concertos, mentioned by Schachter, that do so more explicitly.

Concertos also encourage departures from conventional sonata form (e.g., three-group exposition) because of their formal layout, that is, their "double expositions": orchestral and solo expositions have differing tonal and rhetorical roles, and it may be undesirable for the solo exposition slavishly to restate thematic material of the orchestral exposition. Thus a lack of formal correspondence between the orchestral and solo expositions often obtains in concertos, leading to "irregularities." In *Mozart and his Piano Concertos*, Girdlestone confirms this assertion:

One tends to imagine that the opening tutti of a classical concerto corresponds point by point with a sonata exposition, except that the second subject is given out in the tonic. This conception has the advantage of being clear and simple but it is true in only a few cases. To limit ourselves to Mozart, out of twenty-three piano concertos only thirteen conform to such a scheme; all the others show "irregularities". Sometimes the second subject is in the dominant; sometimes it is absent; sometimes the phrase which in the first tutti appeared to be the second subject does not reappear till the *development* or the recapitulation, whilst the true second subject appears first only in the solo. One cannot generalize further than to say that the opening tutti opens with the first subject and contains some of the ideas which are to return in the rest of the movement (p. 25).¹³

¹³Girdlestone lists (in footnotes) concerto movements that exemplify each of the formal irregularities specified in the above citation.

A related reason for the concerto's departures from conventional sonata form, one which arises from the harmonic structure of the opening ritornello, may be gleaned from remarks made by Charles Rosen in *Sonata Forms*, rev. ed., pp. 73-74. Rosen traces the evolution of two traditional plans, an older one in which the ritornello remains in the tonic, and a later one in which the ritornello replicates the I-V-I harmonic structure of a typical sonata exposition. He observes that Mozart more often than not used the older scheme and that Beethoven reverted to the older plan in his fourth and fifth piano concertos. Rosen then offers "the most imaginative" of Mozart's and Beethoven's solutions to the problem of "enliven[ing] a long section entirely in the tonic," namely, "the rapidly modulating theme that establishes none of the keys it touches upon, and which therefore does not attack the authority of the tonic, but merely gives it a vivid chromatic sonority." This solution suggests a contrasting and unstable middle group, one which might find its way from the opening ritornello into the solo exposition, as happens in the "Emperor" Concerto. Furthermore, such unstable middle sections might be imported into the chamber and symphonic sonata exposition, contributing, for example, to the evolution of Schubert's three-key expositions.

It is well known that Schubert wrote his string quartets in A minor, D minor, and G major as a means of preparing to write a symphony.¹⁴ It is tempting to extrapolate from this relationship, suggesting another one: perhaps Schubert wrote

¹⁴See Chapter 3, pp. 134-137 in this paper.

his two piano trios Opp. 99 and 100 as a means of preparing to write a piano concerto. This idea, however, remains a seductive conjecture.

C. P. E. Bach's Fantasia, W. 58 and Beethoven's "Emperor" Concerto:

An ancestral line in the E♭ Piano Trio's family tree

If Beethoven's "Emperor" Concerto is a "parent" to Schubert's E♭ Trio, then C.P.E. Bach's Fantasia in E♭, W. 58 may indeed be a "grandparent."¹⁵ (The Fantasia is reproduced in Example 4.7.) Kinship between the Fantasia and Concerto is manifest in virtuosic keyboard configurations and in voice-leading allusions common to both works. Although the Fantasia is not in sonata form, it does have sonata-like physiognomy; thus, although it does not offer a formal prototype for the "Emperor" Concerto's first movement, its design facilitates transfer of its harmonic gestures to the Concerto movement (refer to Example 4.7):

¹⁵Carl Schachter called my attention to this Fantasia and its possible relationship to the "Emperor" Concerto.

1) The opening tonic prolongation (akin to a principal group)

This "preludial"¹⁶ tonic prolongation, a I-(I⁷)-IV-V⁷-I progression, is spun out by means of embellished arpeggiations of each harmony; it strongly suggests the Concerto's opening fanfare, played (atypically) by the pianist. (Compare Examples 4.1 and 4.7.) In the Fantasia's opening progression, an intermediary diminished seventh chord, D-F-A^b-C^b, highlighting C^b, sounds between the more important IV and V⁷ chords; this arpeggiation resembles a similarly arpeggiated prolongation of the same diminished seventh chord in the Concerto's retransition (mm. 350-356).

2) Motion from V^b to V⁷ (akin to a second group plus development)

After the opening tonic prolongation and a brief transition, the Fantasia moves into the realms of the dominant (minor) and supertonic; the supertonic's altered upper third, A[♯], is prolonged and leads to a strong articulation on the dominant, occurring roughly two-thirds into the work. The bass line of this long section forms a large-scale auxilliary cadence built on D^b-F-(A[♯])-B^b.¹⁷

¹⁶See Schenker's comments preceding his allusion to this piece in *Harmony*, ed. Oswald Jonas, trans. Elisabeth Mann Borgese (Chicago: University of Chicago Press, 1954), Example 302, pp. 338-340.

¹⁷This reading is supported by the melodic configuration of the new theme in the dominant minor, f¹-f²-d^{b2}-a^{♯1}-b^{b1}.

As shown in Example 4.7, bass D $\flat$ reaches F (*arpeggio*) by means of a harmonically unstable and circuitous path: D $\flat$ rises to G $\flat$; this G $\flat$, reinterpreted as F $\sharp$, leads to an emphatic patch in B $\natural$; and B $\natural$ moves to diminished harmony over an implied G $\natural$ that leads to F $\natural$ (*arpeggio*). The patch on B $\natural$, however, is parenthetical and subordinate to the surrounding G $\flat$ and diminished harmonies. This voice leading closely resembles the voice leading surrounding and including the transitional group in the Concerto's solo exposition. (Compare Examples 4.4 and 4.7.)

In the Fantasia, bass tone F $\natural$ (*arpeggio*) moves to its altered upper third A $\natural$ through an implicit stepwise ascent: F $\natural$ rises through F $\sharp$ to G; G, prolonged by means of arpeggiations based upon the piece's opening fanfare, descends through F $\natural$ to E $\natural$, but this E $\natural$ represents G $\sharp$; and E $\natural$ /G $\sharp$ supports an applied V, leading to a new section (Poco Adagio) in A $\natural$ minor. The foreground G-F-E $\natural$ bass descent within this progression, with its arpeggiations, resembles a G $\flat$ -F-E $\flat$ bass descent, also supporting arpeggiations, in the Concerto's development (mm. 268-274).

3) Closing tonic prolongation (akin to a recapitulation)

Following the pronounced articulation on V⁷, the work ends with an extended tonic prolongation, whose bass line, G $\flat$ -B $\flat$ -E $\flat$, forms a large-scale auxiliary cadence. In this section, thematic material from the beginning of the piece (up

through the *arpeggio* section) is restated, though in "inverted" order. (The piece ends as it began, with the same arpeggiated progression.) Furthermore, some of the restated material is transposed a fifth lower than the earlier material from which it derives. As a function of this transpositional plan, the $G\flat/F\sharp--(B\flat)--G\flat-F$ progression described in # 2 above, is replicated a fifth lower, within the domain of the tonic minor. Thus a subdominantish progression built on bass $C\flat/B\flat--(E\flat)--C\flat$ leads to $B\flat$ (restated *arpeggio* section). In the Concerto movement, as a function of its transpositional plan, $E\flat$ occurs in the recapitulation's third group. However, the Fantasia's voice leading here more closely resembles that found in the recapitulation of Schubert's $E\flat$ Trio, where $E\flat$ grows out of $E\flat$, fifth above the subdominant.

The features shared by the Fantasia and Concerto, most especially the opening arpeggiated tonic progression and the later chromatic allusions to $B\flat$ and $E\flat$, argue in favor of a specific relationship, albeit undocumented,¹⁸ between these works. Furthermore, the apparent relationship between the Concerto and Schubert's $E\flat$ Trio suggests the existence of musical family trees, whose works in one particular key transmit features associated with that key intergenerationally.

¹⁸Beethoven's general knowledge of C. P. E. Bach's works, however, is documented. See Forbes, *Thayer's Life of Beethoven*, p. 66.

Schubert's Impromptu Op. 90 No. 2 (D. 899) in E♭ Major

The four Impromptus of Op. 90 appear to have been written in the summer or autumn of 1827;¹⁹ probably, then, they were composed shortly before the E♭ Trio, which was written mostly in November of the same year.²⁰ The close chronological proximity of these works bears out their tonal affinities.

The E♭ Impromptu is in *A-B-A'* or ternary form plus a coda (*B'*): its respective, identical *A* sections are themselves ternary (*a-b-a'*); the central *B* section is binary (*c-c'*). From a background perspective, shown in Example 4.8a, the first two large sections (*A* and *B*) together compose out the bass motion E♭-C♭(B♭)-B♭ (mm. 1-83-165); structural dominant B♭ (m. 165) marks the close of the work's first stage of interruption. The Impromptu, like a sonata-allegro movement, manifests ternary form within the larger binary structure entailed by interruption, but it relates to the Trio's opening sonata-allegro movement more on the basis of harmonic than of formal organization.

In terms of surface thematic design, the Impromptu has little in common with the Trio movement beyond shared tonic and triple meter. Its opening material, formed by scalar descents and balancing ascents, is smooth and serene, although

¹⁹They were published in December 1827 by Tobias Haslinger in Vienna. See Deutsch, *Thematisches Verzeichnis*, p. 566; and Brown with Sams, *The New Grove Schubert*, worklist, p. 121.

²⁰See n. 1 on p. 186 in this chapter.

already infected with chromatic embellishments; the theme's steady triplet motion, prevailing *piano* dynamic, and legato touch establish a lyrical effect that is increasingly eroded during the course of the *A* section. The contrasting *B* section material (mm. 83-168) is melodically confined in range; it is marked *ben marcato* and is replete with accent marks; and, while beginning with *fortissimo* dynamics, it is subject to sudden changes in dynamic level. The Impromptu's disposition of thematic areas--a serene area followed by a relatively violent one--is more characteristic of the opening movement (first and middle groups) of Schubert's B♭ Piano Sonata than of the Trio's opening movement: the Impromptu's lilting opening scales oppose the Trio's assertive opening arpeggios; and the Impromptu's contrasting material is turbulent and often loud whereas the Trio's middle group is subdued. Generally, then, surface thematic correlation, like formal organization, is not a compelling basis for comparison of these works.

The works' great commonality revolves around preoccupation with ♭6̂ (and 4̂), derived through mixture from the tonic's parallel-minor scale. In the Impromptu, as a function of mixture, there is an ongoing struggle between G♯ and G♭ for dominion within the tonic triad: this struggle is clearly evident, for example, in the upper voice, where *Kopft*on g^2 tends toward its upper neighbor $a\flat^2$, whereas its competitor $g\flat^2$ tends toward f^2 . This conflict engenders the Impromptu's saturation with references to B♭ and its alternative upper neighbors C♯ and especially C♭, a saturation manifest in the upper voice, where $b\flat^2$, a persistent

cover tone over G or G $\flat$, is often embellished by an upper neighbor, and in the bass, where B $\sharp$ /C $\flat$ fills most of the contrasting *B* section before resolving to B $\flat$. (See Example 4.8b.) Mode mixture is at the heart of the thematic polarity and affective conflict expressed throughout the Impromptu.

1) The first large *A* section: Section *a* (mm. 1-24) is formed from the three-fold repetition of the opening scalar theme in E $\flat$ major. This theme contains a chromatic ascent, e $\flat$ ¹-e $\sharp$ ¹-f¹-f $\sharp$ ¹-g¹-a $\flat$ ¹, in mm. 3-4, 11-12, and 19-20, each of whose members is embellished by lower neighbors, most of which are chromatic.²¹ (See Example 4.9.) The chromatic scale has been mentioned as a salient feature in Beethoven's "Emperor" Concerto and in Schubert's Trio; in the Impromptu the chromatic ascents listed above prepare for the approaching turn to E $\flat$ minor in section *b* (mm. 25-51) and are reflected in the chromatic bass descent of section *a'* (mm. 63-69).

Contrasting section *b* composes out an ascending E $\flat$ -minor triad, completing a triadic bass ascent begun in section *a*: E $\flat$ (mm. 1/25-35)--G $\flat$ (mm. 36-43)--B $\flat$ (mm. 44-51). (See Example 4.8b.) The derivation of G $\flat$ from the E $\flat$ -minor scale is made explicit when section *b*'s opening phrase prolonging E $\flat$ minor (mm. 25ff.)

²¹The f $\sharp$ ¹-g $\sharp$ ¹ motion formed across beats one and two in m. 4 prefigures the impending struggle between these tones, a struggle which escalates as the E $\flat$ -minor scale gains power in this work.

is followed by a phrase prolonging $G\flat$. The prolongation of $B\flat$ marks the close of the first stage of mini-interruption, that is, an interruption local to section *A*.

After section *b*'s introduction of the tonic-minor mode with its derivatives $G\flat$ and $C\flat$, these chromatic elements increasingly pervade the rest of the work. So when the opening (*a'*) material resurfaces to close the first large section, it is revised to reflect the subversive chromatic content of the intervening *b* section, manifesting a type of Hegelian dialectical synthesis: it is abridged, thus turning more quickly to $E\flat$ minor, and it ends by leading toward $\flat III$ ($G\flat$) as preparation for the next (*B*) section's long prolongation of $\flat VI\flat$ ($C\flat$). $G\flat$'s function as a harmonic hinge, leading to either $B\flat$ or $C\flat$, is perceptible through comparison of section *a* (mm. 36-44) with section *a'* (mm. 81-83). (See the asterisks in Example 4.8b.)

The pervasive incursion of the tonic-minor scale into the first large section is reflected in its two-tier melodic line. (See Example 4.8b and c.) Tonic harmony is first represented in the melodic line by cover tone $\flat\flat^2$ and *Kopftön* $g\flat^2$, which vie for status as most audible melodic tone. In section *a*, as Example 4.9 shows, the opening theme traces the third between $B\flat$ and $G\flat$ several times. Here cover tone $B\flat$ is embellished by $C\flat$. But in section *b*, $G\flat$ is inflected to become $G\flat$ and $B\flat$ is embellished by $C\flat$: upper-neighbor $C\flat$ is melodically prominent in mm. 26-27, 33-34, mm. 37/39, and especially in mm. 44-50, where it sounds as appoggiatura above the local interrupting V. (Example 4.10a.1) These last $C\flat$'s

sound like sighs.²² When sections *a* and *b* are viewed as a middleground unit, $g\flat^2$ (with cover tone $b\flat^2$ in mm. 1-9-17), still superior to $g\flat^2$, moves to upper-neighbor $a\flat^2$ (with $c\flat^3$ in m. 44); but on a lower level, $g\flat^2$ (mm. 1-9-17) moves through $g\flat^2$ (m. 25) to f^2 . In section *a'*, $G\flat$ and $G\flat$ battle for power, with $G\flat$ prevailing at the section's close.²³

2) The contrasting *B* section: $C\flat$ comes into its own here, prolonged (as $B\flat$ minor) until it reaches $B\flat$ in m. 165; this "bass" line arises from 5- b 6-5 motion above $E\flat$.²⁴ (See Example 4.8b.) In the turbulent contrasting theme, members of the third $B\flat$ -D ($C\flat$ - $E\flat$ b) vie for power, much as $B\flat$ and $G\flat$ did at the work's onset; though D prevails, $B\flat$ is audibly present, especially in the approach to and end of the section. ($G\flat$ /F $\sharp$ implicitly sounds in the upper voice, held in memory

²²As discussed earlier, Schachter, "Motive and Text in Four Schubert Songs," p. 70, points out the historical association of $b\hat{6}$ - $\hat{5}$ with lamentation and death, and the prevalence of this semitone in Schubert's song "Der Tod und das Mädchen." See this study, Chapter 1, p. 54, and Chapter 2, pp. 64-65.

²³The approach of B minor is suggested by melodic tones $G\flat$, $C\flat$, and $D\flat$ on the downbeats of mm. 71-76.

²⁴In his article "Chernomor to Kashchei: Harmonic Sorcery; or, Stravinsky's 'Angle,'" *Journal of the American Musicological Society* 38 (1985): 73-142, Richard Taruskin traces the development of the octatonic scale, locating its origin in pitch relations by third rather than by fifth in works by Beethoven and Schubert. He points to Schubert's *E\flat* Impromptu as a piece in which "the dominant is supplanted altogether by a third relation in the key structure of [the] piece," finding that "B minor is hardly to be heard any longer as a mere auxiliary to the dominant of E-flat; it is a fully elaborated tonality and as such has usurped the dominant's traditional position of contrast to the tonic" (p. 84). While I agree that in this work $b\hat{6}$ is a scale degree emphasized by motivic, thematic, and harmonic development, I disagree that such emphasis challenges $C\flat$'s role as a large-scale neighbor note to $B\flat$.

from the previous section--but on the surface it recedes into an inner voice.)

Thus, as shown by check marks in Example 4.8b, the "bass" (5)- $\flat 6$ -5 motion above $E\flat$ is almost replicated in the realm of the cover tone: in the approach to section *B*, $\flat \flat^1$ moves to $\flat \sharp^1$ (mm. 82-83); at the section's close, $\flat \sharp^1$ (mm. 155-158) passes through $\flat \flat^1$ (mm. 159-162) and is transferred to $c\flat^3$ as a local consonance above II_5^6 (mm. 163-164) and as a large-scale dissonance above structural *V* (mm. 165-166/168). (See Example 4.10a-2.) The prolongation of structural *V* in mm. 165-168 borrows material from mm. 50-51, so that $c\flat^3$ (and $a\flat^2$) is highlighted analogously at both middle- and background points of interruption. But in section *B* (by contrast with section *A*), $C\flat$ is prolonged, not only as a melodic embellishment at the section's end, but also, from the beginning of the section, as a large-scale neighbor note in the bass. It will later be seen that in the development of Schubert's *E\flat* Trio, $C\flat$ is similarly prolonged, not only as a form-defining melodic dissonance (with $A\flat/A\sharp$) in the retransition, but also as a large-scale bass neighbor note prolonged from the beginning of the section. (See Example 4.10b.)

3) The Coda: The coda reworks section *B*'s contrasting material; the earlier section's violent affect and $C\flat(B\sharp)$ -minor inflection reemerge, condemning the piece to a tragic end. (The work ends in *E\flat* minor, preparing the key of the third

Impromptu, G $\flat$.²⁵) At the beginning of this reworking, the contrasting theme's third C $\flat$ -D $\flat$ -E $\flat$ (B $\sharp$ -C $\sharp$ -D) is revisited in mm. 251-255 and 259-263, but this third turns out to be an augmented second, whose E $\flat$, now supported by bass B $\flat$ rather than C $\flat$ /B $\sharp$, is reinterpreted as a true, rather than as a notated, D $\sharp$. (Such melodic recasting, manifest through upward expansion, and achieved through chromatic ascent and/or melodic enharmonicism, is typical of Schubert's codas; see the D-minor Quartet, mm. 311-326, the Octet, mm. 310-327, and the E $\flat$ Trio, mm. 623-634.) A $\flat$, melodically prominent as structural upper neighbor to G at points of interruption, emerges harmonically at the very end of the piece; here the hammered chords of mm. 280-281, whose I $\flat$ -IV $\flat$ alternations highlight B $\flat$'s subversive neighbor C $\flat$, signal a stern and implacable Fate.

In the Impromptu, as in the Trio's first movement, the remote minor mode of $\flat$ VI $\flat$ is the harmonic vehicle for disturbing thematic and emotive contrast. Furthermore, the melodic prominence of $\hat{5}$ and its neighbors $\flat\hat{6}$ (and $\hat{4}$) in both works is an expression of the death-associated semitone motive discussed by Carl Schachter and others with respect to Schubert's songs.²⁶ As I have claimed, and will continue to demonstrate, Schubert used $\flat\hat{6}$ in his instrumental works for the

²⁵It is unusual for a Classical or Romantic instrumental work to prolong one tonic by beginning in the major and closing in the minor; a late nineteenth-century work that does so, brought to my attention by Carl Schachter, is Brahms's Rhapsody in E $\flat$, Op. 119 No. 4.

²⁶See discussion in this study, Chapter 1, pp. 54-59.

same expressive ends that it served in his songs--that is, as a tonal symbol of death.

Tonal expressions of death in "Letzte Hoffnung"

This song, from Part II of *Winterreise* (D. 911), was probably composed in the summer of 1827 and perhaps antedates the Impromptu Op. 90 No. 2 and the E♭ Trio by a couple of months.²⁷ In it the hero pins his last hope upon an autumn leaf clinging to its tree; when the leaf falls he confronts the death of his hope. Schubert renders the internal and external aspects of this drama most subtly through formal, textural, rhythmic, and, most importantly, modal devices. His setting loosely follows the three-stanza organization of Müller's poem; however, large-scale voice leading cuts across these three sections, suggesting a larger two-part form. Within this three-act mini-drama, $\hat{5}$'s neighbor notes $\flat\hat{6}$ and (secondarily) $\hat{4}$ are the tonal agents of catastrophe.²⁸

First stanza (mm. 1-13): As Example 4.11 shows, both the piano introduction and the hero's vocal line begin with C♭ and A♭, unstable members of a diminished

²⁷The fair copy of Part II of *Winterreise* was completed in October 1827, a month before composition of most of the E♭ Trio; "Letzte Hoffnung," the fourth song in Part II, was probably written earlier. See Youens, *Retracing a Winter's Journey*, pp. 28-29.

²⁸My ensuing discussion of this song is deliberately brief and draws in part from the more detailed discussions by Youens, *Retracing a Winter's Journey*, pp. 245-250, and Agmon, "Music and Text in Schubert Songs," pp. 49-55. In my references to these sources, I will give author's name and page(s) only.

harmony, whose search for B $\flat$ expresses uncertainty and dread. At the songs's very outset, then, C $\flat$, derived from mode mixture, displaces C $\sharp$. B $\flat$ arrives and leads to the tonic major, which sounds briefly as surviving leaves and hope are observed (mm. 7-8 and 11); see Youens, p. 248. C $\sharp$ replaces C $\flat$ during these brighter moments.

Second stanza (mm. 13-24): Here the bass completes a triadic ascent E $\flat$ -G-B $\flat$ (mm. 11-13-19) begun earlier, tracing a rising curve of anxiety. (Thus mm. 1-24 may be viewed as one larger section, leading from I to V.) In the sphere of G (V of a suppressed C $\sharp$, leading away from C $\flat$) there is, however, a ray of hope: b $\sharp^1$, intoned by our hero as he fastens his hope upon one leaf (mm. 14-16-18), is, in this context, enharmonically and affectively opposed to C $\flat$, tending to rise rather than fall; see Agmon, pp. 51-53. However, b $\sharp^1$ falls to an implicit b $\flat^1$ (m. 19), rather than rising to c $\sharp^2$, thus ushering in the dominant; B $\flat$'s twitchings to surrounding C $\flat$ and A $\sharp$ (mm. 22-24) represent the hero's trembling in the face of imminent catastrophe, as his leaf is buffeted in the wind. The E $\flat$ -G-B $\flat$ bass ascent is reminiscent of a similar, though not identical, bass configuration, D-F-A, in the song "Das Tod und das Mädchen" (mm. 1-19): in both songs the middle member of the tonic triad symbolizes respite from Death, while arrival at V leads to dreaded resolution. (See discussion in this study, Chapter 2, pp. 65-66.)

Third stanza (mm. 25-47): As Youens, p. 249, points out, destiny's fulfillment is represented by the turn to E $\flat$ minor; the hero's Fate is already at hand, although he bravely uses the conditional rather than the present tense to describe it. The

tonal agent of tragedy, embodied by the falling leaf, is B $\flat$'s upper neighbor C $\flat$; the hero's octave descent from c $\flat^2$ to c $\flat^1$ (m. 27) and his c $\flat^1$ (m. 33, his last pitch before final resignation), both setting the word "Boden," lead, through a precipitous decline in the accompaniment, to the dominant and a final apotheosis in the tonic. The song's codetta-like ending (mm. 35-47), in which the hero accepts his fate, has a stunning clarity, provided by homophonic writing in the major mode.²⁹ Nevertheless, C $\flat$ inexorably persists, challenging the newly established C $\natural$, and leading the hero's plaint (mm. 42-43) to a close. The song's penultimate pitch, c $\flat^1$, occurs within a subdominant chord, Schubert's funereal Amen.³⁰

"Letzte Hoffnung" is among those Schubertian songs in which $\flat \hat{6}$ is clearly associated with death. Furthermore, this song, written by Schubert in close chronological proximity with the Impromptu Op. 90 No. 2 and the E $\flat$ Piano Trio, shares with them the key of E $\flat$ and a preoccupation with C $\flat$. These commonalities support my view that C $\flat$ represents death in the E $\flat$ Piano Trio.

²⁹Youens, pp. 248 and 250, comments on the relief accruing to this resolution, despite its catastrophic nature. The association of homophonic writing in the major mode with resignation in death is worth considering--one might view the codettas in the first movements of the B $\flat$ Sonata and E $\flat$ Trio in this eerie light.

³⁰The theme of "Der Tod und das Mädchen," in both song and Quartet, is infused with subdominant harmony. Furthermore, the Quartet's variation movement on this theme is in the key of the subdominant.

II. E♭ PIANO TRIO, OP. 100 (D. 929): ANALYSIS

This first movement features what might be described as an early manifestation of thematic transformation.³¹ That is, particularly in the exposition and recapitulation, it seems to be formed of a chain of thematic gestures, each one growing out of the previous one through variation-development. The exposition's thematic evolution seems bound up with its many attempts to reach structural V.

Schubert has developed a reputation for avoiding the dominant in his sonata expositions.³² In discussing Schubert's C-major Quintet, however, Judith Shatin Allen says that "rather than simply avoiding the dominant, and far from reflecting an obvious dislike of it, Schubert involves it in an expanding cycle of approach,

³¹Schubert's *Wanderer Fantasia*, Op. 15 (D. 760) of 1822 displays a more overt type of thematic transformation. Regarding the E♭ Trio, Brown, *Schubert: A Critical Biography*, p. 278, comments on the "essential unity of the whole exposition" and the relationship of codetta theme (mm. 140ff.) to the opening material. And Carl Schachter has spoken to me of the exposition's search for a theme that only crystallizes with the codetta.

³²As discussed earlier, Webster, "Schubert's Maturity," pp. 24 and 26, remarks on Schubert's "antipathy to the dominant" in his transitions, which often "fail to leave the tonic at all." Hur, *Irregular Recapitulations in Schubert's Instrumental Works*, devotes a chapter to "Schubert's Treatment of the Dominant," where she discusses various ways in which Schubert "chooses to de-emphasize dominant harmony . . . in his sonata compositions" (p. 260). Both Webster, p. 26, and Hur, p. 261, point to the three-key exposition, in which the second key delays arrival at the dominant, as evidence of the dominant's loss of stature in relation to conventional models, although Hur believes that Schubert to some degree restores the dominant's structural importance in his late three-key expositions.

deflection, return, and ultimate transformation. Apparent changes of key are subsumed by this underlying process."³³ This description is applicable to the E♭ Trio³⁴: in its exposition ♭III and ♭VI embody "deflections" from V within the domain of I. These harmonic deflections, derived through mixture from the E♭-minor scale, and thematic development-variation work together toward the gradual evolution of the dominant.³⁵

Exposition

Overview

In the principal group (mm. 1-48), the tonic E♭ prevails, despite local digressions, seemingly until a 5-♭6 motion above E♭ leads to B(C♭) minor in m. 48. The material beginning at m. 48 brings a contrasting theme, harmony, and mode, all contrasts typical of Schubert's middle groups. This "group" (mm. 48-84 plus dominant extension), however, manifests a greater degree of local instability than one generally finds even in Schubert's middle groups: at first there seem to be two sequential series of bass motions by third, one descending sequence, B♭-G-E♭-C in mm. 48-67, and one ascending sequence, C-E♭-G-B♭ in mm. 67-84. Yet close

³³"Schubert's C Major String Quintet, Opus 163/I: The Evolving Dominant," *In Theory Only* 6/5 (July 1982), p. 4.

³⁴From here on, unless otherwise specified, discussion of the E♭ Trio will refer to its first movement.

³⁵Gradual evolution of the structural dominant occurs as a salient feature in the sonatas of Jan Ladislav Dussek; see discussion of these sonatas in this study, Chapter 1, pp. 28-32.

examination (to follow later) shows that despite this local activity, harmonically the group remains within the sphere of the tonic: that is, it completes a 5- $\flat$ 6-5- $\sharp$ 6-5 motion over E $\flat$ begun at the movement's onset. (The material from mm. 1-84 thus functions like a greatly expanded first theme in a bifocal exposition, moving from I to V within the sphere of the tonic.) But where is the arrival of the structural dominant? After a weak arrival at V in m. 84, there are three arrivals at V, in mm. 90, 99, and 116, each of which might be considered as structural V and the beginning of the dominant group. I believe the dominant is firmly established in m. 116, shortly before the clarifying codetta beginning in m. 140. (See Example 4.12a-d.) A more detailed examination of the exposition will reveal the intricacies of its unique and elusive design.

Principal group (mm. 1-48)

Einstein finds that the movement "develops a Scherzo idea," perhaps referring to its triple meter and quick hypermetrical pace.³⁶ (Compressed four-bar units are the hypermetrical norm, although in many "thematic" passages eight-bar blocks prevail.) The opening group can be viewed as two large asymmetrical phrases, mm. 1-15 and 16-48. (The first phrase is composed of two gestures, mm. 1-12 and 12-15, that resemble a statement and counterstatement, respectively.) Support for this view is provided by Brown's description: "The unison theme is introductory

³⁶*Schubert: A Musical Portrait*, p. 279.

and is followed a few bars later by the 'main theme' of the movement."³⁷

Brown's assertion that the first phrase is introductory, with the second phrase carrying the first theme, is understandable, if not correct: the first phrase, which begins with the assertive E♭ (octave/unison) arpeggiation reminiscent of Beethoven's "Emperor" Concerto, has the texture and rhetoric of an orchestral ritornello or fanfare. This movement is, however, characterized by a proto-Romantic thematic transformation of the opening phrase, and Brown's labeling seems to obscure rather than to reveal this essential characteristic.

Although E♭ is initially the most prominent melodic tone in the first phrase's polyphonic texture, *Kopftón* B♭ is highlighted in mm. 2-3 by means of the salient double neighbors A♭ and C. From the outset, then, scale degrees $\hat{4}$ and $\hat{6}$ are emphasized embellishing tones to $\hat{5}$. As Example 4.13a shows, the first phrase moves from I to V by means of the two, overlapping, gestures that resemble a statement and counterstatement: the first (mm. 1-12) prolongs I through implied 5-6 motion above E♭ followed by triadic bass motion E♭-G-(A♭)-B♭-E♭; the second (mm. 12-15) recomposes mm. 1-4, moving from I to V and tonicizing E♭'s neighboring IV($\hat{6}$) en route. Thus C is emphasized harmonically by the 5-6 motion

³⁷*Schubert: A Critical Biography*, p. 278. This characterization is supported by the clear eight-bar hypermeter expressed in mm. 16-23 and 24-31. By contrast, the opening phrase is less straightforward, featuring what might be viewed as Schoenbergian liquidation: the initial four bars are fragmented into two two-bar units (mm. 5-8); then m. 8 is reinterpreted as a strong bar that initiates a four-bar unit (mm. 8-11). Taking the double function of m. 8 into account, the first phrase is thus composed of twelve plus four bars rather than eight plus eight.

above E $\flat$ in mm. 1-5; and A $\flat$ is emphasized in mm. 13-14 by a fleeting tonicization that prefigures substantial prolongation of IV in the recapitulation. The first phrase also hints at a conflict between C and C $\flat$: in mm. 5-6 the bass C drops to the first chromatic tone in the piece, B $\sharp$ (albeit supporting G harmony); and in mm. 8-10 the soprano motion b $\flat^2$ -b $\sharp^2$ -c ^{3} points to the 5- $\sharp$ 5/ $\flat$ 6- $\sharp$ 6 relationship.

The second phrase (the one that Brown considers to carry the "main theme") suddenly begins as if *in* V and thus, at its onset, feigns a bifocal exposition. (The preceding tonicized A $\flat$ harmony, however, erodes the likelihood of V's suddenly enhanced status.) This is the exposition's first attempt to establish V and B $\flat$ is prolonged in mm. 16-23. In m. 24, a chromatic 5- $\flat$ 6 motion above B $\flat$ leads to G $\flat$, mimicking the earlier diatonic 5-6 motion above E $\flat$ in mm. 4-5. The ensuing sequence of descending tenths moves from b $\flat^2$ and g $\flat$ to neighbor notes c $\flat^2$ and A $\flat$, emphasizing (b) $\hat{6}$ and $\hat{4}$, within G $\flat$'s local supertonic. (See Example 4.13b.) This local II is reinterpreted as a IV $\flat$ of E $\flat$ that moves to "redominantized"³⁸ B $\flat$ harmony in m. 31; B $\flat$ moves to tonic E $\flat$ in m. 32. Thus the second phrase's feint at bifocalism is undone. With the return to E $\flat$ in m. 32 begins a new series of (three) increasingly thwarted attempts to establish dominant B $\flat$: the first attempt leads to V through stepwise bass motion within a four-bar unit (mm. 32-

³⁸See Gregory Proctor's use of the term *dominantization* in his dissertation *Technical Bases of Nineteenth-Century Chromatic Tonality: A Study in Chromaticism* (Princeton University, 1978), p. 243.

35); the second attempt prolongs B $\flat$ by moving through a chromatically infected E $\flat$ -minor arpeggio within a six-bar unit (mm. 36-41); and finally the third, unsuccessful, attempt seeks, within an eight-bar unit (mm. 42-48), to retrace the previous E $\flat$ -minor arpeggio, but breaks off at G $\flat$ before completing the arpeggio's expected octave span. Although this new deflection from B $\flat$ to G $\flat$ mimics the earlier one beginning in m. 24, likewise arising from 5- $\flat$ 6 motion above bass B $\flat$, it delays V far more seriously: this G $\flat$ (renotated as F $\sharp$) becomes V of B $\natural$ (C $\flat$) minor, setting the stage for a contrasting group beginning on $\flat$ VI $\flat$. (See Example 4.13b.) The intense preparation for C $\flat$ /B $\natural$, including two chromatic ascents followed by a precipitous scalar descent, recalls Beethoven's "Emperor" Concerto. (See earlier discussion on pp. 190-191 in this chapter.)

Though the principal group's two large phrases want to establish V, their respective efforts are foiled by G $\flat$ ($\flat$ $\hat{6}$ in the sphere of B $\flat$). Here, as in the later B $\flat$ Piano Sonata, $\flat$ $\hat{6}$ (both in the spheres of I and V) is a crucial chromatic scale degree; furthermore, the conflict between $\flat$ $\hat{6}$ and $\natural$ $\hat{6}$ informs both works. (It will later be seen that the approach to and arrival at structural V in the Trio's exposition is heralded by the embellishment of melody tone F by G $\natural$ rather than G $\flat$.) As Hur points out in her dissertation, both first movements foreshadow, within their respective principal groups, chromatic key areas to be prolonged at the onset of their respective contrasting middle groups. However, these foreshadowings, in my opinion, are not precisely analogous: in the Sonata, the

same key, G♭/F♯, is prolonged, though on different structural levels, in the principal and contrasting groups (see mm. 20-35 and 48ff.); however, in the Trio, the principal group foreshadows the opening key of the contrasting group, C♭, by prolonging C♭'s preparatory dominant G♭ (see mm. 24-30 and 44ff.).³⁹

The Trio's preoccupation with G♭, which certainly rivals its attraction to C♭, provides a connection of absolute pitch with the later B♭ Piano Sonata, whose most important chromatic tone is G♭. (See discussion in this chapter, pp. 197-198, regarding Schubert's sketch of the Trio movement; in this sketch, it will be recalled, the roles of G♭ and C♭ in the exposition are reversed.) This connection approaches in importance the works' shared relative-pitch preoccupation with ♭6. Thus it happens that in the Trio, the first significant chromatic deflection is to G♭ in m. 24, rather than to C♭, a deflection resulting from the Trio's obsessive but ambivalent mission to legitimize B♭. This quest hinges upon B♭'s dual function vis-à-vis 5-(♭)6 motions, either as upper fifth moving to C♯/C♭ above E♭ or, more locally, as bass fifth below F-G♭.

³⁹See Hur, *Irregular Recapitulations in Schubert's Instrumental Works*, pp. 193-194. While I agree, generally, with Dr. Hur's comparison, I disagree with the specific voice leading given in her graph for the Trio (her Ex. 5.2a). This graph shows the G♭ harmony of m. 24 moving through the C♭ harmony of m. 28 to dominant harmony that arrives in m. 34. I believe that G♭ moves to B♭ harmony in m. 31, but that the E♭ harmony in m. 32 outweighs the preceding or following dominant harmonies in structural importance. In her dissertation, *Motivic-Harmonic Transfer in the Late Works of Schubert*, Example 2.12, p. 117, Irene Montefiore Levenson supports my view regarding the E♭ harmony in m. 32, although differing from my interpretation in other, more foreground, respects.

Regarding melodic organization in the principal group, as Example 4.13b shows, the second phrase emphasizes melodic tone B $\flat$. Later it will be seen that B $\flat$ (in several registers) initiates many of the melodic phrases and subphrases here and throughout the exposition. Thus B $\flat$ is often the focal point of motivic and thematic transformations of material from the first phrase, on foreground and middleground levels:

1) Foreground double neighbor-note configurations emanating from B $\flat$. (See Examples 4.13a and 4.14a-d.) In the first phrase, this configuration is established in mm. 2-3, then varied and extended sequentially in mm. 5-8. In the second phrase, the cello's melody (mm. 16-17 and 20-21) transforms and sequentially extends the configuration, presenting b $\flat$'s and c ^{1} 's upper thirds, d ^{1} and e $\flat^1$, as quasi neighbor notes. (Also of interest in the cello's melody are the descending arpeggios in mm. 17 and 21, which derive from the opening arpeggio in mm. 1-4. These arpeggios have octave spans, identifying the octave as an important sonoric element in the piece.) In the course of the second phrase's digression to G $\flat$, the double-neighbor configuration is deconstructed so that the main tone is split into two: G $\flat$ and C $\flat$ (mm. 24 and 28) are embellished by lower neighbors, whereupon their respective upper fifths D $\flat$ and G $\flat$ (mm. 25 and 29) are embellished by upper neighbors, disguised as appoggiaturas. At the end of the phrase, in mm. 36-37 and 42-43, B $\flat$ is embellished by double neighbors A $\sharp$ and C $\flat$.

2) Middleground descents from B $\flat$. (See Example 4.13b.) These include a descent from b $\flat^2$ to neighbor note c $\flat^2$ (mm. 24-30) that continues, via registral shift, from b $\flat^2$ to d ^{2} (mm. 31-34), and further continues with two arpeggiated bass descents from b $\flat^1$ beginning in mm. 36 and 42. The connection between these descents represents a profound, if subtle, form of tonal transformation.

Transitional group (mm. 48-84)

As do other of Schubert's middle groups, this one introduces sharp contrast in terms of affect, initial key area, mode, and design. Arriving after a loud and emphatic approach, the new theme, with its *pianissimo* dynamic and repetitive dactylic rhythms, has the character of a mysterious procession or dance, reminiscent of the contrasting theme in Beethoven's "Emperor" Concerto. (A related processional becomes Schubert's second movement's main idea.) This material seems peculiarly derived from mm. 5-6: the "new" theme's encircled thirds (mm. 50-53 and 59-62) set within the minor triad, its rhythmic patterning, and its (soon to-be-discussed) preoccupation with 5-6 motions above E $\flat$ that want to return to $\hat{5}$ (B $\flat$) seem generated by the earlier bars.

The new theme's opening third d ^{3} -b $\flat^2$ deforms the third b $\flat$ -d ^{1} outlined by the cello in mm. 16-17. Certainly the new theme is in C $\flat$ minor, though conveniently notated in B $\flat$ minor; thus d ^{3} -b $\flat^2$ stand for e $\flat$ b ^{3} -c $\flat^3$. Nevertheless this convenient

notation results in a double entendre; for the notated pitches deceitfully suggest a species of crippled dominant, usurping the place where V ought to be.

Although this group is similar in many respects to other middle groups scrutinized in this paper, it is by far the most tonally unstable and ambiguous. It is laid out in two pairs of eight-bar units (mm. 50-57--59-66 and mm. 68-75--77-84) that are preceded and separated by two-bar buffers. Cutting across these units are the two apparent bass sequences mentioned earlier, the first (mm. 48-67) tracing descending thirds B $\sharp$ -G-E $\flat$ -C and the second (mm. 67-84) tracing ascending thirds C-E $\flat$ -G-B $\flat$.⁴⁰ (Such sequential meanderings, trapped within neat hypermetrical parcels, are typical of Schubert's developments, as, for example, in this movement.) These bass thirds are motivically derived from the opening arpeggiated fanfare; they derive sonoric contour from the melodic descent in mm. 24-32 and the arpeggiated bass descents immediately preceding the contrasting group. (See mm. 24, 36, and 42 in Example 4.13b).

There is some cohesion in the design of the group's two large subsections: dactylic patterning in the accompaniment and bass motion by third bind them together. In view of this general continuity (despite a change of design after m. 66), it would not be impossible, I think, to view the passage as moving from B $\sharp$ /C $\flat$ (m. 48)

⁴⁰The first three members of the descent by third, B $\sharp$ -G-E $\flat$ (mm. 48-57-66), form an apparent augmented triad that is prefigured in mm. 4-6-8, where bass tones E $\flat$ -B $\sharp$ -G fall on downbeats.

through neighbor note C (m. 67) to B $\flat$ (m. 84); thus the large bass structure for the movement up to this point would read E $\flat$ (m. 1) - C $\flat$ (m. 48) - B $\flat$ (m. 84) or I-($\flat$ VI $\flat$)-V. But, as Examples 4.12c-d and 4.15 show, I find it better to view mm. 48-84 as participating in a prolongation of E $\flat$ that is animated by the motion between E $\flat$'s upper fifth B $\flat$ and its alternative (and conflicting) upper neighbors C $\flat$ (m. 48-53) and C $\sharp$ (mm. 67-71 and 77). That is, the theme's opening B(C $\flat$)-minor prolongation, emanating from B $\flat$, functions as $\flat 6$ above the movement's opening E $\flat$; the prolongation of C $\sharp$ functions as $\sharp 6$ above an E $\flat$ that, as Webster maintains, is "stated frankly" in mm. 65-66 and 74-75;⁴¹ this C $\sharp$ resolves to main tone B $\flat$, fifth above an implicit E $\flat$, in m. 84. (Implicit 5-6 motions are also suggested, on more local levels, by other bass descents of a third: for example, the motions from B $\sharp$ to G and G to E $\flat$ in mm. 48-57 and 59-66 suggest 5-6 voice leading.)⁴²

The acceptance of the E $\flat$ harmony in m. 66 as a true tonic rather than as a passing member within the sequence of descending thirds is dependent upon recognizing the significance of the change in design beginning in m. 67: this change includes the introduction of the pianist's rising upbeat and triplets, which add a

⁴¹"Schubert's Sonata Form," p. 30.

⁴²There is an inherent enharmonically derived conflict between C $\flat$ and B $\sharp$ vis-à-vis the larger voice leading, in which the B $\sharp$ of m. 48 stands for C $\flat$ ($\flat \hat{6}$) and the more local voice leading, in which the B $\sharp$ of m. 48 initiates a descent by major third, forming the apparent augmented triad B $\sharp$ -G-E $\flat$ in mm. 48-66.

dance-like lilt and emphasis on beat 2; the bass line's change in direction; and the melody's recasting to accommodate a new bass. Indeed if the sequence begun in m. 48 had continued after m. 66, as expected, a motion to E♭ minor would have led back to C♭ and perhaps on to G. But Schubert reserves this path for the coda (mm. 589-596 and 598-605).

The voice-leading view given in Example 4.12 cannot be apprehended unless the material from mm. 1-84 is understood as one continuously evolving entity, one that transcends the caesura and contrast following m. 48. An overarching view is similarly necessary in other works analyzed in this paper: for instance, in the B♭ Piano Sonata, a tonic chord in second inversion occurs *after* the contrasting F♯-minor theme, leading to an inflected ♯I. (In the Octet, the astonishing return to the tonic F within the contrasting D-minor group is quite perplexing; however, in that case, D returns *after* the interpolated tonic.) The E♭ in m. 66 is comparable, though on a larger scale, to the E♭ in m. 32: both tonics occur after chromatic deflections from B♭ (G♭ in m. 24 and G♭-C♭ in mm. 44-48), deflections seemingly headed *away* from I. Thus the movement, from mm. 1-84, twice reaches V (mm. 16 and 34), only to return to I.

As evidenced by scholarly testimony, the transitional group is perhaps the movement's most difficult to grasp within conventional concepts of sonata rhetoric. What is its tonal organization? Should it be described as a transition or as the

second of three (or two) groups? For example, as mentioned earlier, Webster finds that the section, "despite its independent theme . . . has the character of a large-scale transition," but he labels this material "second group." Einstein speaks of a contrasting "hesitant second subject [mm. 48ff.] and "an exquisitely lyrical third [mm. 116ff. or mm. 140ff.?], which recalls the 'Unfinished'." Brown declares the second subject to be "devoted to two vigorous [!] themes in B minor and C minor" but makes no reference to any third subject, save for a *codetta* [mm. 140ff.] that is derived from the opening material.⁴³

A more interesting, though flawed, view is offered by Salzer in his 1928 monograph "Die Sonatenform bei Franz Schubert." He calls the material in mm. 48-84 a transition and describes the exposition as follows:

Essentially a modulation occurs here from B minor to G minor (mm. 53-57)--the real transition begins with B minor. After an apparent modulation to E $\flat$ major, however, the G-minor tonality returns in mm. 78 and 79; I say "apparent" because even this tonicized E $\flat$ is within the G-minor tonality and hence it is impossible to regard this tonicization as a modulation. The entire section from m. 50 to m. 80 is thus modulatory and occurs first in B minor and then in G minor. The G-minor part is very broadly laid out for, here again, one idea is retained, necessarily effecting a halt of forward motion in the middle of the transition. The real modulation to B $\flat$ major is only accomplished after m. 81 [*sic.*]. However, the subordinate-group idea does not yet appear here; three cadential phrases follow so that the subordinate group begins with m. 116. The basis for the truly colossal size of the exposition resides in the transition, whose length seems all the more unnecessary as *indeed the B $\flat$ Stufe is so*

⁴³See "Schubert's Sonata Form," pp. 24, 29, and 22; *Schubert: A Musical Portrait*, p. 279; and *Schubert: A Critical Biography*, p. 278.

often landed upon in the first idea and hence appears as if anticipated before the modulation (p. 115). [Italics and translation are mine.]

Although I disagree with Salzer's view that the material in mm. 57-80 prolongs G minor, I do agree with other aspects of his analysis, especially his location of the "transition" and "subordinate group." These terms correspond to my "transitional group" and arrival of the structural dominant. My formal characterization of the exposition will become clearer with the ensuing discussion about the evolution of the structural dominant.

The evolution of structural V

Schubert's dominant is in the process of "becoming" and resists capture. It evolves in this way: when it arrives in m. 84, it is very weakly articulated both formally and tonally; the rest of the exposition is devoted to shoring up the dominant's structural status, as if to say, "Yes, this time I really mean it!--I think." In her dissertation *Motivic-Harmonic Transfer in the Late Works of Schubert*, Levenson almost takes this approach when she confines her discussion of the exposition's B♭ material to the remark that "the third group (measures 90-181) occupies traditional harmonic territory" (p. 119).

While Levenson's remarks are insightful, they are not detailed. And it is natural for the listener to search for landmarks, to characterize phrases as "thematic" or "developmental," in short, to chart a course of "narrative" continuity, drawing on

familiar tonal and formal constructs. When one tries to search for landmarks of sonata form in an exposition, one tries to find a subordinate group or well-formed theme to coincide with a definitive or structural arrival at the dominant. Salzer came up with the best accommodation to conventional sonata rhetoric that one could muster for Schubert's exposition when he characterized the material of mm. 84-116 (that is, I believe, mm. 84-90, 90-98, and 99-116) as three cadential phrases that precede the arrival of the structural dominant (or, in his early ideology, of the subordinate group).⁴⁴ My analysis will draw on Salzer's useful accommodation.

Three cadential phrases in search of a theme (mm. 84-116)

The arrival at V in m. 84 is inconclusive because the prolongation of its preparatory dominant (II $\sharp$ or V of V) in m. 83 is brief and unemphasized, an element in a larger sequence. Thus the movement is compelled to continue its search for the structural dominant and for a theme to go with it. It does this by means of three increasingly lengthy and thematic phrases. (By comparison, in the B $\flat$ Piano Sonata, where structural V's preparatory dominant is emphatically prolonged, the dominant group is achieved in one stroke.)

⁴⁴See "Die Sonatenform bei Franz Schubert," p. 115, and this chapter, pp. 221-222.

The first cadential phrase (mm. 84-90) is merely an extension--it is clearly of a piece with the preceding transitional group, if only because the accompanimental dactyls persist. Here cadential formulae are increasingly fragmented or liquidated: following the transitional group's eight- and four-bar units, $IV_4^6-I-V^7-I$ fills two two-bar units and V^7-I fills two one-bar units. But closure is thwarted by rhythmic features. The pianist's syncopated scalar descents on the second (and third) beats of the bar, prepared by the long "upbeat" introduced in m. 67, create cross rhythms that oppose the notated meter--there is the suggestion of a ternary meter beginning on beat 2 of each bar. This causes the harmonic and melodic resolutions to Bb , occurring on beat 1 of each bar and lasting only one eighth note, to sound abrupt and inconclusive. (Comparison of mm. 84-99 with mm. 170-181 shows that in both passages the stressed second beat is corrected to achieve a caesura at phrase-end.) Thus this extension ends without caesura or preparation for a new theme.⁴⁵

The second phrase (mm. 90-98) is a continuation of the previous one, as evidenced by the retained triplets in mm. 90-92; but it breaks the established dactylic accompanimental pattern and soon halts figural activity. These changes prepare for the $\frac{6}{4}-\frac{5}{3}$ cadence and sharply articulated caesura with which this phrase ends. A significant tonal event is the applied V-I motion to G minor

⁴⁵The lack of conclusive arrival in m. 90 argues against Levenson's location of the third group's onset at this juncture. See this chapter, pp. 48-49.

in mm. 92-95, which makes two interrelated tonal corrections: it replaces the deflecting $G\flat$ of the principal group (mm. 24 and 44) with $G\sharp$ within the sphere of $B\flat$; and it reinterprets $G\flat$ as $F\sharp$, third within $G\sharp$'s dominant, thus forcing $G\flat$ to serve $G\sharp$ as its leading tone. Thirds continue to pervade the thematic fabric: the descent $d^3-b\flat^2-g^2$, following from the strings' descending thirds in mm. 90-91⁴⁶ and emanating from the V of G minor in mm. 92-93, recasts the movement's opening fanfare, substituting d^3 (m. 92) for $e\flat^3$ (m. 1). Furthermore, the third d^3 to $b\flat^2$ here corrects the transitional group's opening melodic gesture, the descent from d^3 to $b\sharp^2$. All three gestures occur in the same high register.

After the emphatic caesura in mm. 97-98, the dominant group could follow, but does not. Instead, a third cadential phrase (mm. 99-115) ensues, varying Brown's "main" theme, especially the sequential material beginning in m. 24. (The similarity of the cadences in mm. 97-98 and 115 suggest quasi-parenthetical enclosure of the third cadential phrase; thus, as shown in Example 4.16, the caesura in mm. 97-98 takes on the quality of an "interruption.") This phrase announces its quasi-thematic pretensions by beginning on a downbeat with the motto-like double-neighbor configuration;⁴⁷ but its sequential continuation

⁴⁶These thirds mimic earlier similar descents, such as those in mm. 24-30 and in the bass and melodic lines of the transitional group.

⁴⁷At this juncture, the diatonic double-neighbor configuration around $B\flat$ begins to replace the chromatic version. The corresponding diatonic configuration around $E\flat$ in the recapitulation recalls Beethoven's "Emperor" Concerto, whose principal theme features this configuration.

compromises its thematic status. More contrapuntally complex than its originating phrase, this one sends a new incarnation of the double-neighbor configuration from bass (piano) to soprano (strings) in overlapped entries; in a reversal of the earlier passage's descending tenths, these entries form rising tenths (Examples 4.13b and 4.16). This phrase's melodic capacity is also undermined by chinks of missing material: the missing d^1 at the very onset of the top line (m. 99); the missing resolutions to incomplete lower neighbors in the second bar of each two-bar unit in both top- and bottom-line entries; and, finally, the missing eighth value in each of the lower neighbors just mentioned.

Striking tonal events include the reemergence of $G\flat$ (m. 106) from F (a 5- $\flat 6$ motion above $B\flat$); $G\flat$'s conversion to $G\sharp$ or $\sharp 6$ (m. 109); and dual motions to main tone F and to seventh $A\flat$ (m. 111). (See Example 4.16.) The recurrence of $G\flat$ beautifully recalls two prior 5- $\flat 6$ motions above $B\flat$ in the sphere of the tonic $E\flat$, those beginning in mm. 24 and 44 (Example 4.13b). The deflecting $G\flat$ in m. 106, like its predecessors, leads back, via $B\flat$ harmony, to $E\flat$ (mm. 111-113), but this last $E\flat$ (unlike the $E\flat$ s in mm. 32 and 66) is clearly IV within the key of $B\flat$. Only after $G\flat$ and $E\flat$ are explicitly shown to submit to $B\flat$'s structural power, can a well-formed theme coincide with arrival at the structural V.

Salzer's *Seitensatz* (mm. 116-139): Is this the real thing?

If there is a theme in this exposition that could be described as a *Seitensatz*, this is it. The buildup provided by the preceding cadential phrases, particularly through the crescendo and tremolos in the last one, contributes to some sense of arrival with the resolution into m. 116. There seems to be some stability in the new material: sustained prolongation of the local tonic, through a I-V₅⁶-I progression and a cadence, is set forth with regularity of harmonic rhythm--each harmony is prolonged for two bars. Yet one has the distinct sensation of having missed the main event, of having waited for something that passed without notice. And this is because the "theme" at m. 116 is not typical of conventional second subjects but more so of Schubertian third subjects.

In his monograph *The Rhythms of Tonal Music*, Joel Lester loosely characterizes the kinds of phrases one finds in sonata form. For example, he finds that "the themes that announce each of the key areas in the exposition . . . are more often than not presented in discrete phrases, as opposed to transitional, conclusive, or developmental passages that feature more continuous music and eliding phrases." But he adds that, while it is difficult to generalize about phrase structure in most of the form's constituent sections, such as first groups or transitions, it is possible to generalize about the phrase structure of second theme groups. This is because a conventional second theme group must establish a new key yet prevent

premature closure in that new key. These requirements, according to Lester, yield predictable phrase structures:

In order to fulfill these roles, second theme groups, whatever their length or the number of themes, tend to begin with phrases or a period with extensions or elisions delaying the cadence of the consequent phrase. Later in the second theme group is usually a series of ever-shorter cadential phrases, each eliding with the next. The opening phrases establish the new key without necessarily cadencing in it conclusively; the later elisions and reiterated cadences project the finality of the section but hold off the final resolution until the end.⁴⁸

In other words, one expects a second group to begin with an antecedent (or forephrase) and to continue with an open-ended consequent (or afterphrase); this consequent elides into shorter, similarly elided cadential phrases.

The portion of the Trio's exposition that best conforms to Lester's description of a second group is the transitional group with its cadential phrases: 1) The thematic portion of the group (mm. 50-84) is composed of discrete eight-bar blocks, the first four bars of which form a mini-forephrase prolonging one harmony.

⁴⁸See Joel Lester, *The Rhythms of Tonal Music* (Carbondale and Edwardsville: Southern Illinois University Press, 1986), pp. 229-230. Lester discusses the first movements of Beethoven's Piano Sonata Op. 14 No. 2, Mozart's Piano Sonata K. 545, and Mozart's String Quintet K. 515 to illustrate his observations on second groups. In subsequent discussion of later expansions to the form, Lester holds that Beethoven preserved a "single overarching structure" in his middle-period movements, despite expansion of the form; however, Lester names Schubert as a composer who failed to preserve an overarching structure in movements where "the dimensions of each individual section were expanded until those sections began to take on a form of their own" (p. 236).

(Admittedly, however, these blocks seem to be a series of modulating consequents that have each been robbed of their antecedents.) 2) The thematic portion of the group does not end conclusively, but is elided into a series of similarly elided (though ever-longer) cadential phrases.

Rhetorical ambiguity befits an exposition whose structural dominant is in the process of evolving. And the theme beginning at m. 116 is rhetorically elusive, seemingly both an ending and beginning phrase. (It is functionally similar to the E-major material in Beethoven's A-major Sonata Op. 2 No. 2, first movement; this E-major material, which sounds like closing material, is preceded by more thematic material in E minor.) There is reason to consider this the initiating theme of a third group, for this theme has certain commonalities with initiating third-group themes examined elsewhere in this paper, such as the Octet's C-major theme (beginning at m. 90) and the Bb's Sonata's F-major theme (beginning in m. 80): 1) all three themes are formed from a period whose second phrase echoes the first; 2) each period's echoing second phrase expands a first phrase formed from simple progressions that stay close to their local tonics; 3) each period's constituent phrases are approached through elision rather than by caesura; 4) these themes have running accompanimental figuration that give them rhythmic homogeneity--that is, they eschew Schoenbergian "liquidation" characteristic of a "sentence"; 5) these themes are all succeeded by retrospective codettas--in the

Trio (m. 140) and B $\flat$ Sonata (m. 99), these codettas have nostalgic and summarizing qualities with similar affective functions.

The would-be *Seitensatz* (a label that I will use for convenience) retraces familiar territory in each of its near-identical phrases (description of the first phrase will serve for both):

- 1) The pianist's accompaniment begins with double-neighbor motion around B $\flat$ and continues by tracing the rising third B $\flat$ ¹-c²-d² in mm. 116-120, a third familiar from the cello's theme in mm. 16-22. (Compare Examples 4.13b and 4.17.) The melodic ascent of a third is supported in the bass by B $\flat$ -A $\natural$ -B $\flat$. As shown in Example 4.17, this supporting motion inaugurates a middleground shift of emphasis in the bass from B $\flat$'s upper neighbor C $\flat$ (onset of the transitional group) to its lower neighbor A $\natural$ (*Seitensatz* and codetta), associatively completing a double-neighbor configuration around B $\flat$.
- 2) The strings adumbrate the opening fanfare: in mm. 116-120 they fill the octave spaces between successive B $\flat$ s by means of a scale bisected at the fifth F, suggesting the fanfare's arpeggiated descent from e $\flat$ ³ to e $\flat$ ². (The strings' disparate entries continue an antiphonal texture established in mm. 24-30 and characteristic of the phrase preceding the *Seitensatz*.)
- 3) The embellished triad B $\flat$ ¹-d²-g²-f² traced by the violin in mm. 120-124 suggests the fanfare's opening sixth. Furthermore, it brings to the surface two preceding suggestions of the same configuration: in the previous phrase's melodic line, B $\flat$ ¹-

(db^2)- $d\sharp^2$ - g^2 - f^2 (in mm. 104-113, see Example 4.16); and, on a much larger scale, crossing the exposition, $b\flat^1$ (mm. 1/32)-- d^2 (m. 84)-- g^2 - f^2 (mm. 112-113). (See Example 4.12b.) The fact that these transformations occur, for the first time in this exposition, within the context of a stable diatonic prolongation of $B\flat$ (without chromatic deflection), seems to lend the material some structural weight. Yet this diatonic simplicity is not a hallmark of Schubert's initiating third-group themes.

It is also possible to view the theme at m. 116 as a fourth cadential phrase, whose relative stability brings the transitional group to a satisfying *close* rather than launching a new departure. Indeed the phrase's antiphonal entries continue a texture characteristic of the previous phrase; and its opening double-neighbor configuration around $B\flat$ (piano), scalar motion (strings), and embellished triadic outline (violin) rework melodic gestures featured in the previous phrase. This view invites examination of the differences between the Trio's theme and those purportedly analogous third-group themes from the Octet and $B\flat$ Sonata mentioned above. For instance, the Trio's theme is preceded by cadential phrases *already* prolonging V; by contrast, the respective themes that initiate closing groups in the Octet and $B\flat$ Sonata themselves initiate prolongation of V. Also, the Trio's theme, although extended by reiterated cadences (mm. 132-139), is short-lived, and its second echoing phrase is not internally expanded by means of motivically inspired chromatic excursions. The themes cited in the Octet and $B\flat$ Sonata, however, are distinguished by chromatic expansions to their second

phrases, expansions which add complexity and length. However, most detrimental to the initiating potential of the theme at m. 116 is the prominent articulation at mm. 138-139, where a virtual cessation of activity prepares the codetta theme. (An analogous articulation occurs before onset of the development.) If the theme at m. 116 is an initiating theme, why does it come to a complete halt so soon after it begins?

As with other three-group expositions by Schubert, in the Trio formal articulations obscure tonal articulations: most listeners (as, for example, Maurice Brown and presumably Alfred Einstein)⁴⁹ probably find the articulation at m. 48 more prominent than the one at m. 66 or the one at m. 115; indeed a formal articulation of strength comparable to the one at m. 48 does not occur until the halt before the codetta. The Trio exposition, though, is unlike others, such as the Octet and B♭ Sonata expositions, in the way it obsessively courts the dominant.

Codetta and linking phrase (mm. 140-194)

The codetta's summarizing opening theme (mm. 140-156) emerges as a well-formed distillation of past thematic entities. This impression results in part from the evolutionary and complex nature of the preceding material, closed off by the marked caesura before the codetta's onset. By contrast, the codetta theme's

⁴⁹See *Schubert: A Critical Biography*, p. 278, and *Schubert: A Musical Portrait*, p. 279.

homophonic texture, balanced melodic contour (ascent and descent of a third), and symmetrical phrase structure give it a simplicity and poise that seem transcendent after the exposition's previous labors.⁵⁰

The codetta theme recaps past motivic preoccupations: for example, as observed by Maurice Brown, it unites the rhythm of the movement's opening fanfare with the opening pitches of the theme at m. 16.⁵¹ Brown's observation points toward a gradual reemergence of the opening fanfare's rhythm, evident in mm. 92-93, 120-121, 128-129, and in the codetta. Also, the codetta theme reworks melodic ideas from previous phrases, especially the *Seitensatz*: it begins with neighbor-note activity around B $\flat$ and continues by ascending a third from B $\flat$ to D; this ascent is supported in the bass by lower-neighbor configuration B $\flat$ -A $\natural$ -B $\flat$; and in the inner voice, F is embellished by upper neighbor G $\flat$ (and G $\natural$).

The codetta theme has its own large cadential peroration (mm. 156-173), which is itself extended by cadential formulae (mm. 173-181). This passage draws directly from the transitional group's quasi-thematic cadential phrase at mm. 99-116, and thus suggests a rhyme between two end-stages of the exposition. (A similar,

⁵⁰During discussion of Schubert's "Letzte Hoffnung" (p. 220 and n. 29 in this chapter), I suggested the possibility of a quasi-programmatic association in Schubert's instrumental works between major-mode homophonic sections such as the codetta theme and resignation in death.

⁵¹*Schubert: A Critical Biography*, p. 278.

though not precisely analogous, rhyme occurs in the Octet--cf. mm. 71-90 with mm. 110-116 and 123-132.) In other words, if this material ends the entire exposition, then perhaps it also ends the transitional group; this argues for granting of initiating status, if not *Seitensatz* status, for the theme at m. 116. The codetta's peroration replaces the earlier cadential phrase's two-bar staggered entries with two-beat cross rhythms, quickly filling the octave spaces from B♭ to b♭¹ in mm. 156-160. (Bass accents tend to occur on the same pitches in both phrases.) When the new phrase digresses (mm. 161-166), it moves to V₄⁶-₃⁵ of D major, rather than to G♭ (Example 4.17). This is a reference to the prominent D-major V in mm. 92-95. (It will be seen that in this exposition, B♭ tends to move up a third to D or down a third to G♭.) The new digression permits bass-line emphasis on neighbor note A♯ (evident in the preceding *Seitensatz* and codetta themes), as well as reinterpretation of G♭ as F♯.

A few words must be said regarding melodic organization in the codetta as a whole. As shown in Example 4.17, the codetta theme's outlined third B♭-D is subordinate to f², held in memory since its sounding in the *Seitensatz*. This f² persists covertly until it resurfaces in m. 167 of the codetta's peroration, whereupon it makes a structural descent: f²-e♭²-d²-c²-b♭¹ (mm. 167-173). The peroration is thus an integral part of the movement's deep middleground structure, and must be viewed as inseparable from the preceding material. This holds true despite the strength of the articulation preceding the codetta, and

despite the rhetorical nature and label attributed to the codetta. A compelling reason for this view will emerge during later discussion of the recapitulation.

It is now possible to continue discussion (see pp. 42-43) of motivic linkages between the exposition's phrases and sections that persist despite disparate structural functions and transformational activity:

- 1) Most audible is the beginning of both initiating and subsidiary melodic units on a B $\flat$ embellished by foreground neighbor notes. As shown in Example 4.14, this occurs in the principal group in phrases beginning at mm. 16, 36, and 42; even the opening fanfare, though prolonging E $\flat$, embellishes B $\flat$. It is also evident in one of the transitional group's cadential phrases (bass line beginning at m. 99 and upper line beginning at m. 104); in the *Seitensatz* (mm. 116 and 124); and in the codetta (mm. 140 and 148 and bass line beginning at m. 156).
- 2) As shown in Examples 4.13b, 4.16, and 4.17, there is a related melodic tendency to rise a third from B $\flat$ to D through, or just past, the first half of a section or phrase: this is most clearly evident in the cello theme (mm. 16-22); in the piano accompaniment to the *Seitensatz* (mm. 116-120 and 124-128); and in the codetta (mm. 140-144 and 148-152). Related configurations are the pianist's rise of a third in mm. 90-92 and drop of a third from B $\flat$ to G $\flat$ in mm. 36-38 and 42-44. Thirds and sixths, derived from the arpeggiated opening fanfare, permeate the entire tonal fabric.

3) Another commonality between phrases is the featuring of F with its alternative upper neighbors G $\flat$ and G $\sharp$. The use of 5- $\flat$ 6 motion above B $\flat$ and the deflecting role of G $\flat$ in the principal group has already been discussed in some detail. (In the transitional group, mm. 50-57, F $\sharp$ -G $\sharp$ form 5-6 motion over B $\sharp$.) With the approach to and arrival of structural V in the transitional group's third cadential phrase (mm. 99-116) and the ensuing *Seitensatz*, F, embellished by G $\sharp$, takes on melodic rather than inner-voice significance. (Part of the *Seitensatz*'s structural weight emanates from its tonal normalcy, as evidenced by F's diatonic embellishments in mm. 112, 121, and 129.) However, with the codetta, F once again goes underground, where its embellishment by both G $\flat$ and G $\sharp$ is a symptom of ongoing conflict. G $\flat$ is barely tamed by its reinterpretation as F $\sharp$ within the codetta's cadential peroration.

The codetta's two connecting links (mm. 182-186 and 182-194), the first with the repeated exposition and the second with the development, seem most directly derived from the movement's beginning: in mm. 2-4 the configuration $b\flat^2-c^3-b\flat^2-g^2-e\flat^2$ and in mm. 8-11 the configuration $b\flat^2-b\sharp^2-c^3$ suggest the rise from B $\flat$ to C and the subsequent descending thirds that occur in the codetta's linking phrases. (See Example 4.18.) Of course chains of descending thirds occur throughout the exposition, especially in the approach to and in the bass line of the transitional group.

Development

Overview

This development expounds upon the preceding codetta theme, restating and expanding it in three transposed blocks. These blocks, emanating from the structural dominant B♭, occur on bass tones B♭(C♭) (mm. 195ff.), F♯(G♭) (mm. 247ff.), and C♯(D♭) (mm. 299ff.) and form two ascending fifths. The juxtaposition of the exposition's ending statement of the codetta theme (and suffix) in B♭ with the development's opening statement of the theme in B♭(C♭) revisits, most strikingly, the B♭-B♭(C♭) motion binding the exposition's principal and transitional groups (see mm. 34-48).

As shown in Example 4.19, bass C♭ (m. 195) is a large-scale neighbor note to structural B♭; D♭ (mm. 299) is a subordinate passing tone en route to inner voice D♭ above the returning structural B♭ (mm. 337). (The statement of the codetta theme on F♯/G♭ beginning at m. 247 is subordinate to the surrounding statements on C♭ and D♭.) The upper voice descends a third from f² through an implicit e♭² to d♭². In a similar reading, Irene Montefiore Levenson confers large-scale neighbor-note status upon the prolongation of C♭ at the beginning of the development; however, she does not differentiate, in terms of structural rank, between the codetta theme's statements on F♯(G♭) and C♯(D♭), and consequently she doesn't draw an explicit linear connection between the

development's opening B $\natural$ (C $\flat$) and its returning structural B $\flat$.⁵² Nevertheless, Levenson's reading is sound in that it reembodies the B $\flat$ -C $\flat$ -B $\flat$ ($\hat{5}$ - $\flat$ $\hat{6}$ - $\hat{5}$) motivic idea underlying the principal and transitional groups of the exposition. Its location of a large-scale embellishment at the beginning of the development emphasizes the formal articulation between the exposition and development.

Close examination of the development will reveal that it integrates features from various stages of the exposition (in addition to the codetta theme), especially features of the transitional group. Each of the three transitional blocks in the development's foreground is composed of four phrases (see Example 4.20):

- 1) Each block begins with a statement of the codetta theme that is analogous to the homophonic, major-mode statement in B $\flat$ at the end of the exposition. These statements occur (that is, are notated) on B $\natural$ major (mm. 195-203), F $\sharp$ major (mm. 247-255), and D $\flat$ major (mm. 299-307). While recreating the exposition's rhetorical ending, these statements now behave as assertions or theorems, prompting subsequent argument and elaboration.
- 2) The argument ensues with a rhapsodic and tonally volatile version of the codetta theme that immediately states its disagreement by beginning in the minor mode of the previously prolonged major-mode harmony; then, by means of 8-10-8

⁵²See *Motivic-Harmonic Transfer in the Late Works of Schubert*, pp. 119-121 and Example 2.15. Also, Levenson's Example 2.15 shows the development's structural dominant as returning in m. 329; I believe that B $\flat$ does not conclusively return until m. 337.

alternation, both bass line and soprano move up a minor third. Thus B $\flat$ -minor harmony moves to D-major harmony (mm. 205-212); F $\sharp$ -minor harmony moves to A $\flat$ -major harmony (mm. 257-264), and C $\sharp$ -minor harmony moves to E $\flat$ -major harmony (mm. 309-316). This rhapsodic argument reintroduces the triplet accompaniment and antiphonal string writing encountered in the exposition's *Seitensatz* (mm. 116ff.).

3) The rhapsodic argument continues, once again beginning on the minor mode of the previous major harmony and once again rising, by means of 8-10-8 alternation, a minor third. Thus D-minor harmony moves to F-major harmony (mm. 213-220), A $\flat$ -minor harmony moves to C-major harmony (mm. 265-272), and E $\flat$ -minor harmony moves to G-major harmony (mm. 317-324). Taken together, the two stages of the rhapsodic theme in each transpositional block traverse two minor thirds or a diminished fifth. (The first three subphrases in each respective transpositional block are based upon pairs of four-bar units, although the first subphrase or unvarnished codetta theme is expanded by one-bar overlap and one-bar extension.)

4) Upon arrival at the upper member of each respective diminished fifth, the argument intensifies and reaches temporary or final solution with a contrapuntally and hypermetrically complex passage. (In the first two transpositional blocks this passage consists of three eight-bar subphrases plus a two-bar extension.) Here staggered entries of a motto-like quasi-double-neighbor configuration are tossed

between the piano and strings at two-bar intervals.⁵³ This tug of war recalls a similar struggle in the exposition's pre-*Seitensatz* phrase (mm. 99-115). In the last phrase of the first two transitional blocks, the triadic goal of the previous phrase (F in m. 220 and C in m. 272) is spun out as a dominant seventh chord and an apparent dominant ninth chord (F-A-C-E $\flat$ -G $\flat$ in mm. 229-235 and C-E-G-B $\flat$ -D $\flat$ in mm. 281-287); the ninth chord drops its root to form a diminished seventh chord (F $\sharp$ -A-C-E $\flat$ in mm. 237-238 and C $\sharp$ -E-G-B $\flat$ in mm. 289-290)--this process is perceptible through comparison of, for example, the bass line F $\flat$ -A-C-E $\flat$ -G $\flat$ in mm. 233-235 with the imitating soprano line F $\sharp$ -A-C-E $\flat$ -G $\flat$ in mm. 235-237; finally, the diminished seventh chord is inflected by semitone to form a minor triad (F $\sharp$ in mm. 239-240 and C $\sharp$ in mm. 291-292). The newly suggested respective goals, F $\sharp$ and C $\sharp$, are subsequently confirmed by motion to their respective dominants C $\sharp$ and G $\sharp$ (A $\flat$); thus these blocks conclude with applied dominants leading to the next block's opening harmonies.

In his monograph "Die Sonatenform bei Franz Schubert," Salzer discusses the Trio's development in some detail. (As will be noted later, his view is rather a critical one.) When describing the development's first transpositional block, he comments that the "modulation" from F $\flat$ to F $\sharp$ (at the end of the block) is a

⁵³In my description (p. 228 in this chapter) of the cello theme beginning in m. 16, from which the codetta theme is derived, I have already asserted that the motion from a main tone to its upper third and back is a "quasi-neighbor-note motion." Incidentally, does the opening theme of Mendelssohn's D-minor Piano Trio owe something to Schubert's motto?

chromatic one in which the intervening V^7 on $F\sharp$ breaks up parallel octaves that would otherwise occur between them (p. 116). While Salzer's statement is correct, I believe that chordal seventh $E\flat$ undergoes a more complicated process than Salzer suggests. In Example 4.21 I show Salzer's voice-leading illustration (his p. 116) for this passage as the result of a chain of events in which $E\flat$'s original function as a passing tone between F and $D\flat$ is increasingly hidden through elaboration and convenient notation. The parallel motion between $F\sharp$ and $F\sharp$ is scarcely concealed, despite a thickly doubled texture, by the intervening dominant and diminished harmonies; but this parallel motion is mitigated because common tone $A(B\flat\flat)$ is retained throughout the progression; because of the underlying F - $E\flat$ - $D\flat$ passing motion; and because the chain of thirds that serves as the progression's engine has motivic salience.

The third transpositional block diverges from the path taken by the previous two in order to reach structural V . (If this block had not diverged from the previous two, $G\sharp$, the diminished fifth above $C\sharp$, would proceed to $G\sharp$ and its dominant $D\sharp$, thus preparing for a fourth block beginning on $G\sharp/A\flat$! But prolongation of this key is reserved for the recapitulation.) The third block's divergence begins with the onset of the block's last phrase: here the motto begins in G minor rather than G major (mm. 325ff.), signaling that G will not be spun out as a local V^7 . Instead, G -minor harmony is expanded through statements of the motto on each member of its triad, that is, on G -minor (mm. 325-328), $B\flat$ -major (mm. 329-332),

and D-minor (mm. 333-336). The D-minor statement, which arises from implied bass passing tone A $\sharp$, corrects the D $\flat$ prolongation occurring at the beginning of the third transpositional block, and, by providing B $\flat$'s diatonic upper third, leads smoothly to the structural V in m. 337. (The reference to D minor here is related to the prolongations of D major in the exposition, mm. 92-95 and 161-166; in the development, chromatic tone F $\sharp$ is corrected out.)

Relationship between the development and the exposition's transitional group

The relationship between the development and the exposition's transitional group is manifest more through tonal association and voice leading than through thematic congruence. On the largest scale, both sections begin on a B $\sharp$ (C $\flat$) that emanates from B $\flat$ via 5- $\flat$ 6-5 alternation. (See Example 4.12c-d.) This large-scale tonal association signals the existence of shared features manifest closer to the surface, most importantly shared middleground bass motion by third.⁵⁴ (For convenience, ensuing discussion of the development will describe the first transpositional block, with the understanding that the relationships mentioned are replicated in the two subsequent transpositional blocks.) (Compare Examples 4.15 and 4.20.)

⁵⁴In my Chapter 2 on the first movement of the D-minor Quartet, pp. 115-116, I discuss commonalities between the exposition's transition and the development section. These sections traverse a middleground chain of thirds, A-F $\sharp$ -D-B $\flat$ -A, which elaborates a large-scale neighbor-note motion, A-B $\flat$ -A. Middleground chains of thirds thus link transitions and developments in both the D-minor Quartet and the E $\flat$ Piano Trio.

1) The first section of the transitional group and the development. As described earlier, in the transitional group's opening phrase-pair (mm. 50-57 and 59-66), the bass descends two major thirds, or an augmented fifth: B (minor)--G (major)/G (minor)--E $\flat$. (In the middleground, however, the group's opening bass tone B $\sharp$ [C $\flat$] resolves to B $\flat$ above E $\flat$ in m. 66.) In the development, after the initial phrase prolonging B major, two eight-bar phrases ensue (mm. 205-212 and 213-220), each of which features bass ascent of a minor third: B $\sharp$ (minor)--D (major)/D (minor)--F (major). Thus the bass motion featured in the transitional group's first section is reversed (with respect to direction and quality) in each transpositional block (first three phrases) of the development: that is, two descending major thirds are countered by two ascending minor thirds. (Bass motion by third occurs mostly within four-bar units in the transitional group and within eight-bar units in the development.)

2) The second section of the transitional group and the development. After m. 66, the transitional group's design changes and, in the foreground, the bass ascends by third: C-E $\flat$ in mm. 67-75 and E $\flat$ -G-B $\flat$ in mm. 75-83. (In the middleground, however, this section is animated by 5- $\sharp$ 6-(5) motion above the E $\flat$ of m. 66.) Thus the bass line in this section loosely resembles that of the development's transpositional block, which also ascends by third. Not surprisingly, these passages follow similar voice-leading paths. In the transitional group, the initiating bass tone in each third drops a step; this step supports a pivot chord (substitute for an applied V) that leads to the third above the initiating bass tone.

So, for example, C drops to B $\flat$ and B $\flat$ leads to E $\flat$ (mm. 70-75). Something similar occurs in the development, where, for example, B $\sharp$ (C $\flat$) drops to A $\sharp$ (supporting an applied V) and this A $\sharp$ leads to D (mm. 205-212). (See Examples 4.15 and 4.20.)

The relationship between the transitional group and the development is also manifest on the musical surface. For example, both sections feature a schizoid juxtaposition of major and minor modes. In the transitional group's first section, a G-major triad that serves as the end point of one phrase (m. 57), is recast as a G-minor triad at the onset of the next phrase (m. 59). In the group's second large section, the tonic-major triad is twice inflected to become C-minor harmony as a function of 5- $\sharp$ 6 motions above stationary bass E $\flat$ (see mm. 66-67 and mm. 75-77). In the development, as in the transitional group's first section, the major-mode end-point of one phrase is inflected to begin the next phrase in minor: the opening phrase's prolongation of B $\sharp$ major (mm. 195-203) is followed by a second phrase beginning in B $\sharp$ minor (m. 205); and the D-major harmony at the end of the second phrase (m. 212) is inflected to begin a third phrase with D-minor harmony (m. 213).

Finally, both the transitional group and development contain two-bar buffers, though these are a more persistent feature in the former section, where they separate every eight-bar phrase, than in the latter section, where they occur only

to separate the unvarnished restatement of the codetta theme from the ensuing rhapsodic argument and to separate respective transpositional blocks (see, for example, mm. 203-204 and 245-246). Through association it now seems evident that these two-bar buffers are related to the imitative entries at two-bar intervals found in the exposition's intervening *Seitensatz* (mm. 116-138).

Most fundamentally, the relationship between the transitional group and the development is both tonal and affective: both begin on a motivically salient chromatic neighbor note which represents a "wrong turn." (As I will discuss later, a similar correlation between an exposition's middle group and its development exists in other movements by Schubert examined in this paper.) That this "wrong turn" carries programmatic import, is an argument I pursue in my concluding chapter.

Retransition (mm. 337-384)

Although this retransition is not as spectacular as those in the Octet and B $\flat$ Piano Sonata, it is, nevertheless, quite wonderful. It falls into two broad areas, mm. 337-355 plus extension (mm. 355-365), and mm. 365-384. (See Example 4.20.) In the first area, two alternating arpeggiated harmonies (V⁷ and a diminished seventh chord on D that sits above an implicitly retained B $\flat$) are tossed, through imitative

entries at two-bar intervals, from piano to strings--this continues the harmonic and imitative fabric established at the end of each transpositional block; in the second area, the arpeggiated harmonies take on a contour more closely related to the approaching principal theme and the imitative entries through which these harmonies are prolonged now occur at four-bar intervals. It is at this juncture that one can appreciate the gradual transformation, in each of the development's transpositional blocks, of the codetta theme, which traverses one third; into its rhapsodic elaboration, which traverses two minor thirds; into the seventh-chord arpeggiated formations at the end of each block; and, finally, into the directional reversal of these arpeggiations and their evocation of the principal-theme fanfare in the retransition. (See Example 4.22.) The retransition, however, is even more remarkable for its repeated allusions, featured throughout its texture, to B $\flat$'s motivically salient neighbor notes C $\flat$ and A $\flat$ /A $\sharp$. (Although one would expect structural V's chordal seventh A $\flat$ to be the melodic focal point in the retransition, here C $\flat$ is more prominent, especially after m. 365. The allusions to A $\flat$, though, substitute for the "missing" transpositional block beginning on A $\flat$ that might have occurred if the development's sequence had been continued.) The combination of this motivic feature with evocation of the principal theme lends the retransition considerable power.

Critical response to this development

This development lacks the thematic variety and retransitional dramatic coup found, for example, in the developments of the Octet and B♭ Sonata. And it has received its share of unfavorable criticism, notably by Tovey and, as mentioned earlier, by Salzer. In his essay "Franz Schubert," Tovey holds that, in general, a Schubertian development is "already at an almost hopeless disadvantage . . . because his exposition will have already digressed into developments of its own." Tovey then criticizes redundancy in Schubert's developments, ascribing this redundancy to Schubert's youthful misappropriation of Beethovenian practice:

His [Schubert's] best developments are in themselves magnificent; but he has in some four or five cases committed an indiscretion which is a characteristically youthful result of the impression made upon him by the first movement of Beethoven's 'Eroica' Symphony, the development of which produces a brilliant cumulative effect in its earlier stages by reproducing its first topic in another key after an energetic different line of argument has been worked out. This procedure Beethoven handles so tersely as to give a feeling of enormous breadth to a development elsewhere crowded with other matters; but when Schubert decides to resume his first topic in this manner, he has no room for much beyond a plain transposed reproduction of the two pages of argument it has already cost him (p. 124).

Presumably Tovey considers the development of Schubert's E♭ Trio to be one of the four or five cases of youthful indiscretion influenced by the "Eroica" (although the Trio is a "late" work in Schubert's short career), for he describes the Trio's development within the same paragraph cited above, remarking that "the most notorious of Schubert's developments is that in the first movement of the E flat

Trio; [*sic*] where he goes over his argument, itself a cumulative slow crescendo, three times." It behooves one to assess Tovey's reference to the "Eroica."

As Example 4.23 (from Schenker's analysis of the "Eroica") shows, this development begins with motion from B $\flat$ to B $\sharp$ (mm. 152-156) and subsequent prolongation of B $\sharp$, including a brief allusion to the exposition's bridge theme on G (mm. 166-178). This is followed by varied statements in the celli and basses of the movement's principal theme: transient statements on C minor (m. 178) and C $\sharp$ minor (m. 182) lead to more substantial statements on D minor (m. 186) and G minor (mm. 198), all as part of a larger opening section leading from the structural dominant to E $\flat$ (mm. 152-220). With arrival at E $\flat$ (m. 220), the bridge theme returns. Thus Tovey considers the development's "first topic" to be the bridge material presented over G in mm. 166ff., material later "reproduced in another key" over E $\flat$ in mm. 220ff.⁵⁵ The motto-like entries of the movement's principal theme in mm. 178ff. qualify as Tovey's "energetic different line of argument" rather than as a "first topic," despite the way in which the preceding bridge material over G functions as an applied dominant leading to the weightier principal-theme material on C.⁵⁶ Whether or not one agrees with Tovey's "first

⁵⁵Webster, "Schubert's Sonata Form," n. 28, p. 31, interprets Tovey similarly.

⁵⁶Of interest too is the section spanning mm. 152-186, where there is a stepwise bass ascent from the structural dominant--B $\flat$ -(B $\sharp$)-C-(C $\sharp$)-D--and where C (m. 178), C $\sharp$ (m. 182), and D (m. 186) coincide with statements of the same (principal) theme. This brief part of Beethoven's development approximates a microcosm of Schubert's in entirety.

topic" characterization here, it is possible that the bridge theme's non-adjacent statements on different keys influenced Schubert in the E $\flat$ Trio. Yet, Schubert's development diverges from Beethoven's in that Schubert's first-topic reiterations are lengthy and span virtually the entire development, prompting Tovey's remark that "even here what is wrong is not the scheme in itself, but the impossible scale on which it is worked" (pp. 124-125).

Salzer's outlook on Schubert, as expressed in his monograph "Die Sonatenform bei Franz Schubert," has been discussed elsewhere in this study. (See Chapter 1, pp. 42-48.) As discussed earlier, his broad view is that Schubert's lyricism gives rise to thematic replication that is inimical to the improvisational impetus necessary to successful sonata composition. It is therefore not surprising that Salzer is appalled by the E $\flat$ Trio's first-movement development, one which relies chiefly on transposition of a large thematic block. His investigation into Schubert's developments begins with this one; after describing its transpositional sins, Salzer, like Tovey, compares Schubert's developments with Beethoven's, to Schubert's detriment. Salzer's comparison focuses on the first-movement development of Beethoven's Eighth Symphony. At its onset, this development features a bass descent, C-B $\flat$ -A, that is composed out by means of three phrases of equal length and of similar thematic content, though following disparate voice-leading paths: 1) C is prolonged in mm. 104-116; 2) C moves to B $\flat$ in mm. 116-128; and 3) B $\flat$ moves to A in mm. 128-140. Salzer stresses that, since the voice leading in each

phrase is distinct, "there can be no discussion here of a transposition of one and the same group, as with Schubert." He goes on to extol the brevity of Beethoven's three phrases, "whereby the driving force of the passing progression C-B $\flat$ -A is clearly expressed"; but more important to Salzer is the fact that the main portion of Beethoven's development begins *after* the three-phrase section described, so that the development does not depend heavily on transposed thematic blocks (p. 117).⁵⁷ Salzer acknowledges that even in Beethoven's developments, a thematic group may be repeated analogously on another harmony (*Stufe*); but he reiterates that such repetitions are always only a small part within a larger harmonic-developmental scheme, mentioning, as examples, the first-movement developments of Beethoven's "Eroica" Symphony and of Mozart's E $\flat$ -major Piano Quartet.⁵⁸ Finally, Salzer credits Schubert with originating the technique of using transposed thematic blocks to fill a development; but he concludes that Schubert's device, while new, is "completely unfruitful for the evolution of the form," resulting in stereotypical developments characterized by thematic monotony (pp. 117-118).

⁵⁷Tovey makes similar points about the "Eroica" development; see quotation on p. 259 in this chapter.

⁵⁸This Quartet has two suggestive features, in addition to its development's sequential design: 1) it opens (mm. 1-5) with a block-chord I-(I⁷)-IV-V⁷-I progression that suggests the opening of Beethoven's "Emperor" Concerto; 2) its second theme begins with an arpeggiated contour (mm. 28-30) that suggests the principal theme in Schubert's E $\flat$ Trio. This is not to claim that all Classical-period works in E $\flat$ are interrelated; yet, as a key associated with the French horn, E $\flat$ seems to carry with it certain chordal and arpeggiated gestures from work to work.

Despite the criticisms leveled by Tovey and Salzer, the development of Schubert's E♭ Trio is remarkable for its prolongation of motivically salient tones, including the initial prolongation of B♭(C♭); for its segment of the descending circle of fifths presented in reverse order (C♭-G♭-D♭), a segment that suggests generation of the chromatic scale from the circle of fifths; and for the retransition, whose contrapuntally elaborated allusions to C♭ and A♭/A♯ and evolving principal-theme configurations make a breathtaking preparation for the recapitulation. Tovey acknowledges this development's strengths when he says that in the E♭ Trio "there can be no doubt as to the magnificence of the harmonies and changes of key, not only from one moment to the next, but as an entire scheme" (p. 125).

Recapitulation

Overview

The recapitulation begins with a "double return" of the principal theme in the tonic. But the tonic prevails only briefly; in the first phrase's "counterstatement" (mm. 396-401) IV usurps the place of I, and the phrase ends on V of IV.

Thereafter, the recapitulation (up to m. 565) transposes intact the material of the exposition (from m. 16 to m. 179) a fifth lower (or fourth higher). To secure the

tonic at the end of the movement, the codetta (mm. 526-585) is expanded with new material (mm. 565-585) to prepare for a long coda (mm. 579-634). As shown in Example 4.24, the resulting transpositional plan yields a two-stage I-IV-V-I-V-I background progression: In the first stage, lasting until m. 502, a I-IV-V-I progression supports *Kopfton* $b\flat^2$ and a subsidiary descent from $b\flat^2$ to $e\flat^2$ -- $b\flat^2$ and $\natural II$ are emphasized in the transitional group, where they participate in 5- $b\flat^2$ -5- $\natural 6$ -5 motion above IV; in the second stage, occupying the rest of the recapitulation until m. 565, a I-V-I progression supports the melody's main tone and subsequent structural descent.⁵⁹

The Trio's recapitulation in relation to other works

The structural ramifications of the recapitulation's transpositional scheme center upon its large-scale prolongation of IV and middleground emphasis on $(b)\flat II$. The recapitulation's prolongations of IV and $(b)\flat II$ are connected to events in the recapitulations of Beethoven's "Emperor" Concerto (see pp. 203-204 in this chapter) and of Schubert's Octet and $B\flat$ Piano Sonata: the Concerto and Octet

⁵⁹A comparison of Examples 4.12c-d and 4.24a-b shows that melodic organization in the exposition and recapitulation, in their respective first stages, is not precisely analogous: the $e\flat^2$ -($e\flat^2/b\flat^2/d^2$)- $e\flat^2$ - d^2 - c^2 - $b\flat^1$ subsidiary line in mm. 1-116 emanates from the inner voice, whereas the $b\flat^2$ - $a\flat^2$ -($a\flat^2/g^2$)- $a\flat^2$ - g^2 - f^2 - $e\flat^2$ line in mm. 385-502 emanates from the *Kopfton*.

prolong IV within a background I-IV-V-I-V-I progression, and the Octet and Sonata emphasize (b)II at the onset of their respective middle groups.⁶⁰

The E♭ Trio and Beethoven's "Emperor" Concerto: Both recapitulations show a disjunction between formal three-partedness and an overriding two-stage tonic prolongation (I-IV-V-I-V-I). Their prolongations of IV span most of their principal and transitional groups, structurally superseding the remote keys with which their middle groups begin. (See pp. 203-204 in this chapter.) Thus, in the Concerto, despite the emphasis on C♯/D♭ as an embellishing "key" above A♭ at the beginning of the transitional group, bass A♭ nevertheless prevails until m. 423, when it rises through A♯ to B♭ as preparation for onset of the third group and return of the structural tonic.

The direct connection in the Concerto's recapitulation between A♭ and D♭ supports the existence of an indirect associative link between D♭ and A♭ across the Trio's development and recapitulation. In the Trio, as mentioned on pp. 253-254 in this chapter, the development's sequence by ascending fifth--C♭-G♭-D♭--would reach A♭ were it to continue; but A♭ is withheld until the recapitulation. Furthermore, the principal groups in the Trio's exposition and recapitulation are constructed upon incipient chains of fifths, with the upper two members in each

⁶⁰In the "Grand Duo," the exposition's prolongation of ♭VI is countered by prolongation of I♭ in the recapitulation.

chain embellished by chromatic upper neighbors: in the exposition, the chain of fifths is $E\flat-B\flat/B\flat-F$; in the recapitulation, the more complex chain of fifths is $E\flat/A\flat-E\flat/E\flat-B\flat$. These chains of fifths relate to the use of mode mixture and of the chromatic scale in this movement.

As mentioned on p. 203 in this chapter, $\flat II$ arises in the Concerto's restated third group, in the context of tonic harmony; this is in contradistinction to the role of $\flat II \flat$ in the Trio, where it arises in the context of subdominant harmony. Nevertheless, a connection between these uses may exist, despite disparate contexts.

The $E\flat$ Trio and the Octet. These movements are clearly related in several ways:

- 1) They respectively feature *Kopfton* $\hat{5}$ with its upper and lower neighbors in their opening melodic gestures.
- 2) They have bipartite principal groups that facilitate early modulation to IV in the recapitulation.⁶¹
- 3) Their expositions (in the middle group) harmonically emphasize the upper neighbor to $\hat{5}$, whereas their recapitulations (across the principal and transitional groups) harmonically emphasize the lower neighbor to $\hat{5}$, thus completing (associatively) the double-neighbor motive prefigured in the opening melodic

⁶¹See Webster, "Schubert's Sonata Form," pp. 33-34.

gestures of each work. (However, these respective prolongations of (b)VI and IV do not occur on analogous structural levels.)

4) Their recapitulations prolong the tonic by means of two progressions: the first, a I-IV-V-I progression, supports *Kopftón* $\hat{3}$; the second, a I-V-I progression, supports $\hat{3}$ and its subsequent structural descent. (Compare Example 3.10 with Example 4.24.)

5) Their middle groups feature (b)VI (expositions) and (b)II (recapitulations); these harmonies arise from contrapuntal 5-(b)6 motions above the locally prevailing bass, that is, above I and IV respectively. (Compare Examples 3.6 and 3.10 with Examples 4.15 and 4.27.) However, since these recapitulations prolong middleground (b)II within the context of "extra" background-harmony IV, their prolongations of (b)II are one structural level inferior to the corresponding prolongations of (b)VI (which embellish background I) in their expositions.⁶²

The E $\flat$ Trio and the B $\flat$ Piano Sonata. Their contrasting groups begin in the "key" of bVI $\flat$ (expositions) and in the "key" of bII $\flat$ (recapitulations). The Sonata exposition, like those of the Octet and Trio, alludes to (b)VI through 5-(b)6 motion above the tonic. However, the Sonata's recapitulation, unlike those of the Octet and Trio, prolongs background I without proceeding to background (#)IV

⁶²The structural inferiority of the recapitulation's middle "key" in relation to the exposition's is more dramatic when viewed with reference to the "sonata principle." See Cone, *Musical Form and Musical Performance*, pp. 76-87. That is, while a conventional exposition's second group is expected to depart from I, the recapitulation's is expected to reaffirm I. (See Chapter 3, p. 179, in this study.)

until the *end* of the middle group; therefore it alludes to $\flat$ II as an upper neighbor to $\hat{1}$, rather than as neighbor note to the fifth above IV. Thus in the Sonata, the allusion to $\flat$ II occurs within the domain of I while *en route* to IV; in the Trio, the allusion to $\flat$ II occurs squarely in the domain of IV.

Despite its relationship to other works, the Trio is unique in the way the dominant evolves in its exposition. In its recapitulation, there is a corresponding and fascinating reemergence of the tonic from the subdominant that belies the deceptively simple transposition of much of the exposition's material.⁶³ This will become clear in the course of the ensuing detailed discussion.

Detailed view of the Recapitulation

Principal group (mm. 385-434)

A comparison of the exposition's and recapitulation's respective first phrases (mm. 1-15 and 385-401) reveals how artfully and economically Schubert causes the latter to veer from the path established in the former. (See Example 4.25.) The

⁶³Despite the recapitulation's transpositional plan, its evolution of the tonic is not precisely analogous to the exposition's evolution of the dominant. This is because $E\flat$ has already been legitimized as a key at the *beginning* of the recapitulation, whereas $B\flat$ is not legitimized as a key until the *middle* of the exposition. Thus $E\flat$'s journey in the recapitulation (after m. 402) should be characterized as a "re-evolution."

recapitulation's first statement (mm. 385-396) faithfully revisits the exposition's (mm. 1-12); but its overlapping "counterstatement" (mm. 396-401) recomposes and slightly expands the exposition's (mm. 12-15). The exposition's counterstatement of the movement's opening fanfare moves I-IV-I-V, tonicizing IV en route; this tonicization, accomplished via bass motion E $\flat$ -D $\flat$ -C in mm. 12-14, prepares the tonicization of A $\flat$ in the recapitulation.⁶⁴ The recapitulation's counterstatement has two overlapping subphrases (mm. 396-398 and 398-401):

- 1) The first subphrase moves from I to IV, tonicizing A $\flat$ via compressed bass motion E $\flat$ -D $\flat$ -(C)-B $\flat$ -A $\flat$ in mm. 396-398; there results a mini-cadence to A $\flat$, which now arrives on a downbeat--the arpeggiated fanfare, in the right-hand part, is curtailed.
- 2) The second subphrase, which remarkably integrates features from mm. 12-15 and 396-398, reconstitutes the I-IV-I-V progression of mm. 12-15, but with A $\flat$, rather than E $\flat$, as the launching "tonic." Here the right and left hands exchange roles, and the arpeggiated fanfare is restored in the bass.⁶⁵

⁶⁴In the Octet, similarly, numerous mini-tonicizations of B $\flat$ in the Adagio and exposition prefigure the recapitulation's prolongation of IV. (See pp. 180-181 in Chapter 3 of this study.)

⁶⁵The hypermetrical organization in the recapitulation's counterstatement is even more complex than in the exposition's (see pp. 223-224 and n. 37 in this chapter): mm. 396 and 398 are points of overlap, functioning as both subphrase endings and beginnings; each of these bars, though expected to be weak, functions as strong.

With the principal group's second phrase (mm. 402-434), the complexity of Schubert's recapitulation, notwithstanding extensive transposition from the exposition, emerges. For here the recapitulated principal group's transposed bifocalism comes into play: that is, after the group's first phrase ends *on* local V, its second phrase opens as if *in* local V, and the latter, which sounds like a I, is none other than pseudo-tonic E♭! With onset of the important cello melody (mm. 402-409), E♭ becomes the initiating melodic focal point, carrying with it lower-neighbor D and motion to upper-third G. (It will be recalled that, as shown in Example 4.14, melodic tone B♭ predominates throughout the exposition, where it tends to move up a third to D or down a third to G♭; as follows from transposition down a fifth, melodic tone E♭ predominates in the recapitulation, where it tends to move up a third to G or down a third to C♭.) The sequence growing out of the cello theme (mm. 410ff., shown in Example 4.26) arises from 5-♭6 motion above E♭ (akin to diatonic 5-♭6 motion above E♭ in mm. 388-389), so that tenths descend from e♭³ and C♭.⁶⁶ Yet these allusions to E♭ and its satellites are *not* tonics, but dominants of IV. It is not until the end of the second phrase's sequence and the "redominantized" E♭ harmony in m. 417 that the punning game becomes clear. (This game is clever enough in itself to warrant Schubert's transpositional plan.) Thus a struggling E♭ is temporarily subdued by

⁶⁶This descent from e♭³, and other melodic descents from E♭ launched in mm. 417, 422, and 428, as shown in Example 4.26, are related to earlier bass descents from E♭ in mm. 12-15 and 396-398, as well as to numerous similar lines to come later in the recapitulation.

A♭. After A♭ is reestablished in m. 418, its dominant (our would-be tonic) again seeks to assert itself. But now, as dictated by Schubert's transpositional plan, C♭ behaves as a V, thus leading to F♭ and the transitional group. This is a "wrong turn" that further erodes the status of E♭.

An advantage of the transpositional scheme in this recapitulation is that C♭ maintains a significant presence in the principal group, although here neighbor note C♭ is co-opted by A♭ to behave as local ♭[♮] above A♭'s dominant (m. 410) or to function as upper third within A♭-minor harmony (mm. 422-427). It is the recapitulation's central task to restore first A♭ and then C♭ to respective positions as neighbor notes gravitating to B♭ *within the domain of E♭*. This occurs in four complex stages: 1) In most of the principal group, A♭ holds sway, using C♭ for its purposes. 2) In the transitional group, cadential phrases, and *Seitensatz*, a corrupted C♭ is corrected out and replaced with C♯; also, in the *Seitensatz* A♭ gives way to A♯. 3) In the codetta (restated portion), C♭ reemerges within the sphere of E♭ while A♭ continues to recede. 4) In the codetta's new material and in the coda, bass A♭ (first supporting C♭, then C♯) resurfaces and moves to C♭ (supporting A♯), so that all of B♭'s potential neighbor notes converge symmetrically, resolving in tandem.

Transitional group (mm. 434-470)

As Example 4.27 shows, A $\flat$ is prolonged throughout most of the transitional group both harmonically and melodically. Bass A $\flat$ is perpetuated by the 5- $\flat$ 6-5- $\sharp$ 6-5 inner-voice motion above it: (F $\flat$)E $\sharp$ minor, the key in which the group opens, and F $\sharp$ are emphasized neighbor notes to E $\flat$.⁶⁷ At its onset, the recapitulation's transitional theme appears to prolong a species of tonic (E $\sharp$), though this "tonic" is really $\flat$ 2 (or $\flat$ 6 within the domain of IV), an imposter appearing where the tonic should be in a "law-abiding" recapitulation. It will remain for the coda to expose and correct out the E $\sharp$ /F $\flat$ imposter lurking at the head of the recapitulation's transitional group.

A transitional aspect of the Trio's middle group is the presence of C $\sharp$, where it serves as an enharmonic way station from E $\sharp$ /F $\flat$ to A $\flat$ (mm. 434-443-452) or as A $\flat$'s diatonic upper third (m. 452). C $\flat$, however, is suppressed. This signals the end of C $\flat$'s co-option by A $\flat$ and arrival at a new phase of the recapitulation, in which A $\flat$ will resume its normal role as $\hat{4}$ in E $\flat$.

⁶⁷Similarly, in the Octet's recapitulation, the extra "key" G (VI) emanates from F in the course of 5-6 motion above large-scale subdominant B $\flat$.

Re-emergence of I: three cadential phrases (mm. 470-502)

When E♭ arrives in m. 470, it is so weakly prepared and articulated (as was B♭ in m. 84) that the next three phrases are required to ensure E♭'s transformation from A♭'s upper fifth into a tonic, that is, *the* tonic. Despite straightforward transposition from the corresponding material in the exposition, certain features here are noteworthy for the way in which they operate both locally and within the context of the entire movement (see Example 4.28): In the second cadential phrase (mm. 476-484), the prolongation of C minor's dominant (and its foreground resolution) in mm. 478-481 shows that C♭ (principal group) remains replaced by C♯ in the evolving sphere of E♭; C♭ is reinterpreted as a B♯ that serves C♯ as leading tone. In the third phrase (quasi-theme, mm. 485-502), the reappearing C♭ in m. 490 leads back to A♭ (m. 498), but this A♭ harmony is clearly IV within the key of E♭. It is only when A♭ (supporting C♯) resumes its primary role, both locally and on the largest scale, as lower neighbor to E♭'s dominant, that the recapitulation's *Seitensatz* can achieve the structural tonic. Although C♭'s deflecting role in the principal group and beginning of the third cadential phrase is corrected by C♯ in the transitional group, at the end of the third cadential phrase, and in the approaching *Seitensatz*, C♭'s primary role as upper neighbor to E♭'s dominant remains to be restored.

Seitensatz (mm. 502-525)

As dictated by the recapitulation's transpositional scheme, each member of the phrase-pair (mm. 502-510 and 510-525) features triadic motion $e\flat^2\text{-}g^2\text{-}b\flat^2$ and embellishment of (*Kopftón*) $b\flat^2$ by diatonic upper neighbor $c\sharp^3$; neighbor note c^3 is supported in the bass by lower neighbor $A\flat$ as part of the diminished seventh chord $A\flat\text{-}C\text{-}E\flat\text{-}F\sharp$ ($G\flat$) ($\sharp IV$) that resolves to V. (See asterisk in Example 4.29.) It will be shown that this diminished seventh chord is a way station (associatively rather than through direct voice leading) between earlier diatonic subdominant harmony (mm. 398ff.) and later augmented sixth harmony $C\flat\text{-}E\flat\text{-}G\flat\text{-}A\flat$ (mm. 580 and 628), a way station that points ahead to a stage in the recapitulation where $A\flat$ and C cede to $C\flat$ and $A\flat$.

Codetta (mm. 526-585)

The theme (mm. 526-542) is followed by two concluding phrases, the first of which corresponds to the exposition's last-phrase peroration (compare mm. 542-565 with 156-179/181), and the second of which is new (mm. 565-585). The codetta, as follows from the recapitulation's transpositional plan, prolongs *Kopftón* $b\flat^2$, held in memory since its sounding in the *Seitensatz*; $b\flat^2$ persists covertly until m. 553, when it resurfaces in the first concluding phrase to make its structural descent: $b\flat^2\text{-}a\flat^2\text{-}g^2\text{-}f^2\text{-}e\flat^2$ (mm. 553-559). Thus the codetta's first concluding phrase is an integral and essential part of the movement's *background* structure. (The exposition's corresponding descent from f^2 belongs to the deep middleground.)

This view is supported by the fact that the recapitulation corresponds transpositionally to the exposition until the end of this peroration (m. 565), after which new material ends the movement.

Closer to the musical surface, the codetta theme opens with melodic ascent and descent of a third. This descent is first supported in the bass by a local I-VI $\sharp$ -II-V ^{7} -I progression (mm. 530-534); however, in the theme's second, more embellished, iteration the bass is varied, so that a chromatic descent E $\flat$ -D-D $\flat$ -C-C $\flat$ -B $\flat$ (mm. 534-541) replaces the earlier harmonic progression. (It is noteworthy here that a segment of the chromatic scale is explicitly derived from a circle of fifths beginning on $\hat{6}$.) This chromatic descent is richer in sonoric association than the corresponding descent from B $\flat$ in the exposition because it emanates from tonic E $\flat$. Example 4.30a-b and g shows a relationship between the later descent and two earlier bass descents from E $\flat$ in the counterstatements of the movement's respective principal groups: in both principal groups, E $\flat$ moves through D $\flat$ to C as a means of tonicizing A $\flat$; in the latter passage, A $\flat$ is a harmonic goal. But in the codetta, where B $\flat$, rather than A $\flat$, is the goal, A $\flat$'s potential dominant $\frac{4}{2}$ eschews A $\flat$, passing instead to C ^{7} and F; furthermore, C $\flat$ is a suggested alternative to C $\sharp$ as upper neighbor to B $\flat$, evidence that bass A $\flat$ is ceding its place to C $\flat$.

In the first concluding phrase, as transposition from the exposition dictates, E♭'s lower neighbor D is prolonged both in the bass and in the soprano, where it encloses a $V_4^6 - \frac{5}{3}$ progression in G (mm. 547-552); this prolongation of G's dominant is connected to the prolongation of G harmony in mm. 478-481. With the jolting drop in the bass of a third from D (V_4^6 of G) to B♭ (V_4^6 of E♭), an audible connection is made between inner-voice B♮ (m. 547) and B♭ (m. 553), one that furtively suggests the C♭-B♭ connection and directionally opposes the related motion from B♮ to C in mm. 478-481. (See Examples 4.28 and 4.29.)

The new concluding phrase (mm. 565-585) begins with a stepwise (natural minor) bass descent, E♭-(D♭)-C♭-(B♭)-A♭-(G♭)-G♭/C♭; G♭ falls to C♭, suggesting, though not recreating, the E♭-G♭-C♭ bass motion in the approach to the exposition's transitional group. (See Example 4.31.) This line sounds familiar because it recalls related lines from elsewhere in the movement (shown in Example 4.30) where A♭ and/or C♭ are emphasized.⁶⁸

1) bass descents from E♭ in the movement's two principal-group counterstatements (mm. 12-15 and 396-398) -- Like the counterstatements (Example 4.30a-b), the new material (Example 4.30h) gravitates to the subdominant, albeit to IV♭ (rather than IV♮) en route to ♭VI.

⁶⁸See pp. 228-229 in this chapter and Example 4.13b regarding descents from melodic tone B♭ in the exposition.

2) melodic descents from E $\flat$ in the recapitulated principal group's second phrase (Example 4.30c-f) -- These include the soprano line in the recapitulation's sequence of descending tenths--e $\flat$ ³-d $\flat$ ³-c $\flat$ ³-b $\flat$ ²-a $\flat$ ²-g $\flat$ ²-f $\flat$ ² (mm. 410-416)--almost the same line traversed in the bass of mm. 565-570 (Example 4.30h); and the arpeggiated descents in the recapitulation's approach to the transitional group (mm. 422-434).

3) the codetta theme's second-phrase bass descent from E $\flat$ to B $\flat$ (mm. 534-541 and Example 4.30g)

These descents from E $\flat$ may be viewed as filled-in segments of arpeggiated subdominant harmony that relate to the fanfare in mm. 1-2 and the invertible soprano and bass fanfares in mm. 396-398 and 398-400.

When C $\flat$ emerges from the linear bass descent prolonging IV $\flat$, it supports an augmented sixth chord (mm. 571-580) that, because it contains B $\flat$'s surrounding semitones, pulls most strongly and beautifully to the dominant. (Retrospectively, the foreground augmented sixth chords found throughout the movement's respective transitional groups are heard as precursors of the later, more important event.) The importance of this arrival is confirmed by the *fff* dynamic marking in m. 571 and by the restoration in the bass of the rhythm associated with the movement's opening fanfare. Indeed this augmented sixth chord and its resolution is a landmark progression in the movement for several reasons, most important of which is that it secures C $\flat$'s position as $\flat$ VI in the domain of E $\flat$. In so doing, it

resolves the subversive role of $C\flat$ in three past contexts: 1) at the onset of the exposition's transitional group, where it is the first serious, though unsuccessful, departure from $E\flat$; 2) at the onset of the development, where it passes through $D\flat$ to $D\sharp$ before returning to $B\flat$; and 3) in the recapitulation's principal group, where it twice serves $A\flat$ by deflecting away from $E\flat$. Furthermore, the augmented sixth chord in m. 571 corrects the motion from $C\flat$ to $F\flat$ (above $A\flat$) in the recapitulation's approach to its transitional group (mm. 422-435). In the new context, $C\flat$ harmony, rather than leading to the remote $F\flat$, now leads to V of $E\flat$; the harmless $F\flat$ harmony in m. 579 is merely a passing chord within $C\flat$ harmony.

Coda

The recapitulation fulfills its central tasks to restore $A\flat$ and $C\flat$ to large-scale embellishing roles respectively as $\hat{4}$ and $\flat\hat{6}$. It remains for the coda to address nontonic material from the exposition that was never restated in the tonic, in other words, the transitional group. (Schubert's codas often fulfill similar functions; see my discussions on codas in the D-minor Quartet, Chapter 2, pp. 130-133, and in the Octet, Chapter 3, pp. 183-185.) The coda presents transitional-group material, beginning, for the first time, in the key of $E\flat$ (major-minor). The contrast between $E\flat$ major (end of the recapitulation) and $E\flat$ minor (turn to and onset of the coda) is reminiscent of a similar contrast in Schubert's

song "Die Post" from *Winterreise*.⁶⁹ (See Example 4.32.) This song, in *ABAB* form, features the contrast between major and minor for dramatic reasons: the optimistic *A* sections, prolonging E♭ major, convey the outer world (horse's trot and postman's horn) and the protagonist's excited response to it; the *B* sections, beginning in E♭ minor, convey the protagonist's inner world (his heartbeat?) and his deflation at the impossibility of receiving his desired letter.⁷⁰ The song's *A* sections resemble the Trio's principal group in their horn-inspired arpeggiated contours; and the song's *B* sections are akin to the Trio's transitional groups/coda in having a repetitive piano accompaniment that begins before the melody (*cf.* mm. 25-28 in the song with mm. 585-589 in the Trio's coda) and in its schizoid use of mode mixture. Thus it is easy to imagine the song's scenario underlying the affective contrast between the principal and transitional groups (and between the recapitulation and coda) in the Trio.⁷¹

⁶⁹"Die Post," the first song in Part II of *Winterreise*, was apparently composed some time before October 1827. See Youens, *Retracing a Winter's Journey*, pp. 29 and 224.

⁷⁰John Reed, *The Schubert Song Companion* (Manchester: Manchester University Press, 1985; rpt. London: Faber and Faber Ltd., 1993), p. 451, alludes to "a certain *Innigkeit* to verses 2 and 4." See also Youen's remarks on representations in "Die Post" of the protagonist's external and internal worlds, *Retracing a Winter's Journey*, pp. 228 and 230-231.

⁷¹Other suggestive features in the song include the programmatically inspired contrast between neighbor notes C♭ and C♯ at the end of the *B* sections (mm. 38-46 and 83-92) and the allusion to keys from the descending circle of fifths (in the *A* sections, E♭ moves through A♭ to D♭; in the *B* sections, E♭ moves through D♭ to G♭).

The coda draws material only from the first large section of the Trio's earlier transitional groups (mm. 48-66 and 434-452); those sections are phrase-pairs whose bass descents of two major thirds (one per phrase) lead to prevailing tonics. As shown in Example 4.33, however, the coda presents this material in three phrases rather than two (mm. 585-614), each of which describes bass descent by major third: $E\flat-C\flat$; $C\flat(B\sharp)-G$; and $G-E\flat$. This bass line is truly remarkable in several ways:

- 1) It evokes the movement's opening phrase, where the bass motion $E\flat-B\sharp-G$ is suggested in mm. 4-6-8 (and mm. 388-390-392), and where the same augmented triad is apparently stated, though formed through melodic passing motion, in m. 9 (and m. 393).
- 2) It literally incorporates the bass motion $C\flat-G-E\flat$ of mm. 48-66 in the exposition's transitional group, thus reviewing the voice leading of mm. 1-66, that is, 5- $\flat 6$ -5 motion above $E\flat$; in so doing it tests $E\flat$'s tonicity for one last time by replacing the $B\flat$ belonging to the movement's opening fanfare $E\flat-B\flat-G-E\flat$ with $C\flat/B\sharp$. This issue is resolved when $B\flat$ is restored by the cadential material in mm. 614-623.
- 3) It corrects the onset of the recapitulation's transitional group, which begins a half step too low, in $E\sharp(F\flat)$ rather than in $E\flat$.
- 4) It traces equal division of the octave into major thirds, albeit within a tonally determined hierarchy; furthermore, the coda's opening juxtaposition of $E\flat$ major

and minor renders explicit the theoretical derivation of equal division of the octave from the chromatic scale by means of mode mixture.

The movement ends in mm. 623-634 with a variant of its opening. (The B♭ Piano Sonata does likewise.) After the arpeggiated fanfare reaches B♭'s lower neighbor A♭, the expected motion to upper neighbor C♯ is recast: a stretto-like chromatic ascent to E♭, followed by bass descent E♭-(D♭)-C♭ with soprano ascent e♭³-(f³)-g♭³, outlines subdominant harmony.⁷² Furthermore, as Example 4.33 shows, a chromatic voice exchange is thus formed between A♭/(C) (m. 625) and C♭/A♯ (m. 628), one which enables all four of B♭'s potential neighbors to resolve symmetrically and in tandem (mm. 629-630). (Comparison of Example 4.30h and i shows that the movement's last phrase freely recomposes the codetta's second concluding phrase: both passages clarify the relationship between IV[♭] and ♭VI; furthermore, mm. 628-631 virtually reproduce mm. 579-585.)

It is noteworthy that the movement's last phrase employs every tone, diatonic and chromatic, within the E♭ octave (F♭ is marginally included in m. 627 as an embellishment between D♭ and D♯). Although here the chromatic tones are clearly embellishments to diatonic scale tones, which in turn embellish chords, they crystallize the movement's chromatic obsession. This phrase's traversal of the

⁷²In the Trio, chromatic scales, such as those in the approaches to the transitional groups, are linked to the use of the chromatic scale in Beethoven's "Emperor" Concerto. See pp. 190-191 in this chapter.

chromatic scale, together with the coda's earlier disquisition on mode mixture in relation to equal division of the octave by major thirds, reflects Schubert's bold and forward-looking tonal language.

CHAPTER 5

PIANO SONATA IN B $\flat$ MAJOR, D. 960*I. CONTEXT*

This work, written in September 1828, only two months before Schubert's death, presents complexities that rival those found in the E $\flat$ Piano Trio. In both first movements, the respective second themes prolong a chromatic scale degree. In both movements, chromatic elements pervade deep middleground voice-leading structures, therein appropriating the structural roles of their diatonic counterparts. The enhanced structural status of the chromatic scale degree has profound ramifications regarding the relationship between formal and structural design.

In all of the movements by Schubert examined in this study, the ascendancy of the chromatic over the diatonic scale degree, resulting from mode mixture, to me represents the supernatural's encroachment on the earthly domain.¹ The Piano Sonata D. 960 has a diatonic tonal characteristic that I also find otherworldly: its tonic, B $\flat$, represents Death (though not necessarily as a tonic) in Schubert's songs "Der Tod und das Mädchen," D. 531 (February 1817) and "Der Jüngling und der

¹As mentioned in my Chapter 3, n. 14, p. 145 Aldwell and Schachter discuss the relationship between mode mixture and the supernatural with reference to Mendelssohn's Overture to *A Midsummer Night's Dream*. See their text *Harmony and Voice Leading*, 2nd ed., p. 356.

Tod," D. 545 (first version, March 1817).² That Schubert's B♭ Sonata is redolent of death seems appropriate for a work written so soon before its composer's demise.

Beethoven's influence on the B♭ Sonata

Three works in B♭ by Beethoven seem to have a family relationship with each other and with Schubert's B♭ Sonata: in order of composition, these are the Trio Op. 97 ("Archduke"); the Sonata Op. 106 ("Hammerklavier"); and the Quartet Op. 130. These works by Beethoven share more than the key of B♭ major; each confers an important motivic and structural role on $\hat{6}/\flat\hat{6}$. The two earlier works prolong G major (VI♯) as the key of their second groups (in their first-movement expositions), and the later work prolongs G♭ in this position; comparison of these works shows an increasingly structural role for the chromatic scale degree. This tendency must have been of great interest to Schubert, who undoubtedly was well acquainted with these pieces. Schubert attended many performances of Beethoven's works, including one in March 1826 at which the Trio and Quartet

²The first version of "Der Jüngling und der Tod," D. 545 begins in C♯ minor and ends in B♭ major; the second version begins in C♯ minor and ends in F major. For a discussion of Schubert's revisions to this song and how they reflect a relationship with "Der Tod und das Mädchen," D. 531, see Jackson, "Schubert's Revisions," pp. 343-350. Regarding the relationship between D. 545 and D. 531, see also Wolff, "Der Tod und das Mädchen: Song and Quartet," pp. 153-156; regarding the relationship between D. 531 and Schubert's Quartet D. 810 with respect to the role of B♭, see my Chapter 2, pp. 69-73.

were both performed.³ Schubert's allusion to the principal theme of the "Archduke" Trio in his own "Grand Duo," D. 812, first-movement development, mm. 135-141 (in B♭!) and 151-157 (in C), affords further evidence of his acquaintance with Beethoven's Trio. (See Example 5.1a and 5.1c.)

Trio Op. 97

The Trio was written in March 1811 and published in 1816. A performance of the Trio in 1814 in which Beethoven participated was his last public appearance as solo pianist. A later performance in November 1825 with Carl Maria von Bocklet as pianist was a great success, as was reported to Beethoven by his nephew Karl and by Karl Holz.⁴ It is likely then that Schubert knew of this work even before the March 1826 concert that he apparently attended. Features shared in common between the Trio and Sonata⁵ are manifest on the musical surface as well as in the background. Indeed an initial comparison of Schubert's Sonata with the three

³Information regarding the March 1826 concert is conveyed by Deutsch in his *Documentary Biography*, commentary on document # 669 (June-July 1826), p. 536. The document itself is Karl Holz's entry in Beethoven's *Conversation Book* (1826), in which Holz describes a meeting between Schubert and another, according to Deutsch, probably Kiesewetter. In his commentary Deutsch mentions Schubert's likely attendance at the March 21st, 1826 subscription concert for the Schuppanzigh Quartet (of which Holz was a member). At this concert the Trio Op. 97 was performed with the pianist Anton Halm and the Quartet Op. 130 was premiered. That Schubert heard these two works together on one program a year and a half before his composition of the B♭ Sonata tantalizingly hints at their interrelatedness.

⁴See Forbes, *Thayer's Life of Beethoven*, pp. 507, 521, 578, 660, and 968.

⁵In this chapter "the Sonata" will refer to Schubert's Piano Sonata in B♭, D. 960, first movement.

works by Beethoven under consideration yields the conclusion that the "Archduke" is most like Schubert's work in terms of musical surface or "style."⁶ This is due not only to similarities of meter and tempo but to more specific similarities shared by the respective principal themes.

General similarities

Both movements are in common time and have moderate tempi. The Trio is marked *Allegro moderato* while the Sonata is marked *Molto moderato*.

Principal themes

- 1) Both principal themes are notable for the lyrical quality of their openings. A steady eighth-note, broken-chord accompaniment over a static tonic bass contributes to this quality, as do dynamics and affective indications: the Trio is marked *piano* and *dolce*; the Sonata is marked *pianissimo* and *ligato*. (See Example 5.1a and b.)
- 2) Both openings emphasize a neighboring subdominant above a retained tonic, as shown in mm. 4-5 and 17-18 in the Trio and m. 5 in the Sonata. The *sforzando/pianos* in mm. 4 and 17 of the Trio and the accent/*diminuendo* in m. 5 of the Sonata highlight these subdominants.

⁶Joseph Kerman notes a connection between Beethoven's "Archduke" Trio and Schubert's B♭ Piano Sonata in "A Romantic Detail in Schubert's *Schwanengesang*," *The Musical Quarterly* 48 (1962), p. 46; rpt. in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (Lincoln, NE: University of Nebraska Press, 1986), p. 59.

3) Although the opening themes are divergent in design, their very beginnings set in relief the space between A and D, articulated as the third between the B $\flat$ and D plus B $\flat$'s lower neighbor A. The importance of the embellished third in the Sonata will be explored later; its importance in the Trio is most clearly evident in the development (mm. 115-131), when the melodic kernels $\hat{3}-\hat{7}-\hat{8}$ and $\hat{5}-(\#)\hat{2}-\hat{3}$ are transposed to different pitch levels. Especially noteworthy are mm. 125-128, in which $d^3-a^2-b\flat^2$ sounds as $\hat{5}-\hat{2}-\hat{3}$ over V of G minor; here the embellished third, stated at its original pitch level, is relocated from a tonic to a mediant/submediant environment.

4) After their immediate beginnings, both themes secondarily focus on the neighbor-note relationship between F and G. The Trio does this within the embellished fourth B $\flat$ -G-F; this is evident in the opening phrase's alternating traversals of the space between $b\flat^2$ and f^2 and $b\flat^2$ and g^2 . The Sonata does this within the $b\flat^1/f^1-g^1-f^1$ configuration in the soprano/alto line of m.

4 and the F-G $\flat$ -F bass rumble of mm. 7-9.

5) Similarity between respective principal themes is manifested in the developments of both movements. In the B $\flat$ Sonata, the fragmentary and distilled references to its own principal theme (mm. 133-134 and 142-143), including upper neighbor notes and triplet accompaniment, recall the beginning of the development in Beethoven's "Archduke" Trio (mm. 115-131).

Structural VI $\flat$ and its ramifications

The "Archduke" Trio's larger features are also relevant to a study of Schubert's Sonata. The most important structural aspect of the movement is the prolongation of G major (VI $\flat$) during the course of its second group (and within the development). This feature has important interrelated ramifications including the introduction of B $\flat$ in its guise as $\hat{3}$; the exploitation of D as common tone in the keys of B $\flat$ and G and its related role as third above B $\flat$ and B $\natural$, a role that highlights the conflict between B $\flat$ and B $\natural$; and the enharmonic reinterpretation of G $\flat$ as F $\sharp$ within III $\sharp$ or V of G.

1) The importance of B $\natural$: In the Trio, B $\natural$ is the first important melodic tone of the second theme (m. 52). As will be discussed in detail later, B $\natural$ carries great structural weight in Schubert's Sonata: In his exposition (second group, mm. 72-73) B $\natural$ asserts itself as $\sharp I$, participating in a chromatic voice exchange with the opening tonic harmony and leading toward C or V of V; in his recapitulation B $\natural$ achieves tonicity at the onset of the second group. The shared emphasis on B $\natural$ is related to the conflict between the thirds D-B $\flat$ and D-B $\natural$ that manifests itself in both works, despite divergent harmonic contexts.

2) B $\natural$ vs. C $\flat$: This duality is made explicit in the Trio's retransition (mm. 181-191), where this pitch, serving as lower neighbor to C, is spelled as B $\natural$ and, serving as upper neighbor to B $\flat$, is first spelled as B $\flat$ and then reinterpreted as C $\flat$. (See

Example 5.2a.) The enharmonic relationship between B $\flat$ and C $\flat$ is a salient large-scale issue in the recapitulation of Schubert's Sonata.

3) The diminished-seventh B $\flat$ -D-F-A $\flat$ en route to G $\flat$: In mm. 21-22 of the Trio, the diminished seventh, B $\flat$ -D-F-A $\flat$, leads to the minor subdominant. (A similar progression occurs in the retransition, mm. 188-191, where B $\flat$ is reinterpreted as C $\flat$.) This diminished seventh plays an important role throughout Schubert's Sonata. In its first appearance in mm. 45-47, this chord leads from F $\sharp$ (V) toward F $\sharp$ (G $\flat$) minor and the second group. In that both works use this diminished seventh to lead from F $\sharp$ to F $\sharp$ /G $\flat$ (in one case G $\flat$ is chordal third and in the other case F $\sharp$ is chordal root), their aims are related though not identical.

4) The conflict between G and G $\flat$: Both movements explore the conflict between $\hat{6}$ and $\flat\hat{6}$. In the Sonata, the conflict between G and G $\flat$ is posed in the very first phrase when the configuration $\flat\flat^1/f^1-g^1-f^1$ of m. 4 (an inner-voice motion) is recast as F-G $\flat$ G $\flat$ -FF in mm. 7-9; as will be seen later, this conflict remains an issue in the rest of the movement as well as in the entire work. In the Trio, the conflict between G $\sharp$ and G $\flat$ is expressed in different contexts:

a) within the context of neighboring subdominant harmony, through juxtaposition of IV's major and minor thirds. This is evident in the extension to the principal theme's consequent phrase, in mm. 23-24 and mm. 27-28; in the recapitulation of the principal theme's consequent phrase (mm. 207-209); and in the coda (mm. 271-272). These passages are manifestations of the neighboring subdominant's importance in this movement: the emphasized IV in mm. 4-5 and 17-18, mm. 27-

28, as well as the prolongation of E $\flat$ in the development (mm. 111/115ff.) are related phenomena. As shown in Example 5.3, G $\sharp$ is prolonged within the context of the development's substantial subdominant prolongation.⁷

b) G $\flat$, the root of a major triad, replaces G $\sharp$ as neighbor note to F in the closing phrase of the recapitulation's second group (mm. 242 and 251-253). This foreground detail resembles the large-scale 5- $\flat$ 6-5 voice leading found on various levels in Schubert's exposition.

c) G $\sharp$ alternates with G $\flat$ as simple melodic neighbor note to F. This occurs insistently in the Trio's retransition (mm. 170ff.). A quite similar alternation occurs, in the same high register, in the Sonata's retransition (mm. 205-215). (See Example 5.2a and b.)

5) G $\flat$ vs. F $\sharp$: This duality is made explicit toward the end of the recapitulation's second group (mm. 238-240 and 247-249), where this pitch, spelled as F $\sharp$, first passes in the bass from F to G and, spelled as G $\flat$, later passes in the melody from g² to f².

⁷See Ernst Oster's previously mentioned note enlarging upon Schenker's discussion of sonata form in Schenker's *Free Composition*, pp. 139-141. Oster, p. 140, discusses Beethoven's innovations, including the use of I-(VI)-IV-V background structures in the combined exposition-developments of Op. 97 and Op. 106.

The "Hammerklavier" Sonata, Op. 106

This Sonata was written in 1817-1818 and published in 1819.⁸ It shares much in common with the earlier "Archduke" Trio. (These works are among those heroic works for or using keyboard in B♭ or E♭ dedicated to Archduke Rudolf and exemplifying what might be called Beethoven's "Archduke style.") Both expositions move from B♭ via D to G (I-[III♯]-VI♯); both second groups feature B♯ as first melodic tone; both developments include important prolongations of E♭ (IV); both recapitulations restate the second theme in the tonic; and both works explore the relationship between G and G♭. Yet the "Hammerklavier" surpasses the "Archduke" Trio in both sheer mass and use of chromaticism. In terms of surface style the "Archduke" resembles Schubert's Sonata more than the "Hammerklavier" does; but in terms of structure the reverse is true. In the "Hammerklavier" two closely related chromatic tones, G♭/F♯ and C♭/B♯, become increasingly powerful during the course of the movement. These tones are placed in conflict with their respective diatonic counterparts, G♯ and B♭; in addition, their dual enharmonic identities are explored. As mentioned earlier, G♭/F♯ and C♭/B♯ are also the most important chromatic tones in Schubert's Sonata, where they are granted great structural and formal emphasis as the keys of the exposition's and recapitulation's respective second themes. Since it is beyond the scope of this study to provide a comprehensive analysis of the "Hammerklavier,"

⁸See Forbes, *Thayer's Life of Beethoven*, pp. 713-714, 717, and 745.

the following discussion suggests only those features that are most relevant to Schubert's Sonata.⁹

Exposition

Structural VI $\sharp$ and its ramifications

As holds true for the "Archduke," the most important aspect of the Hammerklavier's exposition is the prolongation of G major (VI $\sharp$) during the course of its second group. And, once again, this feature carries with it the introduction of B $\sharp$ in its first guise as $\hat{3}$; the exploitation of D as common tone in the keys of B $\flat$ and G and as common third above B $\flat$ and B $\sharp$ (thirds that point to the conflict between B $\flat$ and B $\sharp$)¹⁰; and the enharmonic reinterpretation of G $\flat$ as F $\sharp$ within III $\sharp$ or V of G. One or more of these interrelated features emerge in the contexts listed below.

Interactions between D and B $\flat$ or B $\sharp$

1) The opening fanfare d³-e $\flat$ ³-d³-b $\flat$ ² (mm. 1-2) features the third between D and B $\flat$ as well as D's upper neighbor. (As discussed in the next section of this chapter, a similar configuration opens the Allegro in the Quartet Op. 130.) The

⁹For a more complete analysis of the "Hammerklavier," see Roger Kamien's article, "Aspects of the Recapitulation in Beethoven Piano Sonatas," *The Music Forum*, vol. IV, ed. Felix Salzer and Carl Schachter with Hedi Siegel (New York: Columbia University Press, 1976), pp. 196-205. Future references to this article will give author's name and page numbers only.

¹⁰Regarding this confrontation see Kamien, pp. 201-204.

opening two measures of Schubert's melody inverts this idea, filling in the third with a passing tone: $b\flat^1-a^1-b\flat^1-c^2-d^2$. In addition, on a larger scale, the initial section of Schubert's principal theme (mm. 1-18) features the similar, although interrupted, middleground melodic configuration $d^2-e\flat^2-d^2-c^2/d^2-e\flat^2-d^2-c^2-b\flat^1$.

(See Examples 5.1b and 5.4.)

2) In the counterstatement and transition (mm. 35-63) there is a sudden harmonic shift from $B\flat$ to D (m. 37), followed by a long prolongation of D (III $\sharp$ or V of VI $\sharp$).¹¹ (In the "Archduke," the analogous motion from $B\flat$ to D is accomplished more gradually.) The stark juxtaposition of $B\flat$ and D harmonies not only highlights the third between $B\flat$ and D but also suggests entry into the world of sharps through introduction of F $\sharp$ as chordal third.

3) Both the second theme (in m. 63) and closing theme (in m. 100) commence on $B\sharp$. As Kamien's graph (Example 5.5a) shows, within the confines of mm. 1-63, the $B\sharp$ of m. 63 seems to complete an interrupted melodic third from d^3 to $b\sharp^2$.¹² In this local view, mm. 1-34 and 35-63 form an antecedent and modulating consequent. The melodic main tone d^3 begins in m. 1 and moves to an implied c^3 in m. 33; following interruption d^3 resumes at the counterstatement

¹¹The $B\flat$ harmony in m. 37 is briefly cleared by the pedal release in beat 2 and the open D octaves in beat 3.

¹²The voice-leading graphs given in Example 5.5a and b are by Roger Kamien, p. 197. Carl Schachter suggested to me another reading for the exposition in which there is a further melodic linear descent from $B\sharp$ (mm. 63 and 100) through A (m. 114) to G (m. 116). I have adopted this reading in my graph, given in Example 5.6.

(m. 35), passes through c^3 (m. 45) and comes to rest on $b\sharp^2$ at the onset of the second theme. In the context of antecedent/consequent construction, $B\sharp$ represents a "wrong" melodic resolution, one which dramatizes the conflict between $D-B\flat$ and $D-B\sharp$. As will be shown in later discussion, this conflict is also active in Schubert's Sonata, particularly in the recapitulation.

$G\sharp$ and $G\flat$

4) The opening fanfare's continuation in mm. 3-4, $f^3-g^3-f^3-d^3$, highlights $G\sharp$ as neighbor note to F. This configuration, as well as its variant $B\flat-G/G\flat-F$, are salient features in both Sonatas.

5) The principal group establishes the conflict between G and $G\flat$, beginning with the small consequent phrase in mm. 9-17 and continuing through the larger phrase in mm. 17-34; in these passages G and $G\flat$ appear as alternative neighbors to F, often in the context of subdominant harmony. $F\sharp$ is also represented; see, for example, the bass progression $F\sharp-G$ in mm. 10 and 15-16. The $G\flat$ s and $F\sharp$ s in these phrases prepare the $F\sharp$ soon to emerge as chordal third within $III\sharp$. (See Example 5.4.)

Development

The continued conflict between $G\sharp$ and $G\flat$

The G harmony initiated in the exposition's second group gives way to $E\flat$, thus proving to be a passing harmony. The most important structural event in the

development is the prolongation of IV through chromatic voice exchange in mm. 131-213 and the subsequent motion to the structural dominant. Thus, as shown in Example 5.6, the background harmonies of the combined exposition and development form the progression $B\flat-(G)-E\flat-F$.¹³ (As shown in Example 5.3, the "Archduke's" development has similar voice leading.) However, in the development, $G\sharp$ and $F\sharp/G\flat$ attain deep middleground prominence as participants in the subdominant chromatic voice exchange; this voice leading procedure maintains the $G\sharp/G\flat$ conflict established in the exposition. Schubert's Sonata provisionally resolves the $G\sharp/G\flat$ conflict within subdominant harmony in his recapitulation (mm. 289-292).

$B\sharp/C\flat$ and $F\sharp/G\flat$ in the development

The prolongation of $B\sharp/C\flat$ (mm. 201-213) in Op. 106 results from middleground $5-\flat 6$ motion above $E\flat$ and connects IV to $\sharp IV$. Closer to the surface, D-major harmony occurs in the middle of the $5-\flat 6$ motion above $E\flat$, moving suddenly and deceptively to $B\sharp$ in m. 201 (Example 5.6). The sudden juxtaposition of D and $B\sharp$ harks back to the similar juxtaposition between $B\flat$ and D in the counterstatement and transition (m. 37) and keeps alive the conflict between these thirds and between $B\flat$ and $B\sharp$. The foreground motion from D (mm. 191-200) to

¹³The I-VI-IV-V background reading for the combined exposition and development is proposed by Ernst Oster in his note in Schenker's *Free Composition*, p. 140. The development's subdominant chromatic voice exchange was proposed by Oster to Carl Schachter, who shared this reading with me.

B $\sharp$ and B $\flat$'s prolongation beginning in m. 201 might be described as "Schubertian" for good reason, beyond the obvious harmonic progression by third, for the motion to B $\sharp$ rather than to B $\flat$ marks a wrong turn (similar to the misstep in the exposition's large melodic line), one which causes the "retransition" to begin in m. 213 on F $\sharp$ (V of B $\sharp$) rather than on the much desired structural dominant F $\sharp$. As shown in Example 5.6, it requires some intricate voice leading in mm. 213-226 to correct this, entailing motion, expressed canonically, from F $\sharp$ (V⁷ of B $\sharp$, with A $\sharp$ as upper third) through a series of 5-6 alternations above G, G $\sharp$, and A $\sharp$, the upper third of implied F $\sharp$.¹⁴ (In a broader view, the wrong turn to B $\flat$ is a coherent path to F $\sharp$ /G $\flat$ and $\sharp$ IV.)

Recapitulation

It is in the recapitulation of the principal group that the chromatic tones F $\sharp$ (G $\flat$) and B $\flat$ both achieve tonicization. As mentioned earlier, these are the very chromatic tones that serve as Schubert's "extra" keys at the onsets of his respective second groups. It is as if Schubert extracted the plan for his entire Sonata from Beethoven's restated principal group.

¹⁴See *Ludwig van Beethoven: Complete Piano Sonatas*, ed. Heinrich Schenker; intro. Carl Schachter (New York: Dover Publications, 1975), vol. II, n. 1, p. 518, and vol. I, Carl Schachter's "Introduction to the Dover Edition," pp. vi-viii. Schenker's footnote and Schachter's comments on it concern the well-known controversy regarding whether or not a $\sharp$ sign, not in the first edition, should be applied to A in mm. 224-226. Schenker's footnote compellingly argues that the voice leading in mm. 222-227, with 5-6 alternation G⁶/ G $\sharp$ ⁶/ A $\sharp$ ⁵⁻⁶/ B $\flat$ ⁵, entails A $\sharp$, and that the absence of the $\sharp$ sign in the original edition is an oversight.

Principal group

A closer look at the principal group in the "Hammerklavier's" exposition is helpful in understanding its restatement. In the exposition, the principal group prolongs B♭ by means of the modified parallel period mentioned earlier: I moves to the V in mm. 31-34; the subsequent counterstatement moves from I to III♯.¹⁵ The tonic is prolonged within the large antecedent by means of four component phrases: 1) the opening fanfare; 2) a small antecedent (mm. 5-8); 3) an expanded consequent (mm. 9-17) that leads to I; and 4) an expanded variant of the previous small antecedent (itself "varying" the opening fanfare), which now leads to the interrupting dominant in mm. 31-34. The ensuing counterstatement/consequent begins by reasserting B♭. However, something quite different happens in the recapitulation: following modified restatements of the exposition's opening fanfare and small antecedent, the third-phrase consequent (mm. 235-249) is recomposed so that it moves harmonically from B♭ through D♭ to G♭. (A comparison of this progression with the larger background progression of the exposition, B♭-D-G♯, points to the conflict between G♭ and G♯ and to G♭'s growing power.)¹⁶ The fourth-phrase variant (mm. 249-266), which in the exposition moved from B♭ to F (I-V) to end the large antecedent, here apparently moves from G♭ to D♭. But there is another surprise in store: at the very end of this fourth phrase, D♭ is recast as C♯ and F♯ is added below it, so that the large antecedent ends with an

¹⁵See Example 5.5a and Kamien, p. 197.

¹⁶Regarding these two progressions, see Kamien, p. 202.

unexpected V of B $\natural$ (m. 266). The counterstatement, which in the exposition had reaffirmed B $\flat$, here states B $\natural$ minor! (See Example 5.5. This might be described as yet another Schubertian "wrong turn" involving B $\natural$; see earlier discussions of B $\natural$ as it occurs in the "Hammerklavier" Sonata's exposition and development.)

Following this wrong-headed counterstatement, the ensuing bridge-*cum*-consequent finds its way to C (II) in mm. 272-273 and F (V) in mm. 277-294 so that the second group may be restated in the tonic B $\flat$. Viewed from a background perspective, the recapitulation's principal group moves from B $\flat$ (I) through G $\flat$ /F $\sharp$ and B minor on the way to C (II) and F (V⁷). Kamien's graph (Example 5.5b) shows G $\flat$ as subordinate to B $\natural$; B $\natural$ is a passing tone between the tonic B $\flat$ and supertonic C, the harmonies sounding at the respective beginning and near-end of the principal group. The passing nature of B $\natural$ is even more clearly perceptible when, as shown in my graph (Example 5.5c), G $\flat$ (mm. 249ff.) and G $\natural$ (mm. 270-271) are represented as inner voices resulting from 5- $\flat$ 6 alternations above B $\flat$ and B $\natural$.

Thus the closest resemblance between the "Hammerklavier" Sonata's restated principal group and Schubert's entire recapitulation is apparent: both move from B $\flat$ through G $\flat$ /F $\sharp$ to B $\natural$ (by means of 5- $\flat$ 6 alternation above B $\flat$ and B $\natural$) and subsequently find their way back to F $\natural$ and B $\flat$. In Schubert's recapitulation, as will be discussed later, the onset of the second group, though spelled in B minor, actually functions as C $\flat$ or $\flat$ ² upper neighbor to B $\flat$; in this sense the function of

B minor here differs from that in the "Hammerklavier," where it behaves as a passing tone. Nevertheless, although the respective voice-leading contexts of the two are *not* identical, their similarities are significant. In particular, the unexpected and striking reinterpretation of F# in m. 266 of the "Hammerklavier" as V rather than I is not unlike the unexpected recasting of F# in m. 266 of D. 960 as V⁷ rather than as the local I it became in the exposition (m. 48). (The identical diminished harmony, Bb-D-F-Ab, in mm. 45-46 resolves to a C# V⁷, and in mm. 264-265 leads to an F# V⁶⁻⁷₄₋₅.) Both reinterpretations are last-minute adjustments, made in order to reach Bb. (I make no claims regarding the identical measure numbers!)

Gb at the end of the recapitulation

The conflict between Gb and Gb is featured in mm. 332-405 of Op. 106, which is best thought of as one unified and expanded closing group rather than as closing group plus coda. This group consists of two (bipartite) sections, the latter of which is a varied repetition of the former: 1) The respective beginnings of each large section (mm. 332-338/338-344 and 362-377) are variants of the exposition's closing theme. These statements pit Gb against Gb within subdominant harmony so that the minor IVs sounding in mm. 333, 335, 363, and 365 are followed by the major IVs sounding in mm. 339, 341, 367, and 369.¹⁷

¹⁷The second version of the closing theme features cb² (Bb's enharmonic twin) as bb¹'s upper neighbor in a measured trill (mm. 362-365). These cb²s most certainly allude to past statements of Bb and prolongations of B minor. The

2) The respective latter parts of each large section (mm. 344-362 and mm. 377-405) are coda-like extensions to the closing theme statements. $G\flat$ is shown to be the "winner" in these passages where, after the fifth between $B\flat$ and F is filled in, upper fifth F is embellished by neighbor $G\flat$ in a 5- $\flat$ 6-5 motion above $B\flat$. This voice leading is prepared in mm. 344-349; it is implicit in mm. 350-361, where a stepwise ascent (in doubled octaves) is decorated by double-neighbor motion; and it is evident in the chromatically filled-in bass line of mm. 377-405. (See Example 5.7a and b.) Indeed the obsessive F- $G\flat$ alternations in mm. 386ff. that grow out of the 5- $\flat$ 6-5 motion begun in mm. 377 are striking, and in their lower-register manifestations seem a likely progenitor of Schubert's F- $G\flat$ alternations. (See Schubert, first theme, mm. 7-9; first ending, mm. 123-125; end of the development, mm. 211-215; reprise of the first theme, mm. 222-224; and end of the movement, mm. 351-353.) In Schubert's Sonata, these F- $G\flat$ alternations have profound motivic and structural ramifications.

Other movements and the work as a whole

The confrontation between $B\flat$ major and B minor in the Scherzo (mm. 160-175) and in the Fugue is well known and documented by others.¹⁸ The F- $G\flat$ -F

subsequent $B\flat$ - $C\sharp$ inner-voice trills in mm. 365-371 point to the conflict between $C\flat$ and $C\sharp$ as rival upper neighbors to the tonic.

¹⁸Kamien, p. 204, mentions the Scherzo in this regard. In addition, he cites Erwin Ratz's book, *Einführung in die musikalische Formenlehre*, in which the $B\flat/B\sharp$ conflict in the last movement is discussed.

neighbor-note motive is featured in the Scherzo's preparation for the reprise of its *A* section (mm. 106-115).

The importance of the embellished tetrachord B $\flat$ -G $\flat$ /F $\sharp$ -F $\natural$ -B $\flat$ is projected on the largest scale by the key scheme of the entire work: B $\flat$ (first and second movements); F $\sharp$ (third movement); F $\natural$ (fourth movement, Largo); B $\flat$ (fourth movement, *Allegro risoluto*). The semitone motion between G $\flat$ and F is dramatized through the stark juxtaposition of F $\sharp$ major at the end of the third movement with F $\natural$ at the beginning of the Largo.

The String Quartet, Op. 130

The first version of the Quartet (with the Fugue as finale) was written in 1825. This version was premiered at the 1826 concert apparently attended by Schubert. After this concert the publisher Matthias Artaria and several of Beethoven's friends convinced Beethoven to write a new last movement for the Quartet and to publish the Fugue separately. Beethoven wrote a new finale in 1826; the second version of the Quartet was published in May 1827 by Artaria.¹⁹

¹⁹See Forbes, Thayer's *Life of Beethoven*, pp. 970 and 974-975.

At first glance, there seems to be little in common between the Beethoven Quartet and Schubert Sonata first movements beyond their key. The Sonata has no counterpart to the triple-meter Adagio that not only opens but also penetrates the main body of the Quartet movement. And nothing could be further from the lyrical homophonic opening of the Sonata than the Quartet Allegro's contrapuntal juxtaposition of rushing sixteenth notes against stark ascending perfect fourths. But even if Schubert preferred the sensuous loveliness of Beethoven's "Archduke" Trio to the rigorous polyphony of his B $\flat$ Quartet or "Hammerklavier," the Quartet's daring harmonic scheme must have fascinated him.

The Quartet's two-key exposition moves from B $\flat$ major (principal group) to G $\flat$ major (second group). As noted earlier in this chapter, Beethoven had already explored $\hat{6}$ (VI $\sharp$) as the key of the second group in the major-mode first movements of the "Archduke" Trio and "Hammerklavier" Sonata; the prolongation of $\flat\hat{6}$ ($\flat$ VI) as second key area in a major-mode movement must be regarded as an evolution toward Romantic deployment of harmony in relation to form. This is the only movement of the three by Beethoven under discussion that confers background structural status upon a chromatic scale degree, one which competes with its diatonic counterpart throughout the work. In this sense Schubert's Sonata is more beholden to the Quartet than to the other two works. Schubert undoubtedly noticed the gradual evolution in Beethoven's *oeuvre*, as evidenced by

the three works investigated here, toward increasing structural status for the chromatic scale degree.

Structural $\flat$ VI and its ramifications

The prolongation of $\flat$ VI during the course of the second group in the exposition has important ramifications, including the introduction of $D\flat$ and the exploration of the conflict between $D\sharp$ and $D\flat$, especially as alternate thirds above $B\flat$. (This is akin to the conflict between the thirds $B\flat$ -D and $B\sharp$ -D encountered in the "Archduke" and "Hammerklavier.") Another ramification is the implicit importance of the $\hat{3}-\flat\hat{6}$ configuration, in this case F-G $\flat$ above $B\flat$, a configuration imported from the minor mode. These features penetrate from the foreground into the background, and will be discussed in terms of their relevance to Schubert's Sonata.

Exposition

Motivic design in the principal group and its consequences

1) The Allegro's opening sixteenth-note descent (vln. I, mm. 14-15) begins with the embellished third d^2 - $e\flat^2$ - d^2 - c^2 - $b\flat^1$;²⁰ this configuration then repeats by descending third (after d^2 , on $b\flat^1$, g^1 , $e\flat^1$ and c^1) until the tenth from d^2 to $b\flat$ yields to a. Owing to the contrapuntal nature of the Allegro, the inversion of the

²⁰The "Hammerklavier" opens with a more compressed version of this embellished third: the passing C is omitted.

opening embellished third, B $\flat$ -A-B $\flat$ -C-D, is stated by the cello in mm. 18-19, by violin I in m. 19, and by the cello in m. 37; these are the very pitches that open Schubert's Sonata. Both versions of the embellished third open the space between B $\flat$ and upper-third D.

2) A telling aspect of design is the recasting of the Allegro's opening sixteenth-note descent as the lead-in to the second group (cello, mm. 53-54). (See Example 5.8a.) The later passage starts on d $\flat$ ($\hat{3}$ in the key of G $\flat$) and, in a new rhythm, begins to retrace the earlier chain of embellished thirds, this time only traversing two thirds, or a fifth: d $\flat$ -e $\flat$ -d $\flat$ -c $\flat$ -B $\flat$ /B $\flat$ -C $\flat$ -B $\flat$ -A $\flat$ -G $\flat$. The recasting of d ^{2} -e $\flat^2$ -d ^{2} -c ^{2} -b $\flat^1$ ($\hat{3}$ - $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$ in the key of B $\flat$) as d $\flat$ -e $\flat$ -d $\flat$ -c $\flat$ -B $\flat$ ($\hat{5}$ - $\hat{6}$ - $\hat{5}$ - $\hat{4}$ - $\hat{3}$ in the key of G $\flat$) emphasizes the conflict between D and D $\flat$, B $\flat$'s upper major and minor thirds. A similar recasting occurs in Schubert's Sonata at the onset of the principal group's contrasting middle section (mm. 20-21). The Sonata's opening b $\flat$ -a-b $\flat$ -c-d ($\hat{1}$ - $\hat{7}$ - $\hat{1}$ - $\hat{2}$ - $\hat{3}$ in the key of B $\flat$) is here recast as b $\flat^1$ -a $\flat^1$ -b $\flat^1$ -c $\flat^2$ -d $\flat^2$ ($\hat{3}$ - $\hat{2}$ - $\hat{3}$ - $\hat{4}$ - $\hat{5}$ in the key of G $\flat$). As in the Quartet, this recasting pits the alternate thirds B $\flat$ -D and B $\flat$ -D $\flat$ against each other. These pairs of correspondences at the beginnings of sections are foreground reflections of the deeper harmonic affinities between the respective works.

3) From the relationship between respective principal groups described above, other similarities arise. One similarity concerns the embellished recurrence of the Quartet's lead-in to the second group and an embellishment of the Sonata's principal theme material within its development. (See Example 5.8a and b.) In

the Quartet, the cello's lead-in of mm. 53-54 is adjusted rhythmically in mm. 57-58 to accommodate the addition of lower neighbors; the fifth and third of the descending $G\flat$ triad, $d\flat$ and $b\flat$, become the center of double-neighbor activity. This later connective passage resembles those bass-line descending triads in Schubert's development whose upper fifths are decorated by double neighbors (mm. 154 and 158). Indeed, this lovely correspondence between Quartet and Sonata sheds light on the genesis of the Sonata development's many unadorned *ascending* triads from the exposition's principal and second themes. (Compare the beginning of the development [mm. 118-120], where two statements of the opening theme combine to outline the fifth from e^1 through $g\sharp^1$ to b^1 , with the ascending bass triads in mm. 131ff.) The chain of thematic transformations in the Sonata will be discussed in detail later.

Approach to the second group and large-scale 5- $\flat$ 6 motion

On the surface there is little in common between the respective second groups beyond their tonics ($G\flat/F\sharp$). Since first-group material permeates the Quartet's second group to a remarkable degree (see especially mm. 71ff.), and since its second group is in $G\flat$ major rather than $F\sharp$ minor, on the surface this second group more closely resembles the middle section within the Sonata's principal group. However, the ways in which the works approach their second groups reveal deep structural similarities. The principal groups are loosely similar in having *a-b-a'* construction, although the Quartet has an additional bridge-like

section (mm. 37-55) that is lacking in the Sonata. In the Quartet, the quasi-fugal entries on V beginning in m. 25 and on B $\flat$ in m. 31 may be thought of as *b* and *a'* sections, respectively. Toward the end of both principal groups important dominants are reached: the V⁷ of m. 44 in the Sonata falsely promises to lead the group to closure in I; the V prolonged in mm. 45-49 and 49-51 in the Quartet feigns a "bifocal" exposition. That is, mm. 45-49 seem to end the principal group "on V" and mm. 49-51 seem to begin the second group "in V." Despite differences in context, the arrivals on V in both principal groups highlight F as inner-voice fifth above B $\flat$. These dominants occur just before the motion toward G $\flat$ /F $\sharp$ is initiated in each piece. Thus both pieces reach the key of $\flat$ VI by means of 5- $\flat$ 6 motion above the tonic B $\flat$. (The melodic sixth from b $\flat$ to g $\flat$ ¹ at the opening of the Quartet's second group implicitly crams this 5- $\flat$ 6 motion above B $\flat$ into two notes!) Examples 5.9 and 5.11 show the approaches to the second groups in the Sonata and Quartet respectively.

First and second endings and the intimation of a three-key plan

Compelling foreground similarities exist between the first and second endings of the Quartet exposition and the first ending of Schubert's exposition. (See Example 5.10.) These similarities include descending motion from G $\flat$ clothed in prevailing open octaves and appoggiaturas; allusion to Neapolitan C $\flat$; and polyphonic voice leading that leads simultaneously to A and F. (As the graphs given in Example 5.10b show, however, the passages under discussion follow

related yet disparate paths.) It is curious that, although the Quartet's exposition closes with background G $\flat$ harmony, both its first *and* second endings close with implied F (V) harmony--one would expect this only in the first ending, whose purpose is to facilitate the repeat of the exposition. Thus both renditions of this exposition hint at Schubert's three-key plan.²¹ The Quartet's endings outline a descending sixth from G $\flat$ (through F $\flat$ and E $\flat$) to D $\flat$ and from D $\flat$ (through C $\flat$) to B $\flat$ (Example 5.10b-1). Given the passing F $\flat$ s in the course of this descent, the polyphonic sixth from G $\flat$ to B $\flat$ sounds like a dominant of C $\flat$ ($\flat$ II), but instead proves to be a $\flat$ VI that seeks resolution by semitone shift to the sixth F-A (V). The realization of this promise, however, is fragmented; the first ending moves from B $\flat$ to A, leaving it to the second ending to move from G $\flat$ to F. (The second ending exploits possible ambiguity as to which of the two tones, G $\flat$ or F, is the neighbor note and which the harmonic tone.) Schubert's first ending (Example 5.10b-2) seems to fuse the Quartet's two endings. It features the neighbor-note relationship between F and G $\flat$, prolonging G $\flat$ by means of the diminished-seventh chord A-C-E $\flat$ -G $\flat$ and the C $\flat$ ($\flat$ II) triad before regaining F. Schubert's first ending, however, unlike Beethoven's endings, states the expected resolution to F and A simultaneously.

²¹Later analysis of Schubert's Sonata will reveal parallels between the exposition's first ending and the development's retransition, parallels that emphasize the harmonic connection between these formal junctures.

Exposition and development: 5-♭6/♯6-5 alternation

In the larger scheme of things, the 5-♭6 motion above B♭ that underlies the motion from principal to second group in the Quartet's exposition is part of a larger 5-♭6/♯6-5 alternation encompassing the exposition and most of the development: In this view, as shown in Example 5.11a, the background structure would read B♭ (I) supporting inner-voice tones F and passing G♭ (♭VI); implied B♯ supporting G♯ (VI♯); C (II♯) supporting G♯; and F (V). This view is strengthened by two earlier passages that imply a I-(VI♯)-II-V progression: 1) the Adagio's opening bass line: B♭-(A-A♭)-G-C-(D-E♭)-F; and 2) the bass progression of mm. 43-45. It is further supported by the Finale's opening phrase, whose underlying VI♯-II-V-I progression resembles that of the opening phrase of Schubert's Finale. The G♭ prolongation of the second group contrasts with the G♯ prolongation within the development (mm. 112ff.) and highlights the conflict between these pitches.

The recapitulation and D♭

The Quartet's recapitulation has a I-♭III-V-I structure; its second group begins in D♭ and then moves through F to B♭. (The principal group reaches from B♭ to D♭ by traversing the circle of fifths B♭-E♭-A♭-D♭.) Thus the key at the beginning of the recapitulation's second group is a fifth higher than its corresponding key in the exposition, rather than a fifth lower as is the case in Schubert's Sonata. In Schubert's exposition and recapitulation, D♭ tends to have

a melodic role as G $\flat$'s upper fifth or as lower neighbor to D $\sharp$. The Sonata, however, does confer harmonic importance on D $\flat$ /C $\sharp$ in its development. Furthermore, D $\flat$ (as C $\sharp$ minor) is the key of the Sonata's second-movement Andante. This second movement follows directly from the previous movement's tonic B $\flat$; likewise, the Quartet's third-movement Andante in D $\flat$ major follows the B $\flat$ -minor Presto. Thus both works, as large entities, stress the third between B $\flat$ and D $\flat$ /C $\sharp$.

The work as a whole and the G $\flat$ /G $\sharp$ conflict

The contest between G $\sharp$ and G $\flat$ manifests itself throughout the Quartet:

- 1) First movement: As already mentioned, the G $\flat$ prolongation of the second group contrasts with the G-major prolongation within the development (mm. 112ff.; see Example 5.11).
- 2) Fourth movement: The *Alla danza tedesca* is in G major.
- 3) Grosse Fuge (first Finale): The Overtura begins with open G octaves, a key signature of one sharp, and the first statement of the fugal theme in the key of G. The vast opening B $\flat$ double fugue (mm. 31ff.) is followed by a contrasting more lyrical section in G $\flat$ (mm. 159ff.) This constitutes a similarity with the first movement.
- 4) Finale (replacement for the Fugue): Like the Fugue, this movement opens off the tonic, on G octaves. Incidentally, the striking resemblance between this movement and the Finale of Schubert's Sonata has been noted by Alfred Einstein

in his Schubert biography. He calls Schubert's Finale "an echo" of Beethoven's Finale, noting that "Schubert, therefore, was familiar with this."²² Like Beethoven's movement, Schubert's is a dance-like Allegro in $\frac{2}{4}$ time; but the most striking feature of these movements is their opening pedal points on G. (Both opening phrases embody a VI-II-V-I progression.)

II. B♭ PIANO SONATA, D. 960: ANALYSIS

As suggested earlier, in Schubert's early songs "Der Tod und das Mädchen," D. 531, and "Der Jüngling und der Tod," D. 545 (early version), B♭ represents Death. In the former Death is an adversary, at least at the beginning of the drama, but in the latter Death is a merciful friend. The B♭ Sonata is famous for the serenity of its opening theme. For me, the first movement of this piano Sonata, the last Schubert wrote before his death, suggests Death in his merciful role. I shall offer additional evidence below to support this rather subjective hypothesis.

²²Einstein, *Schubert: A Musical Portrait*, p. 287.

Exposition

Overview

The principal group (mm. 1-47) prolongs B $\flat$ until m. 45; the diminished seventh chord in mm. 45-47 leads to the onset of the second group (mm. 48-79) and F $\sharp$ (G $\flat$) minor. The second group begins in F $\sharp$ minor but manifests great harmonic flux and instability until the diminished seventh chord of mm. 72-73 leads to II $\sharp$ (V of V) in mm. 74-79. The closing group (mm. 80-125a/117b) prolongs F $\sharp$ major. Thus the exposition's background structure appears to be I-($\flat$ VI)-V. However, as demonstrated in earlier discussion, Schubert's three-key expositions must be assessed carefully, especially with respect to the structural and formal functions of the middle key area. Evaluation of the B $\flat$ Sonata will show that, as with other three-key expositions by Schubert, the most obvious analysis may not be the most productive.

Principal group

Felix Salzer discussed the B $\flat$ Sonata's principal group not only in his 1928 monograph "Die Sonatenform bei Franz Schubert" but also in his later text *Structural Hearing*. His voice-leading graphs for the principal group as a complete entity are reproduced here in Example 5.12a.²³ Comparison of my graphs

²³See "Die Sonatenform bei Franz Schubert," pp. 99-100, and *Structural Hearing: Tonal Coherence in Music* (New York: Dover Publications, 1962) vol. I, pp. 183-185, and vol. II, pp. 161-164. The graphs given here in Example 5.12a are reproduced from *Structural Hearing*, vol. II, p. 164, # 400a-c.

(Example 5.9 and 5.12b) with his shows fundamental agreement. However, certain minor differences will be taken up in the detailed analysis that follows.

This principal group is notable for its tripartite *a-b-a'* structure. The first *a* section (mm. 1-18) is closed, prolonging B♭ by means of antecedent and consequent phrases (mm. 1-9 and 10-18); following a one-measure link (mm. 19-20), the *b* section (mm. 20-36) prolongs G♭, first as major triad and later as augmented sixth headed for the dominant F; the *a'* section (mm. 36-48), a modified repetition of the earlier *a* section's consequent phrase, brings the dominant promised by the preceding section and a delayed return to tonic B♭.²⁴ (The *a* section's antecedent is not repeated.) In its second guise, however, the consequent phrase is open, leading ultimately to F♯ minor by way of F♯/E♯. As Example 5.12 shows, the melodic line of the group proceeds from *Kopftön* d² (*a* section) to neighbor-note d♭² (*b* section) and back to d² (*a'* section).

A word should be said regarding critical reception to Schubert's practice of casting a sonata's thematic group in *a-b-a'* form. As James Webster remarks, this practice has been disparaged, especially by Salzer in his previously-mentioned

²⁴In *Structural Hearing*, p. 185, Salzer comments on this delayed tonic: "Instead of using the V $\frac{6}{4} \frac{5}{3}$ at the end of the middle section, which would have caused the third section (A¹) to start with the tonic, as one might expect, Schubert, although still on the $\frac{6}{4}$ suspension of the V, nevertheless begins with the motive of the first theme. While the top voice thus shows a regular recapitulation, the bass, during the first four measures, is still in the process of completing the harmonic progression started previously."

1928 monograph.²⁵ Salzer here maintains that *a-b-a'*, or what amounts to three-part song form, facilitates expansion of *one* lyrical idea but impedes improvisatory composition of *contrasting* ideas; thus he considers three-part song form to be inappropriate for sonata design.²⁶ But Schubert's use of three-part form in this principal group is related, by way of motivic parallelism, to his larger use of the three-key exposition. This will become clearer in the course of the ensuing analysis.

Principal group: a section, mm. 1-18

Example 5.12 shows the *a* section's antecedent/consequent phrase structure and its interrupted melodic line (proceeding from *Kopftön* d^2), $d^2-e\flat^2-d^2-c^2/d^2-e\flat^2-d^2-c^2-b\flat^1$. (The opening parallel period suggests a four-bar hypermeter. Each phrase opens with the same clear four-bar subphrase but continues with an expanded

²⁵The use of *a-b-a'* form in the principal group of the B $\flat$ Sonata is not an isolated occurrence; Schubert does this elsewhere, sometimes using tripartite form for his second groups. See Webster, "Schubert's Sonata Form," pp. 20-22; see also discussion on Salzer in my Chapter 1, pp. 44-45.

²⁶See Salzer, "Die Sonatenform bei Franz Schubert," pp. 87-90 regarding the evolution of sonata form from song form, and pp. 99-100 regarding Schubert's use of song form in the B $\flat$ Sonata's principal group. In this monograph, Salzer holds that three-part song form arises from a desire to postpone the consequent phrase of a parallel period through interpolation of a delaying middle section, a middle section that prototypically prolongs one scale degree. In relation to this formal prototype, he finds the principal group of Schubert's B $\flat$ Sonata exemplary in that its middle section prolongs one scale degree. However, he finds it deviant in that its opening antecedent phrase is followed *directly* by a consequent phrase, an event that negates the ostensible function of a middle section.

five-bar subphrase.²⁷) Many features of the principal theme have already been mentioned in the course of comparison with Beethoven's Op. 97 (as well as with his Op. 106 and Op. 130). Most important of these are:

- 1) the opening foreground melodic kernel $b\flat^1-a^1-b\flat^1c^2-d^2$, which features the lower neighbor-note motion $b\flat^1-a^1-b\flat^1$ and the subsequent rise of a third from inner-voice tone $b\flat^1$ to *Kopft*on d^2 .²⁸ A variant of this kernel, $d^2-a^1-b\flat^1-c^2-(b\flat^1-d^2)-c^2-(b\flat^1)$, appears at the end of both antecedent and consequent phrases (mm. 6-9 and 17-18), reset within the context of dominant rather than tonic harmony. (Certainly mm. 6-9 might have retained the tonic harmony established on the downbeat of m. 6; the genesis of the dominant harmony in these bars will later be traced to one of Schubert's *Mignon* songs.);
- 2) on the phrase level, the melody features upper neighbor-note activity between d^2 and $e\flat^2$ in *both* antecedent and consequent phrases, despite differing harmonic contexts;
- 3) at the end of each phrase's opening four-bar subphrase (mm. 4 and 13), the foreground soprano/alto line, $b\flat^1/f^1-g^1-f^1$ simultaneously outlines the embellished tetrachord $B\flat-G-F$ and the simple neighbor-note motion $F-G-F$. This detail gives

²⁷This type of phrase structure, that is, where a regular four-bar (sub)phrase alternates with an expanded (sub)phrase is characteristic of some of Schubert's thematic groups, including the Octet's second theme (see Example 3.6a in this study).

²⁸As Salzer points out in *Structural Hearing*, the opening period features "the penetration of the melodic descending third into the smallest prolongations." See vol. I, p. 184 and vol. II, # 397. The ascending third might have been included in his observation.

rise to the striking F-G $\flat$ -F bass rumble in mm. 7-9, as well as to the chromatically filled-in bass fourth from B $\flat$ to F in mm. 13-16.

Principal group: b section (mm. 20-36)

The *b* section prolongs G $\flat$ for almost its entire duration.²⁹ Salzer's view of this prolongation changed over time: in his 1928 monograph, he implicitly criticized this prolongation of one scale degree as prototypical of a middle section in three-part song form, a form deemed incompatible with the requirements of sonata composition; however, in *Structural Hearing*, he praised the motivic connection between the bass G $\flat$ trill of m. 8 and the larger G $\flat$ prolongation of this middle section as an act of "synthesis."³⁰ The use of *a-b-a'* form for the principal group afforded Schubert the opportunity to enrich his motivic fabric by featuring G $\flat$, formally and structurally, on an additional middleground level; this is the first indication that the menacing bass rumble of mm. 7-9 is a threat to be taken seriously.

²⁹One minor difference between my graphs and those of Salzer (Example 5.12) concerns alternate, though not mutually exclusive, ways of viewing the *b* section's G $\flat$ prolongation in relation to the prolongations of the outer sections. In Salzer's more harmonic perspective, G $\flat$ occurs as a passing tone between the *a* section's B $\flat$ prolongation and the *a'* section's opening F (mm. 36-38), that is, within the bass tetrachord B $\flat$ -G $\flat$ -F. In my more contrapuntal view, G $\flat$ is an inner voice arising from and returning to F, the inner-voice fifth above B $\flat$. There is a motivic basis for either view, as shown by the soprano/alto line in m. 4. In an abstract sense, the harmonic representation ultimately derives from the contrapuntal one.

³⁰See Salzer, "Die Sonatenform bei Franz Schubert," p. 100, and Salzer, *Structural Hearing*, vol. I, pp. 184-185.

The *b* section is preceded by a motivically rich link (mm. 19-20): first, it introduces $C\flat$ as upper neighbor note to $B\flat$ ($B\sharp$ has already sounded in m. 14); second, it fills in the major third between $B\flat$ and $G\flat$, thus truncating the bass line fourth from $B\flat$ to F traced in the *a* section's consequent phrase (mm. 10-18).

The *b* section itself may be divided into two overlapping phrases (mm. 20-27 and 27-36), the second of which compresses and varies the first. In harmonic (and middleground melodic) terms, the *b* section's first phrase closely resembles the *a* section's antecedent. Thus the antecedent's plagal I-IV-I neighbor-chord progression (supporting $d^2-e\flat^2-d^2$), accomplished in the six bars of mm. 1-6, is compressed into the four bars of mm. 20-23 (supporting $d\flat^2-e\flat^2-d\flat^2$). The harmonic resemblance is reflected on the musical surface by the melodic leap of a fourth from $b\flat^1$ to $e\flat^2$ in mm. 4-5 and mm. 21-22; this tiny parallelism is symptomatic of the emphasis on neighboring subdominant harmony, with its plagal, religious flavor, in both phrases. (Indeed the entire *b* section is saturated with subdominant chords that support neighbor notes $e\flat$ or $c\flat$ in the upper voice.) The four-bar unit of mm. 20-23 is followed by two two-bar units (mm. 24-25 and 26-27), each containing the cadential progression IV-V⁷-I (supporting $c\flat^2$ and $b\flat^1$) and emphasizing the Amen subdominants by placing them on downbeats. The first of these two-bar units completes the phrase harmonically and melodically at m. 25; the second, though, is a mere pendant.

The section's second large phrase (mm. 27-36), is nothing more than a great intensification of the $G\flat$ triad and inner-voice melodic tone $b\flat^1$, an intensification already begun at the end of the first large phrase with the varied repetition of mm. 24-25 in mm. 26-27 and embellishment of $b\flat^1$ with neighbor-note $c\flat^2$. This increasing tension is created not only by the unwavering persistence of the $G\flat$ pedal point, which controls the changing harmonies above it, but also by a quickening of harmonic and melodic rhythm, reflected in ever-shorter overlapping subphrase lengths. Thus the second large phrase contains two two-bar units (mm. 27-29 and 29-31); two one-bar units (mm. 31 and 32); two half-bar units (m. 33); and a series of eight quarter-bar pulsations (mm. 34-36). (The last two measures provide a written ritard.) Melodically, in a manifestation of proliferating diminution, the quarter-note values that had prevailed in the first phrase (mm. 20-27) give way first to eighths in mm. 27-29 and then to sixteenths in mm. 29-34; there is a slight broadening with the triplets of mm. 34-36. The lack of direct temporal correspondence between the changes of hypermetrical unit and of durational values within the bar contribute to the tension and complexity of the phrase.

In the second phrase intensification is further created through continuous harmonic compression: the I-IV-V⁷-I progression in each of its two two-bar units (mm. 27-29 and mm. 29-31) omits the return to I after IV provided in the previous phrase (mm. 20-23), as well as in the Sonata's first phrase, and echoes

the cadential material of mm. 24-27, seeming to accomplish in two bars what had earlier taken six. In the subsequent pairs of one- and half-bar units (mm. 31-34), harmonic activity is so compressed that the $G\flat$ triad alone now stands for the cadential progression of the previous two-bar units. The resulting cessation of harmonic activity prepares for the crucial reinterpretation of the $G\flat$ triad in mm. 34-35 as an augmented sixth, a chord that leads powerfully into the overlapping *a'* section with its dominant, bridging the formal division of sections. (The V_4^6 at the end of m. 35 is an anticipation.)

Finally, intensification is also achieved in the *b* section's second phrase through an increasingly dense web of melodic diminutions (the intensities of melodic and harmonic activity are inversely related):

1) In the two-bar units (mm. 27-31), the underlying neighbor-note motions $B\flat-C\flat-B\flat$, which refer back to the $b\flat^1-c\flat^2-b\flat^1$ neighbor-note motion in mm. 25-27, are enriched by octave coupling. (This neighbor-note configuration, $B\flat-C\flat B\flat$, takes on increasing motivic and structural importance, especially in the recapitulation.) These octave spans are filled in by descending arpeggiated triads, suggesting a cascade of thirds. The changes in harmony are mediated by incomplete lower neighbors at the ends of each bar; the resulting neighbor-note pairs, $d\flat^2-e\flat^2$ and $a\flat^2-b\flat^2$, are motivically significant as the salient melodic neighbor-note configurations of the Sonata's first phrase.

- 2) In the one-bar units (mm. 31-32), the solitary arpeggiated $G\flat$ triad (referring back to the descending thirds of mm. 27-31) is embellished by means of greater lower-neighbor activity (both complete and incomplete), the most important neighbor-note motion occurring between $B\flat$ and $A\sharp$: this pair looks back to the first melodic gesture of the Sonata and looks ahead, by sounding $A\sharp$, to the coming prolongation of $F\sharp$ minor in the second theme.
- 3) In the half-bar units (m. 33), the melodic content of the Sonata's opening (in the foreground, of mm. 1-2; in the middleground, of mm. 1-18) is recast, here by means of corresponding scale degrees rather than of like pitch content.
- 4) In the approach to the augmented sixth (mm. 33-34), the surprising melodic semitone f^1 - e^1 prefigures related semitone motion in mm. 44-45 and elsewhere in the movement; it is itself prefigured by the tenor accented passing tone $e\sharp$ in m. 2, the first nonharmonic tone in the movement.

Principal group: a' section, mm. 36-48

The omission of the *a* section's antecedent phrase prevents a surfeit of subdominants after the saturation with them in the *b* section. Indeed, the *a'* section seems to begin by ending: its onset with the *consequent* phrase signals a formal ending; its onset on a cadential V_4^6 , prepared by the striking V_4^6 chords of mm. 6-7 and m. 17, signals a harmonic ending. These cadential dominants seem to have a nostalgic poignancy; later discussion will trace them to a Schubert song about death.

The *a'* section's open ending is shown in Examples 5.9 and 5.12b. In this reading, the diminished seventh chord in mm. 45-47 outranks the dividing V^7 of m. 44; d^2 , supported by the $B\flat$ harmony in mm. 1-39, bypasses the c^2 above F and continues to sound above the diminished seventh.³¹ This interpretation is supported by the recurrence elsewhere in the work of the same diminished seventh, with $F/(E\sharp)$ in the bass, always as a deceptive harmony following a cadential dominant: 1) in the first movement, with critical structural impact, toward the end of the second group in mm. 72-73; 2) in the second movement in mm. 65-66 and mm. 82-85. In the last instance (see Example 5.13), the diminished seventh occurs within a harmonic context very much like that of mm. 44-48 in the first movement's principal group: a V of $B\flat$ is contracted to become the diminished seventh familiar from mm. 45-47 and mm. 72-73; bass F is then reinterpreted as $E\sharp$; the respelled diminished chord, after *embellishment* by a neighboring V_3^6 of $F\sharp$, ultimately leads to $F\sharp$ minor (IV of $C\sharp$). This progression, so similar to the earlier one under discussion,

³¹This interpretation is given by Hur in *Irregular Recapitulation in Schubert's Instrumental Works*, p. 198. Felix Salzer's analysis in *Structural Hearing* seems to suggest another interpretation, in which the diminished seventh of mm. 45-47 is subordinate to its surrounding harmonies. See vol. I, pp. 183-185, and vol. II, pp. 161-164, # 394-400; see also Example 5.12a in this study. But even if one were to interpret the V^7 of $F\sharp$ in m. 47 as structurally superior to the diminished seventh of mm. 45-47, the F^7 chord in m. 44 would remain a dividing dominant, subordinate both to tonic $B\flat$, prolonged throughout the principal group, and to $F\sharp$, prolonged at the beginning of the second group. This calls into question Salzer's representation (Example 5.12a) of the dominant in m. 44 as equal in rank to the preceding $B\flat$ tonic. Undoubtedly, he did this to show large-scale voice leading as circumscribed within the confines of the principal group.

suggests that the diminished seventh of mm. 45-47 likewise outranks the V⁷ of F# to which it moves.

The principal group in relation to other works by Schubert

I. Tripartite form and the G-major Sonata, D. 894 (Op. 78)

In connection with Schubert's use of three-part song form in the B $\flat$ Sonata, Salzer mentions that the principal group of Schubert's earlier G-major Sonata (Example 5.14) is similarly cast. Indeed, Salzer is not the only author to call attention to a similarity between Schubert's G-major and B $\flat$ Sonatas. Maurice Brown says that "both use a broad dignified theme in the opening bars, and this is partnered by a lilting dance-tune later in the movement; and in both movements unexpectedly powerful structures are built up upon these themes." Philip Radcliffe finds that the later work "looks back to the deep thoughtfulness" of the earlier one.³² To Salzer's more substantive observation regarding the two works, several others may be added:

1) The works share similar tempo and dynamic indications: the earlier movement is marked *Molto moderato e cantabile* and begins *pianissimo*; the later movement is marked *Molto moderato* and also begins *pianissimo*.

³²See Salzer, "Die Sonatenform bei Franz Schubert," p. 100; Brown, *Schubert: A Critical Biography*, p. 304; and Philip Radcliffe, *Schubert Piano Sonatas*, BBC Music Guides (Seattle: University of Washington Press, 1971), p. 50.

- 2) The first *a* sections of both principal themes have antecedent/consequent phrases, thus contradicting one of Salzer's criteria for identifying three-part song form, namely the delay of the consequent phrase by the middle *b* section. Both principal themes begin with static tonic prolongations in the first subphrase, followed by emphasized subdominants at the beginning of their second subphrases. See mm. 1-2/3-4 of the G-major Sonata and mm. 1-4/5-9 of the B $\flat$ Sonata.
- 3) Both principal themes begin with lower-neighbor activity followed by ascent of a third. The earlier melody begins $b^1-a^1-b^1-c^2-d^2-c^2-b^1$ or $\hat{3}-\hat{2}-\hat{3}-\hat{4}-\hat{5}-\hat{4}-\hat{3}$; the later melody begins $b\flat^1-a^1-b\flat^1-c^2-d^2-c^2-b\flat^1$ or $\hat{1}-\hat{7}-\hat{1}-\hat{2}-\hat{3}-\hat{2}-\hat{1}$. The former melody continues by leaping from *b* to *e*; the latter continues by leaping from *b $\flat$* to *e $\flat$* . The similarity of configuration is evident despite the difference of scale degree.
- 4) The *b* section of the G-major Sonata's principal group (mm. 10-16) prolongs the dominant of B minor, F $\sharp$, for the greater duration of the section; the *b* section of the B $\flat$ Sonata's principal group (mm. 20-36) prolongs F $\sharp$'s enharmonic equivalent G $\flat$. Indeed, as mentioned earlier, in the B $\flat$ Sonata F $\sharp$ minor and B minor become the keys of the exposition's and recapitulation's respective second themes! Thus the emphasis on F $\sharp$ and B is shared by both Sonata movements. (The similarities posited are based on shared *keys* rather than shared *key relationships*.)
- 5) Both *b* sections end with a prominent augmented sixth reiterated in sets of triplets. In the earlier work, a D chord (m. 16) is reinterpreted (and spelled) as a

dominant leading back to the tonic G; in the later work a G $\flat$ chord (mm. 34-35) retains its function as $\flat$ VI leading to the dominant of tonic B $\flat$.

II. Tripartite form and the $\flat\hat{6}-\hat{5}$ motive in relation to "Ihr Bild," from Schwanengesang, D. 957

Several authors have commented on a connection between "Ihr Bild" and Schubert's B $\flat$ Piano Sonata. (The song and Sonata were written a month apart, in August and September of 1828, respectively.) John Reed observes that "the Heine songs . . . set the tone for the music of Schubert's last year. The affinity of mood between *Ihr Bild* and the B flat Piano Sonata D960 is especially noticeable in the link phrases at bars 5-7 and 28-30."³³ Joseph Kerman elaborates the findings of Hans Költzsch:

In his study of the piano sonatas, [Költzsch] noted that the rumbling trill in the B-flat Sonata of 1828 has a parallel in the piano interlude of *Ihr Bild*. The mood is analogous, as is the function, a muffled repeated half-cadence after the first melodic segment; the chord is almost the same augmented 6th, in practically the same spacing, with the same A-flat in the offing; in both pieces $\flat$ VI serves to prepare the first modulation. The key is the same (it is the key of Beethoven's *Archduke Trio*, which must have inspired Schubert's lyric first subject). Writing a sonata, Schubert was determined to carry the trill-figure on, notably in his retransition section. But the figure does not develop, certainly not in any Beethovenian sense. The passage, so handsomely treated by Tovey, is superb, but the figure

³³See *The Schubert Song Companion*, p. 261.

remains essentially what it was at the beginning: a mysterious, impressive, cryptic, Romantic gesture.³⁴

Despite Kerman's assertion that "the figure does not develop," it is evident from the foregoing discussion of Schubert's principal group in this study that the trill figure, highlighting the $\hat{5}-\flat\hat{6}-\hat{5}$ relationship, most certainly develops through prolongation of $G\flat$ in the group's middle section; further analysis of Schubert's Sonata movement in this study will reveal the figure's continued "development" throughout.

"Ihr Bild" has three stanzas set in *A-B-A* form; it is framed by a brief introduction (two bare octave intonements of $B\flat$) and a postlude. In the outer sections modal shift (from $B\flat$ minor to $B\flat$ major) and corresponding textural change (from bare

³⁴See Joseph Kerman, "A Romantic Detail in Schubert's *Schwanengesang*," p. 46, rpt., p. 59. See also Hans Költzsch, *Franz Schubert in seinen Klaviersonaten* (Leipzig: Breitkopf & Härtel, 1927; rpt. Hildesheim: Georg Olms Verlag, 1976), p. 131. Kerman's article discusses introductions to Schubert's Lieder that embellish the tonic with a single [neighbor-chord] harmony. Among the introductions described by Kerman are those belonging to "Gondelfahrer," D. 808, from March 1824, in which $\flat VI$ harmony embellishes the C-major tonic, and several Heine songs from 1828: "Am Meer," which embellishes the C-major tonic with an "augmented sixth," and "Die Stadt," which embellishes the C-minor tonic with a diminished seventh. (These songs all refer to water.) Kerman later relates such introductions to that of "Ihr Bild": although "Ihr Bild" opens with two bare octaves on tonic $B\flat$, an analogous juncture in the song fills these octaves with embellishment-tonic motion. Finally, Kerman relates these introductions to the opening themes of Schubert's instrumental music, including the $B\flat$ Piano Sonata, the C-major Quintet, and the G-major String Quartet. I agree with Kerman that the embellishments of the tonic found in Lied introductions of 1828 are significantly transferred to the principal themes of the instrumental works written in that year; however, I disagree with his confinement of this transferral to literal foreground statements.

octaves to chords) convey the protagonist's emotional swings, in the first stanza, from depressed contemplation of his lost beloved's image to joyful imagining that she is coming alive, and, in the last stanza, from nostalgic grief to disbelieving acknowledgment of loss.³⁵ The song's lovely intermediary G♭-major section sets the protagonist's vivid description of his beloved's seemingly animated visage.

John Reed comments on the song's expressive content:

Nowhere is the sadness of lost happiness expressed with more epigrammatic force than in this wonderful song. Its thirty-six bars distil the essence of the bitter poem with an exactness that defies analysis, though it is not difficult to isolate aspects of its greatness: the alternation of bare unison phrases, for instance, always with Schubert an image of loneliness and deprivation, with echoing homophonic phrases, as though to convey the contrast between bleak reality and the memory of happier days: the mysteriously hearteasing effect of the simple modulation to G flat major at the words "A smile played wondrously about her lips": and the runic precision of the bare B flats (*pp*) at the beginning.³⁶

Carl Schachter has observed that the song features upper-neighbor embellishment of F in conjunction with descents of a fourth from B♭ to F.³⁷ (See Example 5.15.) In the outer sections, these configurations, mediated by mode mixture, oppose G♯ and G♭. Thus the opening B♭-minor portion of these respective

³⁵Another song in which major-mode homophony sets the protagonist's inevitable confrontation of tragedy is "Letzte Hoffnung," from *Winterreise*.

³⁶See *The Schubert Song Companion*, p. 261.

³⁷Schachter made this observation in his seminar "Analysis for Performers," given at the Graduate Center of the City University of New York. See also Heinrich Schenker's detailed analysis of "Ihr Bild" in *Der Tonwille I* (Vienna: A. Gutmann Verlag, 1921; rpt. Universal-Edition).

sections outlines a Phrygian bass descent, $B\flat-(A\sharp)-G\flat-F$ (mm. 3-8 and 25-30); F is twice embellished by upper-neighbor motion, in bare octaves (mm. 5-6 and 27-28) and with accompanying chords (mm. 7-8 and 29-30). (It is the chordally enriched embellishment of F that the above-mentioned scholars associate with the $B\flat$ Sonata's famous $G\flat-F$ bass trill. Indeed the respective opening phrases of the Sonata and song, in which the bass embellishments of F occur, are also melodically related through the opening upbeat, outlining of the third $\hat{1}-(\flat)\hat{3}$, and embellishment of $\hat{1}$ by its lower neighbor.) In the outer sections' respective $B\flat$ -major portions, however, $G\sharp$ replaces $G\flat$ in the context of descending fourths $B\flat-A\sharp-G\sharp-F$ (mm. 9-11, 12-13 and 31-33). The bass line of the song's intermediary $G\flat$ -major section twice revises the first section's descents from $B\flat$ to conform with the $G\flat$ -major scale: $B\flat-A\flat-G\flat-D\flat$, in mm. 15-17, and $B\flat-A\flat-G\flat-F-E\flat-D\flat$, in mm. 19-21. The prolongation of $\flat VI$ conveys textually suggested relief from pain; but here, as in "Der Tod und das Mädchen," $\flat VI$ inevitably leads to the dominant within a motivically enlarged Phrygian progression that connotes death. In "Ihr Bild" the piano postlude confirms gloomy reality with a final descent from $B\flat$ to F , corresponding to the descent to mm. 12-14, but in which F is embellished by neighbors $G\flat$ and $E\flat$ rather than $G\sharp$ and $E\flat$.

The $F-G\flat-F$ motive shared by song and Sonata is most important; this motive attains middleground enlargement in the sonata exposition when $F\sharp$ minor initiates the exposition's contrasting second theme. The modal properties of the

Sonata exposition, however, oppose those of the song: it moves from B♭ major (principal group) through D♭/C♯ to G♭/F♯ minor (second group); the song moves from B♭ minor/major through D♭ to G♭ major. The song's $\hat{5}-\flat\hat{6}-\hat{5}$ motive seems to enter the Sonata by way of the Sonata's principal group; the B♭-major portions of the song's outer sections correspond in affect, key, and mode to the principal group's outer sections, and the song's contrasting G♭-major section corresponds to the principal group's G♭-major middle section. In both the song and principal group, B♭, prolonged in the first large section, reaches G♭, prolonged in the middle section, by bass motion B♭-A♭-G♭.

III. Foreground connections between the Sonata's principal group and the Mignon songs and the larger ramifications of these connections

In his monograph on Schubert, Alfred Einstein says that the B♭ Sonata "has a song-like [principal] theme, and this theme originates from the depths of the Mignon songs. If the reader compares it with the first version of 'So lasst mich scheinen, bis ich werde,' he will appreciate this, in spite of the difference of key."³⁸ The first complete setting of this song, from 1821, is in B minor. (See Example 5.16a.) Already at the end of its first vocal phrase, it moves to D major, highlighting the third between B and D. The vocal melody begins with an upbeat

³⁸*Schubert: A Musical Portrait*, p. 287. Einstein, p. 310, compares the Mignon songs to "Ihr Bild": "'Ihr Bild' reminds one perhaps of the Mignon songs, yet throughout it there is a final, concentrated, eloquent--one might almost say, *wounding*--simplicity, down to the hollow chord that divides the second verse from the last."

and steady quarter notes in a configuration similar to that of the Sonata's opening: $(c\sharp^2)b^1-a\sharp^1-b^1-c\sharp^2-(e^2)d^2-c\sharp^2$. These traits would seem to confirm Einstein's intuition. Curiously, though, Einstein mentions the *earlier* setting of this song, omitting to mention the *later* setting. The later setting, Op. 62 No. 3 (included in D. 877) from 1826, is in B major; it is not until its second period that it moves to D. Its opening vocal melody is rhythmically less similar than that of the earlier version to the Sonata's opening. (See Example 5.16a and b.) Nevertheless, on closer scrutiny, the later version is closely related to the Sonata in several respects:

1) It begins with antecedent/consequent structure. The antecedent's internal structure, in which a two-measure subphrase built upon a static bass closes on I and the following subphrase moves IV-I-V, is very much like the layout of the Sonata's antecedent; 2) The V_4^6 chord at the beginning of the first vocal phrase (see also the very opening of the piano introduction) immediately brings to mind the striking V_4^6 chords in mm. 6-7, 17, and most especially m. 36 of the Sonata. This chord is both a beginning and ending in m. 36 of the Sonata; it has a similar quality at the onset of the song's piano introduction and first vocal phrase. The voicing and tessitura of the piano accompaniment in m. 5 of the song matches that of m. 36 in the Sonata.

The Goethe text shared by both versions of the song reveals their "extra-musical" agenda:

Thus let me seem till thus I become.
 Do not take off my white dress!
 I shall swiftly leave the fair earth
 for that safe dwelling place below.

There, for a brief silence, I shall rest;
 Then my eyes shall open afresh.
 Then I shall leave behind this pure raiment,
 This girdle and this rosary.

And those heavenly beings
 Do not ask who is man or woman,
 And no garments, no folds
 Enclose the transfigured body.

True, I lived free from care and toil,
 Yet I knew much deep suffering.
 Too soon I grew old with grief--
 Make me young again for ever!³⁹

The protagonist's welcoming of death is clearly expressed in the last line. Earlier I alleged that the B $\flat$ Sonata spoke of merciful death, as reflected in its key. It is true that the songs are in B $\natural$ rather than B $\flat$. Yet in the Sonata B $\natural$ functions significantly as $\sharp$ I, that is, as a surrogate for B $\flat$ --their intertwined identity seems certain. If one accepts Einstein's premise that the Sonata's opening theme owes its essence to the Mignon songs, and if one accepts the inextricable relationship in the Sonata between B $\flat$ and B $\natural$, then one may also accept that the Sonata, in its first movement, "speaks" of mercy in Death.

³⁹Translation of Johann Wolfgang von Goethe's text from *Wilhelm Meister in Schubert: The Complete Song Texts*. Translation copyright (c) 1988 by Richard Wigmore. Used with permission of Schirmer Books, an imprint of Simon & Schuster Macmillan.

Schubert's B $\flat$ -minor/major settings of "So lasst mich scheinen," while featuring $\hat{1}$ and ($\flat$) $\hat{3}$, do not emphasize $\flat\hat{6}$. Schubert's first setting of "Heiss mich nicht reden," or "Mignon I," D. 726, from April 1821, however, does so throughout: a ternary song in B minor, its outer sections feature B-G-F $\sharp$ Phrygian bass motions (mm. 1-4, 5-8, 12-15, 38-41, and 46-49); its contrasting middle section, mm. 27-35, features prolongation of G $\flat$ as a means of rendering relief from pain suggested in the text. (See Example 5.16c.) The song's repeated Phrygian bass progressions reflect the sad text in which Mignon expresses the pain of bearing secrets silently. John Reed observes that the rhythm of Schubert's setting "is a familiar image of death though here it seems to signify rather the death-in-life which was Mignon's tragic destiny;" he further notes the close resemblance between D. 726 and D. 727 "in tone, tempo and tonality."⁴⁰ (The dactylic rhythms and Phrygian bass descents in "Mignon I" place the song in the tradition of "Der Tod und das Mädchen"; but its key, sudden modal changes, Phrygian bass progressions, and melodic outlining of the third B $\flat$ -D more compellingly suggest the second theme of the E $\flat$ Piano Trio.) The relationship between this song, in which $\flat\hat{6}$ is an agent of grief, and the B $\flat$ Sonata is, at best, indirect--they differ in key and mode. Nevertheless, considered in the context of the larger connection between Schubert's Mignon songs and the Sonata, the relationship points toward the genesis of the three-key exposition's prolongation of $\flat\hat{6}$ from Schubert's songs.

⁴⁰See *The Schubert Song Companion*, pp. 264 and 390.

B♭ Piano Sonata

Second group (mm. 48-80)

One experiences the arrival at F♯ minor in m. 48 as one might experience a sudden threat, for the preceding diminished seventh pivot (mm. 45-47) gives scant warning of impending adversity. Indeed abrupt approaches to second groups are typical of Schubert's three-key expositions, as reflected in the D-minor Quartet, the "Great" C-major Symphony, and the E♭ Piano Trio, whose respective abrupt transitions are followed by second themes in a contrasting mode. In all except the D-minor Quartet, the mode changes from major (principal group) to minor (second group), in which case there is a movement toward sharps and an affective darkening. The resulting contrast is partially responsible for creating the impression of a new group, despite the lack of a fully developed preparatory bridge.

The second group may be thought of as falling into three periods: mm. 48-58, 59-66, and 67-80. (A one-measure link--m. 48--serves both as an ending to the previous group and a prefix to the new one.) The first period, which may be thought of as embodying the "second theme," is defined harmonically by a motion from F♯ minor to A major, that is, by a bass motion up a minor third into an

inner voice.⁴¹ The rest of the second group (mm. 59-80) must navigate from A to a more stable harmonic goal. This is accomplished in two periods that, taken together, might be thought of as a species of transition.⁴² The first of these periods reverses the second theme's harmonic motion from F# to A so that now A moves to F#(7). This raises the troubling question as to which of the two tones is now the controlling bass and which the inner voice. The last period (mm. 67-80) begins with a pair of motions from A to F#, the first F supporting an inverted D-minor triad in m. 68 and the second supporting an inverted Bb chord in m. 70. The latter chord serves as the turning point from which the second group pursues a harmonic course similar to that often found in sonata transitions: that is, motion directed toward a chromatically inflected tonic to complete a large-scale tonic prolongation. Here the inflected tonic is the inverted diminished seventh in mm. 72-73, D-F-Ab-Bb (enharmonically equivalent to the chord encountered earlier in mm. 45-47). It completes a chromatic voice exchange with the tonic prolonged

⁴¹Regarding the meaning of the term "second theme," see Rothstein, *Phrase Rhythm in Tonal Music*, pp. 115-118. He indicates his disinclination to use it because of possible confusion with the term "second group." He further says, p. 116, that he will instead use the description "*first phrase* (or *Period*) of the *second group*": this corresponds in most cases to the conventional 'second theme'. I prefer the conventional term because of its brevity.

⁴²Transitions usually connect two relatively stable harmonies; in a typical two-key sonata exposition, the transition might connect I and V or I and III. Schubert's three-key expositions may have second "transitions" that connect a relatively unstable harmony to the more stable dominant. In the Bb Sonata, it is better to think of the entire second group as transitional because it is so active harmonically and its opening "key" does not attain closure beyond the group's first phrase.

from the Sonata's beginning and leading to II $\sharp$ (V of V) in mm. 74-79.⁴³ (See Example 5.17.)

In a personal communication, Charles Burkhart conveyed to me his impression of this second group's affective quality, given here: "To me, it has always seemed somewhat ambiguous, full of uncertainty, as though 'groping for a way out.' Finally, at m. 70, the ways opens up, and we gradually emerge into the light. The trills in [mm.] 74-75 always seem to me to be joyfully celebrating this." The second group's structural, formal, and rhythmic features, discussed below, bear out Professor Burkhart's description.

Middleground structure and voice leading

In the foregoing interpretation, the F $\sharp$ /G $\flat$ harmony beginning in m. 48 governs the second group until the F $\sharp$ of m. 70; these tones, respectively $\flat 6$ and 5 above B $\flat$, prolong the movement's opening tonic by completing a 5- $\flat 6$ -5 motion above it.⁴⁴ (See Example 5.18.) The intervening A-major triad prevails in the

⁴³This background reading, in which the chromatic voice exchange governs mm. 1-72 of the exposition, is given by Hur in her previously cited dissertation, pp. 196-198. She credits Carl Schachter and Charles Burkhart for her interpretation.

⁴⁴Webster, "Schubert's Sonata Form," p. 30, criticizes Schubert's reluctance to leave the tonic, citing the B $\flat$ Sonata's return to tonic harmony in mm. 70-71 as supporting evidence. In the three-key exposition, however, the late return to tonic harmony may serve to connect better the structurally superior tonic and dominant harmonies occurring at the exposition's beginning and end, thus clarifying the "transitional" nature of the second group.

foreground of mm. 59-69, behaving something like a pedal chord and deriving local power both from sheer persistence and from its metric and hypermetric placement on *downbeats*.⁴⁵ The motions away from A (four--that is, two in each of the group's latter two periods) mediate a struggle between F♯/G♭ (♭6) and F♯ (5) that ends with the victory of F♯. Undoubtedly Schubert chose this belabored path to dramatize the effort required to vanquish the darkness of F♯.

The motion from an F♯-minor chord to an F♯₄⁶ chord entails three semitone neighbor-note motions: 1) F♯/G♭ must regain F♯; 2) C♯/D♭ must regain D; and 3) A/B♭♭ must regain B♭. The F♯-minor harmony is thus synthesized from three active neighbor notes, each of which has its own agenda, and each of which embodies a dual enharmonic identity. Although the second theme is notated in F♯ minor, F♯ stands for (and in the background remains) G♭ minor. Its prolongation here constitutes a beautiful motivic enlargement of the bass neighbor G♭ in m. 8 and of the principal group's G♭-major middle section. In a broader perspective, the two neighbor-note motions above B♭, F-G♭-F and D♭-D♭-D♭, that underpin the principal group's internal progress from section to section, recur,

⁴⁵Indeed Hur, *Irregular Recapitulation in Schubert's Instrumental Works*, pp. 196-198, proposes a different view of this F♯-A relationship, in which A prevails. Her voice-leading graphs show tonic B♭ (mm. 1ff.) bypassing F♯ (m. 48) and moving to A (mm. 58ff.). This A then is shown as passing from B♭ (m. 1) to F♯ (m. 70). Rosen, *Sonata Forms*, rev. ed., p. 261, offers yet another interpretation in which the harmonic events of mm. 43-45 are recomposed in mm. 70-72 and in which all the intervening second-group material is shown to be parenthetical. Both Hur's and Rosen's readings show the B♭₄⁶ of m. 70 as a major arrival point.

on a larger scale, to underpin the exposition's progress from principal to second group. (Compare Examples 5.12a and 5.17b.) However, the F $\sharp$ -minor triad's third neighbor note A $\flat$ (B $\flat$ $\flat$) is not a factor in the principal group's middle section; although the earlier section features A $\flat$ ($\flat$ $\hat{2}$) as chromatic neighbor note to B $\flat$, thus hinting at the F $\sharp$ -minor color to come, it never presents this pitch as G $\flat$'s upper minor third B $\flat$ $\flat$. In a sense the second group's drama hinges on the introduction of A $\flat$ /B $\flat$ $\flat$; F $\sharp$ minor, achieved through double mixture in relation to the B $\flat$ -major tonic, is particularly subversive because it includes a tone that may function as either a *substitute* for the B $\flat$ tonic or a *leading tone* to the tonic. This pitch's troublesome nature is easily visualized when secondary mixture is applied to VI within the context of the B $\flat$ harmonic-minor scale (Example 5.19).⁴⁶

However, its inclusion in the second group permits a change in affect as well as the composing out of a large-scale neighbor-note relationship between B $\flat$ and A $\flat$ that spans the principal and second groups: as shown in Example 5.18, the middleground inner-voice line b $\flat$ ¹-a¹-b $\flat$ ¹-b $\flat$ ¹-c² may be seen as an enlargement of the movement's opening melodic gesture.

⁴⁶As defined by Aldwell and Schachter in *Harmony and Voice Leading*, 2nd ed., pp. 504-505, *simple mixture* entails "borrowing an element from the parallel mode"; *secondary mixture* entails "altering the quality of a triad without using scale degrees from the parallel mode"; and *double mixture* entails "applying secondary mixture to a triad achieved through simple mixture."

A more detailed view of the second group

The first period (mm. 49-58)

It is divided into two overlapping five-bar phrases (the F# chord at the end of m. 53 is an anticipatory upbeat): 1) a forephrase (mm. 49-53) that prolongs F# and 2) an afterphrase (mm. 54-58) that moves from F# to A.

The new theme begins with a descending fifth, $c\sharp^1-b\flat-a-g\sharp-f\sharp$, above a retained F# bass. The theme's first tone, C#, is the main melodic tone of the second group and functions, as middleground chromatic lower neighbor to *Kopftón* d^2 , established in the principal group. (See Example 5.20.) The second theme's descending fifth is articulated into two conjoined descending thirds. As noted earlier, Salzer commented on the saturation of the *first group's* opening section with descending thirds.⁴⁷ His detailed graph of mm. 1-18 (Example 5.21) shows foreground thirds, omitted in the graphs of Example 5.12, in mm. 2, 3, 14, 15, and 16.⁴⁸ Another foreground third, $e^{\flat 2}-c^2$ in m. 5, is not shown in any of the graphs. The more middleground descents from d^2 to $b\flat^1$ in mm. 2-4 and 11-13 (and a possible descending third from d^2 to inner voice $b\flat^1$ in mm. 6-7, shown in Example 5.12b) contribute another layer of thirds to the motivic fabric. Deeper in the middleground, the entire first section is governed by an interrupted melodic

⁴⁷See n. 28 on p. 314 in this chapter.

⁴⁸The graphs given in Example 5.21 are reproduced from *Structural Hearing*, vol. II, p. 163, # 397a-b. See vol. I, p. 184 for accompanying discussion.

descent from d^2 to $b\flat^1$. Descending thirds also play an important role in the principal group's middle section: its governing melodic third $d\flat^2$ - $c\flat^2$ - $b\flat^1$ (mm. 21-25) prepares for the second theme's opening third $c\sharp^1$ - $b\flat$ - a . There is also an implied chain of descending thirds in mm. 27-28 (see Example 5.12b). Thus it is not surprising to hear a "new" theme made from descending thirds.⁴⁹

Furthermore, the quarter-note upbeat at the beginning of each of the second theme's subphrases, a characteristic retained from the first theme, helps the ear to relate the latter theme to the former. However, in that its falling thirds are unadorned, the new theme is perceived as boiled down in relation to the first theme, whose thirds are featured on several levels.

The second theme continues in mm. 51-53, through motion into a superposed inner voice, with the rising sixth $c\sharp^2$ -($e\sharp^2$)- $f\sharp^2$ -($g\sharp^2$)- a^2 . This line is counterpointed by an embellished *ascending* tenor fifth, $f\sharp$ - $g\sharp$ - a - $b\flat$ - $c\sharp^1$ (d^1) $c\sharp^1$, that reverses the theme's opening descent. Both forephrase and afterphrase feature the same melodic line.

⁴⁹See pp. 303-305 in this chapter for a discussion of Beethoven's Op. 130, *Allegro*, which is constructed from a chain of descending thirds, and its relationship to Schubert's Sonata.

Harmonically the first period features F $\sharp$ -A oscillation:⁵⁰ In the forephrase, the first harmonic gesture is a motion from F $\sharp$ (via E⁷) to upper third A $\natural$ and back (mm. 51-52); the second E⁷ chord in m. 53 again pulls toward A but proves to be a neighbor chord that moves through E $\sharp$ back to F $\sharp$. This neighbor-chord motion temporarily defends F $\sharp$ from A and elongates what might have been a four-bar phrase with an extra bar--hence a five-bar phrase. In the afterphrase, the content of the forephrase is reasserted until the last minute, when the phrase's second E⁷ (m. 58), formerly a reluctant neighbor chord to F $\sharp$, behaves as V⁷ of A after all.⁵¹

The second period (mm. 59-66)

This period consists of two four-bar units (mm. 59-62 and 63-66), the second of which is an embellished variant of the first. Here, in a reversal of the previous period's F $\sharp$ -A oscillation, A major twice reaches for F $\sharp$ ⁷, thus presenting a means by which F $\sharp$ might resolve to F $\natural$: the V⁷ on F $\sharp$ could be enharmonically

⁵⁰Perhaps such phenomena as the F $\sharp$ -A oscillation in this exposition evolved from earlier, less obvious tonal pairings, such as the F $\natural$ -A relationship in the D-minor Quartet. Rosen, *Sonata Forms*, rev. ed., p. 360, suggests that "the oscillation between two tonal levels to achieve a kind of stasis" may be Schubert's "greatest innovation." One of Rosen's two illustrations, pp. 360-364, comes from the development of the movement under discussion. Certainly the oscillation in the second groups of the exposition and recapitulation are related phenomena.

⁵¹The phrase structure of this second theme's opening period resembles that of the D-minor Quartet's, which also begins with two five-bar phrases, the first "closed" and the second "open." Both themes begin with forephrases that are elongated by reiteration of a bass tonic embellishment. (In this study, see Chapter 2, pp. 88-89, and Example 2.9b.)

reinterpreted as a German augmented sixth, whose bass $G\flat$ resolves to $F\sharp$.⁵² (The A-major triad would then be justified by its contribution of common-tone E.) But the subordinate B-minor chords to which the $F\sharp$ seventh chords move in mm. 61 and 65, while forecasting harmonic events to come in the recapitulation, discourage this interpretation; and the two-fold returns to A in mm. 63 and 67 contradict it. The harmonic oscillation in this period entails an implicit struggle between D minor and $B\flat$ minor as reflected by the contradictory bass $b\flat$ and melodic $a\sharp^1$ spellings in mm. 59-60 and 63-64.

The third period (mm. 67-80)

In the third period the A-major triad turns toward D minor, a motion forecast by the bass $b\flat$ neighbor notes in mm. 59 and 63. It is at this point that the second group's accumulated tonal tension begins to clear, for it is not difficult to account for the second theme's $F\sharp$ -minor harmony and the egocentric A-major triad as belonging, through simple mixture, to the D-minor scale as III and V, respectively, of the parallel major scale; the subsequent motion to $B\flat_4^6$ sounds like a deceptive motion to bVI . However, although this period begins by inhabiting the realm of

⁵²If this reinterpretation were to take place, it would reenact the harmonic reinterpretation with which the principal group's middle section regains opening material. Furthermore, it would reenact a similar event in the retransition of Beethoven's "Hammerklavier" Sonata, whose $F\sharp$ dominant seventh (mm. 213-220), as earlier noted, has been viewed by Ernst Oster as a German augmented chord on $G\flat$ resolving to $F\sharp$ (m. 226). (See discussion on p. 294-295 in this chapter.) Despite such precedents, Schubert relinquishes this voice-leading opportunity, choosing a less direct path for his second group.

D, indeed touching upon the D-minor root-position triad in m. 68, the first important goal remains the inverted *tonic* of m. 70, for it is this chord that continues the tonic prolongation begun in the principal group and carries it toward the diminished seventh #I that completes this prolongation. The allusion to D minor, however, prepares the listener for the important bass D belonging to #I.

No mention has yet been made concerning the third period's phrase structure; it is quite complicated and must be understood in relation to previous material. In terms of phrase structure and harmonic rhythm, the entire second group resembles the principal group's middle section: a fragmentation process ensues, creating increased tension, until a harmonic turning point is reached, after which there is a written-in broadening or ritard accomplished through phrase expansion. The second group's first two periods are phrase-pairs: two five-bar units are followed by two four-bar units. (See Example 5.22.) In the third period, a switch to two-bar units is effected when harmonic change is accomplished in two bars (mm. 67-68) and the theme's descent is limited to one third rather than two.

Since the second group's first two periods are phrase-pairs, the second pair shorter than the first, the listener expects the third period's opening two-bar unit (mm. 67-68) to be followed by another two-bar unit, thus continuing the fragmentation process in an orderly way. And two-bar units do prevail in the third period. However, the second expected two-bar unit is disrupted by the inverted B $\flat$ chord

in m. 70; the importance of this arrival is reflected by its hypermetrical position as the second of two successive *strong* measures, a position that ends the A-major triad's hypermetrical hegemony. (So much momentum is required to reach this B $\flat$ chord that, if not concentrating, a performer might play the eighths of m. 70 as sixteenths!) Also, from this point until the end of the group, the melodic pattern established by the second theme is reversed so that now ascents are followed by descents. Thus phrase structure here seems to support a reading of the second group that views the $\frac{6}{4}$ chord in m. 70 as a tonic goal. The new four-bar unit originating in m. 70 is an expansion of a two-bar unit that is stretched to accommodate each of its two important harmonies, representing a slowing of harmonic rhythm in relation to mm. 67-70. (See Example 5.22a.) The third period's first unit thus seems to be a seven-bar expansion of a five-bar unit (Example 5.22b) and, ultimately, of a four-bar unit (Example 5.22c). The last unit prolongs one harmony, II $\frac{4}{4}$ or V of V (mm. 74-79) by means of three two-bar units (if phrase overlap is considered, a seven-bar unit results); however, this unit is easily contracted to three plus one bars (Example 5.22b and c).

Formal and structural role of the middle key area

As with other three-key expositions by Schubert, the problem is to reconcile two givens: 1) the structural superiority of I and V as key-defining harmonies; 2) the individual manifestation of formal and rhetorical gestures typical of Classical sonata form, including entities such as *first group*, *transition*, *second group*, and

closing theme. The large problem posed by the B♭ Sonata's exposition is similar to that posed in other works discussed in this paper: the second theme prolongs, or at least begins with, a key of lesser structural weight than that prolonged by its closing material. This statement assumes that the F♯-minor area initiates the second group, that the F♯-major area presents closing material, and that F♯ is more important harmonically than F♯(G♭). However, because of the tonic prolongation expressed through chromatic voice exchange that binds the first and second groups, the disjunction between structure and design is more profound in this work than in others. (See Chapter 6, pp. 409-412, in this study.)

To assess the role of F♯ in relation to its surrounding harmonies involves consideration of interacting, and sometimes conflicting, parameters: 1) tonal features; 2) motivic features; 3) formal and thematic features. Many of these features have already been discussed but are reconsidered here in terms of how they strengthen or weaken F♯.

I. Features that weaken F♯

Tonal instability and flux

The rate of tonal flux in the second group is greater than that in the preceding or following groups. For example, the first group is cast in *a-b-a'* form, a form that emphasizes the tonic through full closure at the end of the initial section and through *return* to the tonic after a contrasting middle section. If not for the reprise's open construction, that is, through its ending with a destabilizing

diminished seventh, the principal group might almost stand as an independent little piece. But in the second group, F#’s status as the group’s governing harmony is soon undermined and overturned in the course of tonal wandering and ambivalence. Here tonal instability is first manifest in the destabilization of F# by A; after the initial cadence to F# in mm. 47-48, F#’s V⁷ occurs only in inversion whereas A’s V⁷ occurs in root position. Once A is reached at the end of the first period, F# is never regained as tonic triad and never attains closure. In the second period, the bass oscillation between A and F# deliberately obscures the relative structural weight of the two tones; and in the third period, the arrivals at the inverted I and inflected #I in mm. 70-73 show F# to have been a *subordinate* b6 within a 5-b6-(5) motion above the prolonged tonic.

Indeed this movement is similar to Brahms’s Second Symphony, as described by Carl Schachter, in several important respects.⁵³ In both works the second themes quickly veer away from their local tonic F# toward A. In both groups F#’s root-position dominant is avoided; in Brahms’s much briefer middle group, consisting of one phrase-pair or period, F#’s own dominant never appears once the theme is underway. In both groups, F# fails to achieve closure; in Brahms’s group, after the initial F# prolongation (formed by the starting point of the

⁵³See "The First Movement of Brahms’s Second Symphony," pp. 66-67. (Future references to this article will cite author’s name and page numbers only.) See also discussion about Carl Schachter’s above-mentioned article in this study, Chapter 1, pp. 23-26; Chapter 2, pp. 99-101; Chapter 3, pp. 154-157; and Chapter 4, p. 204.

group's two large phrases) is completed, F# is left, never to be regained on the way to the dominant. Even more importantly, in both groups, the overriding goal is a chromatic chord that completes a voice exchange with the opening tonic triad; in Schachter's reading of the Brahms group, an augmented sixth completes a chromatic voice exchange with the opening tonic D. (See Example 1.1 in this study.)

The chromatic voice exchange

As discussed earlier, Schachter bases his interpretation of Brahms's second group in part on the "extraordinary emphasis" given to the V of V that enters at m. 118. In Schubert's second group, V of V is likewise, albeit less, emphasized:⁵⁴

1) This single harmony, prolonged for six bars (mm. 74-79), gains power through metrical expansion, repeated cadential gestures, a crescendo, and melodic octave doublings. 2) Hypermetrical expansion of its two important preceding harmonies, that is of the Bb₄⁶ and diminished seventh chord in mm. 70-73, builds momentum going into the prolongation of II.

⁵⁴See Schachter, pp. 62-63. As noted earlier, Schachter observes that (with reference to Schubert's "Great" C-major Symphony) "typically Schubert partitions his exposition into sharply defined thematic groups, but the active harmonies--especially the important preparatory dominants--are very weakly articulated" (p. 65). The Bb Sonata is exceptional in its clear emphasis of F major's preparatory dominant.

The chromatic voice exchange is also supported by motivic considerations. The diminished seventh $B\flat-D-F-A\flat$ occurs at crucial junctures in the work, serving as a transition from the end of the principal group into the second group (mm. 45-47) and, in the second movement, serving as a means of regaining middleground and large-scale structural harmonies (mm. 62-66 and 82-85). The third between its bass and soprano tones D and $B\flat$ in m. 73 poses a conflict with the third between D and $B\flat$. This opposition, earlier traced to three works by Beethoven, is manifested early on by the melodic third $d^2-c^2-b\flat^1$ in the principal group's afterphrase (m. 14). It is further manifested by the respective melodic descents of the principal group's outer sections: in the exposition, $d^2-c^2-b\flat^1$ in mm. 1-18 vs. $d^2-c^2-b\flat^1$ in mm. 36-45 (see Example 5.12b); in the recapitulation, $d^2-c^2-b\flat^1$ in mm. 225-233 vs. $d^2-c\sharp^2-b\flat^1$ in mm. 255-267 (see Example 5.30a). The more general importance of descending thirds in the construction of the movement's themes is also motivically significant.

Formal preparation

The lack of a fleshed out transition preceding the second group tends to confer a surreal or aberrant quality to the second group, detracting from its structural weight.

II. Features that strengthen F#

Motivic enlargement

It is no secret that Schubert's second keys reflect motivic enlargement.⁵⁵ For example, a crucial motivic relationship in the Octet, whose three keys are F, D, and C, is the neighbor-note relationship between C and D/D $\flat$ and a variant of this relationship, the embellished tetrachord F-D/D $\flat$ -C. The possibility of motivic enlargement in the Octet suggests a background reading of I-VI-V for the exposition, a reading that I find necessary to modify for reasons discussed in Chapter 3, pp. 155-157. The E $\flat$ -Piano Trio presents a different, yet related situation; see my discussion in Chapter 4, pp. 230-232. (In both movements, I find the second-key prolongation to arise from 5-($\flat$)6 motion above the tonic.) I believe that in these instances motivic and structural parameters preserve some measure of autonomy. A similar phenomenon presents itself in the B $\flat$ Sonata. It is well known that in this work the neighbor-note relationship between G $\flat$ and F is exploited on many levels; there is no doubt that the key scheme of the exposition, I- $\flat$ VI-V, reflects motivic enlargement. Furthermore, registral and formal factors serve the motive: G $\flat$ and F are the lowest tones in the movement and they occur (together or singly) at the ends of formal sections; see mm. 8-9, 48, 124a-125a, 214-215, 235, and 352-353. If motivic design were synonymous with structure, then the exposition's background structure would be I- $\flat$ VI-V. But it

⁵⁵Levenson, *Motivic-Harmonic Transfer in the Late Works of Schubert*, explores Schubert's use of motivic enlargement (in all genres, including three-key expositions).

must be remembered that motivic factors also support the chromatic voice exchange; the importance of the thirds D-B $\flat$ and D-B $\sharp$ rivals the importance of the G $\flat$ -F and related B $\flat$ -G $\flat$ -F configurations. Furthermore, the F-G $\flat$ -F motion remains as part of the chromatic voice exchange in a subordinate role. (See Example 5.17.)

Formal and thematic features

- 1) The change of mode and affect in conjunction with the "new" theme promotes the perception of a second group. (Certainly the theme beginning in m. 49 is *new* despite its evolution from the first theme.) The change in mood from light to dark, symbolized by the change of key signature to F $\sharp$ minor, is unmistakable.
- 2) Conventional sonata rhetoric entails that, following the first group, a new theme group that prolongs, or at least begins in, a new key is probably the second group. In this second group the new theme persists far beyond the new "key."
- 3) Material carried over from the F $\sharp$ -minor to the F $\sharp$ -major group includes the material of mm. 99-116, which recasts the second theme. This thematic connection between the groups tends to reinforce the motivic aspect of the F $\sharp$ -minor area as large-scale neighbor to the F-major group.
- 4) The second group's first two periods both feature phrase-pairs of equal length: two five-bar phrases are followed by two four-bar phrases. This establishes a hypermetrical equilibrium that promotes the sense of a well-formed theme.

5) The theme's initial prolongation of the local tonic triad through a descending fifth lends a short-lived tonal stability that endows it with a thematic rather than a developmental profile.

The above-listed aspects of design automatically emphasize the F#-minor theme in a way that entitles F# to some priority in considerations of structural importance.

Third group (mm. 80-126)

This dominant group resembles the Octet's in several respects: 1) In both, the closing group brings a profound sense of relief associated with arrival at the exposition's structural dominant. 2) Both are composed of two phrase-pairs or periods, each of whose afterphrase is an expanded variant of its respective forephrase. The expansions are motivically significant chromatic excursions.

3) Their first periods begin with static prolongations followed by cadential formulae intended to ground the listener in prevailing harmony rather than to present new material of distinct thematic profile. Hence they may be classified as "closing" material. 4) Their latter periods include material derived from their respective second groups.

The closing group's F-major prolongation provisionally corrects the preceding group's aberrant F#/G♭-minor prolongation, replacing F# and C# with F♯ and C♯. In the measures preceding the closing group, c² (♭²) descends from *Kopft*on d² (♭³), prolonged in the course of the principal and second groups; c² reaches melodic closure by ascending through superimposed third a²-g²-f² rather than descending directly. Although, in the background, c² governs the closing group's top line, it is not always prominent. As shown in Example 5.23a, in the group's first period, f² prevails locally, sounding above a C that temporarily goes underground as an inner-voice tone. In the second period, shown in Example 25, c² reasserts itself: a pair of linear descents from c² and c¹ halt on a¹ (local ♭³), only reaching f¹ (♭¹) through motion into the inner voice. C's melodic hegemony remains.

First period (mm. 80-99)

This period elaborates a I-IV-V⁷-I progression by means of a six-bar forephrase (mm. 80-85) and elongated afterphrase (six bars plus expansion, mm. 86-91-99). In the first three bars of each phrase, F harmony is prolonged by means of the neighbor-chord motion I-IV⁶-I.⁵⁶ This harmonic gesture is drawn from the principal group, especially its lovely G♭-major middle section, thus contributing to

⁵⁶This neighbor-chord progression (mm. 80-82 and 86-88) supports the ascending tetrachord C-D-F, a configuration derived from the melodic gesture just preceding the closing group (m. 78).

the listener's sense of well being at the onset of the dominant group. (Reference to the subdominant neighbor chord is absent from the second group.) Each phrase continues to prolong F by moving to the local dominant C (mm. 83-85 and 89-91). The afterphrase's expansion leads in the bass from C (m. 91) to A (m. 96). This A, supporting a diminished seventh and inverted applied dominant, leads to the closing IV-V⁷-I cadential progression. (See Example 5.23a.)

In the prevailing strand of the two-tier upper line, F is prolonged by a linear descent through an octave and subsequent neighbor-note motion: f^2 (and i^3) twice descends through a fourth to c^2 (above local V, mm. 83-85 and 89-91)⁵⁷; c^2 descends chromatically to f^1 (in the expansion, mm. 91-96); the period ends with neighbor-note motion f^1 - e^1 - f^1 (cadence, mm. 98-99). In the other melodic strand, C is prolonged by three descents of a fifth (mm. 80/83-86, 86/89-96, and 96-99). (See Example 5.23a.)

The chromatic expansion (mm. 91ff.) presents difficulties to the analyst. It may be viewed as parenthetical, so that mm. 92-98 are "lifted out" and m. 91 proceeds smoothly to m. 99. Alternatively, as shown in Example 5.23a, the expansion may be viewed as essential to the first period's melodic and harmonic progression, so

⁵⁷The beginning of each descent f^2 - g^2 - f^2 - e^2 - d^2 - c^2 (mm. 83-84 and 89-90) includes a semitone slip between e^2 and $e\flat^2$ that motivates the onset of the ensuing chromatic expansion. The line in parallel sixths below it, A-B $\flat$ -A-G-F $\sharp$ -F $\sharp$, beautifully recreates the second group's bass gestures (mm. 58-62, 63-66, 67-68, and 69).

that the period's afterphrase is shown as a varied enlargement of the forephrase. In this regard, it is noteworthy that the harmonies in mm. 96-99 recast those in mm. 84-86 and 90-91. I prefer the second view for the way in which it integrates chromatic melodic material into the fabric of the group.

The grounding effect inherent in the first period is supported by rhythmic and metrical features. For the first time in the exposition, upbeats are latent rather than overt. In addition, the period's three-bar units represent a lengthening from the two-bar units prevailing at the end of the second group. The sputtering, stopping, and starting that occur during the afterphrase's expansion is a written-out *morendo*. Here the metrical deviations from the norm are carefully calibrated. As shown in Example 5.24, if one were to ignore the inserted rests until m. 97,⁵⁸ one would find a coherent shrinking of the hypermetrical unit from three bars (mm. 89-91), to two bars (mm. 92-93), to one bar (mm. 94-95), to two half bars (mm. 95-96). However, the inserted rests, measured fermatas, are essential and actually stand for material increasingly lopped off from the beginning of each successive cadential gesture. This gradual condensation imparts a sense of structural resolution and prepares for the second period; rests, especially on downbeats, prepare for the second period's impending shift of phrase onset to mid-bar.

⁵⁸In m. 97, when neighbor-note B $\flat$ is reached, the restoration of tonal direction is reflected by metrical readjustment and expansion. An extra half bar of material in m. 98 allows the phrase's resolution to occur on a downbeat.

Second period (mm. 99-117/125)

The closing group's second period begins with great breadth and calm. It attempts to trace a descending fifth from C (mm. 99 and 102), thus evoking and at the same time tonally correcting the second theme's descents from C#. The restoration of overt dotted rhythms and of the upbeat (now elongated to five eighth notes and occupying the beginning of the bar) recall the second theme (and ultimately the principal group).⁵⁹ Comparison of the closing group's second period with the second theme confirms that in the former phrase onset is relocated to beat 3: in m. 99 the harmonic resolution of one phrase and upbeat to the next occupies a half-bar, whereas in m. 48 they occupy a full bar.⁶⁰

The second period's forephrase (mm. 99-102) features the melodic descending third $c^2-bb^1a^1$ supported by bass progression I-II-V⁷-I. (See Example 5.25.) Its expanded afterphrase (mm. 102-110) implicitly retains the forephrase's descending melodic third; however, bass tones F and G (I and II) do not lead directly to V⁷ as before but instead participate in a chromatic stepwise ascent to Bb (IV), changing the basic progression to I-IV-V⁷-I. (The afterphrase's new progression is

⁵⁹Indeed, the principal theme grows out of this material at the very end of the movement.

⁶⁰A similar phenomenon occurs in the D-minor Quartet, where the A-major variant of the second theme shifts phrase onset, in relation to the second theme's previous F-major statement, to mid-bar. In both the Sonata and Quartet, a reversion of phrase onset to hypermetrical downbeats occurs in time for the end of the exposition. In the Sonata this reversion is accomplished with the held Bb chord in m. 107.

echoed in the phrase-suffix of mm. 111-116.) As shown in Example 5.25b, the bass ascent of mm. 103-107 supports a line in parallel tenths above it, fleshed out by means of underlying ascending 5-6 motions. The IV and V⁷ chords must be understood to support an implied b^b¹, the passing tone between c² and a¹.

It is evident that the second period has much in common with the preceding period.⁶¹ This sharing includes carry-over of rhythmic features such as three-bar phrase structure. And both periods' expansions feature gradual truncation of successive cadential gestures, expressed by rests on downbeats, and subsequent metrical readjustment to end the phrase. (In a sense, the phrase suffix of mm. 111-116 is a lopped-off version of mm. 102-110.) Both periods are approached by a pair of triplets, although these triplets occur on different parts of the bar. Sharing with the previous period also includes tonal gestures (compare Examples 5.23 and 5.25):

- 1) Both periods elaborate the I-IV-V⁷-I harmonic progression.
- 2) Both periods contain melodic references to the tetrachord ascending to F. The second period's afterphrase and suffix feature the embellished tetrachord C-D-F within the context of the I-IV harmonic progression (mm. 102-107 and 106-111). In the previous period this tetrachord is featured within the context of the I-IV⁶₄-I progression.

⁶¹Since the second period shares material with the preceding period, it seems to claim status as an integral part of the closing group rather than as a codetta or pendant to a pendant.

3) The periods' respective expansions share material. Noteworthy in the second period is the *ascending* bass motion accompanied by parallel tenths and ascending 5-6 motions. This is essentially a reversal of the earlier expansion's descending bass motion, accompanied by parallel tenths and descending 6-5 motions (Example 5.23b).

4) The second period's implicit melodic descents through a diminished fifth, c^2 - $b\flat^1$ - a^1 - g^1 - $f\sharp^1$ (mm. 99-101 and 102-103), shown in Example 5.25b, recall the linear descent from c^2 to $g\flat^1$ in the preceding period (mm. 91-96). The second period's forephrase provides another retrospective reference: its local harmonic progression I-(VI)-II-V⁷-I (mm. 99-101) recalls a similar progression in mm. 13-16 of the principal group. This interrelationship will be still more perceptible in the recapitulation, whose corresponding passages share harmonic progression *and* pitch content.

The exposition's first ending was discussed earlier in conjunction with Beethoven's Quartet Op. 130 (see pp. 306-307 in this chapter). The second ending, recalling the progression to the second theme, allows chromatic elements to reerupt with the melodic motion of c^2 to $c\sharp^2$ and the bass motion of F-E (instead of F-F $\sharp$), *down* a semitone to C $\sharp$'s triadic third. Thus the stage is set for the tonally turbulent development.

Development

The development, like the second group, plunges into a chromatic turmoil that must be set right by diatonic elements. Much of the development prolongs C#/D♭, and this is clearly a reference to the second theme's F# statement.⁶² Yet in thematic and harmonic terms, the development, like the exposition's closing group, synthesizes elements from the principal and second groups, thus commenting on their mutual interdependence.

Voice-leading overview

An overview and deep middleground view of the development's underlying voice leading are given in Example 5.26a and b. In these readings, the structural dominant F is prolonged by means of contrapuntal motion emanating from its upper fifth C. The prolongation of C#/D♭ begins in the upper voice and, while continuing there, is also transferred to the lower voice (m. 117). This produces middleground parallel octaves (Example 5.26b) that disappear in the background (Example 5.26a). The prolongation of C# in mm. 118-149, implicitly continued through the A-major dominant of m. 170, is a large-scale passing tone that leads from C to D♯. The prolongation of D minor, or ♯6 above F (mm. 173-203), leads to E♭ or ♭7 (in the upper voice) and A, the structural dominant's upper third (in

⁶²In Beethoven's B♭ Quartet movement, the recapitulation's second group prolongs D♭ as analogue to the exposition's G♭ prolongation. See this chapter, pp. 308-309.

the bass). $D\flat$ thus functions as a passing tone that is of higher structural rank than the preceding $C\sharp/D\flat$ passing prolongation. Indeed the development's middleground voice leading, that is, the linear ascent $5-\sharp 5-6-\flat 7$ emanating from C above F is a large-scale manifestation of the development's multilayered preoccupation with the $C-C\sharp/D\flat-D\flat$ interrelationship. The development's two-tier upper voice secondarily prolongs f^2 ($\hat{1}$ in the key of the exposition's structural dominant) by descending to neighbor $e\flat^2$ in mm. 117(118) and regaining f^2 in the course of the prolongation of $D\flat$ beginning in m. 173 (see especially mm. 188-191 and 200-203). With the return of the structural dominant in m. 203, f^2 resolves to $e\flat^2$.

Middleground and foreground views

For convenience, the development may be viewed in three sections that correspond to middleground voice-leading motions above F: 1) $C\sharp-D\flat$, mm. 118-150; 2) $D\flat/C\sharp-D\flat$, mm. 151-173; and 3) $D\flat-E\flat$, mm. 174-215. As in the Octet's development, these sections do not entirely coincide with thematic articulations; such discrepancies will be addressed in the course of later analysis. In the meantime, segmentation by voice leading gives a truer, more continuous sense of the development as an entity.

I. C# minor to Db major, mm. 118-150

Above this section's C#-Db prolongation, upper voice $e\sharp^1/e\sharp^2$ (mm. 117-118) moves to subordinate neighbor f^2 (m. 149). (The f^2 in m. 149 neither connects back to the f^2 in m. 116 nor ahead to the f^2 in mm. 173/188.) Harmonically, this section subdivides into two subsections: 1) the bass motion from C# to G# in mm. 118-130; 2) the motion from G# to Db(C#) in mm. 130-150.

In the first of these subsections, as shown in Examples 5.27a and b (middleground views) and 28 (a foreground view), bass C# moves to upper third $E\sharp$ (m. 119), through $F\sharp$ (supporting Neapolitan harmony in m. 128), to local dividing dominant $G\sharp$ (m. 130). In the upper voice, $e\sharp^2$, prolonged by two descending thirds, moves to lower neighbor $d\sharp/e\flat^2$. Here thematic elements contribute to the disturbance unleashed by the C# of the exposition's second ending. For the first time in the movement, the principal theme, recast but unmistakable, sounds in the minor mode. As noted earlier, this version of the principal theme begins by outlining triads: $e^1-g\sharp^1-b\sharp^1$ (mm. 118-120) and $a^2-c\sharp^3-e\sharp^3$ (mm. 122-124); it is this minor-mode version of the principal theme that explicitly links the principal group's thirds to the second theme's fifths.⁶³

⁶³See earlier discussion in this chapter, pp. 303-305, about the importance of thirds in the Sonata and Beethoven's Bb Quartet.

As shown in Examples 5.27 and 5.28, the second subsection, in which G♯ leads to D♭ (mm. 131-149), features contrapuntal motion emanating from G♯, the fifth above C♯. This linear motion begins with the deceptive cadence to A in m. 131; continues through B♭ in m. 140 and an implicit C♭ in m. 148; and resolves to D♭ in m. 149. In the local top line, neighbor d♯/e♭² (mm. 130 and 140/148) moves to f² (m. 149).

The deceptive cadence to A in m. 131 is noteworthy in two respects. First, it is underscored by a striking change in design. Here the bass introduces pairs of ascending arpeggiated triads, at once abstracting from the principal theme material just preceding as well as from the second theme's linear descent through a fifth. The bass rhythms and upper voice's arpeggiated triplets are borrowed directly from the exposition's closing group (first period), occasioning Tovey's ascription of *all* the development's material to the exposition's closing group.⁶⁴

It is noteworthy that the deceptive cadence to A is subsumed under a larger voice-leading motion connecting the preceding dividing dominant in m. 130 to D♭(C♯) in m. 149. Furthermore, the change of design beginning at m. 131 persists in the new section beginning in m. 149, thus bridging across middleground voice-leading articulations connecting m. 118 to mm. 149. This discrepancy between structure

⁶⁴Tovey, "Franz Schubert," p. 125, describes the development as "a masterpiece, the more remarkable in that it all arises from the weakest part of the exposition" [i.e., the closing group]. I find this assessment to be an oversimplification.

and design occurring toward the beginning of the development is mirrored by a related disjunction, to be addressed below, occurring toward the end of the development.

Secondly, the deceptive cadence to A in m. 131 is noteworthy for its relationship to deceptive cadences elsewhere in the movement, including one in the second group (mm. 67-70), where A moves to B $\flat$ in the local context of D minor, and another in the recapitulation's principal group (mm. 242-255), where A also moves to B $\flat$.⁶⁵ In the latter two passages, A emanates from F $\sharp$. Indeed the development's nested 5-6 motions above C $\sharp$, from G $\sharp$ to A (mm. 118-131 and 118-170) seem to "complete" (in a disembodied, nonstructural way) the F $\sharp$ -A motion begun in the second group; A is the common middle point to which both F $\sharp$ minor (second theme) and C $\sharp$ minor (development) are drawn. In the second group, originating from F $\sharp$, and later in the development, originating from C $\sharp$, A moves to D $\natural$ as a way out of chromatic darkness into diatonic clarity (see mm. 67-68 and 170-173). The motion from C $\sharp$ to A is reenacted on a larger scale in the ternary second movement, whose outer sections in C $\sharp$ minor enclose an A-major middle section. In this middle section A twice moves to D (mm. 58-62 and 75-79);

⁶⁵Belonging to a broader category than deceptive cadences, 5-6 motions are common in this movement. They include the exposition's motions to G $\flat$ (principal group) and F $\sharp$ (second theme).

D immediately leads through 5-6 motions to B $\flat$ (mm. 62-65 and 79-82). Despite different voice-leading contexts, the kinship among these passages is undeniable.

II. D $\flat$ to D $\sharp$ (mm. 151-173)

The *fortissimo* arrival at D $\flat$ (m. 149) and subsequent diminuendo to a one-bar suffix/prefix (m. 150) announce the achievement of a provisional goal and preparation for something new. As with many of Schubert's new sections, there is a temporary adherence to four-bar hypermetrical structure (*cf.* mm. 118-125 and 151-166). Yet the change in design at m. 151 is not nearly so striking as the change beginning at m. 131. (The paired ascending triadic arpeggios occurring in the first two bars of each four-bar unit now outline different chords as part of a larger cadential progression; and the accompaniment to these arpeggios is now a static eighth-note pulsation rather than triplet arpeggiation.)

The relatively brief segment linking D $\flat$ to D $\sharp$ is quite complex. From the standpoint of design it can be subdivided into three phrases: 1) the motion from D $\flat$ to E $\sharp$ (mm. 151-158); 2) the motion from E to A $\flat$ (mm. 159-166); and 3) the motion from C $\sharp$ to D $\sharp$ (mm. 167-173). Yet, as Examples 5.27 and 5.28 show, design (as evidenced by hypermetrical phrase organization) and voice leading are somewhat out of phase. The first large bass motion is from D $\flat$ to C $\sharp$ (mm. 149-163); the E-major harmony occurring at the end and beginning of the first two phrases passes between D $\flat$ and C. (If the second phrase is read literally, the

resulting $E\flat-C\sharp-A\flat$ yields an augmented triad!) The second large bass motion is from $C\sharp$ to $A\sharp$ (mm. 163-170). This span is subdivided into minor thirds: $C-E\flat$ (mm. 163-166); $E\flat-F\sharp$ (mm. 166-168); and $F\sharp-A$ (mm. 168-170). Comparison of mm. 162 and 166 reveals a telling difference: if the latter were like the former, $A\flat/G\sharp$ harmony would persist into m. 167, beginning a new phrase. Despite its displacement from m. 167 to m. 166, $A\flat/G\sharp$ initiates a new sequence by descending fifth: $A\flat/G\sharp-C\sharp-F\sharp$ and $B\sharp-E-A$. (If $A\flat/G\sharp$ were a goal rather than a starting point, one might hear minor thirds from $A\flat$ through $B\sharp$ in m. 168 to D in m. 171.) As do many of Schubert's other middleground progressions, the one underlying the second subsection features parallel octaves between the bass and upper voice; these are broken up by tenths.

With the arrival of D in m. 171 it becomes evident that all the material from the structural dominant in m. 116 to the arrival at $D\sharp$ in m. 171 must be viewed as one large motion above F : $C-C\sharp-D$. The motion from $C\sharp$ to $D\sharp$ is accomplished by means of inner-voice 5-6-5 alternation, forming the progression $C\sharp-g\sharp/C\sharp-a\sharp/D\sharp-a\sharp$. In the two-tier top line, C and F , within the structural V , pass through $C\sharp$ and E above $C\sharp$ (mm. 116 to 170), and resolve to D and F (m. 173).

III. D $\flat$ to E $\flat$ (mm. 174-215)

After the thunderous arrival at D minor, a restless quest for structural arrival ensues. Although D minor brings diatonic clarity, it is a key of turmoil, as manifested in the D-minor Quartet and the Octet. Indeed it will be shown that the development's D-minor material is related to these earlier works.

In this final portion of the development, bass D is prolonged until m. 203, when the structural dominant is regained via its upper third A. In the upper voice, D is prolonged by means of arpeggiated motion into inner-voice tones of the D-minor triad; with the attainment of the structural dominant in m. 203, E $\flat$ emerges, completing an overarching connection with the structural dominant's C in m. 116. (See Example 5.26.) This section may be divided into two periods: 1) D-minor prolongation (mm. 174-187); 2) further prolongation of D and motion from D to A and F (mm. 188-203/215).

The first period is thematically of the same cloth as the material just preceding. It has two near-identical six-bar phrases plus a tag. The ascending triad, occurring in threes rather than pairs to fill out the newly resurfaced three-bar subunit, sounds in the upper voice in the first phrase and in the lower voice in the second phrase. (Three-bars units and invertible style recall the exposition's closing group.) The second period may be thought of as a retransition. Here a change of design occurs: from the ascending triad the principal theme reemerges in its concrete,

"representational" form. In that the prolongation of D minor fills mm. 171-201, bridging over the change in design at m. 188, a discrepancy between structure and design occurs, analogous to the earlier discrepancy in m. 131 at the beginning of the development. With this change there is a reversion to the four-measure phrase structure typical of the principal theme. The first two phrases are punctuated by two-bar buffers, whose familiar bass rumblings signal the approach of the formal recapitulation. (As mentioned earlier, n. 21 on p. 307 in this chapter, the parallelism between the end of the development and the exposition's first ending sheds light on Schubert's three-key expositions; that is, his preference for such formal delineation and connection is related to his invariable prolongation of the structural dominant in the exposition's closing group.) The second phrase is an eerie B $\flat$ fragment of the first theme. The third phrase opens out into a twelve-bar extension of the structural dominant,⁶⁶ which seems a stretched-out version of the earlier buffers.

A most important feature of the entire section is an oscillation between D minor and the apparent cadential dominant ($\frac{6}{4}$ and $\frac{7}{4}$) of F major in conjunction with B $\flat$.⁶⁷ The D-F pairing, which seems to embody the conflict between turmoil and peace, constitutes an important point of connection with the D-minor Quartet and

⁶⁶The hypermetrical reinterpretation of m. 203 from a weak to a strong measure underscores its importance as point of structural arrival.

⁶⁷See Charles Rosen's remarks regarding this oscillation in *Sonata Forms*, rev. ed., pp. 362-364.

the Octet. It will be remembered that in the D-minor Quartet, F major, in an effort to forestall closure, repeatedly, and on many levels, intervenes between D minor and its dominant. And in the Octet, the tonic F major, after ceding to D minor in the journey from bubbly principal group to *Angst*-laden second group, recurs, most unusually, *within* the second group! As will be shown below, the D-F pairing is manifest in the Sonata development, despite the fact that F is suggested through its apparent cadential harmonies rather than being overtly stated as a tonic.

Associated with the D-F harmonic relationship are two pairs of beautiful chromatic descents from D, one pair occurring in each of the section's two periods. These descents obsessively focus on the play between D $\flat$ and C $\sharp$ as passing tone and neighbor tone. (It thus rehearses a central relationship in the development, that is, the role of C $\sharp$ /D $\flat$ and D $\sharp$ as tones emanating from C $\flat$ within structural V.) In the first period, these descents, one in the bass and one in the soprano, move through D $\flat$ to C $\sharp$, where they halt in support of second-inversion F chords. The ensuing returns to D via C $\sharp$ sound like deceptive cadences, and a harmonic limbo results. It is remarkable that the D-F pairing persists in the second period, despite the change in design. Here the descents from D, in the first and third phrases, are modified; they descend to A, respectively preparing for the second-phrase B $\flat$ statement of the first theme (mm. 194-197) and for the development's ultimate return to the structural dominant

through its third A $\sharp$. As Example 5.28 shows, after the first descent, C $\sharp$ persists as upper voice within A harmony (m. 190), leading back to D; but in the second descent, C $\sharp$ is irrevocably transformed into passing tone D $\flat$.⁶⁸

The B $\flat$ fragment of the first theme (second period, second phrase) completes the connection, established by the D-F pairing, between the Sonata's development and the D-minor Quartet and Octet. Although this B $\flat$ is achieved through 5-6 motion above D, rather than directly from F, the numerous allusions to the key of F via its apparent dominant in the preceding material cement the F-B $\flat$ relationship. In both the D-minor Quartet and Octet, F major tends to move to B $\flat$ major. In the Quartet and in the associated song, where F is associated with the Maiden and B $\flat$ is associated with Death, D leads through F to B $\flat$ before succumbing to A and D; for example, in the Quartet this voice leading occurs on a large scale in the recapitulation. In the Octet, F's pull to B $\flat$ is a central preoccupation in the work, occurring in the Adagio, throughout the principal group, in the background of the recapitulation, and in the coda.

⁶⁸When the development begins, C $\sharp$ sounds as D $\flat$, or $\flat 6$ rising from C $\sharp$ in the context of the structural dominant F. In the course of the development C $\sharp$ (m. 118) is reinterpreted as D $\flat$ (m. 149). Tovey, "Tonality in Schubert," p. 159, finds the D $\flat$ spelling to be "correctly written instead of C sharp." Furthermore, he describes the arrival at D $\sharp$ as "E double flat if the enharmonic circle were straightened out," but goes on to say that "whatever its name may be, its effect becomes that of iii." Yet in a larger context, the C $\sharp$ /D $\flat$ prolongation passes between C $\sharp$ and D $\sharp$, suggesting a large-scale, if provisional, C $\sharp$ identity. At the end of the development, this C $\sharp$ identity is reconverted into D $\flat$.

Certainly the Sonata development's B $\flat$ fragment is one of the most haunting moments in all Schubert. It is a pale chimera, a hushed, *pianissimo* glimmer of things past and soon to come. But it remains imprisoned within D minor, in a reversal of the usual disposition of the most important intervallic relationship of the movement--that between B $\flat$ and upper-third D. This fabulous moment of nostalgia, evoking a dreamlike state just before the awakening of structural arrival, is comparable in effect to the analogous juncture in the Octet; here the magical Adagio is revisited just before the reprise of the Allegro and F major. (In the Octet, this material provides the structural dominant, whereas in the Sonata, the B $\flat$ fragment is a middleground embellishment.) Tovey was certainly right to praise Schubert's means of regaining the recapitulation, particularly in this work.⁶⁹

⁶⁹See Tovey, "Franz Schubert," pp. 119-120, and "Tonality in Schubert," pp. 157-159.

Recapitulation

A comparison of the recapitulation with the exposition reveals recomposition of the principal group's middle section and transposition of the second and closing groups down a fifth (or up a fourth). Examination of each of these areas and their contexts will show that in this Sonata, Schubert seems determined to retain as much as possible of the exposition in the recapitulation.

The recapitulation is sketched in Example 5.29. In this reading, *Kopft*on d^2 governs the melodic background until the structural descent to $b\flat^1$ is achieved at the end of the movement. There are two large tonic prolongations, the first occupying the principal and subsidiary groups and the second occupying the closing group. In the first large prolongation, the principal group's tonic $B\flat$ is embellished by upper neighbor $B\sharp$ ($C\flat$), the key of the second theme. This neighbor note resolves to inner-voice $B\flat$ above subdominant harmony in m. 289; local voice exchange leads to the inverted $\sharp IV$ of m. 291, whose bass tone G connects the principal group's tonic $B\flat$ with V in m. 293. In the second tonic prolongation, a $II-V^7-I$ progression supports the top line's final descent.

Principal group

The restated principal group (mm. 216-267) retains not only the *a-b-a'* form it had in the exposition but also the key and design of the outer sections, which remain virtually intact, except for the very end of the final section. A comparison of Example 5.30 with Example 5.12a shows that despite the harmonic changes to its middle section, the restated principal group also keeps much of the middleground it had in the exposition: Its melodic profile, that is, the $d^2-d\flat^2/c\sharp^2-d^2$ neighbor-note relationship is imported intact. And even the large bass motion remains closely related to its model until the very end of the group.

Although the first section (mm. 216-233) is almost identical to its analogue in the exposition, there is a change to the bass line in mm. 221-222, where a held retained tonic replaces the premature dominant of mm. 6-7. This change appropriately aids in the large-scale restoration of the tonic and avoids the monotony of reemphasizing the dominant, recently featured at the end of the development.

The middle section (mm. 235-255) begins in $G\flat$ major and for four measures remains faithful to its analogue. But the sudden turn to minor in m. 239 is graphically represented by the juxtaposition of $G\flat$ and $F\sharp$. This notational enharmonic switch dramatizes the essential unity of Jekyll ($G\flat$ major, in the exposition the key of the principal group's lovely middle section) and Hyde ($F\sharp$

minor, in the exposition the key of the dark second theme).⁷⁰ Yet the turn to F# minor is brief; the bass ascent of a minor third in m. 240 leads from F# minor to A major. From m. 241 on, the recapitulated material is thematically identical to its counterpart in the exposition but is transposed a minor third (augmented second) higher. The A⁷ chord of mm. 253-254, a potential augmented sixth spelled as V⁷ of D, moves deceptively to VI of D, that is, to the tonic Bb, thus leading into the reprise of the group's last section.

Hur, in her dissertation *Irregular Recapitulations in Schubert's Instrumental Music*, p. 212, quite rightly comments on the similarity of the principal group's recapitulated middle section to the exposition's second group in terms of its harmonic motion; certainly its motions from F# minor to A major and from A to Bb recall the expressive and harmonic content of the second group up to m. 70. From a wider perspective, the restated principal group, as a whole, almost summarizes, by means of a splicing process, key events of the exposition's principal and second groups. This splicing process simply omits the return to Bb as it occurs in mm. 36/39: the resulting progression, common to both domains, can be represented (by enclosing the omission in parentheses) as follows:

⁷⁰L. Michael Griffel, in his seminar on Schubert's sonata-form movements, given at Hunter College, City University of New York, Spring 1992, on occasion used the Jekyll-Hyde characterization.

	B $\flat$	G $\flat$	(B $\flat$)	F $\sharp$	A	B $\flat$
Expo.	m. 1	m. 20	mm.36-39	m. 48	mm. 58-69	m. 70
Recap.	m. 216	m. 235		m. 239	m. 240	m. 255

Such cross-transfer of material helps the listener to relate the recapitulation's second group to its counterpart in the exposition and to understand both second groups' common genesis from the exposition's *first* group. It also raises the question of whether the respective passages shown in the above table share similar middleground voice leading: Which bass tone has greater structural weight, G $\flat$ /F $\sharp$ (mm. 48 and 235/239) or A (mm. 58 and 240)?⁷¹ In the exposition's second group, the B $\flat$ harmony of m. 70 is in $\frac{6}{4}$ position, suggesting F $\sharp$ as local governing bass tone. And, as indicated earlier, I believe that the F $\sharp$ of m. 48 moves to the F $\sharp$ of m. 70, thus surpassing the intervening A-major harmony in structural importance. (See discussion in this chapter, pp. 333-334.) In the later passage, the B $\flat$ harmony of m. 255 is in root position. This root-position tonic does not necessitate but seems to suggest the other choice, shown in Example 5.30: G $\flat$ /F $\sharp$, as upper neighbor to F $\sharp$, forms a 5- $\flat$ 6 motion above B $\flat$, while A $\sharp$, as lower neighbor to bass B $\flat$ itself, outranks inner-voice embellishment F $\sharp$. The inner-voice line above B $\flat$ continues when G $\flat$ /F $\sharp$ rises to G $\sharp$ ($\sharp$ 6 and chordal

⁷¹In her previously cited dissertation, pp. 196-198 and 213, Hur finds A to have greater structural weight in *both* passages: that is A prolongations in mm. 58-69 and 244-254 are found to surpass in importance F $\sharp$ /G $\flat$ prolongations beginning in mm. 48 and 235.

seventh above A) and when G $\sharp$ falls back to F $\sharp$ (coinciding with the return of tonic harmony and *a'*-section material). (See Example 5.30b.) This line's juxtaposition of G $\flat$ and G $\sharp$ activates the G $\flat$ /G $\sharp$ conflict and recalls the G $\sharp$ /G $\flat$ alternation at the end of the development.⁷²

Second group

As shown in Example 5.31, this group continues the movement's ongoing conflicts centering on the function of chromatic pitches F $\sharp$ (G $\flat$) and B $\sharp$ (C $\flat$):

- 1) The recapitulation's first large tonic prolongation (principal and second groups) features bass tetrachord B $\flat$ -G-F as support for the background harmonic progression I- $\sharp$ IV⁶-V⁷. Since the $\sharp$ IV diminished seventh of m. 291-292 (E $\sharp$ -G-B $\flat$ -D $\flat$ /C $\sharp$) is a faithful transposition down a fifth of its counterpart from the exposition, G $\sharp$ rather than G $\flat$ is featured in the bass. For the first time, the diatonic member in the G $\sharp$ /G $\flat$ conflict prevails at a deep structural level (although the low G $\flat$ rumble at the end of the movement will challenge this victory). Thus this bass motion beautifully "corrects" previous composings-out of the embellished tetrachord B $\flat$ -G $\flat$ -F, featured, for example, as the principal group's governing bass line (mm. 1-36).
- 2) The recapitulated second theme features melodic tone F $\sharp$. (See Examples 5.29 and 5.31b. Although d² prevails in the background throughout most of the

⁷²See mm. 203-215 and earlier discussion in this chapter on the G $\sharp$ -G $\flat$ conflict in Beethoven's three B $\flat$ works (pp. 289-290, 294, and 309-310); in particular, see comparison between D. 960 and Beethoven's Op. 97 (Example 5.2).

recapitulation, it "goes underground" with the onset of the second theme, behaving as an inner-voice tone until the end of the movement.) Thus F# continues to resonate in the second group. It emanates from F# (inner voice above Bb in the principal group) and continues to G# atop the subdominant in m. 289. Through voice exchange, G# moves to E# above #IV in m. 291. E# resolves to F with arrival at the dominant in m. 293. The middleground melodic connection from F# (m. 267) to G# (m. 289) prepares the correction made by #IV with its bass G#.

3) The second theme's B-minor prolongation functions as a neighboring harmony, thus as a middleground Cb.

4) The second group's harmonic oscillation between B# and D (mm. 268-285 and Example 5.31b), although formally analogous to the exposition's F#-A oscillation, recalls, as its defining outer tones, the #I diminished seventh chord of mm. 72-73 and its completion of the tonic chromatic voice exchange that governs so much of the exposition. The opposition between the thirds Bb-D and B#-D, familiar from the three works in Bb by Beethoven discussed earlier, is highlighted by the exposition's chromatic voice exchange.⁷³ This opposition is furthered by the inevitable retrospective comparison between the recapitulation's B#-D oscillation with the development's famous D-Bb alternation (mm. 188-199). The conflict is

⁷³See earlier discussion in this chapter, pp. 288-289, 292-294, 303-304, and 344-345.

resolved in the deep middleground when B $\sharp$ moves to inner-voice B $\flat$ above G and F in mm. 289-293.⁷⁴

In his later works with three-key expositions, Schubert more often than not recapitulates the second and third groups down a fifth in relation to their original statements in the exposition.⁷⁵ Thus it is not surprising to find that this is the case in the B $\flat$ Sonata. Nevertheless, the connection of Schubert's entire recapitulation to the restated principal group in Beethoven's "Hammerklavier" (discussed on p. 297-299 of this chapter) remains a cogent factor in the way that Schubert approaches this transposition. (He would not borrow the plan Beethoven adopted for the B $\flat$ Quartet because he had already prolonged D $\flat$, the key of Beethoven's recapitulated second theme, in his development.) As mentioned earlier, the respective recapitulations *approach* B $\sharp$ in remarkably similar ways: the sudden reinterpretation of F $\sharp$ in m. 266 of D. 960 as V⁷ rather than local I surely resembles the sudden reinterpretation of F $\sharp$ in m. 266 of the "Hammerklavier." It is even conceivable that Schubert's decision to prolong G $\flat$ /F $\sharp$ in the middle of the restated principal group owes something to Beethoven's long G $\flat$ prolongation in mm. 249-266 in the "Hammerklavier"; these

⁷⁴One of the recapitulation's gorgeous--though subtle--motivic references occurs in conjunction with the B $\sharp$ /B $\flat$ -D oscillation: the bass-line motions d¹-e $\flat$ ¹-d¹-c¹-b $\sharp$ (mm. 277-285) and d¹-e $\flat$ ¹-d¹-c¹-b $\flat$ (mm. 286-289) revisit the principal theme.

⁷⁵See Webster, "Schubert's Sonata Form," pp. 33-34.

respective G♭ prolongations help prepare for the sudden turns to B♭ occurring in both works.⁷⁶

Third group

Evocations of the principal group

The beauty of the restated closing group lies partly in its evocation of the principal group. This evocation of the movement's beginning at its end is no less remarkable for its straightforward transposition in mm. 299-335 of both periods comprising the exposition's closing group. Two apparent suffixes are added to the transposed second period: mm. 335-345, a phrase-pair, are a crucial extension to the final period; and mm. 346-357 are a final suffix, in which the principal theme concretely rematerializes. The transposed material recalls the principal group (especially its outer sections) through three harmonic features, each of which will be discussed in turn: 1) pervasive use of the subdominant; 2) allusion to the diminished seventh built on B♭ or D; and 3) the I-(VI♭)-II-V⁷-I progression and its supporting bass line B♭-(A♭)-G-C-F-B♭.⁷⁷

⁷⁶In Schubert's Sonata the I-IV⁶-I neighbor-chord progression above G♭ (mm. 235-238), with its embellishing C♭ harmony, prefigures the approach to B♭ and recapitulation of the second theme.

⁷⁷See pp. 349-350, 352, and 354 in this chapter for discussion of traits shared in common by the exposition's principal and closing groups.

I. In the first period, subdominants occur in two guises. First, they function as neighboring $\frac{6}{4}$ chords to I (mm. 299-301 and 305-307); secondly, they function as lower neighbor chords to dominant F (mm. 302-304 and 308-310/316-317). (As shown in Example 5.32, the period elaborates a middleground I-IV-V⁷-I progression.) The first type clearly refers to the principal group's subdominant neighbor chords (see mm. 5 and 220; also see mm. 194-197 in the development). The closing group's saturation with subdominant harmony points to Schubert's reservation of its pervasive and multilevel use for the end of the movement, beginning with the important IV $\frac{6}{4}$ in m. 289 and continuing through the closing group's transposed material; here it sounds within the sphere of tonic B $\flat$. The final period's transposed afterphrase and suffix (mm. 321-329 and 330-335) also feature the subdominant: as shown in Example 5.33, it occurs within the I-IV-V⁷-I progression.⁷⁸

II. The lovely diminished seventh built on B $\sharp$ or D, sounding as a foreground detail in mm. 303 and 309 and as middleground harmony in m. 315, embellishes subdominant harmony. Yet the sensitive listener will recall the very same chord's important role as $\sharp$ I in the exposition's large-scale voice exchange.

⁷⁸A different reading of the melodic line in mm. 321-335 is offered by Salzer in *Structural Hearing*; see vol. I, pp. 167-168, and vol. II, Example 337 on p. 126.

III. Whereas the first period's neighboring subdominant ♭_4^6 recalls the principal theme's first phrase (mm. 1-9), the final period's $\text{I}-(\text{VI} \text{♭})-\text{II}-\text{V}^7-\text{I}$ progression and supporting bass line recall the principal theme's second and final phrases (mm. 10-18 and 36-44). This progression is featured in the period's first phrase (mm. 318-320); at the onset of its second phrase, where the progression is initiated though later interrupted (mm. 321-322); and in the important new phrase-pair (mm. 335-340 and 340-345). Thus a conflation of Examples 5.32a and 5.33 shows that the closing group as a whole loosely follows the harmonic profile of the principal group's respective first and last phrases and pursues closure through the same harmonic route (an implied circle of fifths). As Machaut once wrote, "Ma fin est mon commencement."

Melodic organization in the closing group

As Example 5.32 shows, melodic activity in the first period centers around $\text{B} \text{♭}$. Subsidiary linear descents from F do not represent structural melodic closure; they serve to keep F alive in the inner voice as a connection between the second group's prominent f^2 (m. 293) and the final period's prominent f^2 (m. 318). The recapitulation's final period (shown in Examples 5.29 and 5.33) provides structural melodic closure. Here c^2 and $\text{b} \text{♭}^1$ occur over structural harmonies $\text{II}-\text{V}^7-\text{I}$ in mm. 338-340 and 343-345, integrating the closing group into the movement's background structure and confirming the crucial nature of this new material. It is worth considering an even larger intermovement melodic perspective, in which the

first movement's *Kopft*on d² is prolonged via lower neighbor c^{#2} in the second movement and by d² in the third and fourth movements.

Special features of this recapitulation: principal group

Schubert's recapitulation of the principal group in this Sonata raises important issues concerning sonata composition because it is special in two interrelated respects, namely, in its ternary formal design and in its avoidance of the large-scale subdominant. With regard to deployment of ternary design, it must be understood that there is no *a priori* obligation to revisit all three sections in the recapitulation, as Schubert demonstrates in his earlier G-major Sonata. In this work, whose standard two-key exposition opens with a ternary principal group, the recapitulation of this group is greatly abridged: The first two sections from the exposition are entirely dropped and only the final section is retained; this section is then expanded and varied to allow closure in the tonic G in place of the earlier modulation to dominant D.⁷⁹ Schubert's decision to recapitulate the entire group in the B $\flat$ Sonata arises from his preservation in the principal group's middle section of nontonic material from the exposition, namely of the salient G $\flat$ and A harmonies, and from a consequent need to reestablish the tonic convincingly through its prolongation in the group's outer sections. If Schubert had pursued the option he exercised in the G-major Sonata by dropping the first

⁷⁹See pp. 321-323 in this chapter for a comparison of the respective principal groups in the G-major and B $\flat$ -major Sonatas.

two sections of the principal group and retaining only the last, the structural tonic might not have been restored in a satisfying way and a great source of motivic richness would have been lost.⁸⁰

With regard to the principal group's avoidance of large-scale IV, it must be remembered, as James Webster points out, that Schubert's works with three-key expositions often have recapitulations whose principal groups move from the tonic to the subdominant: these include the Octet, the E♭ Piano Trio, the String Quintet, and, "allowing for the minor tonic," the *Lebensstürme*.⁸¹ Furthermore, in this Sonata, E♭ is an important melodic upper neighbor throughout the principal group; and the subdominant neighbor chords that support this melodic neighbor (an inverted E♭ chord in the outer sections and an inverted C♭ chord in the middle section) are an important ingredient in the group's flavor. Thus E♭ could claim the kind of right to enlargement that B♭ claims in the Octet. In the Octet,

⁸⁰In his article "Tonality in Schubert," p. 145, Tovey cautions that "the most fundamental rule for operations in large-scale tonality is that key-relation is a function of form." The prolongation of the tonic at the beginning of the B♭ Sonata's recapitulation reflects the need to align structure and design in a long and complex work. On the face of it, Tovey's philosophy seems to conflict with Schenker's view that harmony and voice leading create form. However, neither theorist would argue against the interdependence of these parameters, and thus the discrepancy between approaches is more apparent than real.

⁸¹This procedure permits reintroduction of the tonic at the beginning of the recapitulation as well as preservation of key relations established in the exposition; in particular, it facilitates transposition of the second and third groups down a fifth. See Webster, "Schubert's Sonata Form," pp. 33-34; see also discussion in my study, Chapter 3, pp. 173-176.

however, where the principal group is bipartite, there is no nontonic middle section to dilute the solidity of the recapitulated structural tonic.⁸²

(The E♭ Piano Trio is more difficult to categorize and is discussed in its own chapter. In works like the Octet and E♭ Piano Trio, where a restated principal group moves in the background from I to IV, this large-scale eventuality is prepared; the exposition's principal group features subdominant harmony that is preceded by its own applied dominant seventh.) Furthermore, in this movement, early tonicization of IV would result in an oversized subdominant chromatic voice exchange. To demonstrate how unsatisfactory this would have been, it is only necessary to imagine two scenarios in which this might happen:

I. Schubert could have done within the principal group something quite similar to what he does later in the approach to the second group; that is, he could have ended the first section with a G♭⁷ chord, thus leading to C♭/B♭ as the key of the middle section. The middle section would then lead to the reprise of the third section in E♭ major. Further persistence in this transposition down a fifth would yield a large subdominant chromatic voice exchange spanning mm. 255-291. And the recapitulation would then have two areas in C♭/B♭ analogous to the exposition's two areas in G♭/F♯.

II. Schubert might have omitted the principal group's middle section and restated the group's newly united, no longer outer, sections, in I and IV; the first section's

⁸²Webster, *Schubert's Sonata Form*, pp. 33-34, mentions that often in these recapitulated principal groups the "first paragraph" is in the tonic and the "second paragraph" is deflected into the subdominant.

closing I would be recast as I^{b7}, leading to the second section's restatement in E^b.

This recomposition, like the earlier one, would yield a large subdominant chromatic voice exchange.

Fortunately, Schubert rejected these paths. It is probably unnecessary to point out the chaos that would result from recapitulations so little in the tonic and whose giant subdominant prolongations enclosed a second theme in the Phrygian supertonic. And Schubert's reservation of subdominant harmony for the movement's closing group (mm. 299-301, 305-307, and 325-335) helps bring the movement to a beautiful and peaceful close.

CHAPTER 6

CONCLUSIONS

General findings of this study

In this study I have examined closely four of Schubert's movements with three-key expositions, written between 1824 and 1828. The results support the large claims regarding the three-key exposition made at the beginning of this study:

1) The impetus for the exposition's "extra," or second, key area is affective contrast; related contrasts also color the development and recapitulation. In major-mode expositions, the minor-mode second theme is experienced as a setback that must be righted; in minor-mode expositions, the major-mode second theme is experienced as an ephemeral oasis within a prevailingly gloomy context. The tonal vehicle of contrast is embellishing harmony that connects the surrounding tonic and dominant key areas. The resulting large-scale structure is motivically significant and is replicated on various levels throughout the movement.

2) More specifically, large-scale structure in the three-key exposition (and the movement's development and recapitulation) is associated with $\hat{3}-\flat\hat{6}-\hat{3}$ neighbor-note motion. Schubert often imports this configuration (and related variants including $\hat{1}-\flat\hat{6}-\hat{3}$ and $\hat{3}-\flat\hat{6}-\hat{4}-\hat{3}$) from his songs, in which $\flat\hat{6}$ often sets textual expressions of grief and despair that are starkly juxtaposed with textual and tonal expressions of lost happiness. (See Chapter 1, pp. 54-61, for a discussion of

Schubert's songs, including many in *Winterreise*, that feature $\hat{5}-b\hat{6}-\hat{5}$ motions in the service of textually projected contrast.) This importation endows the movements, loosely speaking, with a covert yet palpable narrative "program."

3) Schubert looked to Beethoven's sonata-form movements for models, especially those that feature $(b)\hat{6}$ in a significant motivic and harmonic role. Certainly Schubert aspired to Beethoven's standard of musical and professional success; Schubert seems to have been most interested in Beethoven's works that were either acclaimed or connected with Beethoven's patron and pupil Archduke Rudolf.

5) Schubert's three-key expositions manifest a disjunction between formal design and voice-leading structure resulting from their accommodation of thematic contrast by means of a large-scale embellishment. That is, the extra key area is formally emphasized as a second-theme group that contrasts dramatically and modally with the surrounding groups; yet it is always less structurally weighty than the surrounding tonic and dominant areas. Conversely, the exposition's third group, while prolonging the exposition's structural dominant, is formally deemphasized and most often carries cadential formulae associated with "closing material."

6) Schubert's movements with three-key expositions are not always well served by terminology derived from conventional two-key expositions; this terminology must be reexamined and altered to accommodate Schubert's innovations.

The following discussion will recapitulate detailed findings given in previous chapters by briefly surveying the four movements examined in this study with respect to the following factors: 1) the influence of Schubert's songs; 2) the influence of Beethoven's sonata-form movements; 3) issues relating to formal design and voice-leading structure. Finally, I will suggest areas for further study.

I. The Influence of Schubert's songs

D-minor Quartet

Of the four first movements examined in this study, only one, from the D-minor Quartet, has a demonstrable relationship to a Schubert song ("Der Tod und das Mädchen"). The large voice-leading structures in the Quartet movement's exposition and recapitulation match those in the Maiden's plea and Death's reply, respectively: the exposition and Maiden's plea feature tonic arpeggiation, I-III-V; the recapitulation and Death's reply feature the Phrygian progression I-(b)VI-V#-I. (In both song and Quartet, the middle members of these large progressions, prolongations of F major and Bb major, respectively, offer major-mode respite from prevailing minor-mode contexts.) The Quartet recapitulation's Phrygian progression is a variant of the $\hat{5}-\flat\hat{6}-\hat{5}$ motive that pervades both song and Quartet; in the Quartet, bass-line expressions of the motive or a variant also govern the exposition's third large phrase, the development, and each of the coda's three phrases.

The other three movements examined in this study do not bear a direct connection to a Schubert song. Nonetheless they relate cogently, though indirectly, to particular songs that were written earlier (sometimes shortly before). These indirect relationships are manifest through motivic, harmonic, and voice-leading correspondences, and often through audible resemblances of surface design. (Songs may primarily relate either to wholes or parts of certain three-key expositions.) Another consideration, albeit oblique, concerns familial relationships among groups of three-key expositions based on absolute pitch relations; for example, the keys of D minor, F major, and B $\flat$ major have special affective associations that transcend relative-pitch context and persist from work to work. Familial key associations point toward kinship among Schubert's three-key expositions and, by extension, to their common genesis, more or less directly, from the Lied. These interconnected considerations will be surveyed, as applicable, in relation to the first movements of the Octet, E $\flat$ Piano Trio, and B $\flat$ Piano Sonata; discussion will begin with a summary of salient motivic usage in each.

Octet

The role of $\hat{6}$ (and $\hat{4}$) The exposition prolongs F major, D minor, and C major; the recapitulation moves from F to B $\flat$, subsequently transposing the exposition's material down a fifth. Thus the exposition and recapitulation together associatively emphasize, through respective large-scale prolongation of second

keys, the double-neighbor motive around $\hat{5}$. This large-scale association is prefigured in the introductory Adagio, whose opening melodic gesture is $c^2-(c\sharp^2)-d^2-bb^1-(b\flat^1)-c^2$. In this gesture, and in the exposition, where VI is the "extra key," $\flat\hat{6}$ prevails over $b\hat{6}$.¹ Yet $b\hat{6}$ is featured prominently in the introductory Adagio, the exposition's codetta, and the development. (The chromatic portions of the Octet, in which $D\flat$ replaces $D\flat$, evoke the supernatural.) In this movement, $D\flat$ and $D\flat$ should be regarded as alternate aspects of one identity.

Familial key associations and relationship to a Schubert song The Octet is closely related to the D-minor Quartet in tonal relations as well as time of composition. (The Octet and Quartet were written in February and March of 1824, respectively.) The tonics of these works stand in the relationship of "relative major/minor"; both feature the keys of D minor, F major, and $B\flat$ major. In both works, F major communicates optimism, D minor expresses turmoil, and $B\flat$ major aggressively attempts to usurp the place of F. The intimate tonal relationship between the D-minor Quartet and Octet suggests their common genesis from one source: Schubert's song "Der Tod und das Mädchen." The song's tonic becomes

¹It is often difficult, when discussing Schubert's works, to differentiate between melodic and harmonic expressions of a salient embellishment--in the movements under consideration, $(b)\hat{6}$ and $(b)VI$, respectively. This is because Schubert replicates his motives on many levels, engaging in motivic enlargement or "motivic-harmonic transfer" (Irene Levenson's term). Although I try to make a distinction, complete consistency in this regard remains an elusive goal.

the key of the Octet exposition's contrasting theme, rather than of the entire movement.

E♭ Piano Trio

Role of ♭6 (and 4̂) The exposition prolongs E♭ major, C♭ minor (spelled B minor), and B♭ major; the recapitulation prolongs E♭ and A♭, subsequently transposing the exposition's material down a fifth. As in the Octet, the Trio's exposition and recapitulation together associatively emphasize, through large-scale prolongation of second key areas, double-neighbor embellishment of 5̂. This motive is established at the beginning of the principal theme, when B♭, participating in arpeggiation of the tonic triad, is embellished by A♭ and C. Although C♯ prevails in this opening gesture, C♭ aspires to replace it. The competition between them is most conspicuous in the exposition's second-theme area, where the initiating C♭(B♭)-minor prolongation soon cedes its function as embellishment of the tonic triad's fifth to C♯. Nevertheless, C♭ sounds prominently in the development, which begins with C♭ major (spelled as B major), in the retransition, within the recapitulation's subdominant prolongation, and in the coda. Comparison of this movement with the Octet movement shows that ♭6̂ has gained ground. In the Trio, ♭3̂ (G♭) is also an emphasized chromatic tone.

Indirect relations to Schubert's songs and to an instrumental work The Trio has tonal commonalities with three works, all in an E♭ major inflected (and infected) by parallel mode mixture: the first and fourth songs from Part II of *Winterreise*, "Die Post" and "Letzte Hoffnung," and the Impromptu Op. 90 No. 2. (All were written in the second half of 1827.) These works feature opposition between C♯ and C♭ to express dramatic contrast:

1. In the Trio's exposition, the C♭/B-minor second-theme area is a tense and tonally unstable processional featuring schizoid modal juxtaposition; it contrasts with the sunnier surrounding major-mode areas.
2. "Die Post," in *ABAB* form, bears surface resemblances to the Trio: its respective major-mode *A* sections feature horn-associated arpeggiation, evoking the Trio's principal groups; its respective *B* sections begin in the parallel minor with a simplified processional rhythm, evoking the Trio's transitional groups and coda. At the end of the song's respective *B* sections, dramatic contrast is rendered through alternating B♭-C♭-B♭ and B♭-C♯-B♭ neighbor-note motions; C♭ occurs when the protagonist sadly notes the absence of a desired letter in the post, and C♯ occurs when he observes his heart leaping at the joyful thought of such a letter.
3. "Letzte Hoffnung," a through-composed three-stanza song, is more deeply related to the Trio than is "Die Post." C♭ is this song's very first note, and it prevails over C♯ for most of the song's duration. C♭ and A♭ together (often within diminished harmony) embellish B♭. ♭ 6̂ is so important in this song, that

dramatic contrast is principally rendered through enharmonic reinterpretation of this pitch: $C\flat$ represents the protagonist's dread and ultimate loss of hope, dependent on the fate of an autumn leaf blowing in the wind (first and third stanzas); $B\sharp$, in the context of G-major harmony, represents the protagonist's brief and tenuous hope (second stanza). (In the Trio, enharmonic opposition between $\sharp\hat{5}$ and $\flat\hat{6}$ is not so salient a feature; $B\sharp$ represents $C\flat$ for reasons of notational convenience.) The opposition between $C\sharp$ and $C\flat$ is also featured for dramatic ends in "Letzte Hoffnung"; in the song's $E\flat$ -major ending, when the protagonist openly registers his fate, $C\sharp$ (forthrightly diatonic) emerges to challenge the everpresent $C\flat$.

4. The Impromptu Op. 90 No. 2, an interrupted ternary form plus coda, $AB//A'(B')$, features the double-neighbor configuration around $\hat{5}$. Mode mixture precipitates a battle between $\hat{5}$'s alternative upper neighbors $\sharp\hat{6}$ and $\flat\hat{6}$ that is eventually won by $\flat\hat{6}$ in a remarkable coda ending with the minor tonic. In the middle of, and at the end of, each large A section, with the turn to $E\flat$ minor, $C\sharp$ gives way to $C\flat$. On a larger scale, at the beginning, and throughout most, of the Impromptu's large $B(')$ sections, an ascendant $C\flat$ (spelled as B minor) emanates from the $E\flat$ triad's upper fifth $B\flat$ before resolving to $B\flat$ dominant harmony. These contrasting B sections bristle with tension; here, as in the Trio, $\flat VI\flat$ is the harmonic vehicle for disturbing thematic and emotive contrast. The Impromptu's covert tonal narration, tracing a gradual progression from serene major-mode diatonicism to catastrophic minor-mode chromaticism, is as compelling as the

texted narrative contained in "Letzte Hoffnung." In these works, as in the Trio, neighbor-note $C\flat$ is unquestionably the agent of turmoil and distress.

Familial key associations The $E\flat$ Piano Trio is related tonally to the later $B\flat$ Piano Sonata. (Their first movements were written in November 1827 and September 1828, respectively.) The Trio's exposition, while primarily attracted to chromatic tone $C\flat$ ($\flat\hat{6}$), also gravitates toward $G\flat$ ($\flat\hat{3}$); $G\flat$ occurs within local $\hat{5}-\flat\hat{6}-\hat{5}$ motions above dominant $B\flat$. (A previously discussed early version of the Trio exposition shows the contrasting second theme beginning in $F\sharp$ minor.) In the $B\flat$ Piano Sonata, $G\flat$ and $C\flat$ are the exposition's and recapitulation's respective contrastive keys.

$B\flat$ Piano Sonata

Role of $\flat\hat{6}$ The $B\flat$ Piano Sonata, like the $E\flat$ Piano Trio, prolongs $\flat VI\flat$ and $\flat II\flat$ as the contrasting keys in the exposition and recapitulation, respectively; despite this similarity, the Sonata differs from the Trio with regard to voice-leading structure. In the Sonata, the exposition's contrastive key is subsumed within a large, tonic-prolonging, chromatic voice exchange, and the recapitulation's contrastive key is subsumed within a large motion from I to $\sharp IV$. In the Trio, on the other hand, the exposition's contrastive key embellishes tonic harmony en

route to provisional V, and the recapitulation's contrastive key embellishes IV rather than moving toward it. Although in the Sonata the exposition's tonic voice exchange "swallows" the contrasting theme's prolongation of $\flat$ VI, $G\flat$ emerges, soon after the principal theme's allusions to $G\sharp$, as a dramatically charged chromatic tone with two personae: ominously, in the bass trill at the end of the first phrase and retransition, as the key of the exposition's second theme, and as featured melodic tone of the restated second theme; seductively, in the major-mode middle section of the respective ternary principal groups.

Indirect relationship to three Schubert songs

The Sonata, by way of its principal group, relates indirectly to these Schubert songs: 1) "Ihr Bild," D. 957 (August 1828); and 2) settings of Goethe's Mignon songs from *Wilhelm Meister*, "Mignon" I and II, D. 726 and 727 (April 1821), and "Lied der Mignon," D. 877/ Op. 62 No. 2 (January 1826)²:

1. "Ihr Bild," in $B\flat$ minor, was written a month before the Sonata. It is in ternary form, as is the Sonata's principal group. Most audibly, the $\hat{5}-\flat\hat{6}-\hat{5}$ motive informs the harmony and voice-leading of the constituent three sections of both the song and the Sonata's principal group, respectively: in both, the outer sections prolong $B\flat$, and $5-\flat 6$ motion above $B\flat$ ushers in the middle section's lovely $G\flat$ -major harmony. The song's vignette, of a despairing lover nostalgically recreating a

²Einstein, *Schubert: A Musical Portrait*, p. 310, observes that "Ihr Bild" "reminds one perhaps of the Mignon songs"; furthermore, pp. 192 and 287, he links "Mignon II," D. 726, to the first movement of the $B\flat$ Piano Sonata.

joyful memory of his lost beloved from contemplation of her picture, embodies dramatic contrast. This contrast is tonally represented both by conflict between B $\flat$ minor and major (pitting $\flat\hat{6}$ against $\natural\hat{6}$) and, as in the Sonata, through dual affective interpretations of $\flat\hat{6}$. In "Ihr Bild," G $\flat$ prevails, ominously, in the first phrase of the outer sections (this phrase resembles the Sonata's first phrase in its melodic contour and G $\flat$ -F bass rumble) and in the piano postlude; it prevails, sweetly, in the large middle section. The major-mode prolongation of ($\flat$)VI in the song's middle section deceptively conveys emotional relief; however, as in "Der Tod und das Mädchen," it inevitably moves to V in a large progression associated with death. Although "Ihr Bild" is most directly connected to the Sonata through its principal group, ramifications of this connection extend further, to the Sonata's contrasting F $\sharp$ -minor theme.

2. Schubert's settings of Goethe's "So lasst mich scheinen," "Mignon II," in B minor, and "Lied der Mignon," in B major, have foreground features that are echoed in the principal group of the B $\flat$ Sonata: the earlier setting's sung melodic line is similar in rhythm and configuration; the later setting's accompaniment is similar in mode, harmonic progression, and rich chordal voicing. Larger connections between these songs and the entire Sonata movement are suggested by significant harmonic motions in both songs from B $\natural$ to D--these tones are emphasized in the Sonata as boundary tones of the $\sharp$ I harmony that completes the exposition's large chromatic voice exchange. (B $\natural$ has two, contradictory,

enharmonically-related, roles in the Sonata: in the context of the exposition's tonic-prolonging chromatic voice exchange, $B\flat$ is $\sharp\hat{1}$; in the context of the recapitulation's second theme, this pitch is the fifth below $G\flat$, or $\flat\hat{2}$.) The later major-mode setting of "So lasst mich scheinen," more so than the earlier minor-mode setting, conjures up the transcendental aura of the Sonata's principal theme.

Close kinship between Schubert's first setting of "Mignon I," D. 726 ("Heiss mich nicht reden") and "Mignon II," D. 727, suggests a connection between "Mignon I" and the Sonata. While "Mignon II" features $\hat{1}$ and $\hat{3}$ rather than $\hat{6}$, "Mignon I" features $\hat{6}$ in the context of five B-G-F $\sharp$ bass progressions, and through prolongation of $G\flat$ major in the song's contrasting middle section. The song's text expresses Mignon's loneliness in keeping painful secrets; Schubert's setting, through its key, modal juxtapositions, Phrygian bass progressions, and melodic outlining of the third $B\flat$ -D, conveys the text's meaning in a way that suggests the second theme of the $E\flat$ Piano Trio. Although the connection between "Mignon I" and both the Sonata and Trio is tenuous, it underlines the common use of $(\flat)\hat{6}$ both for local affective contrast and within larger death-related Phrygian progressions.

Familial key associations As noted earlier, the $B\flat$ Piano Sonata shares with the $E\flat$ Piano Trio tonal preoccupation with $G\flat$ and $C\flat$. This preoccupation

transcends the likely one that results from the close relationship between the works' respective tonics and rather follows from unusual features of these works:

1) In each exposition, $\flat VI \flat$, a remote byproduct of double mode mixture, initiates the contrasting second theme. 2) In the Trio's exposition, persistent attempts to establish the dominant, through 5- $\flat 6$ motion above $B \flat$, entail $G \flat$. 3) In the Sonata's exposition and recapitulation, prolongations of the tonic, through 5- $\flat 6$ motion above $B \flat$, entail $G \flat$, most notably in the respective middle sections of *both* expository and recapitulatory principal groups.

The Sonata also has a tonal connection to Schubert's "Der Tod und das Mädchen" and its satellites, the D-minor Quartet and the Octet. The Sonata shares with these related works significant prolongation of $B \flat$, F, and D: in the Sonata, these keys are the tonic, dominant, and third of the tonic triad, respectively.

Prolongation of D minor at the end of the Sonata's development provides compelling evidence of a debt to "Der Tod und das Mädchen" and its kin: here the Sonata's principal theme begins to reemerge, first through oscillation between D minor and V of F major, and then through alternation between D minor and a struggling $B \flat$ major. Arrival of the structural dominant, F, resolves the situation. Here the keys of D minor, F major, and $B \flat$ major interact much as they do in "Der Tod und das Mädchen" and its relatives: D minor brings turmoil that involves both struggle and symbiosis between F and $B \flat$.

My claim that Schubert's three-key expositions import dramatic contrast via large-scale motivic enlargement from his songs is speculative, but indirectly corroborated by other writers. Einstein, *Schubert: A Musical Portrait*, p. 267, describes Schubert's setting of the Harper's song from Goethe's *Wilhelm Meister*, Op. 62 No. 1, as follows: "The lyricism of the beginning changes to a dramatic tension . . . and this tension is echoed again in the repetition of the lyrical beginning. We have already seen that this 'process' is the counterpart and explanation of many of Schubert's slow movements." Levenson, *Motivic-Harmonic Transfer in the Late Works of Schubert*, pp. 221-231, analyzes three Schubert songs as a means of connecting Schubert's *oeuvre*, through his technique of motivic enlargement, to songs by later composers. Each of these authors points toward a truism--that affective contrast, expressed through motivic enlargement, is central (in importance and musical location) to Schubert's works, both vocal and instrumental.

II. *The influence of Beethoven's sonata-form movements*

The connections that I draw between particular movements by Beethoven and particular movements by Schubert are based chiefly on two interrelated premises:

- 1) The connected works feature (b)⁶ in a motivic and harmonic capacity (in four out of six cases, this relative-pitch relationship is reinforced by absolute-pitch identity, *i.e.*, shared tonics).
- 2) They have resemblances in design that are audibly present on the musical surface, often as a foreground reflection of motivic usage.

The Beethovenian exemplars, however, were not written in close chronological proximity to Schubert's related compositions. In part, this is probably due to the fact that Schubert's appreciation of Beethoven increased over time, causing him to turn, late in his short career, to Beethovenian works written during Schubert's youth. It may also be the case because Schubert became increasingly interested in $b\hat{6}$ as a significant voice-leading and motivic entity.

I do not link Schubert's D-minor Quartet with a work by Beethoven, for its substance derives from "Der Tod und das Mädchen." The ensuing discussion will summarize relationships between the following sets of first movements: Schubert's Octet with Beethoven's Septet Op. 20 and Symphony No. 1; Schubert's $E\flat$ Piano Trio with Beethoven's "Emperor" Concerto; and Schubert's $B\flat$ Piano Sonata with Beethoven's "Archduke" Trio, "Hammerklavier" Sonata, and Quartet Op. 130. (See the previous section for summaries of motivic usage in each of Schubert's movements.)

Octet

1. The connection between the Octet (1824) and Beethoven's Septet (1799) is indirectly supported by extramusical evidence: Count Ferdinand Troyer, a clarinetist in the employ of Archduke Rudolf, commissioned Schubert's Octet,

perhaps asking Schubert to model his Octet on Beethoven's very popular Septet.³ The relationship between these works is audible and present in the musical foreground; they are similar in instrumentation as well as in the number, type, key relations, tempos, and meters of their respective movements. (Although the Octet and Septet are in different keys, F major and E♭ major, respectively, these keys are both associated with the French horn.)

A comparison of the respective first movements shows that Schubert imported essential material from the Septet's introductory Adagio into his own, including simple-neighbor and double-neighbor motion, melodic outlining of the fourth, early tonicization of the subdominant followed by an augmented sixth-dominant progression, and mode mixture. In each ensuing Allegro, the principal theme features an arpeggiated tonic ascent whose constituent downbeat arrival points are preceded by decorative upbeat configurations in association with dotted rhythms. Of the above-listed features, the Beethoven Adagio's early tonicization of IV and the ensuing augmented sixth-dominant progression, implying double-neighbor embellishment of $\hat{5}$, have the most important ramifications for the entire Septet as it relates to Schubert's Octet. In the Septet, the double-neighbor embellishment of $\hat{5}$ is associated with prolongations of subdominant A♭ that involve C or C♭; such prolongations occur in the first movement's restated principal group, in the

³See p. 135 and n. 4 in Chapter 3 of this study.

A $\flat$ -major second movement, whose development prolongs C $\sharp$ extensively, and in the development of the last movement.

2. The likelihood of a symphonic model by Beethoven for the Octet is suggested in Schubert's famous letter to Leopold Kupelwieser of March 31, 1824; in this letter, Schubert lists three string quartets and an octet written in preparation for composition of a grand symphony; he is also enthusiastic about an upcoming concert of Beethoven's works to include performance of his Ninth Symphony.⁴ Beethoven's First Symphony is the most likely symphonic model for Schubert's Octet; from the same year as Beethoven's Septet, 1799, it shares with it, and with the Octet, audible features including dotted rhythms, arpeggiation, double-neighbor motion, outlining of the embellished fourth, and harmonic emphasis on the subdominant. (The importance of IV in Beethoven's Symphony is manifest by its famous nontonic opening, a tonicization of IV, and by the second movement, in the key of IV.) In all three Allegros, the principal theme features an arpeggiated tonic ascent in conjunction with dotted rhythms.

The Symphony, unlike the Septet, has an absolute-pitch connection to the Octet, the embellishment of C by its neighbors, D or D $\flat$ and B $\flat$ or B $\sharp$. A bass-line expression of this configuration shapes large sections throughout the Symphony: the first movement's principal theme (mm. 13-31); the F-major second

⁴See pp. 135-136 and n. 5 in Chapter 3 of this study.

movement's approach to, and initiation of, the second theme (mm. 26-30), which opens, like the second theme of Schubert's Octet movement, in D minor; the second movement's development; and the third movement's Menuetto (Section A).

E♭ Piano Trio

Of the Beethoven-Schubert relationships discussed in this study, the one between Schubert's E♭ Piano Trio (1827) and Beethoven's "Emperor" Concerto (1809) is the most compelling. Beethoven's Concerto, dedicated to Archduke Rudolf and wildly successful at its first performance in 1810, was known to Schubert; he probably attended its performance at an April 1827 subscription concert (six months before composition of the E♭ Piano Trio), given by Ignaz Schuppanzigh, at which Schubert's Octet was also performed.⁵ The respective first movements of Beethoven's Concerto and Schubert's Trio share, in addition to a common tonic, close similarities of theme, form, harmony, and motive:

1) Both the Concerto's solo exposition and the Trio's exposition have a "three-key" plan--the movements' respective principal themes are assertive fanfares that feature tonic arpeggiation and the double-neighbor configuration; their respective contrasting themes, hushed minor-mode processionalists that prolong C♭/B♭, initiate

⁵See pp. 187-188 in Chapter 4 of this study.

unstable contrasting groups whose voice-leading function is to lead to a dominant group.

2) Throughout both movements, $\sharp \hat{6}$ and $\flat \hat{6}$ struggle to prevail. In both expositions, the principal theme features $C\sharp$ as a local upper neighbor and the contrasting theme prolongs $C\flat/B\sharp$ minor; in both developments, C or $C\flat$ shapes large bass-line structure ($B\flat\text{--}[C\flat] C\sharp\text{--}B\flat$ in the Concerto; $B\flat\text{--}C\flat\text{--}B\flat$ in the Trio). The works' respective second movements, processional evocative of their previous movement's contrasting theme, prolong C (the Trio) or $B\sharp/C\flat$ (the Concerto).

3) Both first movements feature associative emphasis of the double-neighbor motive around $\hat{5}$ through large prolongation of second key areas in their respective expositions and recapitulations; thus both recapitulations prolong $A\flat$.

$B\flat$ Piano Sonata

Schubert's $B\flat$ Piano Sonata is related to three works by Beethoven in $B\flat$ that confer an important motivic and structural role on $\hat{6}/\flat \hat{6}$: the "Archduke" Trio, Op. 97 (1811), the "Hammerklavier" Sonata, Op. 106 (1817-1818), and the $B\flat$ String Quartet, Op. 130 (1825-1826). Two of these works, Beethoven's Trio and Sonata, are dedicated to Archduke Rudolf; two, his Trio and Quartet, were performed at a March 1826 subscription concert for the Schuppanzigh Quartet that Schubert

probably attended.⁶ The first movements of Beethoven's three works have two-key expositions whose second-key areas prolong (♭)VI.

1. Beethoven's "Archduke" Trio is audibly connected to Schubert's Sonata; in particular, its lyrical principal theme, like that of Schubert's Sonata, emphasizes the embellished third between B♭ and D, neighboring subdominant harmony above a retained tonic, and the neighbor-note relationship between $\hat{5}$ and (♭) $\hat{6}$. Both movements explore the conflict between $\hat{6}$ and ♭ $\hat{6}$. In Beethoven's Trio, this conflict arises through prolongation of IV in the principal group's counterstatement. It is inherent, too, in the harmonic structure of the combined exposition and development, I (III♯) VI♯ / IV V, for the exposition's passing G-major harmony entails F♯. The conflict is most overtly expressed in the upper line of the Trio's retransition, where G♯ alternates with G♭ as F's upper neighbor; a strikingly similar alternation occurs in Schubert's Sonata retransition, en route to reemergence of the sinister bass G♭-F trill, first heard in the Sonata's principal theme.

2. The "Hammerklavier" Sonata shares important features with the "Archduke" Trio, including the principal theme's embellishment of the third between B♭ and D, the second theme's prolongation of VI♯, and the conflict between $\hat{6}$ and ♭ $\hat{6}$. Comparison of Beethoven's Sonata and Trio, however, shows that in the

⁶See pp. 284-285, 291, and 301 in Chapter 5 of this study.

"Hammerklavier," $G\flat$ more often prevails over its diatonic counterpart. In the "Hammerklavier," even more so than in the "Archduke" Trio, the conflict between $G\sharp$ and $G\flat/F\sharp$ is inherent in the movement's harmonic structure:

Exposition	Development	Recapitulation
I (III $\sharp$) VI $\sharp$	IV--Aug. 6th V	I ($\sharp$ I $\sharp$ II V $\flat$) I V I

In particular, the exposition's $G\sharp$ prolongation contrasts with the development's augmented sixth, built on bass $G\flat$. At the end of the movement, $G\flat$ -F rumblings in the bass proclaim $G\flat$ provisional winner of the conflict, strikingly evoking the final recurrence of Schubert's $G\flat$ -F bass trill. In the "Hammerklavier" Sonata, on the largest scale, the salience of the $\flat\hat{6}$ - $\hat{3}$ motive is underscored by the turn from $F\sharp$ at the end of the third movement to $F\sharp$ at the beginning of the fourth.

3. In Beethoven's Op. 130 Quartet, by comparison to his "Archduke" Trio and "Hammerklavier" Sonata, the conflict between $\sharp\hat{6}$ and $\flat\hat{6}$ tips farther in the direction of $\flat\hat{6}$, which achieves large-scale status as the key of the second group. In this sense (rather than as a reflection of surface similarity), it is the most closely related of Beethoven's three $B\flat$ works to Schubert's Sonata. (There are, however, audible similarities between Beethoven's Quartet and Schubert's Sonata: for example, the beginning of the Quartet's main theme, the embellished third d^2 - $e\flat^2$ - d^2 - c^2 - $b\flat^1$, is an inversion of Schubert's principal theme; and the works' respective

Finale, both dance-like duple-meter Allegros, begin with nontonic openings on G♯.) As in the "Archduke" Trio and "Hammerklavier" Sonata, the conflict between $\hat{6}$ and $\flat\hat{6}$ is inherent in the Quartet movement's harmonic structure:

Exposition	Development	Recapitulation
I ⁵ -($\flat\hat{6}$)	$\flat\hat{6}$ II V ⁷	I $\flat$ III V I

In the context of the entire work, G♯ is ascendant, in the Quartet's G♯-major fourth movement and at the beginning of its Finale. But the conflict between G♯ and G♭ is more active in the Grosse Fuge (the Quartet's original Finale), which begins with a G♯-major fugal statement, and whose B♭ double fugue is followed by a contrasting lyrical section in G♭.

Consideration of audible similarities between certain of Beethoven's works and certain of Schubert's, and of their common preoccupation with $(\flat)\hat{6}$, supports their interrelatedness. In Schubert's Octet and its Beethovenian relatives, the motivic use of $(\flat)\hat{6}$ is somewhat independent of formal attributes; but in Schubert's E♭ Piano Trio and B♭ Piano Sonata and their Beethovenian kin, the salient use of $(\flat)\hat{6}$ is bound up with sonata form. There is a close correspondence in both respects (that is, motivic and formal) between Schubert's E♭ Trio and Beethoven's "Emperor" Concerto. Schubert's B♭ Sonata, however, has important differences with the three works by Beethoven that I link to it:

Schubert's second group prolongs a large-scale embellishment, via the *minor* mode, that resolves within the exposition's third group; Beethoven's second groups prolong embellishments, via the *major* mode, that resolve in the development. Indeed, the only work by Beethoven examined in this study that behaves like Schubert's B $\flat$ Sonata (and E $\flat$ Trio) is the "Emperor" Concerto, a work written when Schubert was a youngster. Of Schubert's many three-key expositions, only the E $\flat$ Trio and B $\flat$ Sonata prolong $\flat VI \flat$ to initiate the contrasting theme. Thus one may speculate that Schubert's attendance at Schuppanzigh's 1827 subscription concert, at which he heard the "Emperor" Concerto (in four-hand arrangement), spurred him to endow his three-key expositions with similarly remote voice leading.

Despite the evident signs of Beethovenian influence in Schubert's three-key expositions, these expositions developed independently of Beethoven's works. Although Schubert "borrowed" thematic material, formal design, and motivically salient voice-leading procedures from Beethoven, he assimilated these borrowings into his own very different compositional style. Unfortunately, as discussed earlier, Schubert's originality in instrumental composition has not received sufficient appreciation from scholars. Tovey and Salzer disparaged Schubert's movements, by comparison to Beethoven's, for their lyrical and expansionist tendencies; in particular, Schubert's innovative three-key expositions were found to "obliterate the vital distinction between exposition and development" (Tovey) and to lack

improvisational energy (Salzer).⁷ While Schubert's movements with three-key expositions are generally more lyrically and less kinetically conceived than are Beethoven's related movements, they have their own kind of drama. This study demonstrates that Schubert's movements represent stark affective change through design (thematic and modal or chromatic contrast) and structure (enlargement of death-related motivic configurations).

III. Issues of formal design and voice-leading structure

1. The significance of modal and chromatic contrast in the three-key exposition

The most striking aspect of Schubert's late three-key expositions is the modal or chromatic contrast offered by the middle key area in relation to the surrounding ones. Modal contrast, an essential element in the drama enacted by most late three-mode expositions (except in the first movements of the "Grand Duo," D. 812, and String Quintet, D. 956), is derived from minor-mode sonata movements, conventional and Schubertian; for when a minor-key exposition, whether two-key or three-key, travels from I to III (or I to VI), this entails a shift from minor to major. Further, the $\hat{5}-\flat\hat{6}-\hat{5}$ motive, so important in Schubert's late three-key expositions, is drawn from the minor mode. By contrast, expositions of major-mode sonata movements, both conventional two-key plans and early Schubertian

⁷See this study, Chapter 1, pp. 41-42 for the citation from Tovey; see pp. 42-48 for a discussion about Salzer.

three-key plans, remain in the major mode; Schubert's pre-1824 major-mode three-key expositions feature chromatic rather than modal contrast. These observations lead to an important area of inquiry: the relationship of Schubert's late three-key expositions to his earlier ones, with respect to the role of modal and chromatic contrast. It is beyond the scope of this study to offer a comprehensive genealogy of Schubert's three-key expositions. Hur, however, addresses this issue in her dissertation, *Irregular Recapitulation in Schubert's Instrumental Works*, both through a survey of voice-leading procedures in Schubert's sonata-form movements and through her commentary. I am indebted to Hur for data concerning harmonic plans and for those conclusions that are attributed to her⁸; I summarize and reorder her data in the service of my conclusions regarding modal and chromatic contrast in the three-key exposition.

Schubert's minor-mode expositions from 1816 to 1822, whether two-key or three-key, prolong either III or VI as a second key area.⁹ All these expositions involve

⁸Chapters III and IV in Hur's dissertation provide detailed discussion on sonata movements written between 1816-1823, including information on the three-key exposition and its context: regarding harmonic plans, see pp. 94-97, 103-104, 123, 125-127, and 144-146; regarding major-mode three-key expositions from 1816-1819, see pp. 93-101; regarding differences between major-mode and minor-mode movements written in 1816, see pp. 122-123; regarding the important role of VI (and diminishing role of III) in minor-mode movements from 1816-1822, see pp. 126-130; regarding general comparison of movements from 1819-1823 with those from 1816-1819, see pp. 142-143; regarding three-key expositions written from 1819-1821, see pp. 143-149.

⁹Minor-mode expositions include those from 1816 that move from III or VI to a third, nondominant, key area (D. 385, first and last movements; D. 408, first and

modal shift from minor to major. In the minor-mode three-key exposition, enlargement of VI leads to sunny major-mode prolongation of the neighbor note belonging to the $\hat{5}-\flat\hat{6}-\hat{5}$ motive. Schubert's major-mode expositions from the years 1816-1821 include conventional two-key (I-V) plans and three-key plans, the most common of which is I- $\flat$ III-V. The middle key areas of the three-key expositions feature simple or secondary mode mixture rather than modal shift; there are no I-III-V major-mode expositions in this period.¹⁰ Those expositions (from 1817-1819) that follow the I- $\flat$ III-V key plan have recapitulations with I- $\flat$ VI-I key plans (that is, I- $\flat$ VI-V-I voice-leading structures). It seems likely that the I- $\flat$ VI-V expositional plan Schubert used in the last movement of the four-hand B $\flat$ Piano Sonata, D. 617 (1818), reflects his wish to import the enlarged $\hat{5}-\flat\hat{6}$ motive (and the Phrygian semitone, in general) from the recapitulation of a major-mode movement to its exposition. I believe this importation to be a factor in the evolution of Schubert's late major-mode three-key expositions whose contrasting themes prolong $\flat$ VI $\flat$ (D. 929 and D. 960).

last movements; and D. 417, fourth movement); those from 1816-1819 with two-key plans, in which III or VI is the final key (first movements of D. 417, D. 537, D. 566, and D. 625; D. 571 and D. 668); two from 1819 that move from III to a third, dominant, area (D. 648 and D. 655); and two from 1820-1823, one with a three-key plan in which VI leads to a third, dominant, area (D. 703) and the other with a two-key plan in which VI is the final key (first movement of D. 759).

¹⁰The plans of major-mode three-key expositions from this period include I- $\flat$ III-V (fourth movement of D. 574, D. 590, first movement of D. 613, first movement of D. 617, D. 647, D. 675, and first movement of D. 729); I-III $\sharp$ -V (third movement of D. 613); I-VI $\sharp$ -V (D. 591); and I- $\flat$ VI-V (finale of D. 617).

In her survey of sonata movements from 1816-1819, Hur distinguishes between typical major-mode and typical minor-mode tonal plans. One difference concerns the role of the dominant in the exposition; the major-mode expositions from 1816 always end with prolongation of V, but minor-mode expositions from this year do not. Indeed, Schubert's major-mode expositions, whether two-key or three-key, usually end in V; on the other hand, until the *Quartettsatz*, Schubert's minor-mode expositions that prolong VI do not end in V. The second difference concerns preparation of the middle key area in a three-key exposition: major-mode three-key expositions with a I-♭III-V plan have no transition to the second key area (their principal groups end in back-relating Vs), whereas minor-mode expositions with I-(III)-VI plans include a brief modulatory transition to the second key area. (Hur groups the last-movement exposition of D. 617, which has a I-♭VI-V plan, with those "bifocalish" [my characterization] major-mode expositions that have I-♭III-V plans.)

Regarding the sonata movements from 1819-1823, however, Hur remarks that major-mode and minor-mode sonatas can no longer be distinguished on the basis of typical tonal plans: "bifocalish" minor-mode expositions with I-III-V plans have principal groups that end in back-relating dominants; and the *Quartettsatz*, a minor-mode three-key exposition, has a I-VI-V plan. Hur finds that the *Quartettsatz* derives from earlier minor-mode expositions in which VI is established by a modulatory transition rather than from "bifocalish" major-mode (and minor-

mode) expositions because its second key receives brief preparation rather than entering suddenly. In turn, Hur says, *Quartettsatz* leads to later *major-mode* works, namely the "Grand Duo," the E♭ Piano Trio, and the B♭ Piano Sonata, in which the middle key area, ♭VI(♭), similarly receives brief preparation.

Hur's hypothesis regarding the evolution of expositions that prolong ♭VI in part explains the gradual integration of the $\hat{5}-\flat\hat{6}-\hat{5}$ motive associated with grief in Schubert's Lieder into the structure of the late three-key exposition. It should be remembered, however, that the *Quartettsatz* (along with the D-minor Quartet and the "Great" C-major Symphony) has such an abrupt approach to its second key area, in contrast with the lengthy approach to its third key area, that Salzer describes it as exhibiting "displacement of the transition."¹¹ Perhaps the difference between the "bifocalish" expositions and those with short transitions is one of degree rather than of kind.

Schubert's above-mentioned conflations of procedure are significant: the $\flat\hat{6}-\hat{5}$ Phrygian progression attains large-scale status in the three-key exposition, both major-mode (the four-hand B♭ Piano Sonata, last movement) and minor-mode (the *Quartettsatz*). Another stage in the conflationary process occurs in certain major-mode three-key expositions of 1824-1825: the first-movement expositions of the Octet, D. 803, and the "Great" C-major Symphony, D. 944, feature modal

¹¹See Salzer, "Die Sonatenform bei Franz Schubert," p. 111.

contrast through prolongation of a diatonic, rather than a chromatic, second key. These confections pave the way for a more revolutionary procedure: the combination of chromatic and modal contrast, achieved through prolongation of $\flat VI \flat$ as the middle key area in *major-mode* three-key expositions of D. 929 and D. 960. These expositions dramatize the $\hat{3}-\flat \hat{6}-\hat{5}$ motive in a new and wonderful way; $\flat \hat{6}$, associated in Schubert's Lieder with death and lamentation, is now prolonged in the minor mode, an appropriate setting for the area of the exposition that represents a catastrophic wrong turn or setback. (The corresponding recapitulations whose second themes prolong $\flat II \flat$ provide modal contrast within enlargement of another Phrygian neighbor-note $\hat{1}-\flat \hat{2}-\hat{1}$.)

2. The structural role of the exposition's contrasting middle group and its ramifications in the development and recapitulation

The contrasting middle groups in Schubert's three-key expositions are dramatically compelling: in the minor-mode expositions such as those in the D-minor Quartet and the four-hand *Lebensstürme*, they suggest relief from care; in the major-mode expositions such as those in the Octet, the C-major *Reliquie* Sonata, the "Great" C-major Symphony, the E $\flat$ Piano Trio, and the B $\flat$ Piano Sonata, they suggest a first encounter with adversity. While the contrastive function of the second key area in Schubert's late three-key expositions is characteristically accentuated through articulation (preceding caesura) and modal shift or chromaticism, the subordinate voice-leading function of its initiating harmony is increasingly clarified. Appraisal

of the four expositions examined in this study shows a progressively more contrapuntal-embellishing role (and decreasingly harmonic role) for the "key" at the onset of the middle group; concomitantly, the tonic gains presence and power in the middle group. The following chart gives voice-leading structures for the respective expositions and recapitulations of the four movements examined in this study:

Expositions

D-minor Quartet: I--(III)--V

Octet: I⁵⁻⁶--II⁵--V

E♭ Trio: I^{5-♭6}--(I)^{5-♭6}--II^{♯5}--V

B♭ Piano Sonata: I^{5-♭6-5}--♯I--II^{♯5}--V

Recapitulations

D-minor Quartet: I--(VI)--V--I

Octet: I--IV⁵⁻⁶--V⁵--I

E♭ Trio: I--IV^{5-♭6-5}--♯6--V⁵--I

B♭ Piano Sonata: I^{1-♭2-1}--♯IV--V--I

A spectrum of relative structural weight can be ascribed to respective second keys in descending order:

- 1) In the D-minor Quartet, the second group (III) prolongs a tone that connects I and V.
- 2) In the Octet, the second-key prolongation ($VI=\hat{6}$) binds I and II $\sharp$ (V of V).
- 3) In the E $\flat$ Piano Trio, the brief second-key prolongation ($\flat VI\flat = \flat \hat{6}$) indirectly binds I and II $\sharp$.
- 4) In the B $\flat$ Sonata, the brief second-key prolongation ($\flat VI\flat = \flat \hat{6}$) is subsumed under an overarching tonic prolongation, culminating in the diminished seventh ($\sharp I$) that usurps the function of connecting I to II.

These assessments of relative structural weight for respective second keys is borne out by the relative stability in their respective prolongations: in both the D-minor Quartet and the Octet, the second key survives challenges from contrasting harmonies, returning to reach closure; however, in the E $\flat$ Piano Trio and the B $\flat$ Piano Sonata, the second key is soon subverted by competing harmonies, fails to return as a tonic or to achieve closure after its initial prolongation, and is ultimately subordinated to *tonic* harmony. Despite the gradual erosion of the second-key area's stability from work to work, the second theme always maintains its privileged formal status by virtue of its sharply etched initiation and contrastive function. In all four expositions, the disjunction between thematic design and

voice-leading structure, predicated on the structural superiority of the first- and third-group prolongations of I and V, respectively, remains an essential feature.

The recapitulated contrasting key areas are less structurally weighty than their respective counterparts in the exposition. In the D-minor Quartet, the prolongation of VI does not set the second theme but occurs later within the third group; thus the harmony is formally deemphasized. In the Octet and E $\flat$ Piano Trio, the second key (II and $\flat$ II $\flat$, respectively) embellishes IV, which is itself a passing harmony between I and V. In the B $\flat$ Piano Sonata, the brief second key ($\flat$ II $\flat$) leads toward $\sharp$ IV and away from I. Thus, in the recapitulations of these movements, the disjunction between thematic design and voice-leading structure is more pronounced than in their corresponding expositions.

Development

Three of the four developments examined here feature $\flat\hat{6}$ as neighbor note within a large-scale expression of the $\hat{5}-\flat\hat{6}-\hat{5}$ motive: the D-minor Quartet and the Octet (at the end of their respective developments) and the E $\flat$ Piano Trio (at the beginning of the development). In the B $\flat$ Sonata, where $\flat\hat{6}$ is prolonged within the principal group *and* at the onset of the exposition's middle group, it is not featured again in the development; $\flat\hat{6}$ of V is featured instead. The bass-line structures of the four developments are given in the chart below:

V-----V⁷

D-minor Quartet: A // (F#/G♭--D--) B♭--A

Octet: C // (C#--F#/G♭--E♭--A♭--) D♭--C

E♭ Piano Trio: B♭ // B♭/C♭ (C#/D♭--D♭=3rd of V) B♭

B♭ Piano Sonata: F // (C#/D♭--D♭--E♭=7th of V) F --or-- V⁵ // ^{b6} ^{b6} V^{b7}

Each of the developments examined in this study registers the fallout emanating from its exposition's contrasting key area by beginning (nearly, if not precisely) with prolongation of a motivically salient chromatic "bass" tone; this tone signals a tonal setback that must be righted in the course of the development's path back to structural V:

1. In the D-minor Quartet, the development's first important tonal arrival is F# minor. This stormy F#-minor prolongation derives thematic material from the exposition's "double second group," especially from the cheerful second theme in F major and from the dreamy F-major excursion within the dominant area. Thus a thematic link solidifies the tonal association between F♯ and F#, dramatizing the contrast between $\hat{3}$ (relief) and $\# \hat{3}$ (distress).

2. In the Octet, the development begins by moving through C# to F#/G♭ minor. The ensuing F#-minor prolongation reviews the exposition's contrasting second theme, there stated in D minor and sunny F major. Here, as in the D-

minor Quartet, a thematic link reinforces tonal association between F $\sharp$ and F $\sharp$, highlighting their disparate affective roles. (The development's initial C $\sharp$ preparation for F $\sharp$, though of subordinate structural rank to F $\sharp$, significantly refers back to D $\flat$, the key of the exposition's second theme, and ahead to D $\flat$, the development's large-scale neighbor note.)

3. In the E $\flat$ Trio, the dominant's large-scale upper neighbor B $\flat$ /C $\flat$ is prolonged at the very beginning of the development, first in the major and then in the minor. This modally schizoid prolongation refers directly (tonally rather than thematically) to the exposition's contrasting B-minor theme, resuming, rather than initiating, its challenge to diatonic stability. (The multilevel connections between the development and the exposition's middle group are discussed in Chapter 4.)

4. In the B $\flat$ Sonata, the structural dominant, F, is prolonged in the development through prolongations of D $\flat$ /C $\sharp$ -D $\flat$ -E $\flat$ emanating from V's upper fifth, C $\flat$. The C $\sharp$ -minor prolongation occurring at the beginning of the development recasts the exposition's principal theme while integrating elements from the exposition's contrasting F $\sharp$ -minor theme. (These integrated elements include the use of the minor mode and of melodic motion through a fifth.) The development's D $\flat$ /C $\sharp$ -minor prolongation is thus associatively connected with the exposition's F $\sharp$ /G $\flat$ contrasting theme, resuming, rather than initiating, a challenge to diatonic stability.

3. Suggestions for a more refined terminology

The difficulty of categorizing the component sections of Schubert's three-key expositions results from the disjunction that they exhibit between thematic design and voice-leading structure. The following sampling of characterizations for the second and third key areas of Schubert's three-key expositions attests to the difficulty inherent in the labeling task:

1. subordinate group (*Seitensatz*) with two parts (*zwei Teile*) (Salzer, "Die Sonatenform bei Franz Schubert," pp. 101-102)
2. second subject (Tovey, "Franz Schubert," p. 120)
3. double second group (Webster, "Schubert's Maturity," p. 26)
4. transitional period or false second group (belonging to the first group) and second group (Rothstein, *Phrase Rhythm in Tonal Music*, pp. 114-115)
5. "2nd theme" and dominant group (Schachter, "The First Movement of Brahms's Second Symphony," Example 8, p. 66)

The first three characterizations group the middle key area with the third, dominant, key area; they describe thematic design, reflecting the clarity with which the contrasting second theme is initiated and, in some cases, thematic congruence between second and third key areas (see the first movements of the D-minor Quartet, the C-major four-hand "Grand Duo," the C-major *Reliquie* Piano Sonata, and the C-major "Great" Symphony). The latter two characterizations combine the middle key area with the first, tonic, area; they focus on voice-leading

structure, while accommodating the disjunction between thematic design and voice-leading structure by indicating the deceptive nature of the contrasting theme with respect to voice leading (false second group; "2nd theme"). These characterizations are especially appropriate for expositions whose middle key areas overtly return to the tonic (E♭ Piano Trio and B♭ Piano Sonata).

Appropriate terminology for Schubert's three-key expositions should reflect consideration of these criteria:

1. voice-leading function and tonal stability of the middle group
2. thematic relations between groups
3. reconciliation or acknowledgment of disjunction between thematic design and voice-leading structure
4. brevity and simplicity

In this study, I have most often referred to an exposition's three key areas as *principal (first), second, and third groups*. Although this terminology reflects formal design rather than voice leading, its virtues are that it is terse, does not combine the second key area with either the first (tonic) or third (dominant) area, and reflects the dramatic function of the contrasting theme. At times, I have used slightly different terminology, for example, calling the second and third groups the *middle and third key areas* or the *contrasting (transitional) and dominant groups*. Certainly differences in design and structure from work to work make one or

another term more apt and convenient than another for discussing certain issues: for example, the term *double second group* conveniently reflects relative tonal stability of the second key area, and thematic congruence between the second and third key areas, in the D-minor Quartet; by contrast, the term *transitional group* reflects relative instability of the middle key area in the E♭ Piano Trio. Also possible are the relatively simple and unharmonic terms *tonic*, *contrasting*, and *dominant (mediant) groups*.

Suggestions for further study

The scope of my inquiry into Schubert's three-key exposition has been limited to intimate study of four of his mature works. Further study of Schubert's three-key expositions might cast a progressively wider net, to include the following areas: 1) Schubert's late exemplars in C major (the first movements of the "Grand Duo," D. 812, the *Reliquie* Piano Sonata, D. 840, the "Great" Symphony, D. 944, and the String Quintet, D. 956), with respect to motivic importation from the song and also to the influence of Beethoven; 2) all of Schubert's three-key expositions and their relationship to his two-key expositions (with Hur's dissertation, *Irregular Recapitulation in Schubert's Instrumental Music*, contributing to this area of inquiry); 3) Schubert's three-key expositions in relation to movements by earlier and, more importantly, later composers. Among the previously cited authors who have contributed to this large area of investigation are the following: Longyear

and Covington, who have written about Schubert's three-key expositions in connection with related examples by earlier composers; James Webster, who has written about Haydn's "Farewell Symphony," including the first movement's three-key exposition, and who has connected Schubert's three-key expositions to those of Brahms; Roger Graybill, who has written about Brahms's three-key expositions; Carl Schachter, who has written about the first movement of Brahms's Second Symphony and its relationship to movements by Schubert and Mozart; and Irene Levenson, who has discussed the transmission of Schubert's chromatic and motivic techniques by examining his songs in relation to songs by Schumann, Brahms, Lizst, and Mahler. A recent article by Joel Lester, "Robert Schumann and Sonata Forms," mentions that Schumann wrote five three-key, first-movement expositions.¹² It would be most interesting to trace a connection, vis-à-vis the three-key exposition, from Schubert through Schumann to Brahms. Investigations such as these would surely contribute insight into the development of Romantic instrumental masterpieces, among which Schubert's best works hold a commanding place.

This study has endeavored to glean the essence of Schubert's three-key expositions written between 1824 and 1828. It finds that awareness of Schubert's innovative

¹²See *19th Century Music* 18/3 (Spring 1995), p. 207.

procedures, foremost the importation of a death-related motive associated with his songs into the large structures of his sonata forms, enhances appreciation of the beauty and drama inherent in these forms. It further finds that knowledge of the motivic connections between sonata movements by Schubert and Beethoven encourages an evolutionary view, in which Schubert's innovations are seen as a vital, though individualistic, outgrowth of Beethoven's legacy, rather than an adversarial view, in which Schubert's procedures are judged harshly as a negation of Beethoven's practice.

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A

**SCHUBERT'S LATE THREE-KEY EXPOSITIONS:
INFLUENCE, DESIGN, AND STRUCTURE**

by

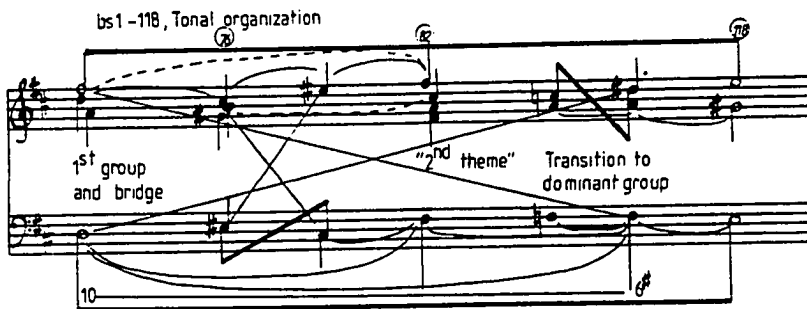
DEBORAH KESSLER

**VOLUME II
MUSICAL EXAMPLES**

**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**

1996

Example 1.1 Graph of Brahms, Symphony No. 2 in D, Op. 73, I, by Carl Schachter. From Carl Schachter, "The First Movement of Brahms's Second Symphony: The Opening Theme and its Consequences," *Music Analysis* 2/1, 64. Copyright (c) 1983 Basil Blackwell. Reproduced with permission of the publisher.

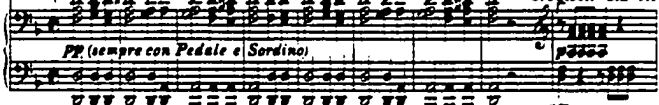


Example 2.1 Schubert, "Der Tod und das Mädchen," D. 531 (Op. 7 No. 3); English translation of text by Carl Schachter. From Carl Schachter, "Motive and Text in Four Schubert Songs," *Aspects of Schenkerian Theory*, ed. David Beach, 67. Copyright (c) 1983 by Yale University. Reproduced with permission of the publisher.

Der Tod und das Mädchen.
Gedacht von M. Claudius.
Für eine Singstimme mit Begleitung des Piano-forte
componirt von
FRANZ SCHUBERT.
Op. 7. No. 3.
Dem Grafen Ludw. Szechenyi von Sarvazi-Felsö-Videk gewidmet. Februar 1817

Mässig. d. 24. (5) Etwas geschwinder.
— Das Mädchen —

Singstimme. 

Piano-forte. 
pp (sempre con Pedale e Sordino)

10 über- geh wil- der Knochenmann! Ich bin noch jung, geh Lie-ber, und 15 Vor- über, ach vor.

20 Wie oben.
Der Tod.
rühre mich nicht an, und rühre mich nicht an. Gib deine Hand, du schön und sanft Ge- 25

35 bild, bin Freund, und kom-me nicht zu- stra- fen. Sei gutes Muth! ich bin nicht 40

45 wild, sollst sanft in meinen Armen schla- fen. 50



Example 2.1, continued; English translation of "Der Tod und das Mädchen" by Carl Schachter.

The Maiden

Go past, ah, go past

Wild skeleton!

I am still young! Go, dear,

And do not touch me!

Death

Give me your hand, you beautiful and tender creature!

I am a friend and do not come to punish.

Be of good courage! I am not wild!

You shall sleep softly in my arms!

[illegible]

Example 2.2, (b) Death's Reply, mm. 22-37.

b

22 26 29 30 33 34 36 37

I (VI) V# I#

Plates A-B Two representations of *The Pagan Woman*, derived, via a 1568 restoration, from the *Grossbasel Totentanz* frescoes, ca. 1445, (a) print by Merian, 1621; (b) watercolor by E. Büchel, 1773. From Reinhold Hammerstein, *Tanz und Musik des Todes: Die mittelalterlichen Totentänze und ihr Nachleben*. Copyright (c) 1980 Francke Verlag Bern. Reproduced with permission of the publisher.

A

Todt zur Heydin.
 Ich san Heydin/sem artlich greiffen
 Ein Todtentanz auff der Sackpfeiffen/
 Dem mußt nachtanzen wie dein Mann/
 Räffest du schon all Götter an.



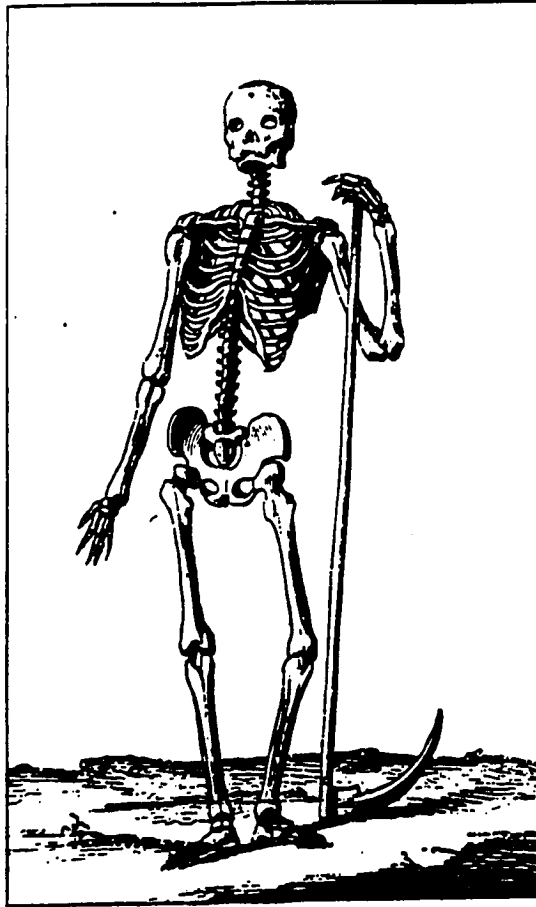
Die Heydin.
 O Venus und auch Pallas/
 Euch Götter laßt erbarmen daß
 Ich sterben muß/ helfft mir auß noht/
 Kein Segen helfft für den Todt.

B

Ich san Heydin/sem artlich greiffen. O Venus und auch Pallas.
 Ein Todtentanz auff der Sackpfeiffen. Euch Götter laßt erbarmen daß
 Dem mußt nachtanzen wie dein Mann. Ich sterben muß/ helfft mir auß noht.
 Räffest du schon all Götter an. Kein Segen helfft für den Todt.



Plate C *Freund Hain*, engraving: frontispiece to M. Claudius, *Asmus omnia sua secum portans* . . . (Hamburg, 1775). From Christoph Wolff, "Schubert's 'Der Tod und das Mädchen': Analytical and Explanatory Notes on the Song D 531 and the Quartet D 810," *Schubert's Studies*, ed. Eva Badura-Skoda and Peter Branscombe, 146. Copyright (c) Cambridge University Press 1982. Reproduced with permission of the publisher.



Freund Hain.

Plate D *The Death and the Maiden* by Edvard Munch. From Ian Dunlop, *Edvard Munch*, # 24. Copyright (c) Blacker Calmann Cooper Ltd., 1977.



Example 2.3 Graphs of Schubert, Quartet in D Minor, D. 810, I, (a) exposition; (b) recapitulation.

a

First group Second group Transition Third group

1 61 83 90 96 97 102 114 132 134

8 — #6 — 8

I(III) V# — — — — V₇

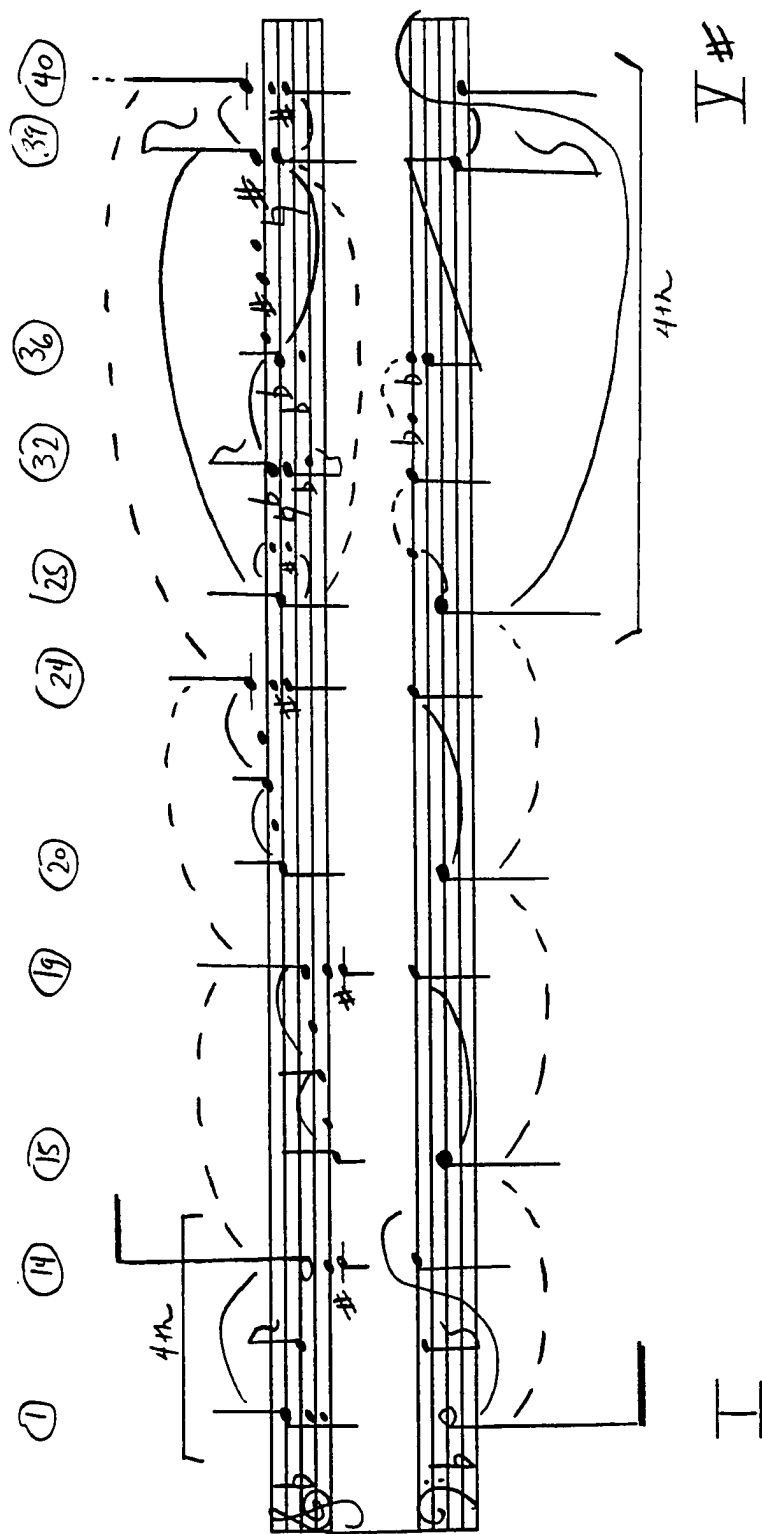
Example 2.3, (b) recapitulation.

b

First group	Second group	Transition	Third group	
198	218	241 254 248	255 260 272 290	292

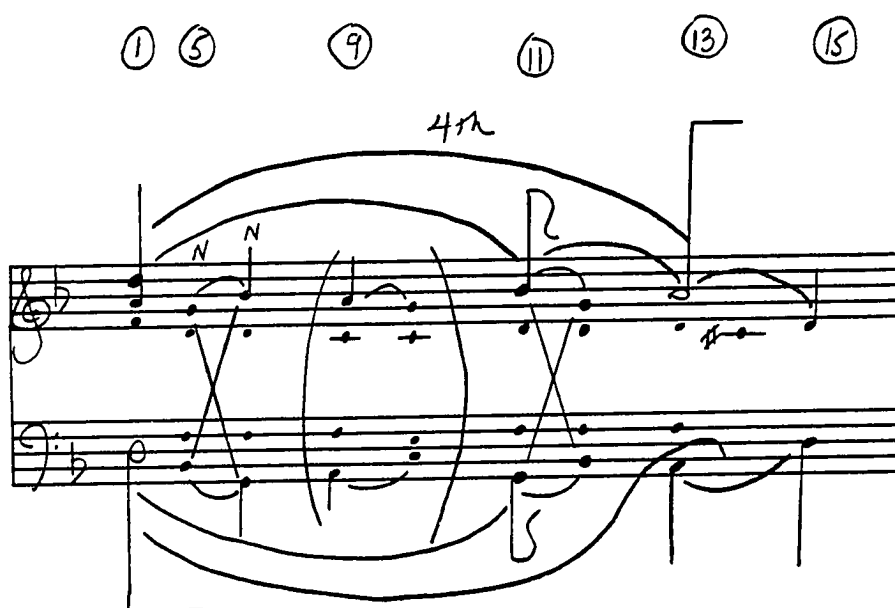
I₄-#-4 (VI) V# I

Example 2.4 Graph of Schubert, Quartet in D Minor, D. 810, I, exposition, principal group, mm. 1-40.



Example 2.5 Schubert, Quartet in D Minor, D. 810, I, exposition, first phrase,
 (a) graph, mm. 1-15; (b) rhythmic reduction, mm. 1-14.

a



Example 2.5, exposition, first phrase, (b) rhythmic reduction.

b

The musical score is presented in three systems, each with two staves (treble and bass clef). The first system contains measures 1 through 8, with measure numbers 1, 5, 8, 11, and 13 circled above the staff. The second system contains measures 9 through 12, with measure numbers 5, 8, 12, and 13 circled above the staff. The third system contains measures 13 through 16, with measure numbers 12 and 13 circled above the staff. The notation includes various rhythmic values (quarter, eighth, sixteenth notes, rests) and dynamic markings (p, f). The score is a rhythmic reduction, meaning it shows the essential rhythmic structure of the original music.

Example 2.6 Schubert, Quartet in D Minor, D. 810, I, exposition,
second phrase, mm. 15-24, (a) graph; (b) rhythmic reduction.

a

Handwritten musical notation for Example 2.6 (a) graph. The notation consists of two staves. The top staff is in treble clef with a key signature of one flat (B-flat). The bottom staff is in bass clef. Measures 15, 18, 19, 20, 23, and 24 are circled. A large slur covers measures 15-18, and another slur covers measures 19-24. A vertical line with a '7' is above measure 19. Below the bottom staff, there are two large horizontal arcs, each labeled '5-6/3'.

Example 2.6, exposition, second phrase, (b) rhythmic reduction.

b

(o = d)

15 18 19 20 23 24

extra bar

extra bar

normalized

normalized

normalized

same

same

same

Example 2.7 Schubert, Quartet in D Minor, D. 810, I, exposition, third phrase, mm. 25-40, (a) graph; (b) rhythmic reduction.

a

The musical score is presented in two systems, (a) and (b). System (a) shows the original notation for the third phrase of the exposition, measures 25-40. The treble staff (top) and bass staff (bottom) are both in D minor. The treble staff has a key signature of one flat (B-flat) and a time signature of 3/4. The bass staff has a key signature of two flats (B-flat and E-flat) and a time signature of 3/4. The score includes various musical notations such as notes, rests, and accidentals. A large bracket connects the two staves, indicating a close relationship between the parts. The score is labeled 'a' and 'b' at the bottom.

Example 2.7, exposition, third phrase, (b) rhythmic reduction.

b

(o = ♩) (25)

(29)

(32)

(36)

Example 2.8 Schubert, Quartet in D Minor, D. 810, I, exposition, counterstatement, (a) graph, mm. 41-61; (b) rhythmic reduction, mm. 41-60.

a

(41) (52) (56) (61)

(F:) I

III

Example 2.8, exposition, counterstatement, (b) rhythmic reduction.

b-level 1

The musical score is presented in two systems. The first system, labeled 'b-level 1', contains measures 41, 45, and 49. Measure 41 shows a treble staff with a whole note and a bass staff with a whole note. Measure 45 shows a treble staff with a whole note and a bass staff with a whole note. Measure 49 shows a treble staff with a whole note and a bass staff with a whole note. The second system contains measures 52 and 55. Measure 52 shows a treble staff with a whole note and a bass staff with a whole note. Measure 55 shows a treble staff with a whole note and a bass staff with a whole note. The notation includes staves with notes, rests, and various rhythmic markings such as '3/4', '4/4', and '5/4'. The counterstatement is indicated by a 'b' symbol.

Example 2.8, exposition, counterstatement, (b) rhythmic reduction, continued.

b--level 2

The musical score is presented in two systems, each with two staves. The first system covers measures 41 to 51, and the second system covers measures 52 to 56. The notation includes various rhythmic values, accidentals, and dynamic markings.

System 1 (Measures 41-51):

- Measure 41: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 42: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 43: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 44: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 45: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 46: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 47: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 48: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 49: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 50: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 51: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.

System 2 (Measures 52-56):

- Measure 52: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 53: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 54: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 55: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.
- Measure 56: Treble staff has a half note G4, a half note A4, and a half note B4. Bass staff has a half note G3, a half note A3, and a half note B3.

Example 2.9 Schubert, Quartet in D Minor, D. 810, I, exposition, second group, mm. 61-83, (a) graph; (b) rhythmic reduction.

a

61 70 72 76 77 80 81 82 83

V (F:) I

V^{b9} ——— V⁷ I

Example 2.9, exposition, second group, (b) rhythmic reduction.

b

The musical score is presented in two systems. The first system, labeled with circled numbers 61, 62, and 67, shows a treble and bass staff. The treble staff contains rhythmic notation with eighth and sixteenth notes, while the bass staff has corresponding rhythmic patterns. The second system, labeled with a circled number 72, continues the rhythmic reduction. The notation is simplified, focusing on the rhythmic structure rather than specific pitch values.

Example 2.9, exposition, second group, (b) rhythmic reduction, continued.

b

level 1

level 2

(26)

This musical score shows measures 25 through 30. The instruments are Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fag.), Cor Anglais (Cor.), Violin (Vcl.), and Cello/Bass (Basso). Measures 25-27 feature a complex woodwind texture with various articulations like accents and slurs. Measure 28 has dynamic markings *p* and *cresc.*. Measures 29-30 show a crescendo across all parts, with dynamics ranging from *pp* to *f*.

Example 2.10, (a) I, mm. 26-48, continued.

The image displays a musical score for a woodwind and brass ensemble, continuing from measures 26-48. The score is written for five staves, each representing a different instrument: Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fag.), and Cor Anglais (Cor.). The notation is complex, featuring numerous beamed sixteenth and thirty-second notes, often grouped with slurs. The Flute part begins with a circled measure number '38'. The woodwinds and brass parts show dense harmonic textures with many beamed notes. The bottom of the page shows the beginning of the piano accompaniment, with two staves in treble and bass clef, featuring a steady eighth-note pattern in the right hand and a more active bass line in the left hand.

Example 2.10, (b) III, mm. 1-13.

b

Lustiges Zusammensein der Landleute.

Allegro. $\text{♩} = 108$.

Flauti. *do.*

Oboi. *pp do.*

Clarinetti in B.

Fagotti. *pp*

Allegro. $\text{♩} = 108$.

Corni in F.

Trombe in C.

Allegro. $\text{♩} = 108$.

Violino I. *pp* *do.*

Violino II. *pp* *do.*

Viola. *pp* *do.*

Violoncello. *pp*

Basso. *pp*

Example 2.10, (c) III, mm. 165-177.

c

(165)

a Tempo Allegro. ♩ = 122.

Fl. Ob. Cl. Fag. Cor.

a Tempo Allegro. ♩ = 122.

SYMPHONY NO. 6 (3) 131

Example 2.11 Schubert, Quartet in D Minor, D. 810, I, exposition, transition, mm. 83-101, (a) graph showing preferred reading; (b) graph showing alternative reading; (c) rhythmic reduction.

a

The musical score is for Schubert's Quartet in D Minor, D. 810, I, exposition, transition, measures 83-101. The score is written for two staves (treble and bass clef). It includes a graph showing preferred reading with various annotations and a rhythmic reduction below the staff. The graph shows a sequence of notes and rests, with some notes marked with 'p' (piano) and 'f' (forte). The rhythmic reduction shows the same sequence of notes and rests, but with simplified notation. The score is divided into measures, with measure numbers 83, 87, 90, 93, 96, 97, and 101 indicated. The key signature is D minor (two flats). The time signature is 3/4. The score ends with a double bar line and the Roman numeral III.

Example 2.11, exposition, transition, (b) graph showing alternative reading.

b

83 87 90 93 96 97 101

III (A:) I (5) VI V

Example 2.11, exposition, transition, (c) rhythmic reduction.

c

83 87

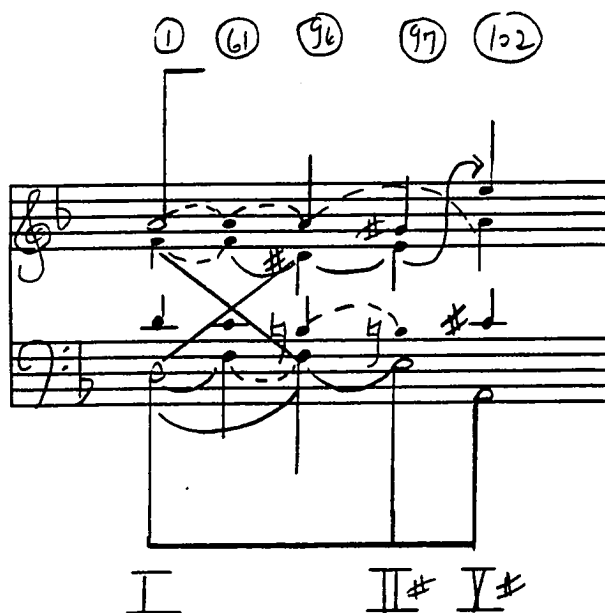
90 94

97

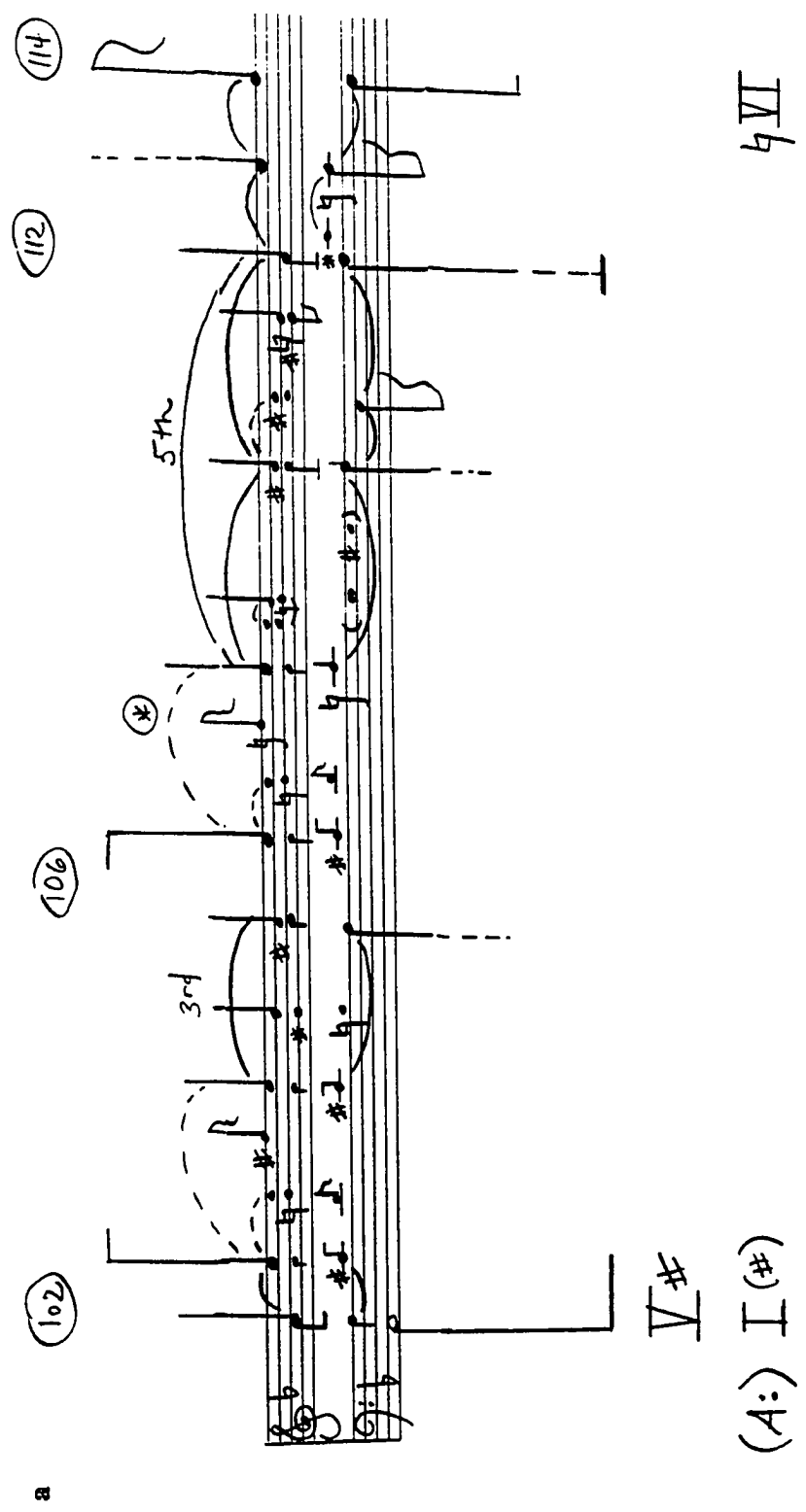
Example 2.12 Schubert, Quartet in D Minor, D. 810, I,
E $\flat$ vs. D $\sharp$ in the exposition.



Example 2.13 Graph of Schubert, Quartet in D Minor, D. 810, I,
alternative reading of exposition--deep middleground.



Example 2.14 Graphs of Schubert, Quartet in D Minor, D. 810, I, exposition, third group, (a) middleground, mm. 102-134; (b) foreground, mm. 114-134.



Example 2.14, exposition, third group, (a) middleground, mm. 102-134, continued.

(102) (2) (104) (114) (120) (132) (134)

V#— (A:) I# — q VI — V# — I# — — V# —

Example 2.14, exposition, third group, (b) foreground, mm. 114-134.

Handwritten musical score for the piece 'b'. The score is written on two staves. The first staff begins with a treble clef and a key signature of one flat (B-flat). It contains several measures of music, including a sequence of sixteenth notes and a measure with a fermata. The second staff begins with a bass clef and a key signature of one flat (B-flat). It contains a sequence of sixteenth notes and a measure with a fermata. The score is marked with circled numbers 114 and 115, and a circled 'b' at the end.

(A:) $\text{VI} -$

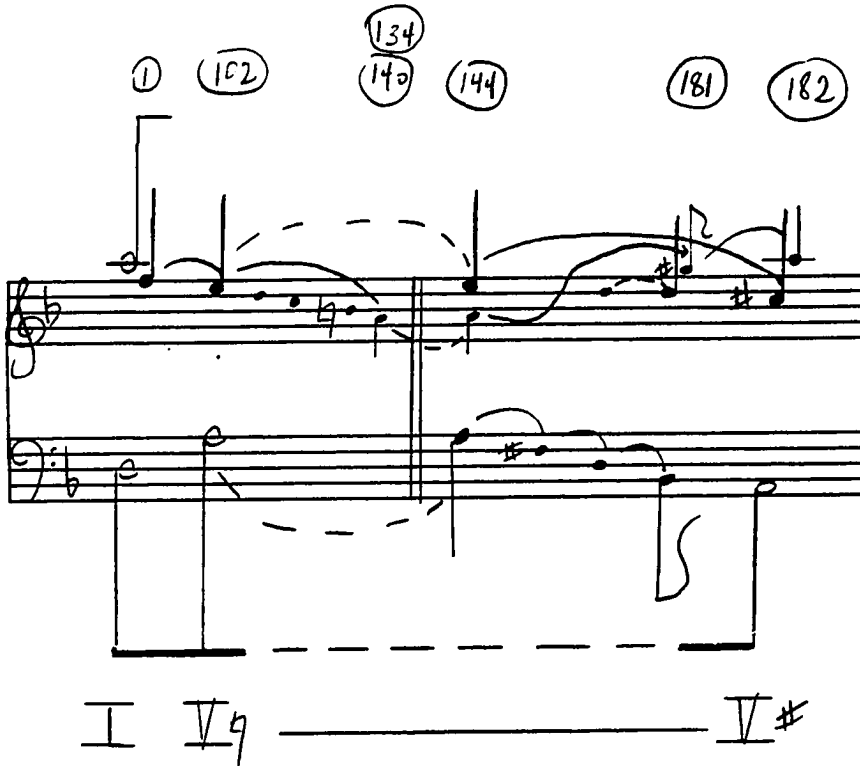
Example 2.14, exposition, third group, (b) foreground, mm. 114-134, continued.

(120) (124) (132) (134)

A: (VI) — VI — V₄ V_# I₄

Example 2.15 Graphs of Schubert, Quartet in D Minor, D. 810, I, development, mm. 141-182, (a) deep middleground, including exposition; (b) middleground; (c) foreground.

a



I V⁷ ————— V[#]

Example 2.15, development, (b) middleground.

b

Handwritten musical score for Example 2.15, development, (b) middleground. The score consists of two staves, treble and bass clef. Above the staves are circled measure numbers: 140, 144, 152, 163, 173, 181, and 182. A large slur covers measures 140 to 182. A '3rd' marking is above measure 173. A 'p' (piano) marking is above measure 181. Below the staves, there are various annotations: a bracket under measures 140-144 with '(5 — #6)' below it; a bracket under measures 144-152 with '(8-10-8-10-8)' below it; a bracket under measures 152-163 with '(5 — #6)' below it; and a bracket under measures 163-182 with '-V# below it. The score includes various musical notations such as notes, rests, and accidentals.

Example 2.15, development, (c) foreground.

c

102 140 141 144 150 152 156

p 3rd

V b #

Example 2.15, development, (c) foreground, continued.

156 160 163 170 173 176 181 182

D C#

V#

Example 2.16 Graph of Schubert, Quartet in D Minor, D. 810, I, recapitulation, mm. 198-297, overview.

1st group (198) (209)

2nd group (218) (255)

3rd group (260) (292)

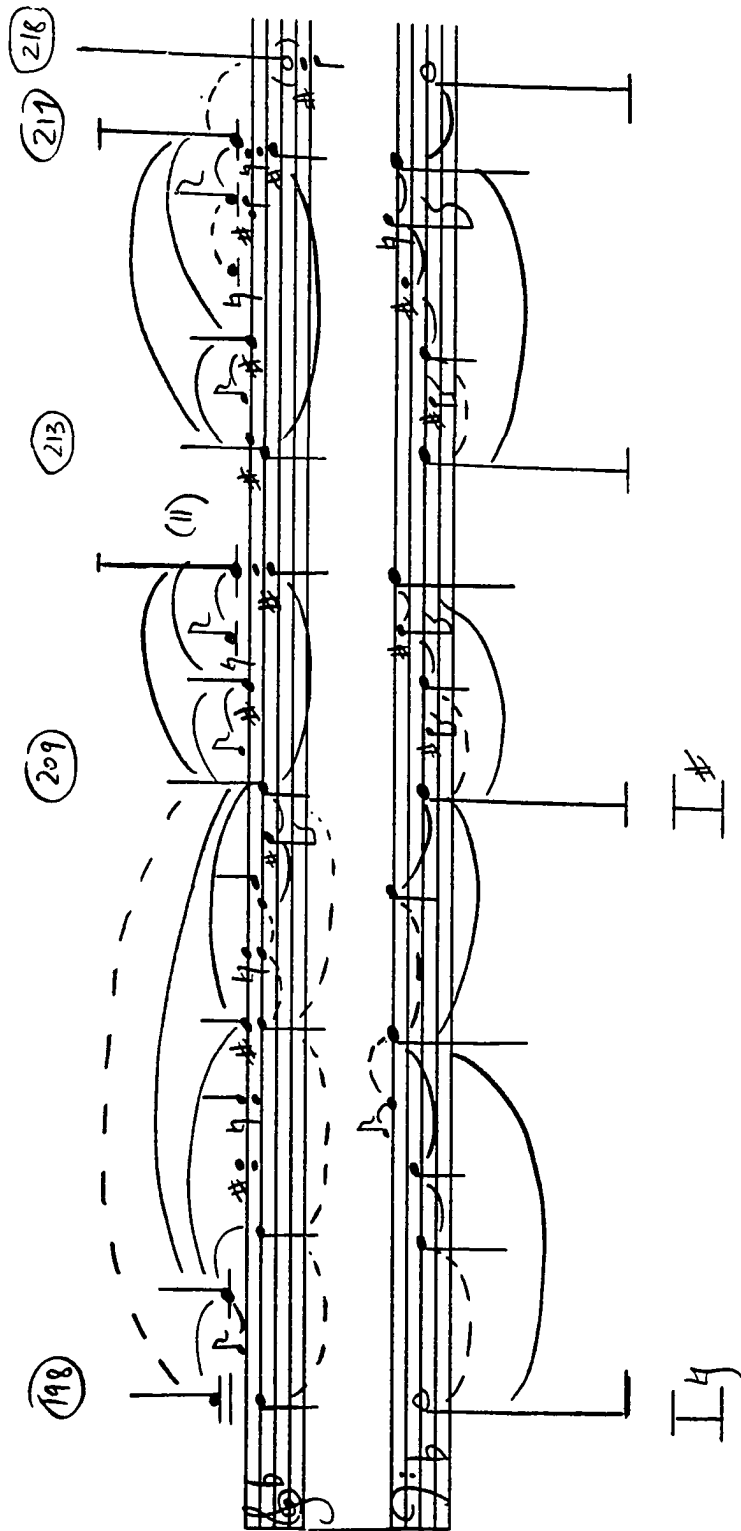
Transition (241) (272) (286) (290)

I₄ — # — 4

(VI)

V# I

Example 2.17 Graph of Schubert, Quartet in D Minor, D. 810, I, recapitulation, principal group, mm. 198-218.



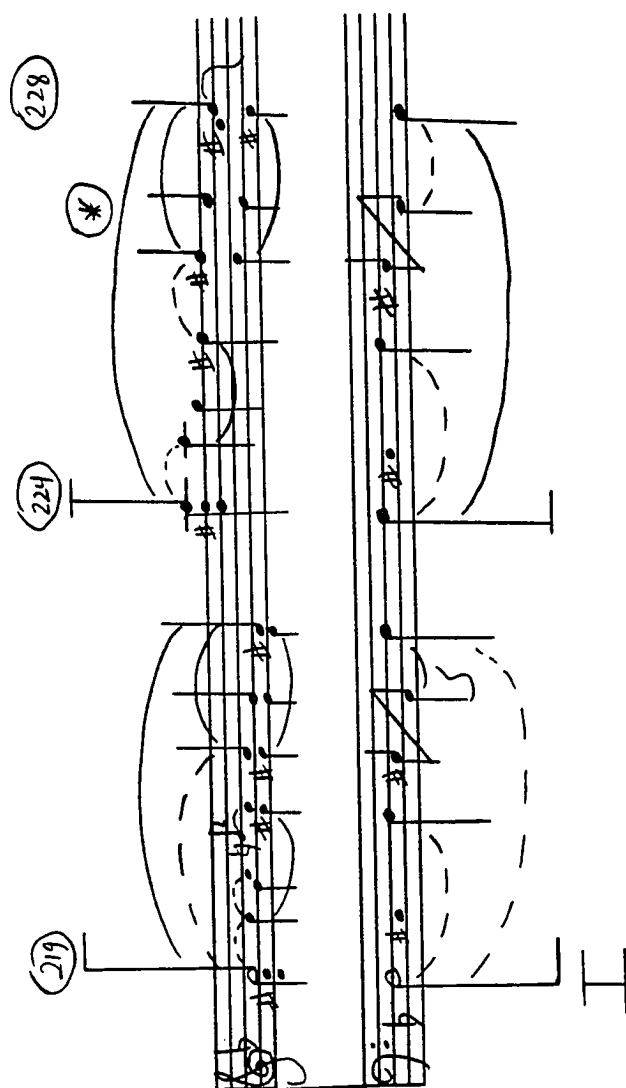
Example 2.18 Schubert, Quartet in D Minor, D. 810, I, comparison of voice leading in the respective principal groups of the exposition and recapitulation.

The image displays a comparison of voice leading between two musical passages. The left passage, from the exposition, shows measures 51 and 52. The right passage, from the recapitulation, shows measures 207 and 209. The notation is on a single staff with a treble clef and a key signature of one flat (B-flat). The notes are as follows:

- Measure 51: Treble staff has a whole note B-flat (Bb) and a whole note D-flat (Db). Bass staff has a whole note B-flat (Bb) and a whole note D-flat (Db).
- Measure 52: Treble staff has a whole note B-flat (Bb) and a whole note D-flat (Db). Bass staff has a whole note B-flat (Bb) and a whole note D-flat (Db).
- Measure 207: Treble staff has a whole note B-flat (Bb) and a whole note D-flat (Db). Bass staff has a whole note B-flat (Bb) and a whole note D-flat (Db).
- Measure 209: Treble staff has a whole note B-flat (Bb) and a whole note D-flat (Db). Bass staff has a whole note B-flat (Bb) and a whole note D-flat (Db).

Dashed lines indicate voice leading paths between the two passages. The notes are labeled D^b and $C^\sharp$ below the staff. The text "vs." is placed between the two passages.

Example 2.19 Graph of Schubert, Quartet in D Minor, D. 810, I, recapitulation, second group, mm. 219-241.



Example 2.19, recapitulation, second group, continued.

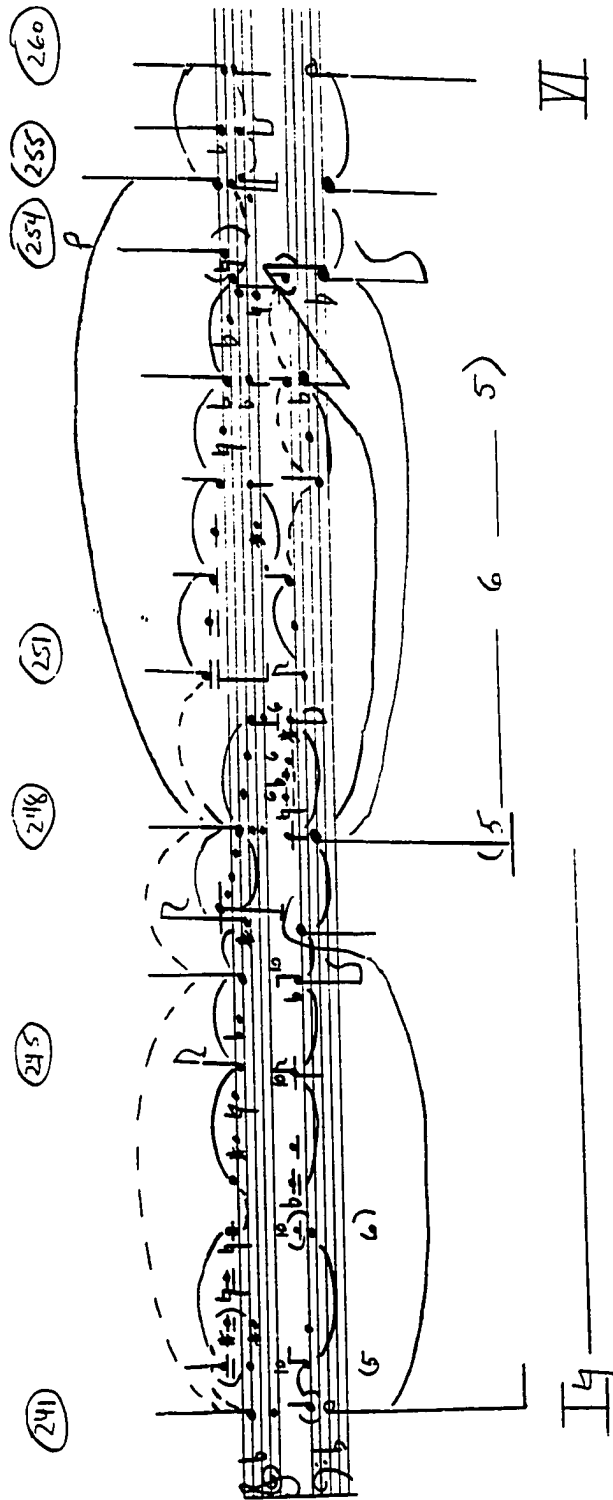
The musical score is written for two staves. The top staff is in treble clef and the bottom staff is in bass clef. The key signature has two flats (B-flat and E-flat). The time signature is 4/4. The score includes various musical notations such as notes, rests, accidentals, and dynamic markings. There are also some annotations in parentheses and circles.

Annotations in the score include:

- (229) and (234) in circles, pointing to specific measures.
- (*) in a circle, pointing to a measure.
- (11) in parentheses, pointing to a measure.
- (241) in a circle, pointing to a measure.

Below the staves, there are two large Roman numerals: V^{b9} and V^7 , with a horizontal line connecting them. To the right of these numerals, there are two more Roman numerals: I^4 and I^4 .

Example 2.20 Graph of Schubert, Quartet in D Minor, D. 810, I, recapitulation, transition, mm. 241-260.



Example 2.21 Schubert, Quartet in D Minor, D. 810, I, comparison of respective augmented sixths in the exposition and recapitulation.

The image shows a handwritten musical score comparing two augmented sixth chords. The score is divided into two systems, each with two staves (treble and bass clef). The first system (exposition) is marked with circled numbers 83, 96, and 97. The second system (recapitulation) is marked with circled numbers 241, 254, and 255. The chords are augmented sixths, characterized by a tritone interval between the third and sixth of the chord. The notation is handwritten and includes various accidentals and slurs.

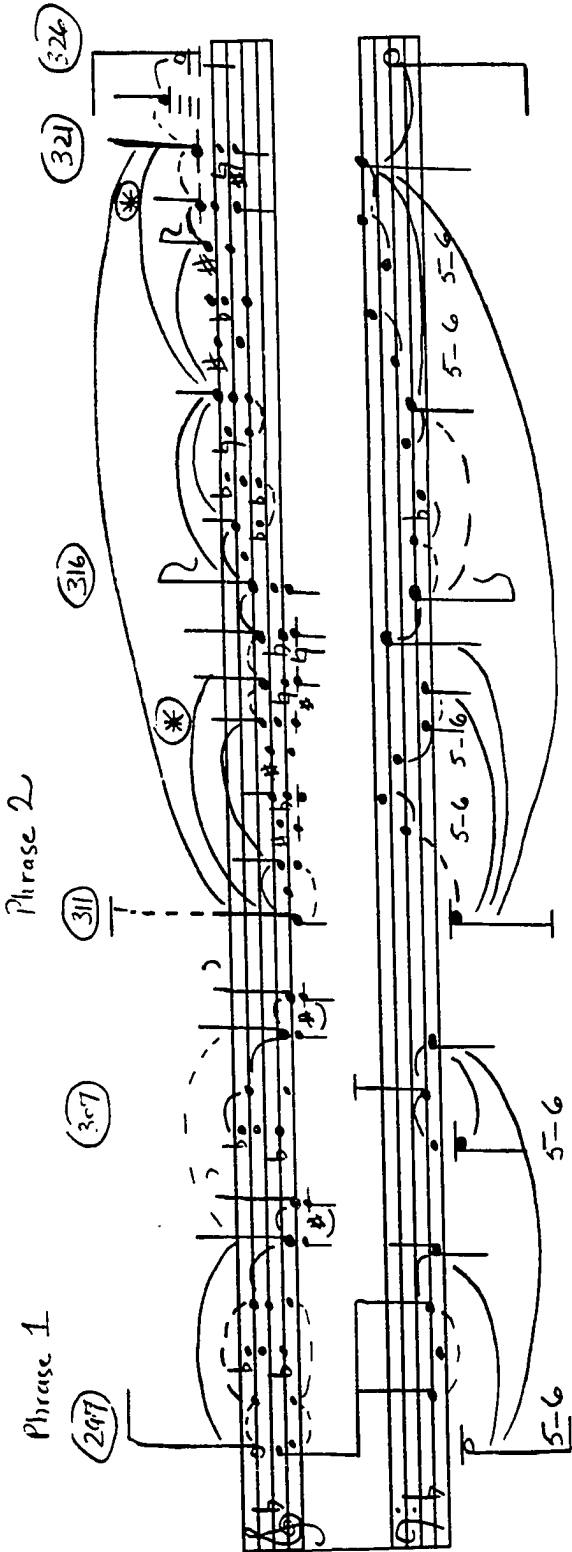
Example 2.22, recapitulation, third group, continued.

(270) Excursion
(278)
(286)
(290)
(292)

VI

$$V_4^5 = 5 \# I$$

Example 2.23 Graph of Schubert, Quartet in D Minor, D. 810, I, coda, mm. 297-341.



Example 2.23, coda, continued.

Phrase 3

Handwritten musical score for the coda of Example 2.23, continued. The score consists of two staves, treble and bass clef. The notation includes various musical symbols such as notes, rests, and phrasing slurs. Measure numbers 324, 330, 332, 336, 338, and 341 are circled and connected to the staves by vertical lines. The notation includes complex phrasing with slurs and ties, and some notes are marked with asterisks.

Example 3.1 Beethoven, Septet, Op. 20, I, Adagio, (a) mm. 1-18; (b) graph, mm. 1-21.

a

Ihrer Majestat der Kaiserin Maria Theresia gewidmet

SEPTET

I.

L. van Beethoven, Op. 20.
1770-1827

Adagio. ♩ = 72

Klarinette in B.

Fagott.

Horn in Es.

Violine.

Viola.

Violoncell.

Kontrabaß.

Kl.

Hr.

10

277 18

E.B. 1112

Ernst Eulenburg Ltd

Example 3.1, Adagio, (a) mm. 1-18, continued.

2

Kl.

Tr.

Hr.

sf *cresc.* *sf* *cresc.* *sf* *cresc.* *sf*

sf *cresc.* *sf* *cresc.* *sf* *cresc.* *sf*

cresc. *cresc.* *cresc.* *sf*

sf *sf* *sf*

sf

Kl.

Tr.

Hr.

pp *cresc.*

pp *cresc.*

pp *cresc.*

pp *cresc.*

pp *cresc.*

B. B. 1112

Example 3.1, Adagio, (b) graph, mm. 1-21.

h

[illegible]

Example 3.1, Adagio, (b) graph, mm. 1-21, continued.

The musical score is presented on two staves, Treble and Bass clef. The key signature has two flats (B-flat and E-flat). The time signature is 4/4. The score covers measures 12 through 21. Measure 12 begins with a 4th measure rest. Measure 13 also begins with a 4th measure rest. Measure 14 begins with a 4th measure rest. Measure 15 begins with a 4th measure rest. Measure 16 begins with a 4th measure rest. Measure 17 begins with a 4th measure rest. Measure 18 begins with a 4th measure rest. Measure 19 begins with a 4th measure rest. Measure 20 begins with a 4th measure rest. Measure 21 begins with a 4th measure rest. The score includes various musical notations such as notes, rests, and bar lines.

Example 3.2 Schubert, Octet, D. 803, I, (a) Adagio and Allegro, mm. 1-31;
 (b) foreground graph of Adagio, mm. 1-19; (c) middleground graph of Adagio, mm.
 1-19.

a

Octett
 für 2 Violinen, Viola, Violoncell, Contrabass,
 Clarinette, Horn und Fagott
 von
FRANZ SCHUBERT.
 (Erstveröffentlichung als Op. 188.)

No. 1.

I. (Gebrauch 1954.)

Adagio.

Clarinete in B.
 Corno in F.
 Fagotto.
 Violino I.
 Violino II.
 Viola.
 Violoncello.
 Contrabasso.

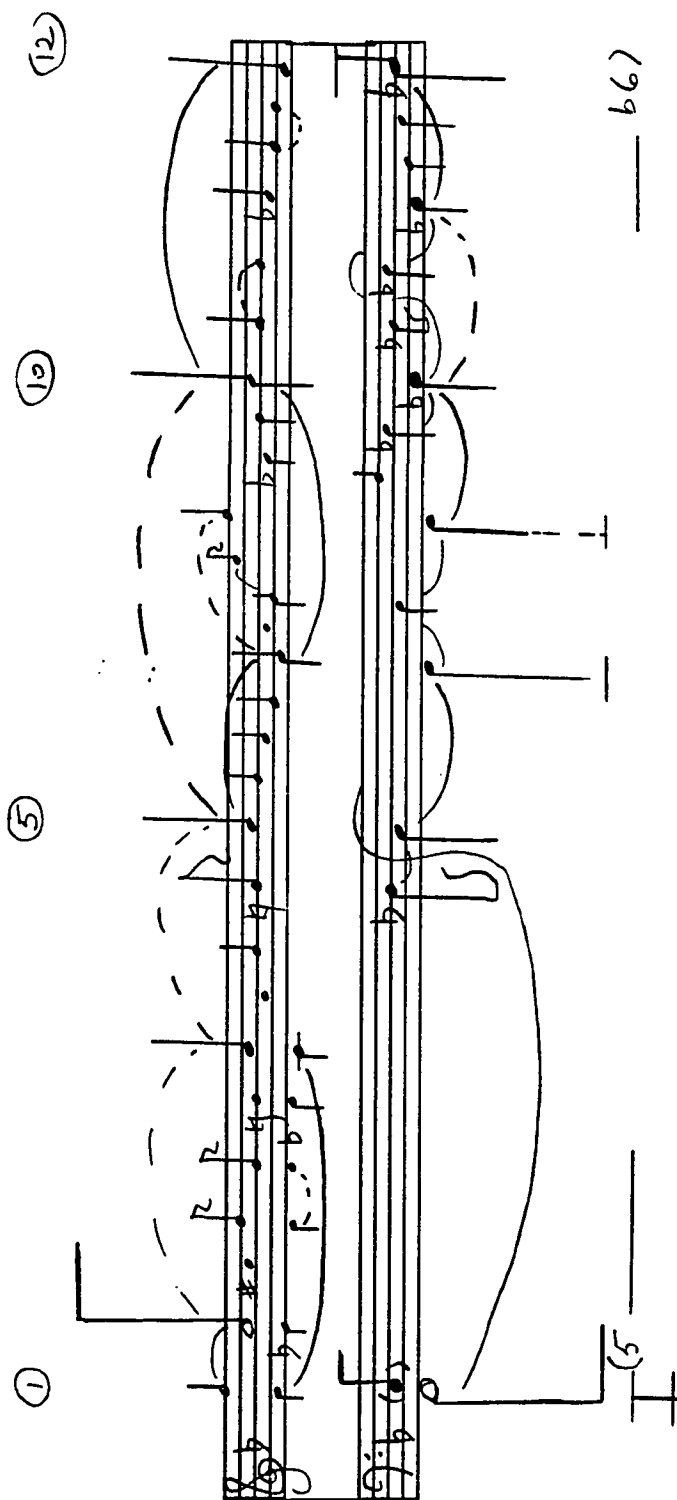
⑦

Example 3.2, (a) Adagio and Allegro, mm. 1-31, continued.

This musical score is divided into three systems, each containing five staves. The first system is marked with a circled '12' at the beginning. The second system is marked with a circled '18' and includes the tempo change 'Allegro.' in the second staff. The third system is marked with a circled '25' at the beginning. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'pp' and 'ppp'.

Example 3.2, (b) foreground graph of Adagio, mm. 1-19.

b



Example 3.2, (b) foreground graph of Adagio, mm. 1-19, continued.

Handwritten annotations and markings:

- Measure 12: $(b6 - 46 - :67)$
- Measure 14: $4/4$
- Measure 15: $4/4$
- Measure 16: $4/4$
- Measure 17: $4/4$
- Measure 18: $4/4$
- Measure 19: $4/4$
- Measure 14: IV^b
- Measure 15: $V^8 4 5 3$

Example 3.2, (c) middleground graph of Adagio, mm. 1-19.

c

Handwritten musical score for Example 3.2, (c) middleground graph of Adagio, mm. 1-19. The score is written on two staves, treble and bass clef, with a key signature of one flat (B-flat). The melody in the treble staff is marked with circled numbers 1, 10, 12, 15, 17, and 19. A large slur covers the entire melody. The bass staff has a dashed line under the first few notes, followed by a solid line. Below the staves, a handwritten graph shows the harmonic structure: I 5 — b6 — b7 IVb V 6/4 = 5/3 I.

Example 3.3, (a) I, mm. 13-26, continued.

The musical score is arranged in a system of staves. The instruments are listed on the left: Fl., Ob., Cl., Fg., Cor (G), vi., vla., and vc. & db. The score is written in 2/4 time. The first staff (Fl.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The second staff (Ob.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The third staff (Cl.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The fourth staff (Fg.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The fifth staff (Cor (G)) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The sixth staff (vi.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The seventh staff (vla.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The eighth staff (vc. & db.) has a measure with a note marked 'sf' and a measure with a note marked 'sf'. The score includes various musical notations such as notes, rests, and dynamic markings like 'cresc.' and 'sf'. The score is written in a standard musical notation style.

$\frac{R}{N}$

Example 3.3, (b) II, mm. 16-42.

34

b

35

Beechoven, Symph. 1, II, Devel. CB. 5/5/85

Andante

3rd - prod

5/5/85

Example 3.3, (d) III, sketch of middleground by Carl Schachter, reproduced with his permission.

d

etc.

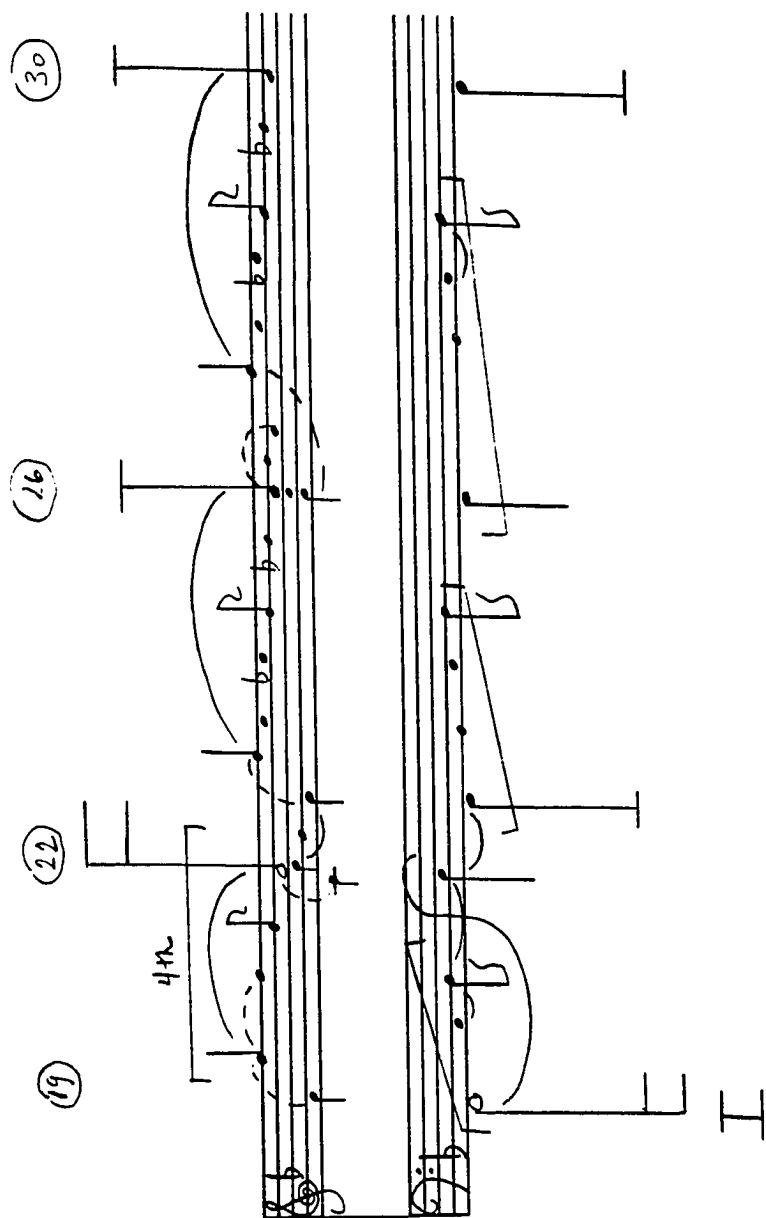
5-6 5-4 3-4 3

Example 3.3, (c) III, mm. 51-69.

e

Fl. 1
Fl. 2
Cl. 1
Cl. 2
Bsn.
Bsn.
Tbn. 1
Tbn. 2
Tbn. 3
Trp. 1
Trp. 2
Trp. 3
Vln. 1
Vln. 2
Vla.

Example 3.4 Graph of Schubert, Octet, D. 803, I, exposition, first group, antecedent, mm. 19-37.



Example 3.4, exposition, first group, antecedent, continued.

30 31 32 35 37

I II V

Example 3.5 Graph of Schubert, Octet, D. 803, I, exposition, first group, counterstatement and transition, mm. 38-50.

Handwritten musical notation and graph for Schubert's Octet, D. 803, I, exposition, first group, counterstatement and transition, mm. 38-50.

The notation shows two staves (treble and bass clef) with musical notes and rests. Handwritten annotations include:

- Measure numbers 38, 42, and 50 circled at the top.
- A large curved line spanning from measure 38 to 50, labeled "6th" above it.
- A smaller curved line below the first staff, labeled "5 — 6" above it.
- A curved line below the second staff, labeled "4th" above it.
- A horizontal line at the bottom with a vertical bar on the left, labeled "5" above it, and a "6" above the right end.
- Below the horizontal line, the text "(D:) V — I" is written.

Example 3.6 Schubert, Octet, D. 803, I, exposition, second group, (a) rhythmic reduction, mm. 50-89; (b) graph, mm. 1/50-90.

a

(50) (54)

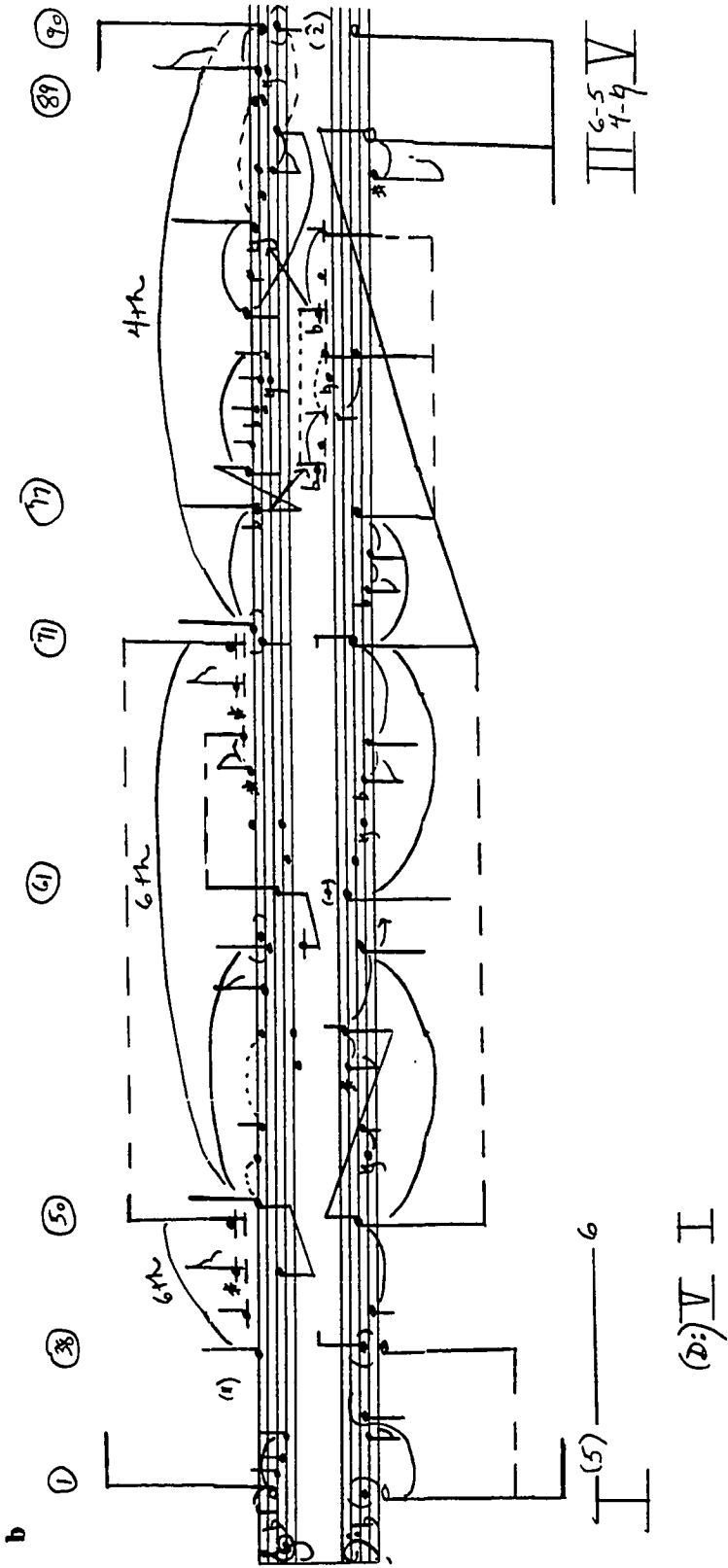
4/1

b

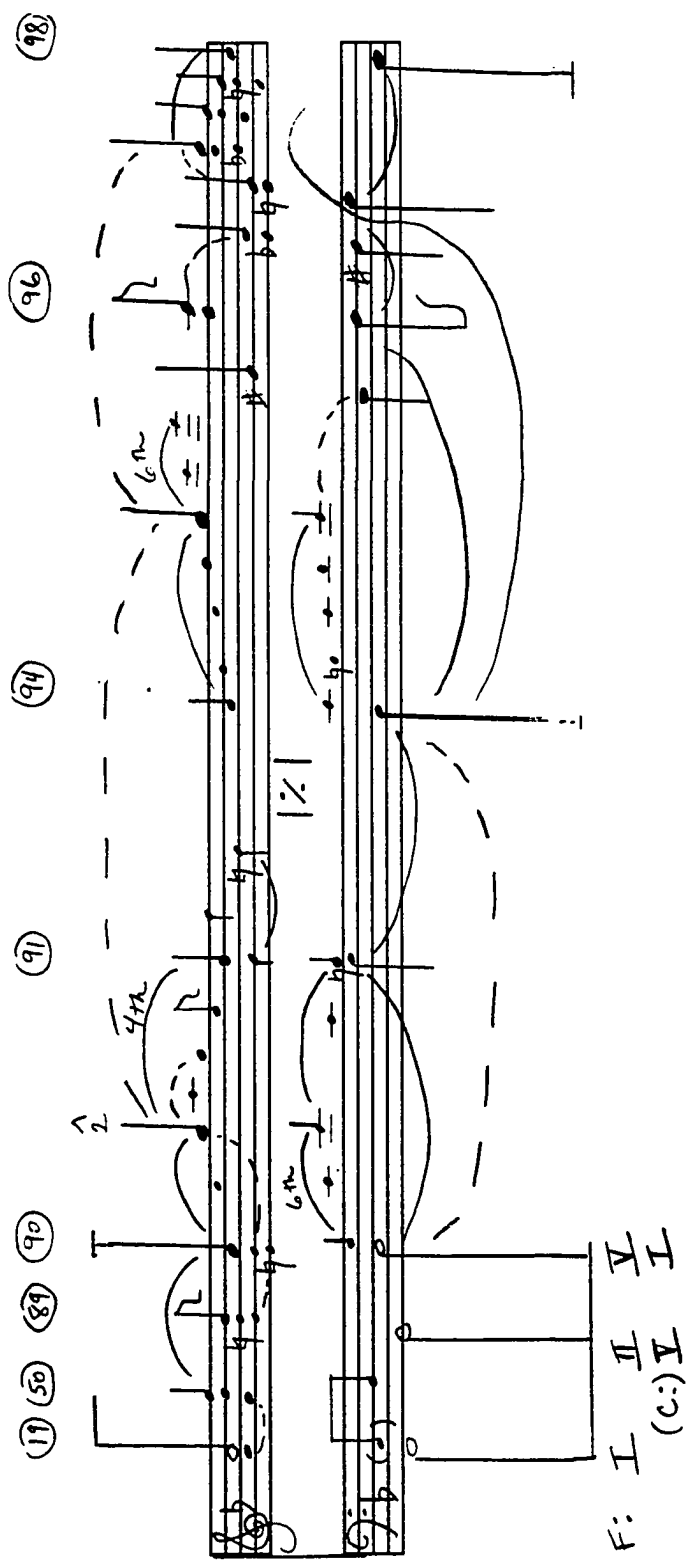
(61) (65)

4/1

Example 3.6, exposition, second group, (b) graph, mm. 1/50-90.



Example 3.7 Graph of Schubert, Octet, D. 803, I, exposition, third group, mm. 19/90-110.



Example 3.7, exposition, third group, continued.

98 99-100 = 101-102 103-107 108 109 110

6m

VII

Example 3.8 Graph of Schubert, Octet, D. 803, I, exposition, codetta, mm. 110-123.

The image displays a musical score for Schubert's Octet, D. 803, I, exposition, codetta, mm. 110-123. The score is written for two staves (treble and bass clef) and includes a graph overlay. The graph shows a series of notes and rests, with a large oval labeled "4th" encompassing measures 114 through 121. A vertical line labeled "Expansion" is positioned between measures 113 and 114. The score is marked with measure numbers 110, 113, 114, 116, 121, and 123. A large "V" is written at the bottom right of the page.

Example 3.9 Graphs of Schubert, Octet, D. 803, I, development, mm. 136-202, (a) foreground; (b) middleground; (c) deep middleground, hypothetical version; (d) deep middleground, actual version; (e) overview.

a

(142) (150) (156) (162)

V 5

Example 3.9, development, (a) foreground, continued.

(183) A^b (191) - (201) (201)
 *
 $V \begin{smallmatrix} 8 \\ 4 \end{smallmatrix} = \begin{smallmatrix} 7 \\ 5 \\ 3 \end{smallmatrix}$

Example 3.9, development, (b) middleground.

b

Handwritten musical score for a piece titled "b". The score is written on two staves, with the upper staff in treble clef and the lower staff in bass clef. The music is in 2/4 time, indicated by a "2" over a "4" in the upper left. The key signature has one sharp (F#), indicated by a sharp sign on the F line of the upper staff. The score is divided into measures by vertical bar lines. A dashed line runs horizontally across the middle of the page, separating the upper and lower staves. The upper staff contains several measures of music, including a measure with a double bar line and a measure with a sharp sign on the F line. The lower staff contains several measures of music, including a measure with a double bar line and a measure with a sharp sign on the F line. The score is annotated with various symbols, including a large "X" over the lower staff, a large "S" over the upper staff, and a large "V" over the lower staff. The score is numbered with circled numbers: 142, 162, 176, 182, 183, 191-209, and 201. The score is also annotated with a large "b" at the bottom left and a large "V" at the bottom right.

Example 3.9, development, (c) deep middleground, hypothetical version; (d) deep middleground, actual version.

c

V V $\begin{matrix} 8-7 \\ 6-5 \\ 4-3 \end{matrix}$

d

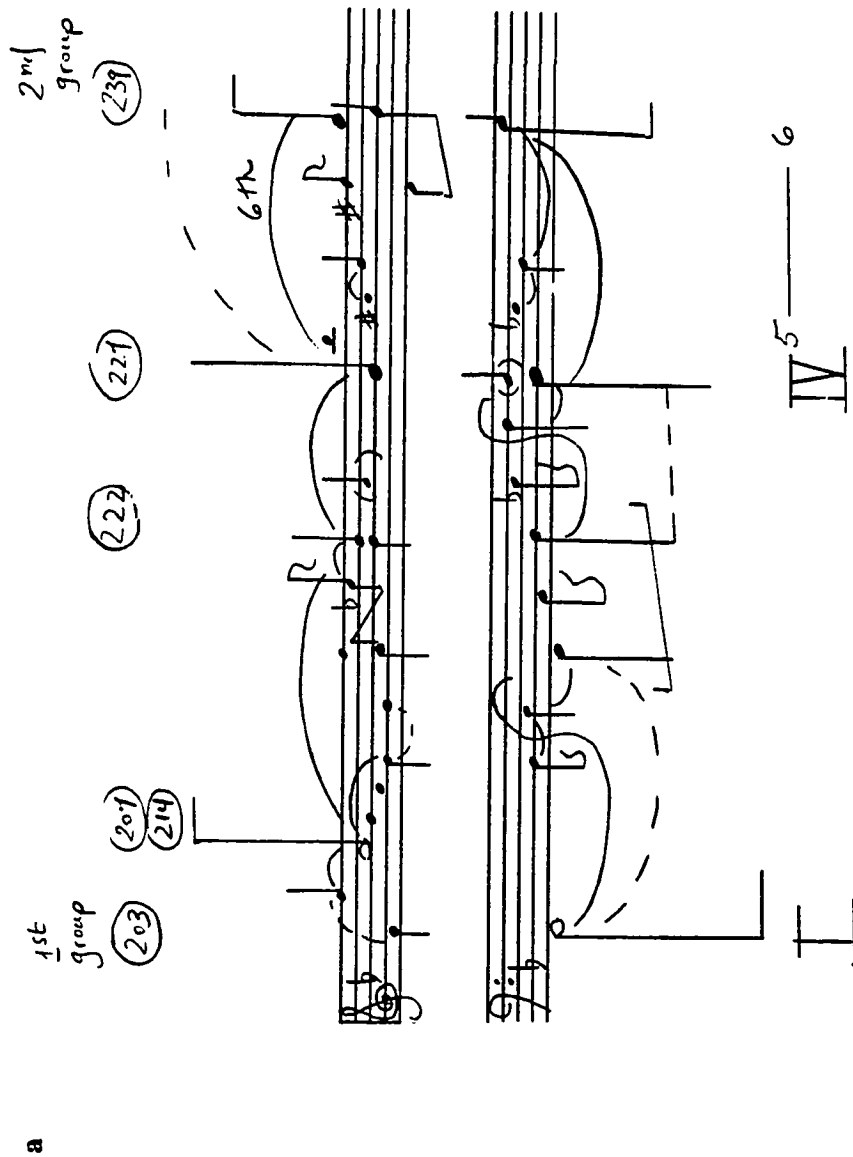
V V $\begin{matrix} 8-7 \\ 6-5 \\ 4-3 \end{matrix}$

Example 3.9, development, (e) overview.

e

Handwritten musical score for Example 3.9, development, (e) overview. The score is written on two staves, treble and bass clef, with a key signature of one flat (B-flat). The treble staff contains a melodic line with several notes marked with accidentals (sharps and flats) and slurs. Above the treble staff, five measures are circled and labeled with numbers: (142), (182), (183), (191), and (201). The bass staff contains a bass line with notes and slurs. A large bracket spans the bottom of the bass staff, with the number '5' on the left and 'b6' on the right. The score is annotated with various musical symbols including slurs, ties, and accidentals.

Example 3.10 Graphs of Schubert, Octet, D. 803, I, recapitulation, mm. 203-295, (a) foreground; (b) overview.



Example 3.10, recapitulation, (a) foreground, continued.

Handwritten musical score for two staves, labeled (IV) 6. The score includes measures 239, 250, 260, 278, and 279. The notation is in treble and bass clefs, with various musical symbols including notes, rests, and dynamic markings like *p* (piano). The score is annotated with handwritten labels: "2nd group" above measure 239, "3rd group" above measure 279, and "2nd group" above measure 278. A large bracket labeled "6th" spans measures 239 to 250. A large bracket labeled "4th" spans measures 250 to 278. A large bracket labeled "V(6) I" spans measures 278 to 279. The score is written in a style that suggests a specific musical analysis or interpretation.

Example 3.10, recapitulation, (a) foreground, continued.

3rd group

(279) (283) (287) (291) (294)

I V $\frac{8}{8} = \frac{7}{3}$ I

Example 3.10, recapitulation, (b) overview.

b

1st group 2nd group 3rd group

(203) (227) (239) (278) (279) (293) (294) (295)

5-6-5

I IV V⁷ I V $\begin{smallmatrix} 8-7 \\ 6-5 \\ 4-3 \end{smallmatrix}$ I

Example 3.11 Schubert, Octet, D. 803, I, alternative neighbor-note functions of Bb in the exposition and the recapitulation.

Exposition

40

42

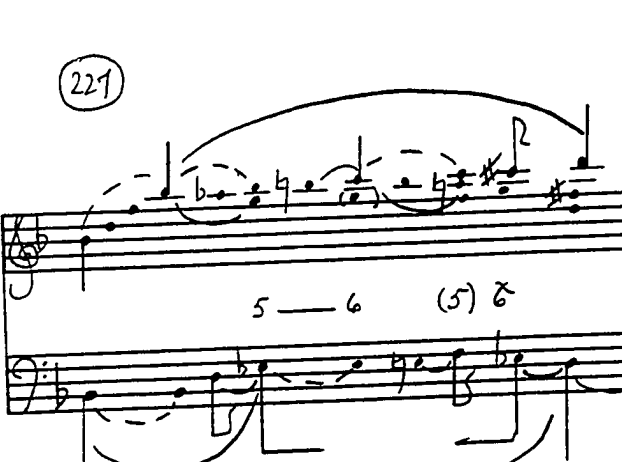
227

239

278

Example 3.12 Schubert, Octet, D. 803, I, coda and its derivation from earlier passages, (a) exposition, first phrase, mm. 19-23; (b) exposition, counterstatement and transition, mm. 38-50; (c) recapitulation, counterstatement and transition, mm. 227-239; (d) coda, mm. 310-318; (e) coda, mm. 318-337.

c



229

5 — 6 (5) 6

Example 3.12, (d) coda, mm. 310-318; (e) coda, mm. 318-337.

d

Handwritten musical notation for Example 3.12, (d) coda, mm. 310-318. The notation is written on a grand staff (treble and bass clefs). The melody in the treble clef is marked with a circled 310 and a 4th measure line. The bass line is marked with a 5-6 interval. The notation includes various accidentals (sharps, flats, naturals) and slurs. Below the staff, the Roman numerals I (IV) — IV⁶ V I are written, indicating the harmonic structure.

e

Handwritten musical notation for Example 3.12, (e) coda, mm. 318-337. The notation is written on a grand staff (treble and bass clefs). The melody in the treble clef is marked with a circled 318. The bass line is marked with a 5-6 interval. The notation includes various accidentals (sharps, flats, naturals) and slurs. Below the staff, the Roman numerals I IV 5- (#IV) V I are written, indicating the harmonic structure.

Example 4.1 Comparison of Beethoven, Piano Concerto No. 5 in E $\flat$, Op. 73, and Schubert, Piano Trio in E $\flat$, D. 929--openings, Beethoven--(a) I, opening fanfare; (b) I, principal theme, mm. 10-18; (c) III, opening theme, mm. 1-8; Schubert--(d) I, principal theme, mm. 1-15.

a

Allegro.

Flauti.

Oboi.

Clarineti in B.

Fagotti.

Corni in Es.

Trombe in Es.

Timpani in Es. B.

Pianoforte.

Allegro.

Violino I.

Violino II.

Viola.

Violoncello.

Basso.

Example 4.1, Beethoven--(b) I, principal theme, mm. 10-18.

b

(10)

Cor.
tempo
pizz. arco
pizz. arco
pizz. arco
pizz. arco

dolce

Example 4.1, Beethoven--(c) III, opening theme, mm. 1-8.

c

Fl. Allegro.

Qu.

Clar. in B.

Fag.

Cor. *sempre pp*

Tr.

Timp.

Allegro.

espress.

Allegro.

senza sordina

senza sordina

Example 4.1, Schubert--(d) I, principal theme, mm. 1-15.

d

Violino.

Violoncello.

Pianoforte.

Allegro.

pizz.

arco

Allegro.

N N

10

Example 4.2 Comparison of Beethoven, Piano Concerto No. 5 in E $\flat$, Op. 73, I, and Schubert, Piano Trio in E $\flat$, D. 929, I--contrasting themes, (a) Beethoven, solo exposition, mm. 151-158; (b) Schubert, exposition, mm. 48ff.

a

151

f *f* *f* *f* *dim.* *pp leggiermente*

pizz. *pp* *pp* *pp* *pp*

154

pp *pp*

Clar. *Fag.*

Viol. *Una Violoncello.*

Cl.

Example 4.2, (b) Schubert, exposition, mm. 48ff.

b

The image displays a musical score for a piano piece, identified as Example 4.2, (b) Schubert, exposition, measures 48ff. The score is written for piano (p) and includes dynamic markings such as *pp* (pianissimo) and *f* (forte). The notation is in G major, indicated by one sharp (F#). The score is divided into three systems, each containing two staves (treble and bass clef). The first system begins with a circled measure number 48. The second system begins with a circled measure number 51. The third system begins with a circled measure number 54. The music features complex rhythmic patterns, including sixteenth and thirty-second notes, and various chordal textures. The score is reproduced with permission of the copyright owner.

Example 4.3 Comparison of Beethoven, Piano Concerto No. 5 in E $\flat$, Op. 73, I, and Schubert, Piano Trio in E $\flat$, D. 929, I—chromatic scales, (a) Beethoven, mm. 107–112; (b) Schubert, mm. 40–50.

(107)

a

Fl.
Ob.
Clar.
Fag.
Cor.
Tr.
Timp.
P.
Vcl.
Vla.
Vln.
Vcllo.
Cb.

b

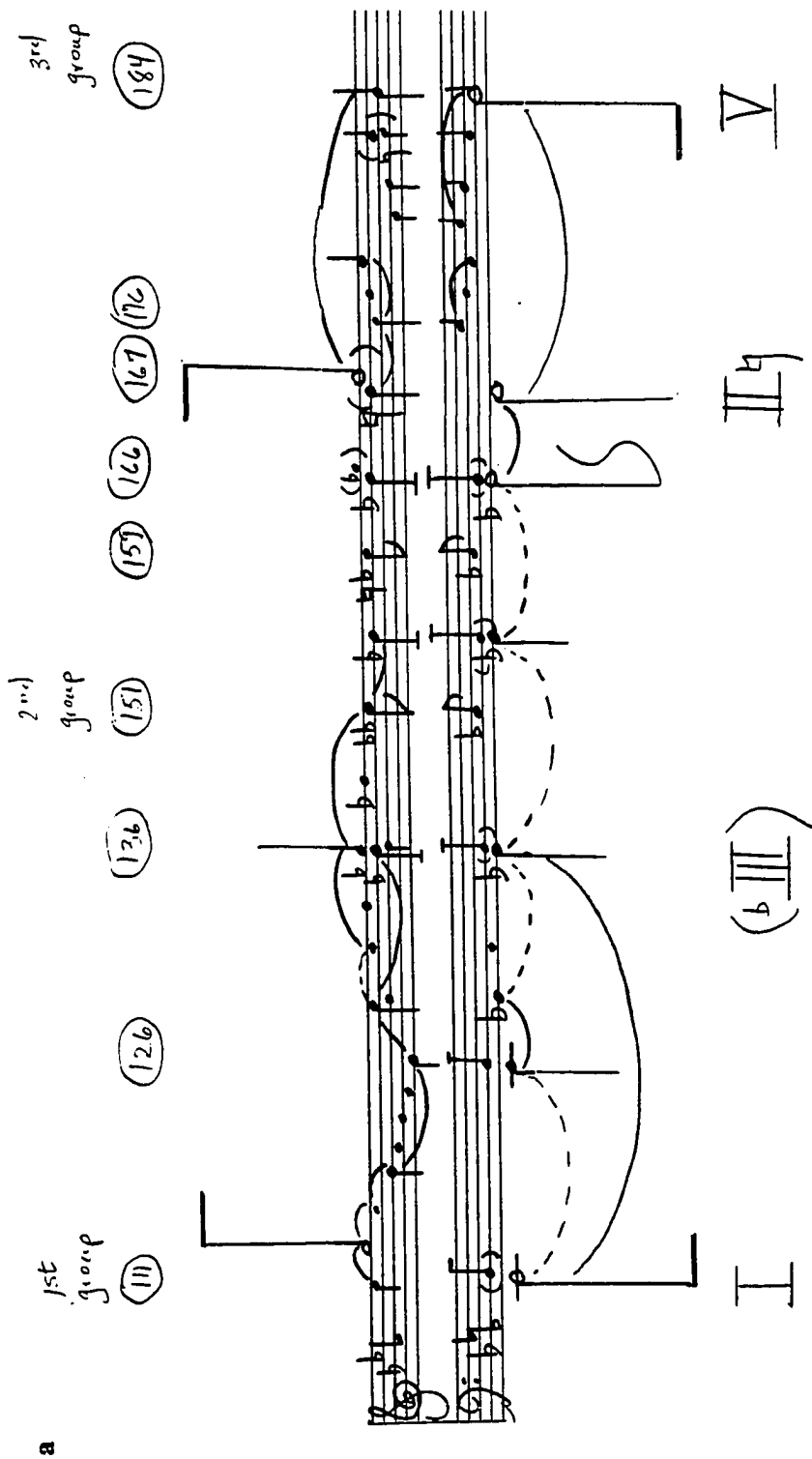
P.
Vln.
Vcllo.

Example 4.3, (b) Schubert, mm. 40-50.

b (40)

46

Example 4.4 Graphs of Beethoven, Piano Concerto No. 5 in Eb, Op. 73, I, solo exposition, mm. 111-184, (a) middleground; (b) foreground.



Example 4.4, solo exposition, (b) foreground.

b

1st
group
(111)

(115)

(122)

(126)

Example 4.4, solo exposition, (b) foreground, continued.

The musical score consists of two staves. The top staff is in Treble clef and the bottom staff is in Bass clef. The key signature has two flats (B-flat and E-flat). The time signature is 4/4. The score is annotated with handwritten numbers in circles: (126), (130), (136), (140), (b3), (146), (144), and (151). A large bracket spans the first staff from measure 126 to 151. A second staff below it shows a continuation of the melody with a large bracket from measure 126 to 151. Roman numerals I, bIII, and I are placed below the second staff at measures 126, 140, and 151 respectively.

Example 4.4, solo exposition, (b) foreground, continued.

Handwritten musical score for a solo exposition, (b) foreground, continued. The score is written on two staves, Treble and Bass clef, with a key signature of two flats (Bb, Eb). The notation includes various musical symbols such as notes, rests, and accidentals. A large bracket spans across both staves, indicating a specific musical phrase. Above the Treble staff, there are handwritten annotations: "3rd group" and "(184)". Below the Treble staff, there are handwritten annotations: "(167)", "2", and "174". To the right of the staves, there are handwritten Roman numerals: "II", "V", and "I". Below these numerals, there are handwritten numbers: "5", "4", "5", "4".

Example 4.5 Graphs of Beethoven, Piano Concerto No. 5 in E $\flat$, Op. 73, I, solo exposition, third group, mm. 184-227, (a) middleground; (b) deep middleground.

a

184 195 199 205 227

V V V V V

$(\text{B}^\flat) \text{I}$ I I I I

$\text{bII}^\flat$ V I

Example 4.5, solo exposition, third group, (b) deep middleground.

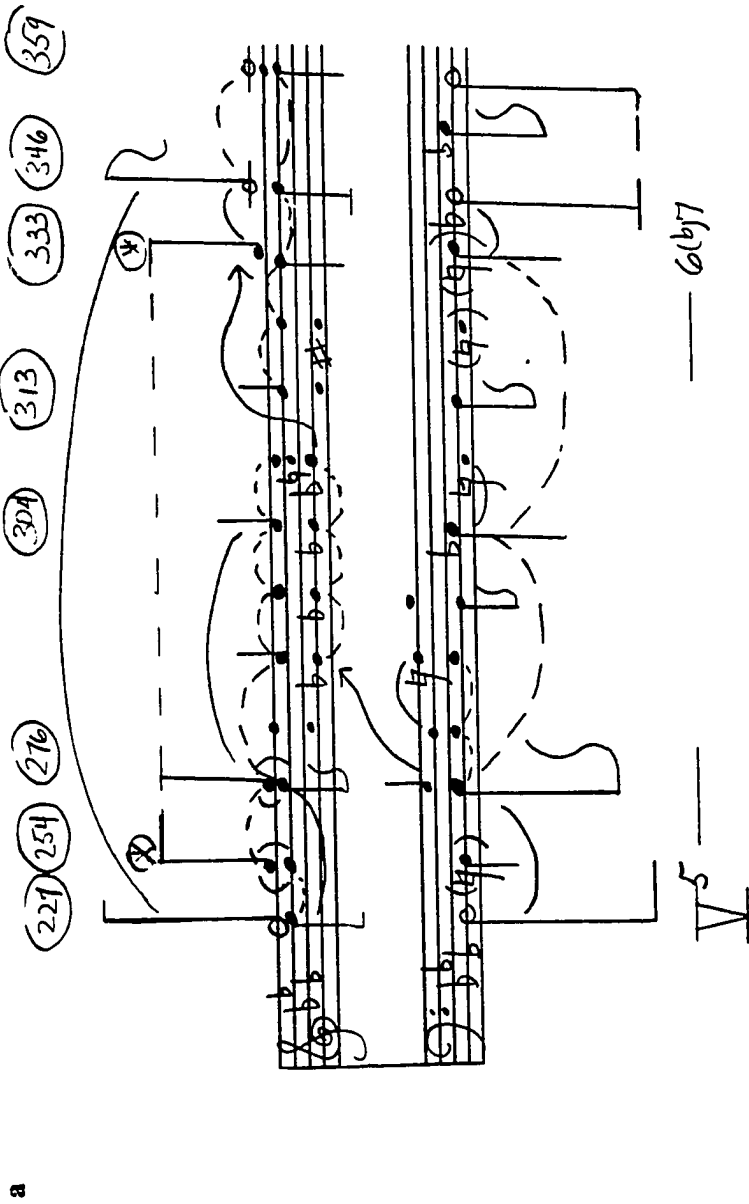
b

(184) (199) (205) (211) (227)

(5 — b6 — 5)

(B^b:) I V bII V $\frac{2}{4} = \frac{5}{3}$ I

Example 4.6 Graphs of Beethoven, Piano Concerto No. 5 in Eb, Op. 73, I, development, mm. 227-359, (a) overview; (b) foreground.



Example 4.7 C. P. E. Bach, Fantasia in E $\flat$, W. 58.

Fantasia.

Allegro di molto.

$E\flat$: I
 (I $\flat$ 7)
 (°7)
 p f
 I ^{7}
 (transition)
 p
 $D\flat$

Example 4.7, continued.

29

The musical score consists of six systems of piano music, each with a treble and bass staff. The notation includes various chords, arpeggios, and melodic lines. Key annotations include:

- System 1:** Bass staff has a chord labeled G^b with an arrow pointing to $F^\sharp$.
- System 2:** Bass staff has a chord labeled (B^b) .
- System 3:** Treble staff has a chord labeled G^b with a box around $F^\sharp$. The word "arpeggio" is written above the staff.
- System 4:** Bass staff has a chord labeled $(F^\sharp)$ and G^b .
- System 5:** Bass staff has a chord labeled (F^b) and $E^b(G^\sharp)$.
- System 6:** Treble staff has a chord labeled A^b in a box.

Example 4.7, continued.

80

Poco Adagio.

The musical score consists of six systems of piano music, each with a treble and bass staff. The key signature has two flats (B-flat and E-flat), and the time signature is 4/4. The tempo is marked *Poco Adagio*. The score includes various musical notations such as notes, rests, and dynamic markings. The first system begins with a piano (*p*) dynamic in the right hand and a half note in the left hand. The second system features a forte (*f*) dynamic in the right hand and a half note in the left hand. The third system includes a piano (*p*) dynamic in the right hand and a half note in the left hand. The fourth system features a piano (*p*) dynamic in the right hand and a half note in the left hand. The fifth system includes a piano (*p*) dynamic in the right hand and a half note in the left hand. The sixth system features a piano (*p*) dynamic in the right hand and a half note in the left hand. The score concludes with a double bar line.

Example 4.7, continued.

31

The musical score consists of six systems of piano and bass staves. The first system shows a piano introduction with a treble staff featuring a melodic line and a bass staff with a simple accompaniment. The second system includes a treble staff with a melodic line and a bass staff with a simple accompaniment, with a handwritten annotation *A7* (5) below the bass staff. The third system is marked *Allegro.* and includes a treble staff with a melodic line and a bass staff with a simple accompaniment, with a handwritten annotation *(C#)* below the bass staff. The fourth system shows a treble staff with a melodic line and a bass staff with a simple accompaniment. The fifth system shows a treble staff with a melodic line and a bass staff with a simple accompaniment, with a handwritten annotation *A7* (6) below the bass staff. The sixth system shows a treble staff with a melodic line and a bass staff with a simple accompaniment.

Example 4.7, continued.

82

The musical score consists of six systems of piano music, each with a treble and bass staff. The key signature is B-flat major (two flats). The notation includes various musical symbols such as eighth notes, sixteenth notes, and rests. Handwritten annotations in parentheses and boxes are present throughout the score.

System 1: No annotations.

System 2: Bass staff has a handwritten (C_4) below the first measure and A_4 below the eighth measure.

System 3: Bass staff has a boxed $\bar{D}^{\flat}/V$ above the fifth measure and a boxed $G^{\flat}$ above the eighth measure.

System 4: Bass staff has a handwritten $C^{\flat}$ below the fifth measure and B_4 below the eighth measure, with an arrow pointing from $C^{\flat}$ to B_4 .

System 5: Bass staff has a handwritten (E_4) below the first measure.

System 6: Bass staff has a handwritten C_4 below the fifth measure and a boxed $B^{\flat}$ below the sixth measure. The word "arpeggio" is written above the sixth measure.

Example 4.7, continued.

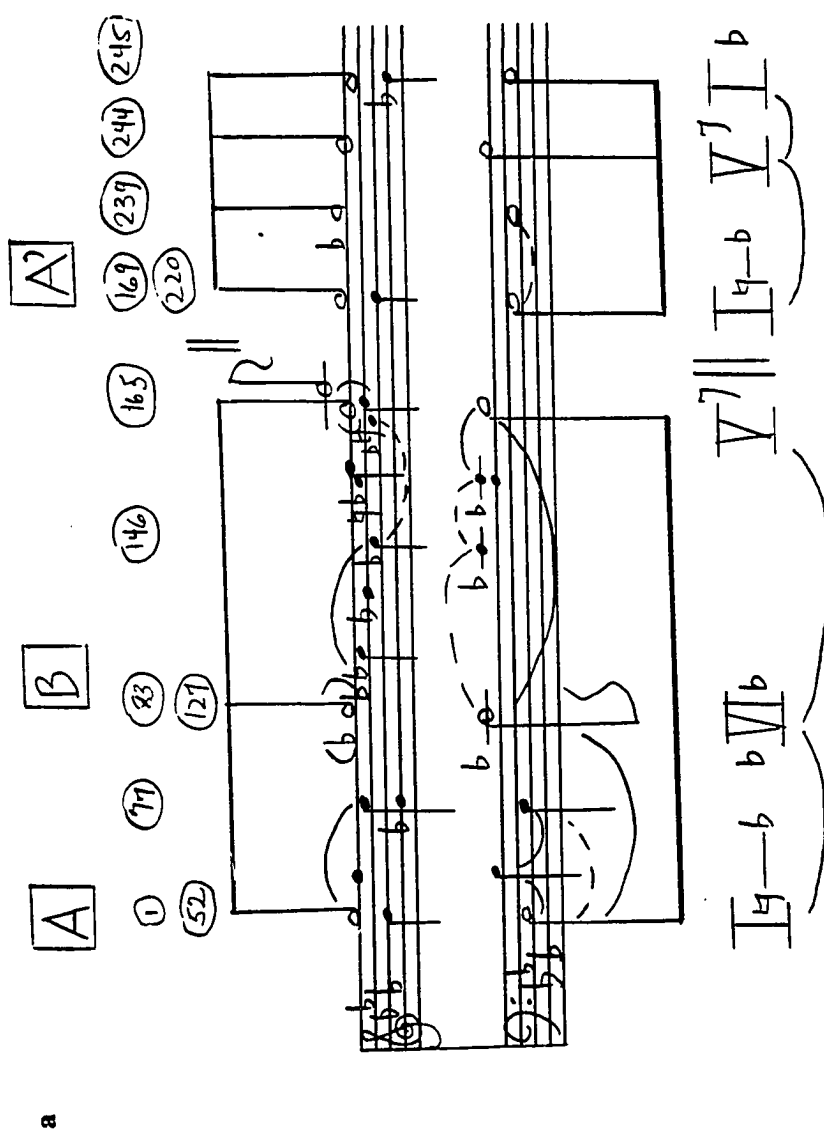
(Transition)

(D)

B^b/D I

The musical score consists of six systems of piano music. The first system begins with a whole note chord (D) in the bass and a melodic line in the treble. The second system continues the melodic line with eighth notes. The third system features a box labeled 'B^b/D I' over a measure. The fourth system continues the melodic line with eighth notes. The fifth system continues the melodic line with eighth notes. The sixth system concludes the piece with a final cadence.

Example 4.8 Graphs of Schubert, Impromptu, Op. 90 No. 2 (D. 899), (a) overview; (b) middleground; (c) foreground.



Example 4.8, (b) middleground.

b

cover tones:

A B C

a b a'

1 25 36 44 52 60

8 84 88 92 96 100

117 121 125 129 133 137

146 150 154 158 162 166

175 179 183 187 191 195

204 208 212 216 220 224

233 237 241 245 249 253

262 266 270 274 278 282

291 295 299 303 307 311

320 324 328 332 336 340

349 353 357 361 365 369

378 382 386 390 394 398

407 411 415 419 423 427

436 440 444 448 452 456

465 469 473 477 481 485

494 498 502 506 510 514

523 527 531 535 539 543

552 556 560 564 568 572

581 585 589 593 597 601

610 614 618 622 626 630

639 643 647 651 655 659

668 672 676 680 684 688

697 701 705 709 713 717

726 730 734 738 742 746

755 759 763 767 771 775

784 788 792 796 800 804

813 817 821 825 829 833

842 846 850 854 858 862

871 875 879 883 887 891

900 904 908 912 916 920

929 933 937 941 945 949

958 962 966 970 974 978

987 991 995 999 1003 1007

1016 1020 1024 1028 1032 1036

1045 1049 1053 1057 1061 1065

1074 1078 1082 1086 1090 1094

1103 1107 1111 1115 1119 1123

1132 1136 1140 1144 1148 1152

1161 1165 1169 1173 1177 1181

1190 1194 1198 1202 1206 1210

1219 1223 1227 1231 1235 1239

1248 1252 1256 1260 1264 1268

1277 1281 1285 1289 1293 1297

1306 1310 1314 1318 1322 1326

1335 1339 1343 1347 1351 1355

1364 1368 1372 1376 1380 1384

1393 1397 1401 1405 1409 1413

1422 1426 1430 1434 1438 1442

1451 1455 1459 1463 1467 1471

1480 1484 1488 1492 1496 1500

1509 1513 1517 1521 1525 1529

1538 1542 1546 1550 1554 1558

1567 1571 1575 1579 1583 1587

1596 1600 1604 1608 1612 1616

1625 1629 1633 1637 1641 1645

1654 1658 1662 1666 1670 1674

1683 1687 1691 1695 1699 1703

1712 1716 1720 1724 1728 1732

1741 1745 1749 1753 1757 1761

1770 1774 1778 1782 1786 1790

1799 1803 1807 1811 1815 1819

1828 1832 1836 1840 1844 1848

1857 1861 1865 1869 1873 1877

1886 1890 1894 1898 1902 1906

1915 1919 1923 1927 1931 1935

1944 1948 1952 1956 1960 1964

1973 1977 1981 1985 1989 1993

2002 2006 2010 2014 2018 2022

2031 2035 2039 2043 2047 2051

2060 2064 2068 2072 2076 2080

2089 2093 2097 2101 2105 2109

2118 2122 2126 2130 2134 2138

2147 2151 2155 2159 2163 2167

2176 2180 2184 2188 2192 2196

2205 2209 2213 2217 2221 2225

2234 2238 2242 2246 2250 2254

2263 2267 2271 2275 2279 2283

2292 2296 2300 2304 2308 2312

2321 2325 2329 2333 2337 2341

2350 2354 2358 2362 2366 2370

2379 2383 2387 2391 2395 2399

2408 2412 2416 2420 2424 2428

2437 2441 2445 2449 2453 2457

2466 2470 2474 2478 2482 2486

2495 2499 2503 2507 2511 2515

2524 2528 2532 2536 2540 2544

2553 2557 2561 2565 2569 2573

2582 2586 2590 2594 2598 2602

2611 2615 2619 2623 2627 2631

2640 2644 2648 2652 2656 2660

2669 2673 2677 2681 2685 2689

2698 2702 2706 2710 2714 2718

2727 2731 2735 2739 2743 2747

2756 2760 2764 2768 2772 2776

2785 2789 2793 2797 2801 2805

2814 2818 2822 2826 2830 2834

2843 2847 2851 2855 2859 2863

2872 2876 2880 2884 2888 2892

2901 2905 2909 2913 2917 2921

2930 2934 2938 2942 2946 2950

2959 2963 2967 2971 2975 2979

2988 2992 2996 3000 3004 3008

3017 3021 3025 3029 3033 3037

3046 3050 3054 3058 3062 3066

3075 3079 3083 3087 3091 3095

3104 3108 3112 3116 3120 3124

3133 3137 3141 3145 3149 3153

3162 3166 3170 3174 3178 3182

3191 3195 3199 3203 3207 3211

3220 3224 3228 3232 3236 3240

3249 3253 3257 3261 3265 3269

3278 3282 3286 3290 3294 3298

3307 3311 3315 3319 3323 3327

3336 3340 3344 3348 3352 3356

3365 3369 3373 3377 3381 3385

3394 3398 3402 3406 3410 3414

3423 3427 3431 3435 3439 3443

3452 3456 3460 3464 3468 3472

3481 3485 3489 3493 3497 3501

3510 3514 3518 3522 3526 3530

3539 3543 3547 3551 3555 3559

3568 3572 3576 3580 3584 3588

3597 3601 3605 3609 3613 3617

3626 3630 3634 3638 3642 3646

3655 3659 3663 3667 3671 3675

3684 3688 3692 3696 370

[illegible]

Example 4.8, (b) middleground, continued.

A' **a** **b** **a'** **Coda**

(169) (173) (177) (185) (204) (212) (220) (228) (239) (245) (251) (259) (267) (271) (276) (283)

Overtones:

I **I^b** **III^b** **V^b** **V^b** **I^b** **I^b**

(5 — b6 — 5)

Example 4.8, (c) foreground.

c

A

a

b

(1) (4) (11)

(8) (16) (24)

(25)

(36)

(44)-(52)

Cover tones:

The handwritten musical score consists of two systems of staves. The first system has three staves: a treble clef staff, a bass clef staff, and a grand staff (treble and bass). The second system also has three staves: a treble clef staff, a bass clef staff, and a grand staff. The notation includes various notes, rests, and accidentals. There are several annotations: 'A' in a box above the first staff of the first system; 'a' in a box above the second staff of the first system; 'b' in a box above the third staff of the first system; circled numbers (1), (4), (11), (8), (16), (24), (25), (36), and (44)-(52); and the phrase 'Cover tones:' written vertically next to the first staff of the first system. The second system features more complex notation with many slurs and ties.

Example 4.8, (c) foreground, continued.

a B
 (52) (59) (60) (71) 8va (84) (77) (83)

a B
 (52) (59) (60) (71) 8va (84) (77) (83)

Example 4.8, (c) foreground, continued.

B

C

83

118

103

111

115

124

126

cover tones:

545

Example 4.8, (c) foreground, continued.

Example 4.9 Schubert, Impromptu, Op. 90 No. 2 (D. 899), mm. 1-9.

The musical score for Schubert's Impromptu, Op. 90 No. 2, measures 1-9, is presented in two systems. The first system (measures 1-5) begins with a piano introduction marked 'Allegro' and 'p'. The right hand features a triplet of eighth notes (B-flat, A, G) and the left hand has a single eighth note (F). The tempo is marked 'Allegro' and the dynamics are 'p' (piano) and 'f' (forte). The score includes a key signature change from B-flat major to E-flat major (F major) and back to B-flat major. The notation includes various musical symbols such as notes, rests, and accidentals.

The second system (measures 6-9) continues the piece, featuring a key signature change from B-flat major to E-flat major (F major) and back to B-flat major. The notation includes various musical symbols such as notes, rests, and accidentals.

Example 4.10 Comparison of Schubert, Impromptu, Op. 90 No. 2 (D. 899) and Schubert, Piano Trio in E $\flat$, D. 929, I, (a-1, a-2) Impromptu, mm. 40-54 and 155-170; (b) Trio, mm. 343-359.

a-1

The musical score for Example 4.10, part a-1, consists of three systems of music. The first system (mm. 40-54) shows a piano introduction with a melodic line in the right hand and a bass line in the left hand. The second system (mm. 155-170) shows a more complex texture with multiple voices. The third system (mm. 343-359) shows a final section with a melodic line in the right hand and a bass line in the left hand. The score includes various musical notations such as notes, rests, and dynamic markings like 'p' and 'C $\flat$ decress.'

Example 4.10, (a-2) Impromptu, mm. 155-170.

a-2

155 $Bb(Cb)$ $Bb(Cb)$ *cr. sc.*

161 $Bb(Cb)$ *dimin.* Bb fz f Bb $A1$ Bb

167 $Bb(Cb)$ *decresc.* p f Bb d

Example 4.10, (b) Trio, mm. 343-359.

b

343

349

355

decresc.

decresc.

decresc.

Example 4.11 Schubert, "Letzte Hoffnung," from *Winterreise*, D. 911,
(a) music; (b) graph.

a

107

XVI.

Letzte Hoffnung.

Nicht zu geschwind.

Singstimme.

Pianoforte.

5 C^b B^b
 Hie und da ist an den Bäu - men manches bun.te Blatt zu seh'n,

9 A^b B^b E^b C^b
 und ich blei - be vor den Bäu - men oft - mals in Ge - dan - ken

13 B^b E^b
 steh'n. Schau.e nach dem ei-nen Blat - te, hän - ge

G-

F. S. 895.

Auggaben 1895.

Example 4.11, (a) "Letzte Hoffnung," continued.

108

(17) — B $\flat$ (B $\flat$)
 mei - ne Hoffnung dran; spielt der Wind mit meinem Blat - te, zittre ich,
cresc.
 — G B $\flat$ —

(21) C $\flat$
 was ich zittern kann.
 — B $\flat$

(25) B $\flat$ C $\flat$ C $\flat$
 Ach, und fällt das Blatt zu Bo - den,
cresc.

(28) B $\flat$ Etwas langsamer.
 fällt mit ihm die Hoff - nung ab,
 (B $\flat$) (A $\flat$)
decreac. *p un poco ritard.* *pp*

F. S. 895.

Example 4.11, (a) Letzte Hoffnung, " continued.

31 *a tempo* *C^b* 10

fall' ich sel - ber mit zu Bo - den.

34 *a tempo* *cresc.* *f* *B^b* *C⁷* *B^b*

wein' - - - - - wein' auf mei - ner Hoff-nung

36 *Ab* *decresc.* *C^b* *B^b* *p* *B^b* *C⁷* *B^b* *C^b* *B^b*

Grab - - - - - wein' - - - - - wein' auf mei - ner Hoff - - - - - nung

43 *pp* *Grab.* *fp* *C^b* *B^b* *pp*

PC ONE

Example 4.11, (b) graph.

b

① ⑤ ⑨ ⑬ ⑮ ⑰ ⑳

I ——— III ——— V ——— VII ——— 8

Example 4.11, (b) graph, continued.

The image displays a musical score and a corresponding harmonic graph. The musical score consists of two staves, treble and bass clef, with a key signature of three flats (B-flat, E-flat, A-flat). The score is divided into measures, with measure numbers 26, 32, 35, 39, 43, and 47 indicated in circles above the staff. The harmonic graph below the score shows the chord progression for each measure, with Roman numerals and accidentals indicating the quality and key of the chords. The graph is divided into two sections by a dashed line. The first section contains measures 26 through 35, and the second section contains measures 39 through 47. The chords are as follows:

Measure	Chord
26	I^b
27	V
28	I^b
29	I^b
30	I^b
31	I^b
32	I^b
33	V
34	I^b
35	I^b
36	I^b
37	I^b
38	I^b
39	I^b
40	V
41	I^b
42	I^b
43	I^b
44	I^b
45	I^b
46	I^b
47	I^b

Example 4.12 Graphs of Schubert, Piano Trio in E $\flat$, D. 929, I, exposition, (a, b, c, and d) four increasingly detailed views.

a

1st group Seitensatz Codetta

(1) (84) (113) (116) (140)

(32) (99)

I II V

Example 4.12, exposition, (b) graph.

b

1st group
 ① (32) ② (66) ③ (84) ④ (92)

Seitensatz (113) (116) Cogetta (140)

I II III IV V

Example 4.12, exposition, (c) graph.

c	1st group	Transitional group	Cadential phrases	Seitensatz	Codetta
	(1) (32)	(48) (66) (67)	(84) (99) (113) (116)	(140) (147)	(173)

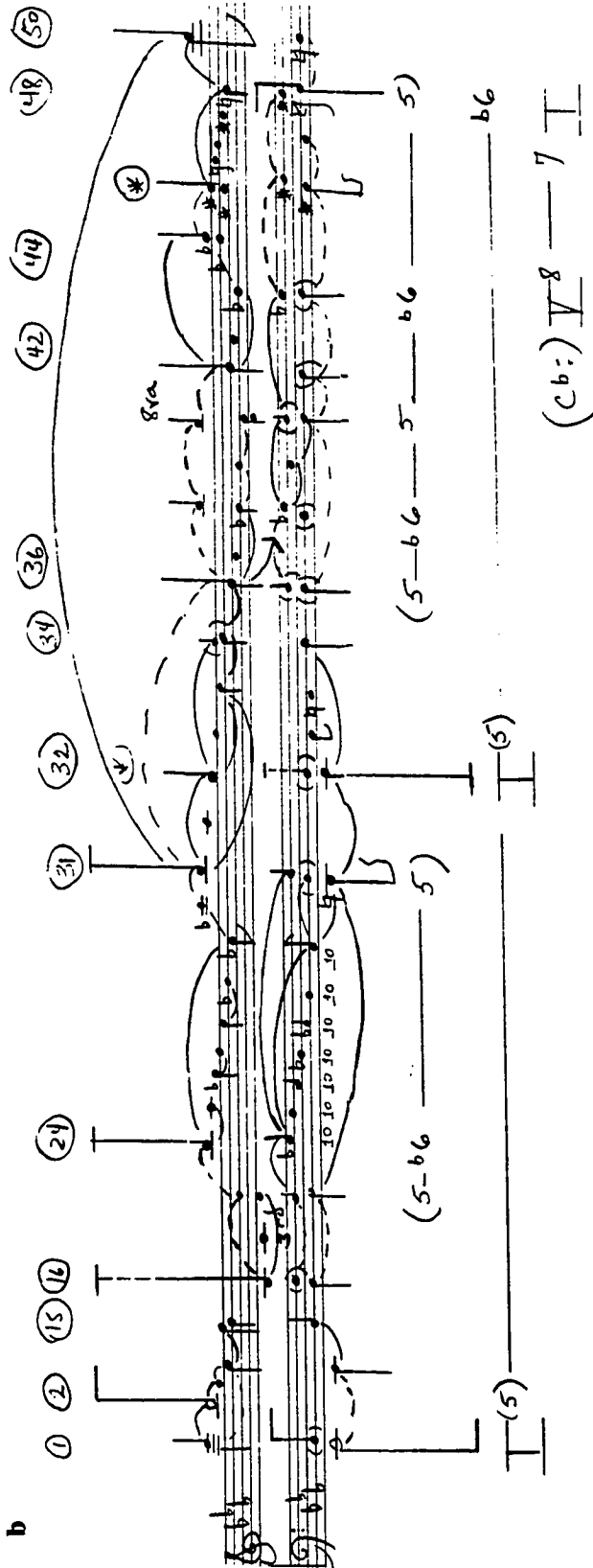
5-66-5-46-5

II 4 V

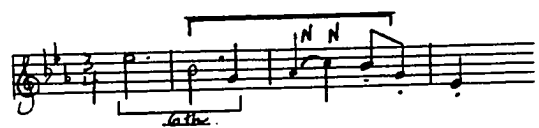
a

[illegible]

Example 4.13, exposition, principal group, (b) graph, mm. 1-50.



Example 4.14 Schubert, Piano Trio in E $\flat$, D. 929, I, exposition, double-neighbor configurations, (a) mm. 1-4; (b) mm. 16-18; (c) mm. 24-25; (d) mm. 36-38 and 42-44; (e) mm. 99-106; (f) mm. 116-118 and 124-126; (g) mm. 140-144 and 148-152; (h) mm. 156-158.

a 

b 

c 

d 

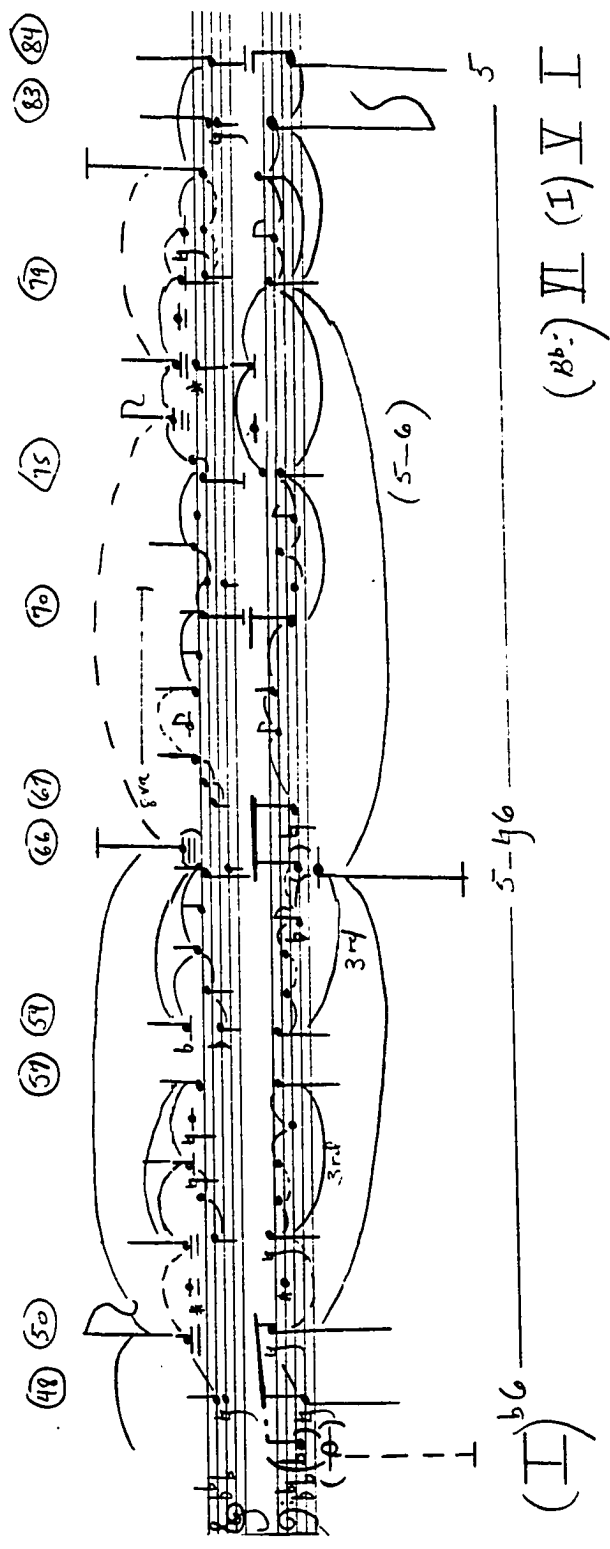
e 

f 

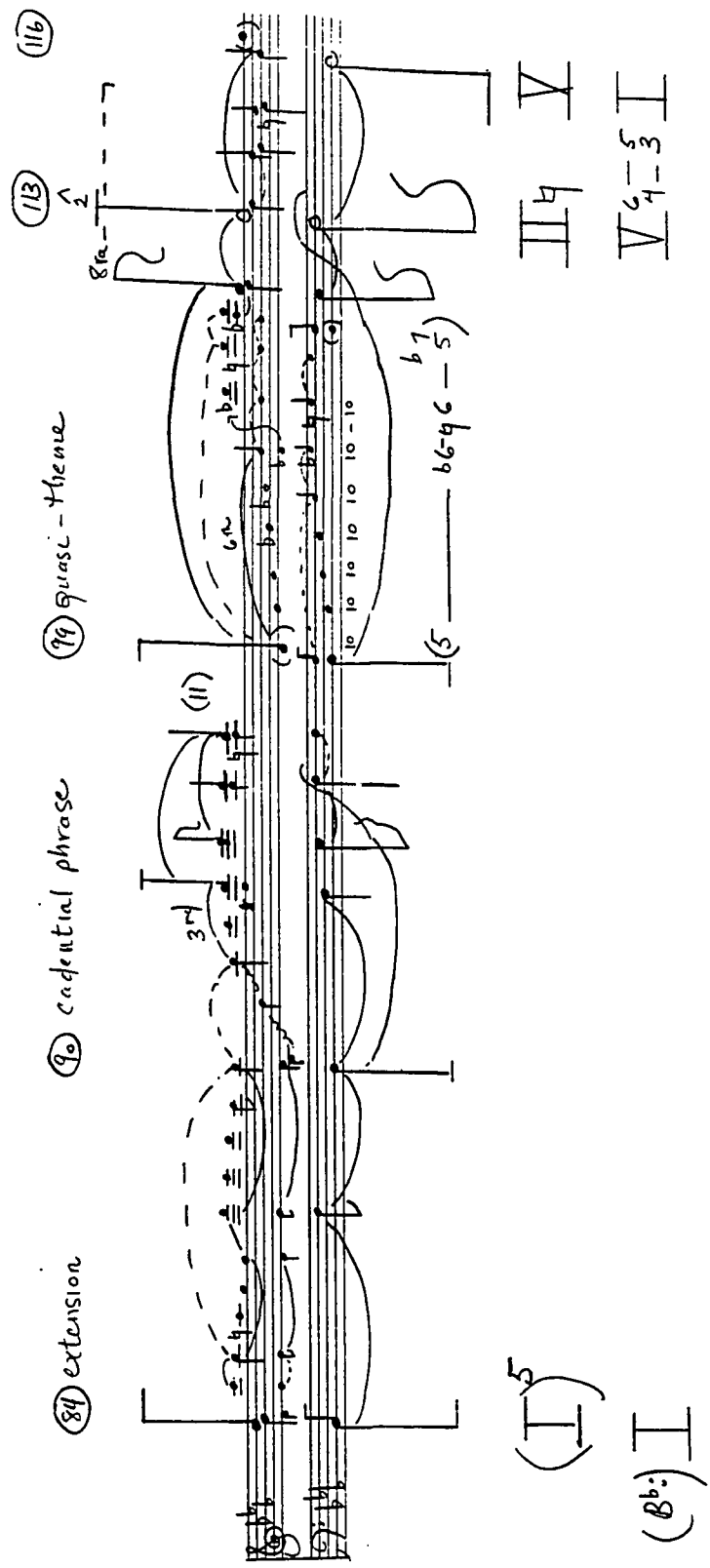
g 

h 

Example 4.15 Graph of Schubert, Piano Trio in Eb, D. 929, I, exposition, transitional group, mm. 48-84.



Example 4.16 Graph of Schubert, Piano Trio in E $\flat$, D. 929, I, exposition, cadential phrases, mm. 84-116.



Example 4.17 Graph of Schubert, Piano Trio in Eb, D. 929, I, exposition, "Seitensatz" and codetta, mm. 116-181.

Seitensatz Codetta Peroration

116 124 (8va) 122 130 140 148 (8va) 156 160 167 173 181

V
(bb.) I

8 — 8 — 8!

Example 4.18 Schubert, Piano Trio in E $\flat$, D. 929, I, the exposition's opening in relation to its respective endings, (a) mm. 1-20;
(b) 181ff.

Violino. *Allegro.* *plac.* *arco*

Violoncello. *plac.* *arco*

Pianoforte. *Allegro.*

11

a

181

b

Example 4.19 Graphs of Schubert, Piano Trio in Eb, D. 929, I, development, mm. 1/195-337, (a) overview; (b) deep middleground.

a

① 116 195 299 337

I V V⁷

b

① 116 140 192 195 240 247 295 299 325 337

(5 - b6 - 5 - 6 - 5)

I V V⁷

Example 4.20 Graph of Schubert, Piano Trio in E $\flat$, D. 929, I, development, mm. 195-384, foreground.

① (116) (140) (192) (195) (203) (205) (213) (231) (239) (241) (243)

dim. 5th

c.o.

8-10-8 8-10-8

3rd

(5---b6-5)

I V bVI

Example 4.20, development, foreground, continued.

Handwritten musical score for Example 4.20, development, foreground, continued. The score is written on a grand staff with two staves. The key signature is F# (one sharp). The time signature is 3/4. The score is divided into measures 195 to 295. The notation includes various musical symbols such as notes, rests, and accidentals. There are annotations like "dim. 5th" and "3rd" indicating dynamics and articulation. The score is enclosed in a large oval shape. Below the staff, there are handwritten notes: "(b VI)" and "(5 — 5 — 6)".

Example 4.20, development, foreground, continued.

195 247 299 309 317 325 337

3rd 4th

8-10-8 8-10-8

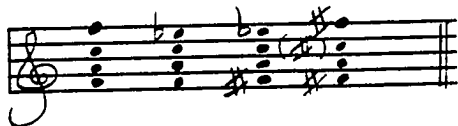
(5— 6—5) bVI ($bVII$) $4VII/V$

Example 4.20, development, foreground, continued.

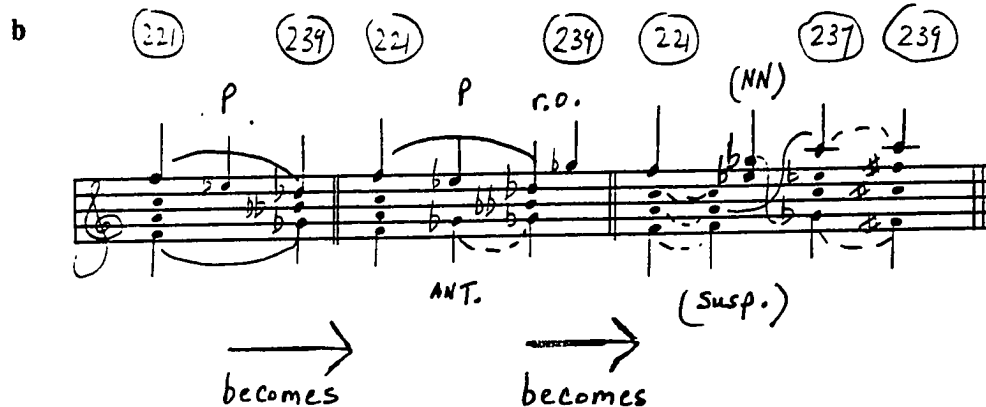
Handwritten musical score for Example 4.20, development, foreground, continued. The score consists of two staves, a treble staff on top and a bass staff on the bottom. The key signature has two flats (Bb and Eb). The treble staff contains a melodic line with various ornaments and slurs. The bass staff contains a bass line with similar ornaments. Above the staves, there are several pairs of circled numbers: (337) (339) (347), (355) (360), (365) (373), (369) (377), and (384). A large curved line connects the first pair of numbers to the last pair. The piece ends with a double bar line and repeat dots. A 'V7' symbol is written below the bass staff on the right side.

Example 4.21 Schubert, Piano Trio in E $\flat$, D. 929, I, development, voice leading in mm. 221-239, (a) redrawn from Salzer, "Die Sonatenform bei Franz Schubert," *Studien zur Musikwissenschaft* 15, ed. Guido Adler (Vienna: Universal-Edition, 1928), 116; (b) alternative evolution.

a



b

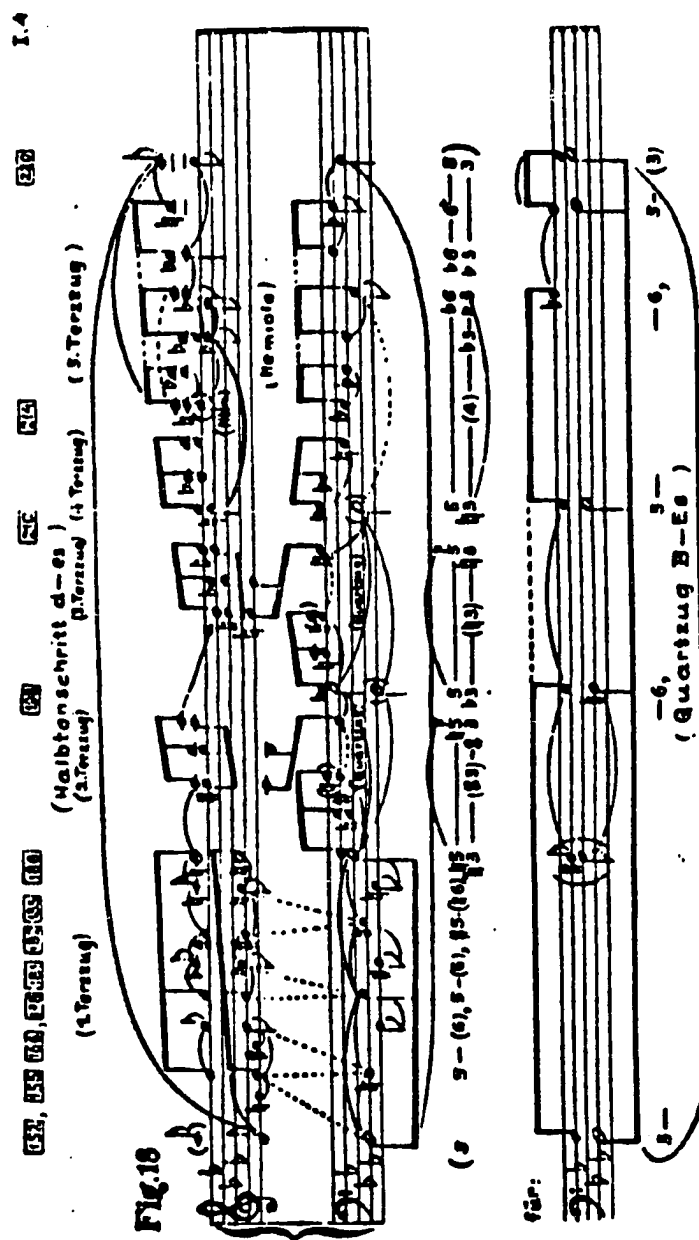


Example 4.22 Schubert, Piano Trio in E $\flat$, D. 929, I, development, thematic transformation, (a) first transpositional block, mm. 195-203, 205-220, and 233-237; (b) retransition, mm. 337-341 and 365-368.

a

b

Example 4.23 Graph by Heinrich Schenker of Beethoven, Symphony No. 3 in Eb, Op. 55, I, development. From Heinrich Schenker, "Beethovens III. Sinfonie," *Das Meisterwerk in der Musik, Jahrbuch III* (Munich: Drei Masken Verlag, 1930).



Example 4.24 Graphs of Schubert, Piano Trio in E $\flat$, D. 929, I, recapitulation, mm. 385-559, (a) overview; (b) middleground.

a

1st group
Transitional group
Cadential phrases
Sitenkatz
Codetta

385 398 434 452 453 470 485 499 502 508 524 526 553 559

I IV V I V $\frac{6}{4}$ I

Example 4.24, recapitulation, (b) middleground.

b

1st group (385) (398) (416) B^b A^b G $G F E^b$

Transitional group (434) (452) (453) G

Capitulum phrases (4170) (4169) (485) (499) (502)

Satzsatz

I IV⁵ b6 5-46 5 V I

Example 4.24, recapitulation, (b) middleground, continued.

Seitensatz (odetta)

502 508 524 526 542 553 559

$V_4^5 = 5_3 I$

Example 4.25 Schubert, Piano Trio in F♭, D. 929, I, comparison of respective principal themes, (a) exposition, mm. 1-15; (b) recapitulation, mm. 385-401.

a

Allegro. *pizz.* *arco*

Violino.

Violoncello.

Allegro. *pizz.* *arco*

Pianoforte.

(10)

(20)

IV

b

(385)

(390)

pizz. *arco*

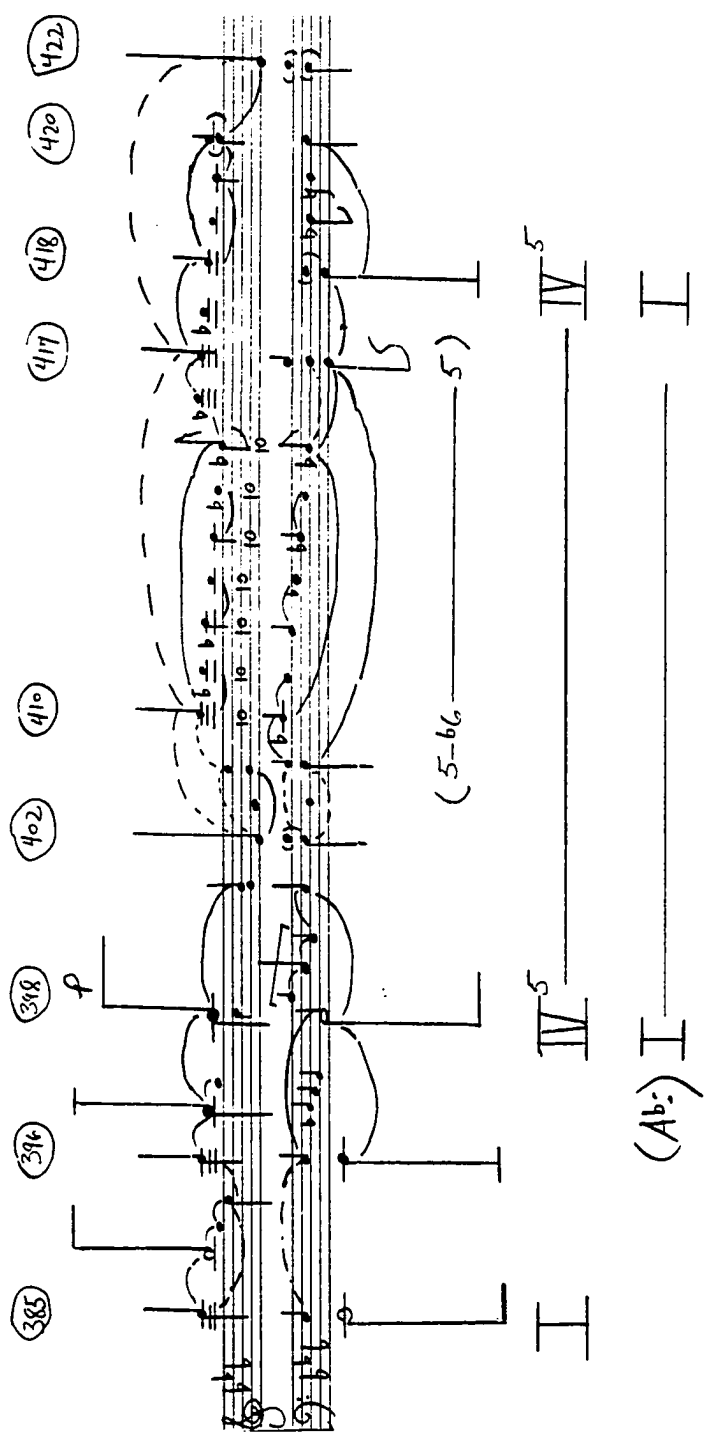
pizz. *arco*

(400)

IV

— D♭ (C) E♭ A♭

Example 4.26 Graph of Schubert, Piano Trio in E $\flat$, D. 929, I, recapitulation, principal group, mm. 385-436.



Example 4.26, recapitulation, principal group, continued.

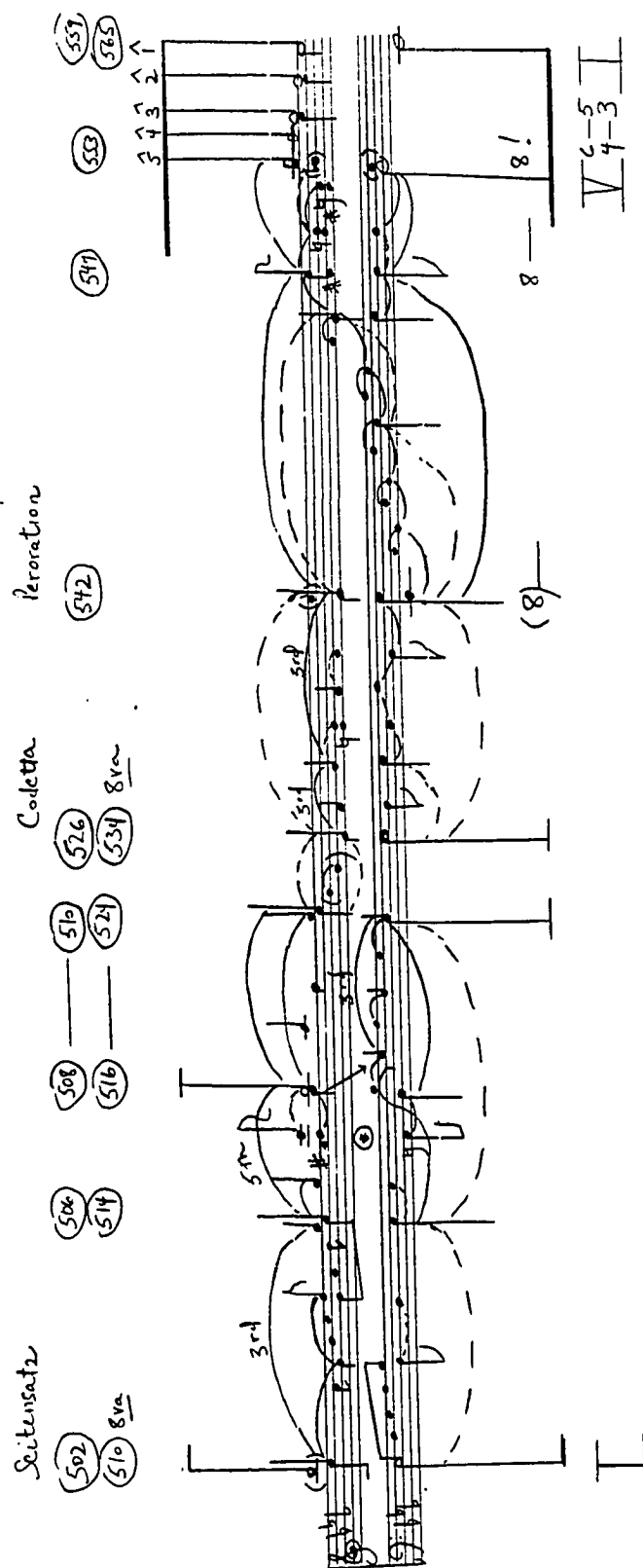
418 422 428 434 436

5—b6—5 5—b6—5

IV⁵ b6

(Ab:) I

Example 4.29 Graph of Schubert, Piano Trio in Eb, D. 929, I, recapitulation, "Seitensatz" and codetta, mm. 502-565.



Example 4.30, (g) mm. 534-541; (h) mm. 565-571; and (i) mm. 623-629.

g

(4/2)

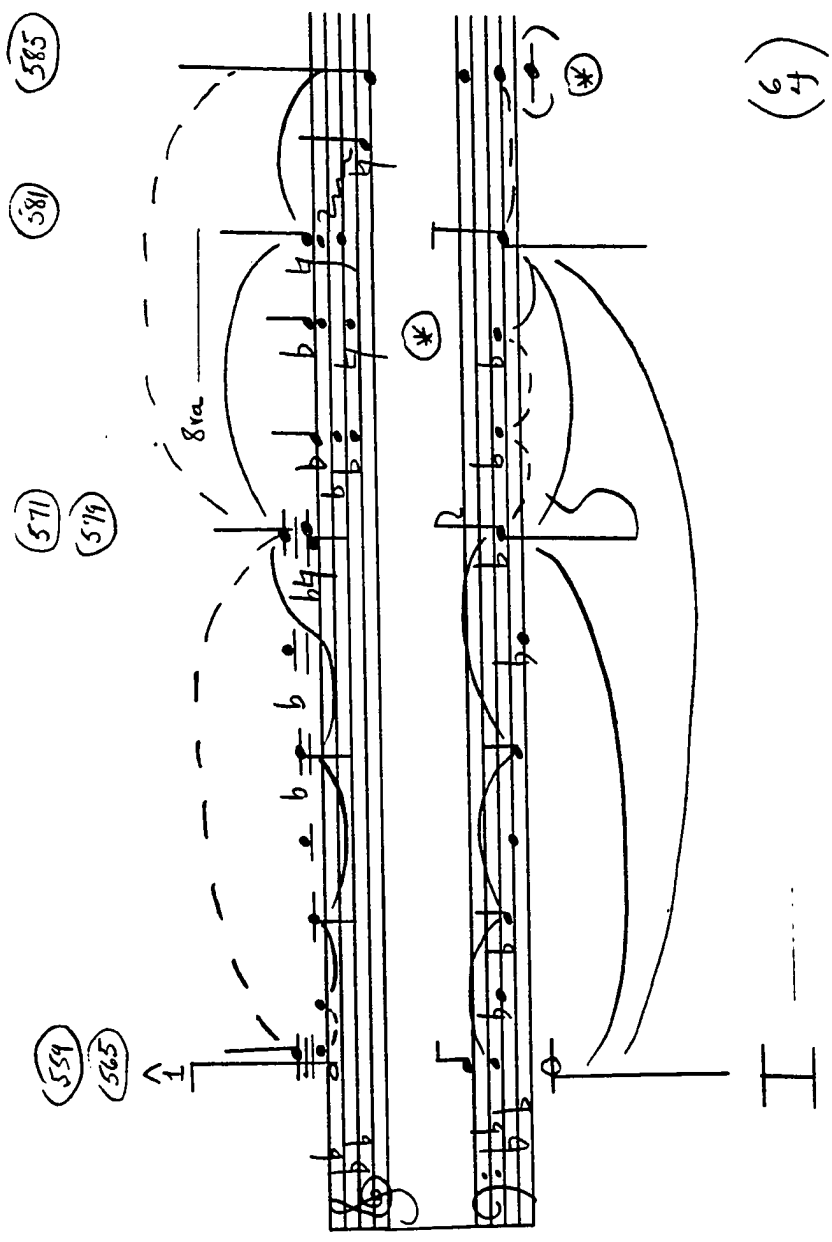
h

(4/2)

i

(4/2)

Example 4.31 Graph of Schubert, Piano Trio in E $\flat$, D. 929, I, recapitulation, codetta, mm. 559-585.



Example 4.32 Schubert, "Die Post," mm. 1-47, from *Winterreise*, D. 911.

98

ZWEITE ABTHEILUNG.

October 1827.

XIII.

Die Post.

Etwas geschwind.

Singstimme.

Pianoforte.

p

Von der

Stra - ße her ein Post - horn klingt. Was hat es, dass es so

cresc.

hoch aufspringt, mein Herz?

was hat es, dass es so hoch aufspringt, mein

decresc. *pp*

Bich und Druck von Breitkopf & Härtel in Leipzig.

F.S.892.

Ausgegeben 1828.

Example 4.32, "Die Post," continued.

9

Herz, _____ mein _____ Herz? _____ Die

Post bringt kei-nen Brief für dich. Was drängst _____ du denn so wun-der-

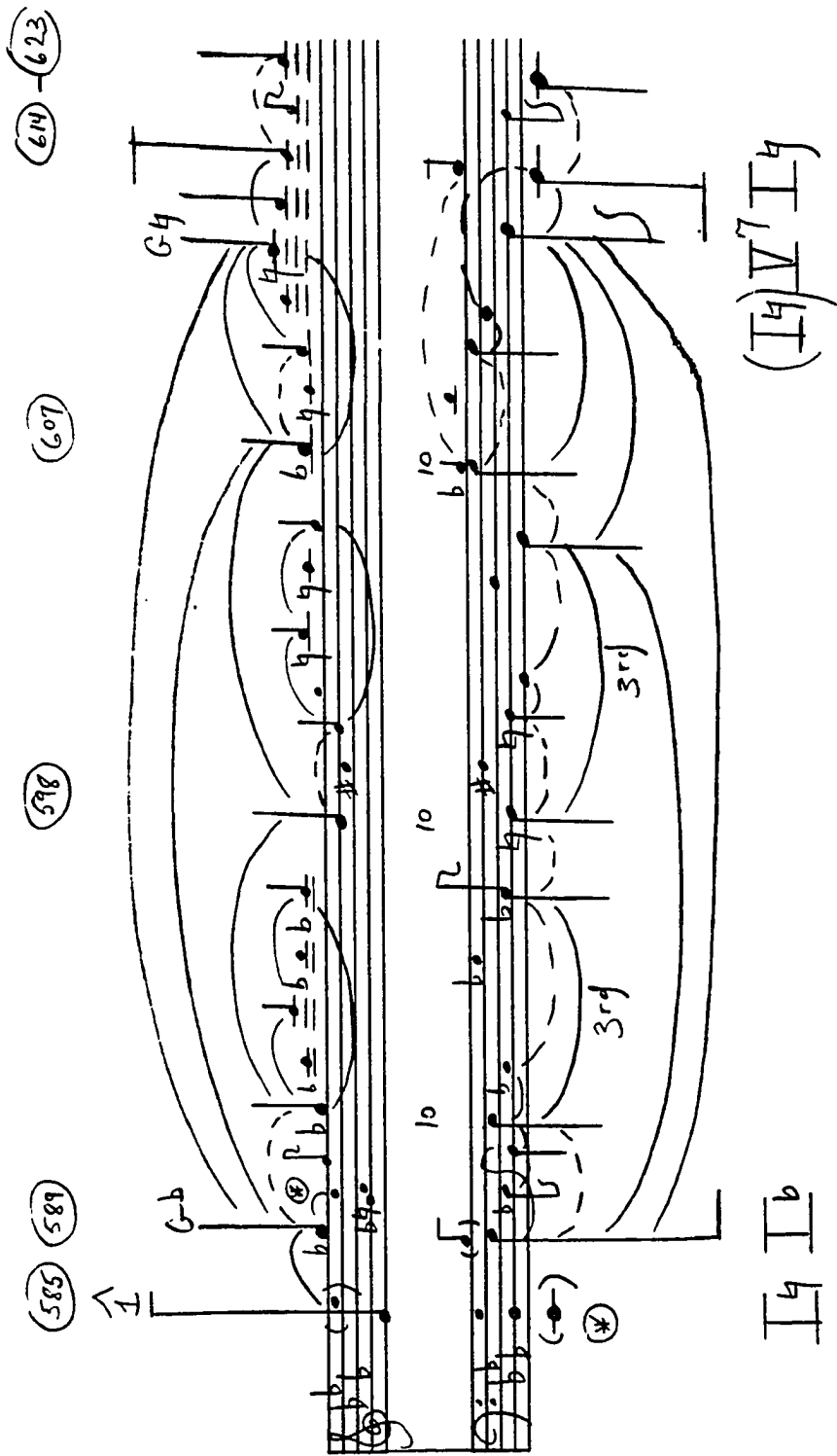
lich, mein Herz, _____ mein Herz? _____ die

Post bringt kei-nen Brief für dich, mein Herz, _____ mein Herz, _____ was drängst du denn so

wun-der-lich, mein Herz, _____ mein Herz? _____

F.S.892.

Example 4.33 Graph of Schubert, Piano Trio in E $\flat$, D. 929, I, coda, mm. 585-634.



Example 4.33, coda, continued.

The image displays a musical score for the coda of Example 4.33, covering measures 623 through 634. The score is written for two staves, likely representing a piano and a cello or double bass. The key signature is B-flat major (two flats). The notation includes various musical symbols such as notes, rests, and dynamic markings. Large, sweeping curved lines connect notes across measures, indicating a continuous melodic or harmonic flow. Specific measures are circled and labeled with numbers in parentheses: (623), (625), (628), (629), and (631)-(634). The score concludes with a double bar line and repeat signs.

Example 5.1, (b) Schubert, mm. 1-26. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

Komponiert 1828 · Erschienen 1838

D 960

b

Molto moderato
ligato

11.

pp

The musical score is for a piano piece by Franz Schubert, D 960. It is in E-flat major (three flats) and 3/4 time. The tempo is 'Molto moderato' and the articulation is 'ligato'. The dynamics are 'pp' (pianissimo). The score is numbered 11 at the beginning and 26 at the end. The key signature is E-flat major. The score includes various musical notations such as notes, rests, and fingerings.

Edition Patern.

Example 5.2 Comparison of Beethoven, Piano Trio in B $\flat$, Op. 97, I, and Schubert, Piano Sonata in B $\flat$, D. 960, I—retransitions, (a) Beethoven, mm. 166-191; (b) Schubert, mm. 203-218.

a

musical score for Beethoven's Piano Trio in B $\flat$, Op. 97, I, measures 166-191. The score is in B $\flat$ major and 3/4 time. It features a complex retransition with multiple systems of staves. The first system shows a piano (p) and a forte (f) section. The second system shows a piano (p) and a forte (f) section. The third system shows a piano (p) and a forte (f) section. The fourth system shows a piano (p) and a forte (f) section. The fifth system shows a piano (p) and a forte (f) section. The sixth system shows a piano (p) and a forte (f) section. The seventh system shows a piano (p) and a forte (f) section. The eighth system shows a piano (p) and a forte (f) section. The ninth system shows a piano (p) and a forte (f) section. The tenth system shows a piano (p) and a forte (f) section. The eleventh system shows a piano (p) and a forte (f) section. The twelfth system shows a piano (p) and a forte (f) section. The thirteenth system shows a piano (p) and a forte (f) section. The fourteenth system shows a piano (p) and a forte (f) section. The fifteenth system shows a piano (p) and a forte (f) section. The sixteenth system shows a piano (p) and a forte (f) section. The seventeenth system shows a piano (p) and a forte (f) section. The eighteenth system shows a piano (p) and a forte (f) section. The nineteenth system shows a piano (p) and a forte (f) section. The twentieth system shows a piano (p) and a forte (f) section. The twenty-first system shows a piano (p) and a forte (f) section. The twenty-second system shows a piano (p) and a forte (f) section. The twenty-third system shows a piano (p) and a forte (f) section. The twenty-fourth system shows a piano (p) and a forte (f) section. The twenty-fifth system shows a piano (p) and a forte (f) section. The twenty-sixth system shows a piano (p) and a forte (f) section. The twenty-seventh system shows a piano (p) and a forte (f) section. The twenty-eighth system shows a piano (p) and a forte (f) section. The twenty-ninth system shows a piano (p) and a forte (f) section. The thirtieth system shows a piano (p) and a forte (f) section. The thirty-first system shows a piano (p) and a forte (f) section. The thirty-second system shows a piano (p) and a forte (f) section. The thirty-third system shows a piano (p) and a forte (f) section. The thirty-fourth system shows a piano (p) and a forte (f) section. The thirty-fifth system shows a piano (p) and a forte (f) section. The thirty-sixth system shows a piano (p) and a forte (f) section. The thirty-seventh system shows a piano (p) and a forte (f) section. The thirty-eighth system shows a piano (p) and a forte (f) section. The thirty-ninth system shows a piano (p) and a forte (f) section. The fortieth system shows a piano (p) and a forte (f) section. The forty-first system shows a piano (p) and a forte (f) section. The forty-second system shows a piano (p) and a forte (f) section. The forty-third system shows a piano (p) and a forte (f) section. The forty-fourth system shows a piano (p) and a forte (f) section. The forty-fifth system shows a piano (p) and a forte (f) section. The forty-sixth system shows a piano (p) and a forte (f) section. The forty-seventh system shows a piano (p) and a forte (f) section. The forty-eighth system shows a piano (p) and a forte (f) section. The forty-ninth system shows a piano (p) and a forte (f) section. The fiftieth system shows a piano (p) and a forte (f) section. The fifty-first system shows a piano (p) and a forte (f) section. The fifty-second system shows a piano (p) and a forte (f) section. The fifty-third system shows a piano (p) and a forte (f) section. The fifty-fourth system shows a piano (p) and a forte (f) section. The fifty-fifth system shows a piano (p) and a forte (f) section. The fifty-sixth system shows a piano (p) and a forte (f) section. The fifty-seventh system shows a piano (p) and a forte (f) section. The fifty-eighth system shows a piano (p) and a forte (f) section. The fifty-ninth system shows a piano (p) and a forte (f) section. The sixtieth system shows a piano (p) and a forte (f) section. The sixty-first system shows a piano (p) and a forte (f) section. The sixty-second system shows a piano (p) and a forte (f) section. The sixty-third system shows a piano (p) and a forte (f) section. The sixty-fourth system shows a piano (p) and a forte (f) section. The sixty-fifth system shows a piano (p) and a forte (f) section. The sixty-sixth system shows a piano (p) and a forte (f) section. The sixty-seventh system shows a piano (p) and a forte (f) section. The sixty-eighth system shows a piano (p) and a forte (f) section. The sixty-ninth system shows a piano (p) and a forte (f) section. The seventieth system shows a piano (p) and a forte (f) section. The seventy-first system shows a piano (p) and a forte (f) section. The seventy-second system shows a piano (p) and a forte (f) section. The seventy-third system shows a piano (p) and a forte (f) section. The seventy-fourth system shows a piano (p) and a forte (f) section. The seventy-fifth system shows a piano (p) and a forte (f) section. The seventy-sixth system shows a piano (p) and a forte (f) section. The seventy-seventh system shows a piano (p) and a forte (f) section. The seventy-eighth system shows a piano (p) and a forte (f) section. The seventy-ninth system shows a piano (p) and a forte (f) section. The eightieth system shows a piano (p) and a forte (f) section. The eighty-first system shows a piano (p) and a forte (f) section. The eighty-second system shows a piano (p) and a forte (f) section. The eighty-third system shows a piano (p) and a forte (f) section. The eighty-fourth system shows a piano (p) and a forte (f) section. The eighty-fifth system shows a piano (p) and a forte (f) section. The eighty-sixth system shows a piano (p) and a forte (f) section. The eighty-seventh system shows a piano (p) and a forte (f) section. The eighty-eighth system shows a piano (p) and a forte (f) section. The eighty-ninth system shows a piano (p) and a forte (f) section. The ninetieth system shows a piano (p) and a forte (f) section. The ninety-first system shows a piano (p) and a forte (f) section. The ninety-second system shows a piano (p) and a forte (f) section. The ninety-third system shows a piano (p) and a forte (f) section. The ninety-fourth system shows a piano (p) and a forte (f) section. The ninety-fifth system shows a piano (p) and a forte (f) section. The ninety-sixth system shows a piano (p) and a forte (f) section. The ninety-seventh system shows a piano (p) and a forte (f) section. The ninety-eighth system shows a piano (p) and a forte (f) section. The ninety-ninth system shows a piano (p) and a forte (f) section. The hundredth system shows a piano (p) and a forte (f) section.

Example 5.2, (b) Schubert, mm. 203-218. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

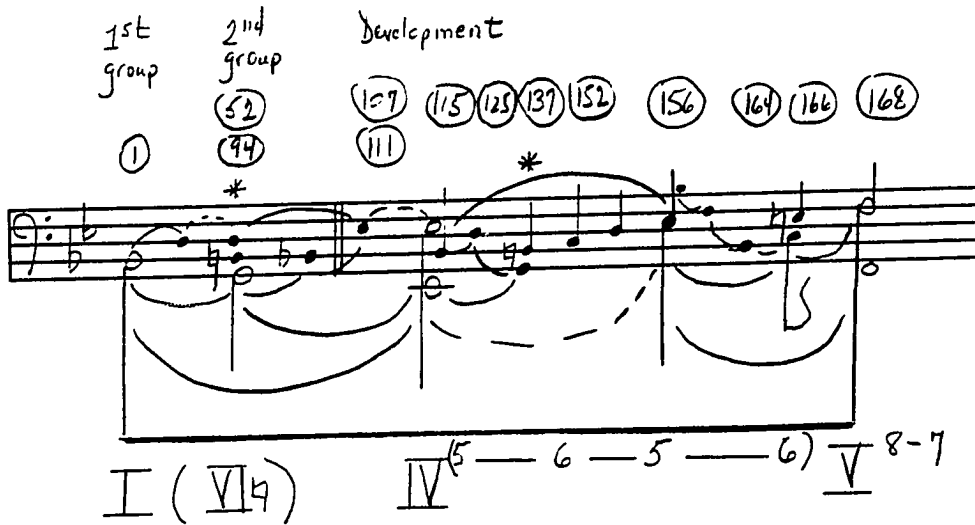
b

203 *sf* *sf* *G F* *G^b F*

208 *pp* *G^b F* *decresc.* *ppp* *G^b*

213 *sempre legato* *pp* *F* *G^b* *F*

Example 5.3 Graph of Beethoven, Piano Trio in Bb, Op. 97, I, overview of exposition and development.



Example 5.4 Beethoven, Piano Sonata in B♭, Op. 106, I, mm. 1-34.

Op. 106.
Dem Erzherzog Rudolph gewidmet.

Allegro. (♩. 134.)

29. 'Sonate für das Hammerclavier)

1) The metronome marks, the pedal indications and the fingering in italics are Beethoven's.

Example 5.5 Graphs of Beethoven, Piano Sonata in B $\flat$, Op. 106, I, (a, b) graphs by Roger Kamien of exposition and recapitulation; (c) alternative overview of recapitulation.

a) Exposition

b) Recapitulation

(a,b) From Roger Kamien, "Aspects of the Recapitulation in Beethoven Piano Sonatas," *The Music Forum*, vol. IV, ed. by Felix Salzer and Carl Schachter with Hedi Siegel. Copyright (c) 1976 by Columbia University Press. Reprinted with permission of the publisher.

Example 5.5, (c) alternative overview of recapitulation.

c

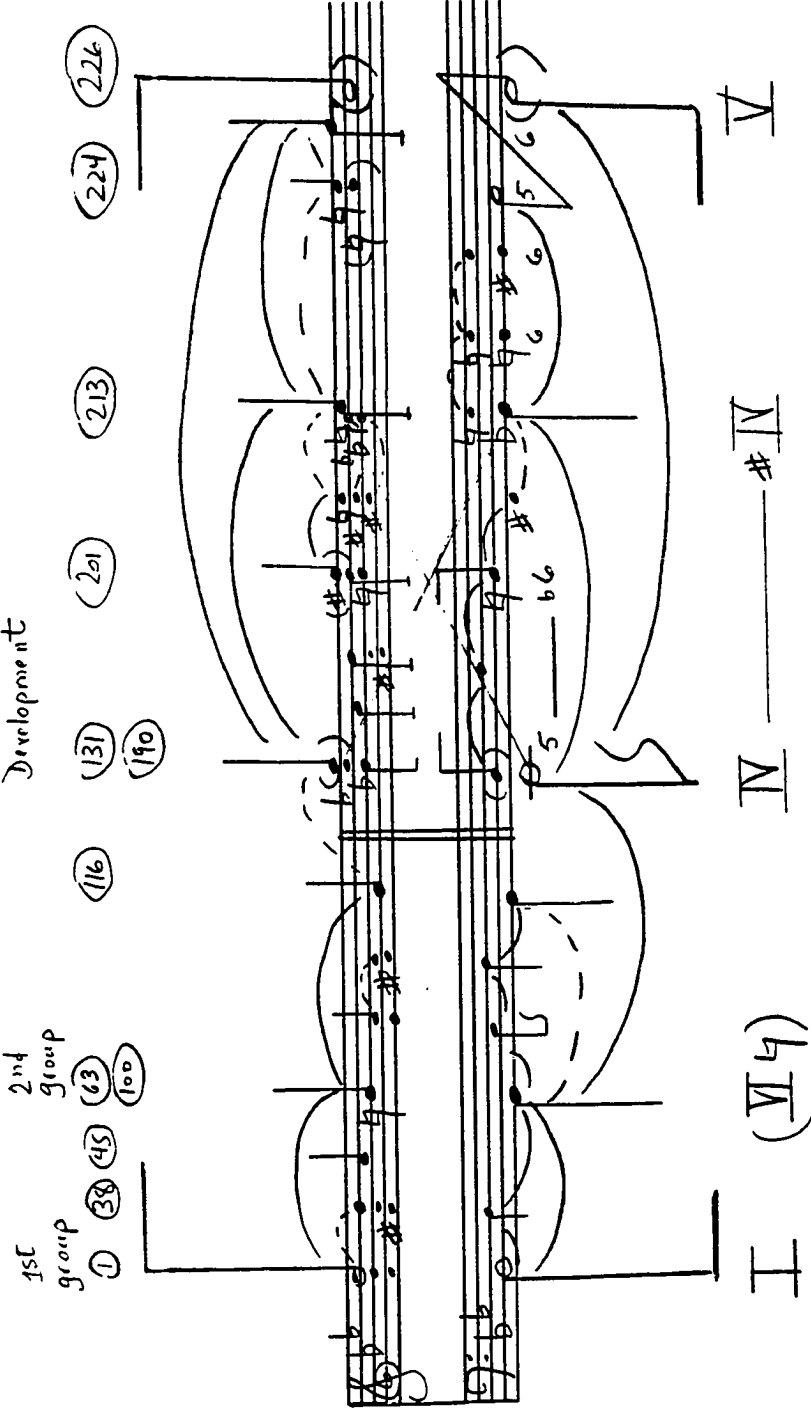
Handwritten musical notation and analysis for Example 5.5, (c).

The notation shows a melodic line on a five-line staff with a key signature of one flat (B-flat) and a common time signature (C). The melody consists of the following notes: G4 (quarter), A4 (quarter), Bb4 (quarter), C5 (quarter), Bb4 (quarter), A4 (quarter), G4 (quarter), F#4 (quarter), E4 (quarter), D4 (half). The notes are grouped into two sections: the "1st group" (measures 227-267) and the "2nd group" (measures 272-295). The notes are circled and numbered: (227), (249), (267), (272), (274), (295).

Below the staff, a bass line is indicated by a bracket. The notes are: G3 (half), Bb3 (half), G3 (half), F#3 (half), E3 (half), D3 (half). The notes are connected by a slur, and the interval is labeled "5 - b6 - 5 - 6 - 5".

Below the bass line, the Roman numerals are written: I, II, V⁷, I.

Example 5.6 Graph of Beethoven, Piano Sonata in B $\flat$, Op. 106, I, exposition and development, middleground.



Example 5.7 Beethoven, Piano Sonata in B $\flat$, Op. 106, I, recapitulation,
(a) mm. 347-364; (b) mm. 365-405.

a

1) The roll-in is also ornamented.

Musical score for "L'Espresso" by Maurice Strakosky, measures 365-405. The score is in 3/4 time and B-flat major. It features a piano and a right hand. The piano part includes a melodic line with a crescendo and decrescendo, and a bass line with a decrescendo. The right hand part includes a melodic line with a decrescendo and a bass line with a decrescendo. The score is marked with various dynamics including *cresc.*, *dim.*, *pp*, *f*, *ppp*, *ff*, and *sempre piano*. The score is divided into measures 365, 370, 375, 380, 385, 390, 395, and 400.

57

ppp ben marcato

ppp ben marcato

ppp ben marcato

molto forte

Corda G

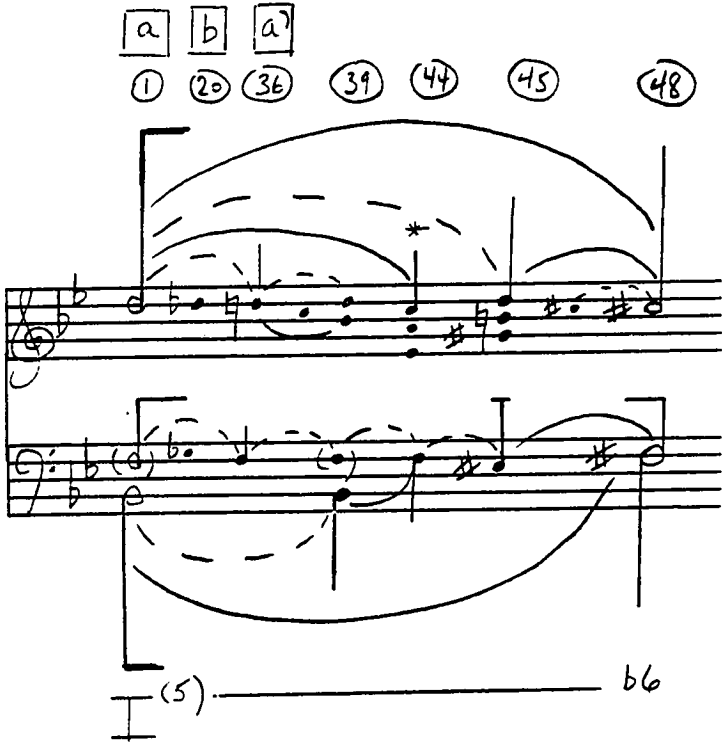
69

Example 5.8, (b) Schubert, mm. 149-160. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

b

The musical score is presented in three systems, each with a treble and bass staff joined by a brace. The first system (mm. 149-152) is in G major (one sharp) and 3/4 time. It begins with a forte (*f*) dynamic. The second system (mm. 153-156) is in E major (two sharps) and 3/4 time, marked with a piano (*p*) dynamic. The third system (mm. 157-160) continues in E major and 3/4 time, also marked with a piano (*p*) dynamic. The score includes various musical notations such as treble and bass clefs, key signatures, time signatures, dynamics, and articulation marks.

Example 5.9 Graph of Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, approach to the second group, mm. 1-48.



Example 5.10 Comparison of Beethoven, Quartet in B $\flat$, Op. 130, I, and Schubert, Piano Sonata in B $\flat$, D. 960, I-expositional endings, (a-1, a-2) Beethoven, mm. 89-93/89-96 and Schubert, mm. 109-125/109-117; (b-1, b-2) graphs of Beethoven, mm. 89-93/89-96 and Schubert, mm. 109-125.

a-1

[illegible]

Example 5.10, (a-2) Schubert, mm. 109-125/109-117. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

a-2

109

mf

f

decresc.

111

mf

pp

mf

113

mf

cresc.

ff

ff

tr

2. ritard.

Example 5.10, (b-1 and b-2) graphs of Beethoven, mm. 89-93/89-96 and Schubert, mm. 109-125.

b-1

(90) (91)

1st ending

2nd ending

This musical notation for b-1 consists of two staves. The first staff contains notes with a slur over them, labeled (90). The second staff contains notes with a slur over them, labeled (91). The first staff is labeled '1st ending' and the second staff is labeled '2nd ending'.

b-2

(116) 1st ending (116)

From:

This musical notation for b-2 consists of two staves. The first staff contains notes with a slur over them, labeled (116) 1st ending. The second staff contains notes with a slur over them, labeled (116). The first staff is labeled '1st ending' and the second staff is labeled 'From:'.

Example 5.11 Graphs of Beethoven, Quartet in B $\flat$, Op. 130, I, exposition and development, (a) overview; (b) deep middleground view.

a

1st group * 2nd group

① ④ $\bar{5}$ ⑤ $\bar{5}$ ⑪ $\bar{2}$ ⑫ $\bar{3}$ ⑬ $\bar{1}$

I 5-b6 — 4 6 II 5 V 7

b

1st group 2nd group

① ④ $\bar{5}$ ⑤ $\bar{3}$ ⑤ $\bar{5}$ ⑨ $\bar{4}$ ⑪ $\bar{2}$ ⑫ $\bar{3}$ ⑬ $\bar{1}$

I (VI) II V 7

Example 5.12 Graphs of Schubert, Piano Sonata in B♭, D. 960, I, exposition, principal group, mm. 1-48, (a) graphs by Felix Salzer; (b) alternative foreground graph.

a

b

c

From Felix Salzer, *Structural Hearing: Tonal Coherence in Music*, Vol. 2, 164, # 400. Copyright (c) 1962 by Felix Salzer. Reproduced by permission of Dover Publications.

Example 5.12, exposition, principal group, (b) alternative foreground graph.

b a

①

⑩

⑱

b6

Example 5.12, exposition, principal group, (b) alternative foreground graph, continued.

The musical score is presented in two systems, each with two staves. The first system begins with a box containing the letter 'b' and circled numbers 25, 27, and 29. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'b6'. The second system continues the piece with circled numbers 29, 31, and 34. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'b6'.

Example 5.13 Schubert, Piano Sonata in B $\flat$, D. 960, II, mm. 66-89. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

66 *cresc.* *p*

70 *cresc.* *f*

74 *fp* *p* *decresc.* *mf* *3* *3*

77 *cresc.* *p* *decresc.*

80 *pp*

83 *decresc.*

86 *dimin.*

Example 5.14 Schubert, Piano Sonata in G, D. 894, I, mm. 1-18. From *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

SONATE

Komponiert 1826 · Erschienen 1827

Opus 78 · D 894

Molto moderato e cantabile

8.

4

7

10

13

16

pp

mf

f

p

ppp

f

decresc.

pp

Example 5.15 Schubert, "Ihr Bild," from *Schwanengesang*, D. 957.

Ihr Bild.

Gedicht von H. Heine.

Für eine Singstimme mit Begleitung des Piano-forte

composit von

Seite 20. No. 42.

FRANZ SCHUBERT.

Schubert's Werke.

langsam.

Singstimme. Ich stand in dunklen Thälen und starrt ihr Bild, nie

Piano-forte.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

Augst nitz.

(G♭)

11) wir von Wä- . mül- . den er . glän- . ze ihr Au . gen . je- . zar.

23) Auch mei . ne Thrä . nen flie- . sen mir von den Wan . gen her.

24) ab- und ach, ich kann es nicht glau . ben, dass ich

33) dich er- . re- . ich . ren hat.

Example 5.16 Schubert, Mignon songs, (a) "Mignon II," D. 727, mm. 1-24;
 (b) "Lied der Mignon," Op. 62 No. 3 (D. 877), mm. 1-20; (c) "Mignon I," D. 726.

a

Mignon II.

Gedicht aus Goethe's „Wilhelm Meister“.

Für eine Singstimme mit Begleitung des Pianoforte
 componirt von

FRANZ SCHUBERT.

Langsam. April 1841.

Singstimme. (5)

Pianoforte. *pp*

So lasst mich schei-nen,

bis- ich wer-de; zieht mir das wei-ss-e Kleid nicht aus! Ich ei-le von der schö-nen

(10)

Er-de hin-ab in je-nes fe-ste Haus, ich ei-le von der schö-nen Er-de hin-ab in je-nes

(15)

fe-ste Haus. (20)

Dort ruh' ich ei-ne kleine Stil-le, dann öff-net sich der fri-sche Blick, ich

pp

Example 5.16, (b) "Lied der Mignon," Op. 62 No. 3 (D. 877), mm. 1-20.

b

Gesänge aus „Wilhelm Meister“

von J. W. v. Goethe.

III.

Lied der Mignon.

Für eine Singstimme mit Begleitung des Pianoforte
componirt von

FRANZ SCHUBERT.

Op. 62. N^o 3.

Der Fürstin Mathilde zu Schwarzenberg gewidmet.

Januar 1826.

Mignon. Nicht zu langsam.

Pianoforte. *p>* *pp*

So lässt mich
schei-nen, bis ich wer-de; zieht mir das wei-ße Kleid nicht aus! ich ei-le von der schö-nen
Er-de hinab in je-nes dun-ke Haus. Dort ruh ich
ei-ne klei-ne Stil-le, dann öff-net sich der fri-sche Blick, ich la-see dan-er die rei-ne

Example 5.16, (c) "Mignon I," D. 726.

c

Mignon I.

Gedicht: aus Goethe's „Wilhelm Meister“.

Für eine Singstimme mit Begleitung des Pianoforte

componirt von

FRANZ SCHUBERT.

April 1821.

Langsam.

Singstimme.

Pianoforte.

Heiss mich nicht re-den, heiss mich

schweigen, denn mein Ge - heim-niss ist mir Pflicht; ich möch - te dir - mein

gan - zes Inn - re zei - gen, al - lein das Schick - sal will es - nicht.

Zur rech - ten Zeit ver - treibt der Son - ne Lauf die finst - re Nacht, und

Example 5.16, (c) "Mignon I," D. 726, continued.

25
 sie muss sich er - hel - len; der har - te Fels schliesst seinen Bu - sen auf, miss -
 32
 gönnt der Er - de nicht die tief verborgnen Quel - len. Ein Je - der
 39
 sucht im Arm des Freundes Ruh, dort kann die Brust in Kla - gen sich er - gie - ssen; al -
 46
 lein ein Schwur drückt mir die Lippen zu, und nur ein Gott ver - mag sie auf - zu - schlie -
 53
 ssen, und nur ein Gott ver - mag sie auf - zu - schlie - ssen.

Example 5.17 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, (a) overview; (b) deep middleground.

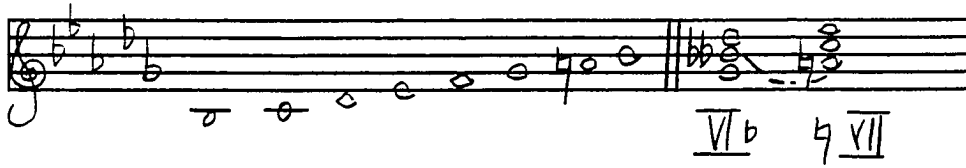
a

Handwritten musical score for Schubert's Piano Sonata in B $\flat$, D. 960, I, exposition, overview graph (a). The score is written on two staves (treble and bass clef) in B $\flat$ major. The key signature has two flats. The time signature is 4/4. The score is divided into measures by vertical lines. Handwritten annotations include circled numbers 1, 72, 74, and 80 above the staff. A large bracket spans from measure 1 to measure 80. Below the staff, the Roman numerals I, $\sharp$ I, II, and V are written, with a bracket under I and $\sharp$ I.

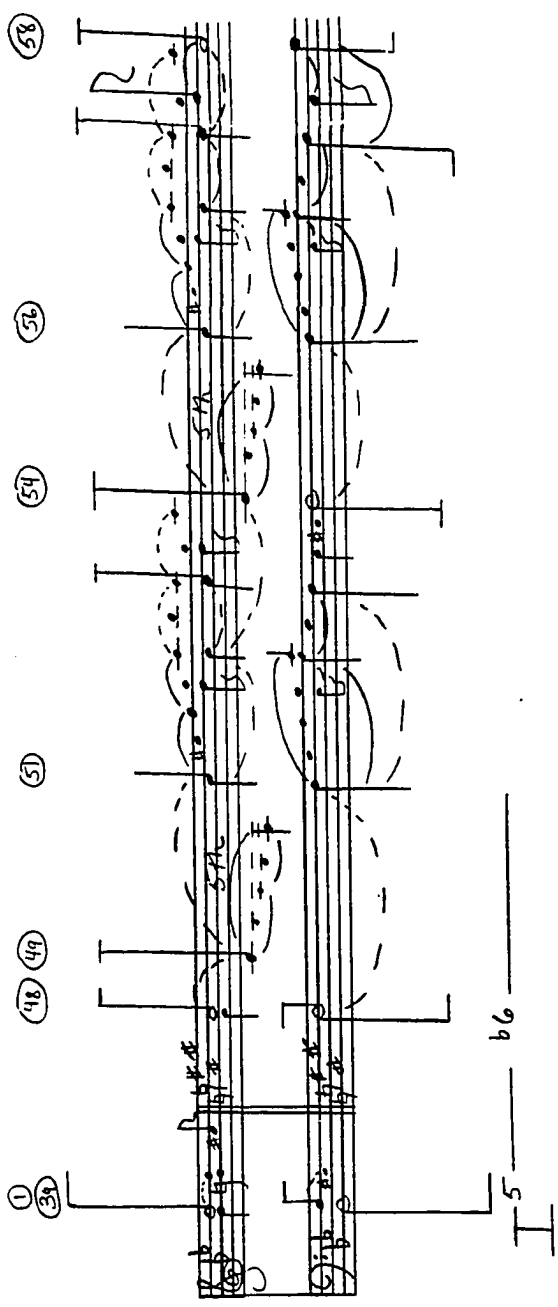
b

Handwritten musical score for Schubert's Piano Sonata in B $\flat$, D. 960, I, exposition, deep middleground graph (b). The score is written on two staves (treble and bass clef) in B $\flat$ major. The key signature has two flats. The time signature is 4/4. The score is divided into measures by vertical lines. Handwritten annotations include circled numbers 1, 48, 58, 72, 74, and 80 above the staff. A large bracket spans from measure 1 to measure 80. Below the staff, the Roman numerals I, $\sharp$ I, II, and V are written, with a bracket under I and $\sharp$ I. A handwritten note "5-66-5" is written above the first measure.

Example 5.19 B $\flat$ harmonic-minor scale: mixture and the enharmonic relationship between B $\flat\flat$ and A.



Example 5.20 Graph of Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, second group, mm. 1/48-80, foreground.



Example 5.20, exposition, second group, continued.

Handwritten musical score for 'The Rose Tree'. The score is written on two staves. The first staff begins with a treble clef and a key signature of one sharp (F#). The second staff begins with a bass clef and a key signature of one flat (Bb). The music is written in a simple, folk-like style with many ties and slurs. The measures are numbered in circles: 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69. The score ends with a double bar line and a final measure marked with a 'T' and a '6'.

Example 5.20, exposition, second, group, continued.

70 72 74 80

I #I II IV V

Example 5.21 Graphs of Schubert, Piano Sonata in B♭, D. 960, I, principal group, mm. 1-18, by Felix Salzer. From Felix Salzer, *Structural Hearing*, vol. 2, 163, # 397. Copyright (c) 1962 by Felix Salzer. Reproduced with permission of Dover Publications.

The image displays two systems of musical notation, labeled 'a' and 'b', representing the principal group of measures 1-18 from Schubert's Piano Sonata in B-flat, D. 960, I. Each system consists of a treble staff and a bass staff. System 'a' shows the first system of music, with a melodic line in the treble staff and a harmonic line in the bass staff. System 'b' shows the second system of music, also with a melodic line in the treble staff and a harmonic line in the bass staff. The notation includes various musical symbols such as notes, rests, and accidentals, and is annotated with vertical lines and brackets to indicate structural elements.

Example 5.22 Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, second group, mm. 49-80, (a, b, c) progressively normalized rhythmic reductions.

a

(♩ = 0) (49)

(51) (63)

(67) (70) (74) (80)

Example 5.22, exposition, second group, (b) rhythmic reduction.

b

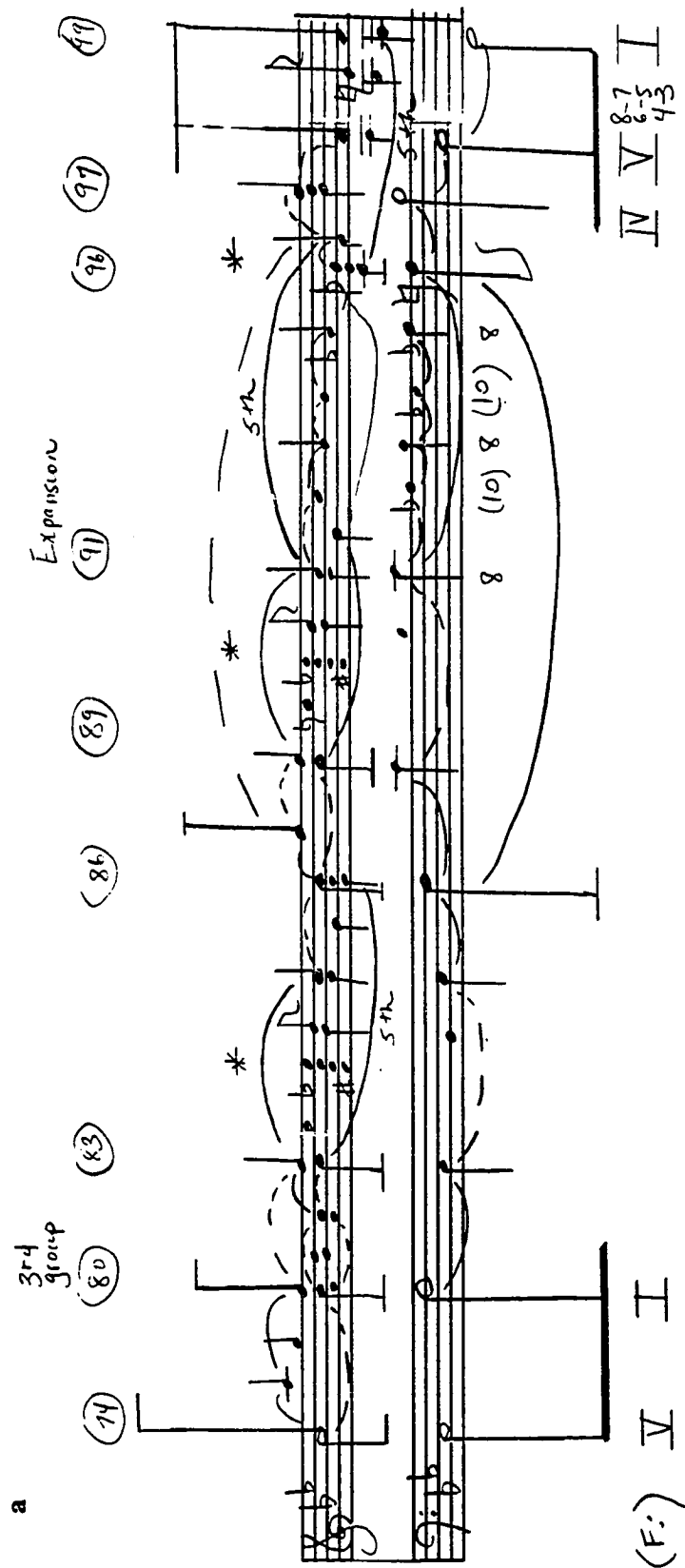
(49) (52-53) (54) (57-58) (59-63)

Example 5.22, exposition, second group, rhythmic reductions, (b) continued and (c).

b

c

Example 5.23 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, closing group, first period, mm. 80-99, (a) foreground; (b) expansion, mm. 91-96.



Example 5.23, exposition, closing group, first period, (b) expansion, mm. 91-96.

b

Example 5.24 Schubert, Piano Sonata in B♭, D. 960, I, exposition, closing group, first period, mm. 89-96, expansion without rests. Revised from *Schubert: Klaviersonaten, Band II*, ed. Paul Mies with Hans-Martin Theopold (Munich: G. Henle Verlag). Reproduced with permission of the publisher.

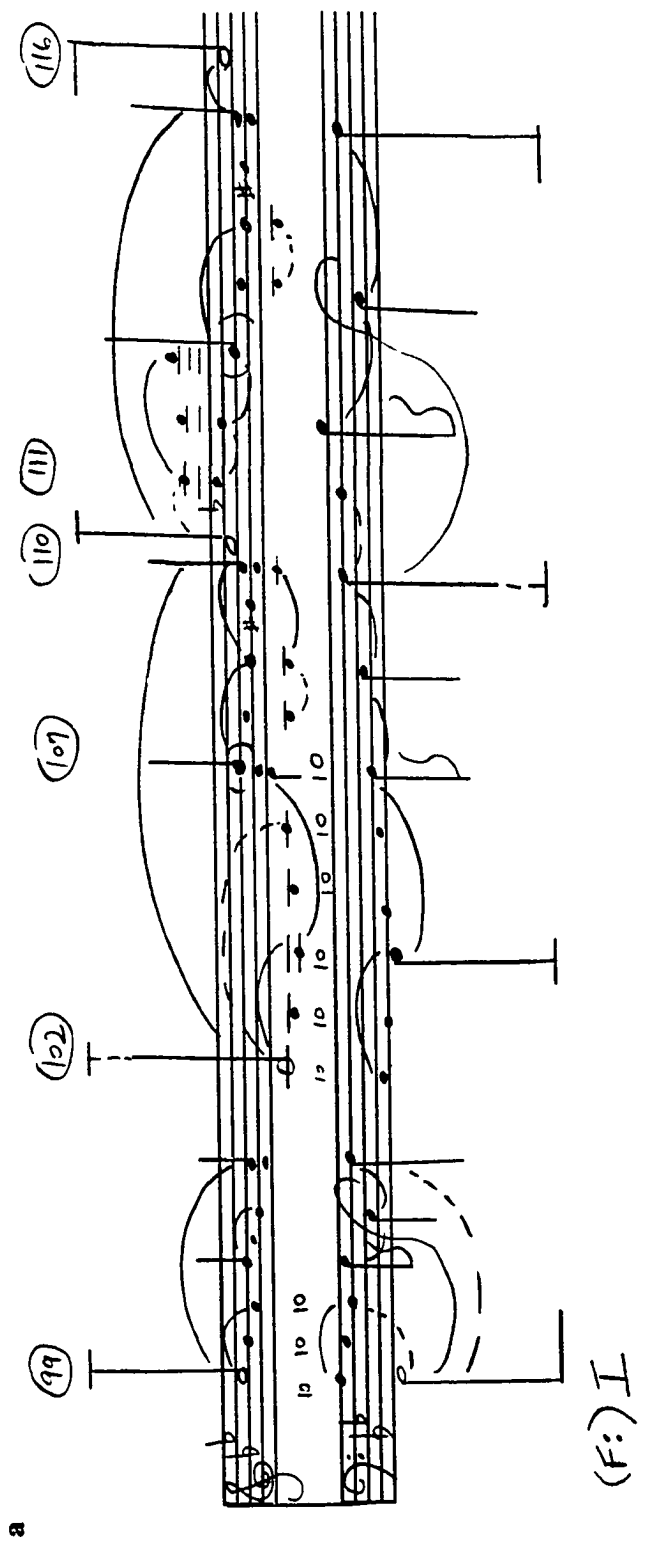
1

2 3 1 2

1 1/2 1/2

decresc. cresc.

Example 5.25 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, exposition, closing group, second period, mm. 99-116, (a) middleground; (b) foreground.



Example 5.25, exposition, closing group, second period, (b) foreground.

b

(99) 3rd

(102) Expansion

(107) p

(F:) I — II III I

5 — 6 — 5 10 (10) 10 10 5

5 — 6 — 5 — 6 5 — 6 5 — 6 5

I I

Example 5.25, exposition, closing group, second period, (b) foreground, continued.

(107) (111) (116)

(F:) IV V7 I (I^b7) IV V7 I

Example 5.26 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, development, mm. 116-203, (a) overview; (b) deep middleground.

a

b

Example 5.27 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, development, mm. 116-215, (a) middleground; (b) middleground/foreground.

a

116 118 119 128 131 140 148 149 151

V⁵ — (#5)

(C $\sharp$) I⁵

Example 5.27, development, (b) middleground/foreground, continued.

(151) P Ab (159) (163) G c.o. (166) (168) (170) A4

(V) ^{b6}—
(C# / D b:) I 5—

— 46

Example 5.27, development, (b) middleground/foreground, continued.

(170) (173) (215)

(D4:) I⁻⁵
- 6 - b7 V

Example 5.28, development, foreground, continued.

Handwritten annotations on the score:

- Measure 130: $C^\sharp$
- Measure 131: p
- Measure 140: $D^\sharp$ p
- Measure 130: $G^\sharp A$
- Measure 131: $A^\sharp B$
- Measure 140: $A^\sharp B$

(C#): 5-6 —

— 7

Example 5.28, development, foreground, continued.

Handwritten musical score for Example 5.28, development, foreground, continued. The score consists of two staves. The top staff has a treble clef and a key signature of one sharp (F#). It contains measures 140, 141, and 142. Measure 140 starts with a D# and has a dashed line above it. Measure 141 has a dashed line above it and a slur below it. Measure 142 has a dashed line above it and a slur below it. The bottom staff has a bass clef and a key signature of one sharp (F#). It contains measures 140, 141, and 142. Measure 140 starts with a B4 and has a dashed line below it. Measure 141 has a dashed line below it and a slur above it. Measure 142 has a dashed line below it and a slur above it. Below the staves, there are handwritten notes: B^b:(V) and (C[#]):(I) on the left, and 7- on the right. To the right of the staves, there are handwritten notes: C₄ and D^b on the left, and --b₆ and --#7-- 8 on the right.

Example 5.28, development, foreground, continued.

Handwritten musical score for Example 5.28, development, foreground, continued. The score is written on a grand staff (treble and bass clefs) and includes measures 163 through 173. The notation includes various musical symbols such as notes, rests, and accidentals. A key signature of one flat (B^b) is indicated. The score is annotated with circled measure numbers (163, 166, 168, 170, 171, 173) and a circled letter 'A' above measure 170. A large bracket labeled '3rd' spans measures 163 to 173. Below the staff, there are handwritten notes: (8 10 5 8 10 5 8) and (8 10 5 8 10 5 8). To the right of the staff, there are handwritten notes: (I)⁷/₆ (Dg:) I⁵ and (V)⁷/₆ (V) 5 8.

Example 5.28, development, foreground, continued.

(173) (174)

(180)

(185)

(V) 46

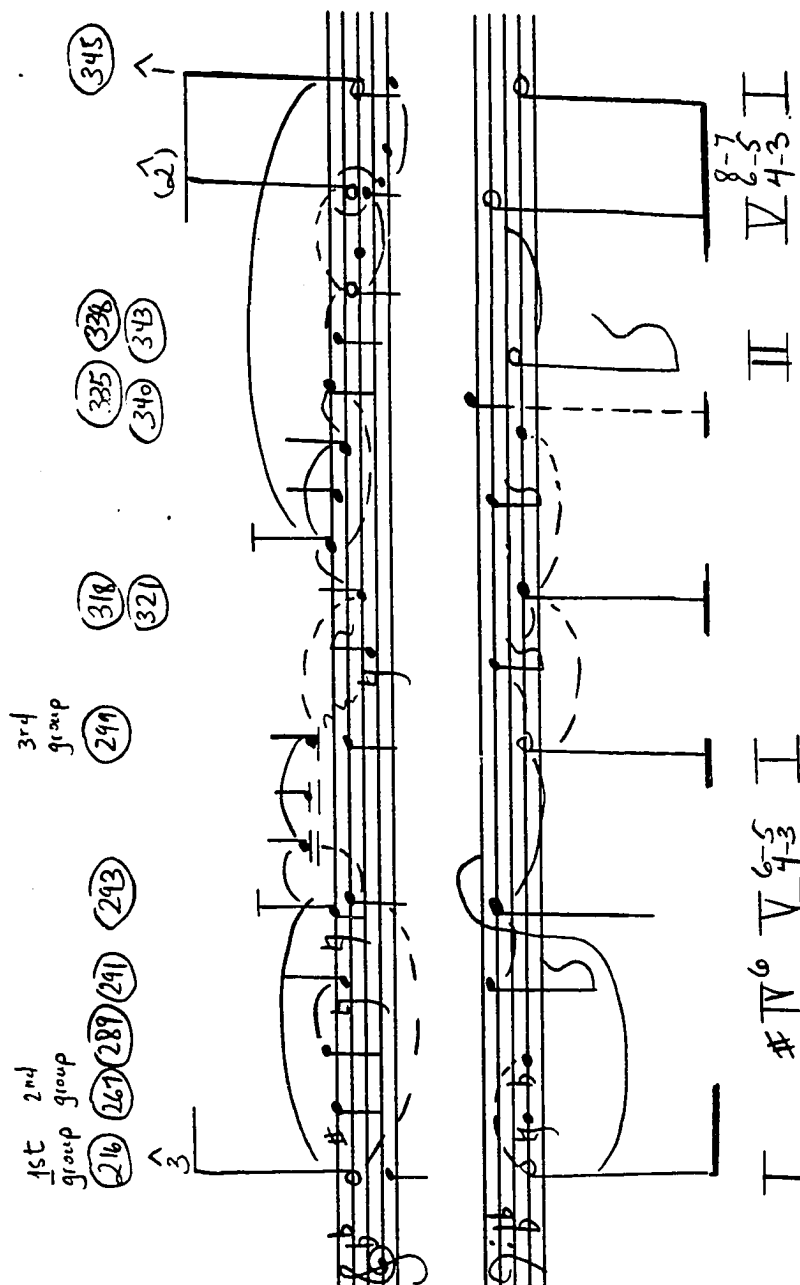
Example 5.28, development, foreground, continued.

168 174 200 203 215

— 46

(V) — 7

Example 5.29 Graph of Schubert, Piano Sonata in B $\flat$, D. 960, I, recapitulation, overview.



Example 5.30, recapitulation, principal group, (a) middleground, continued.

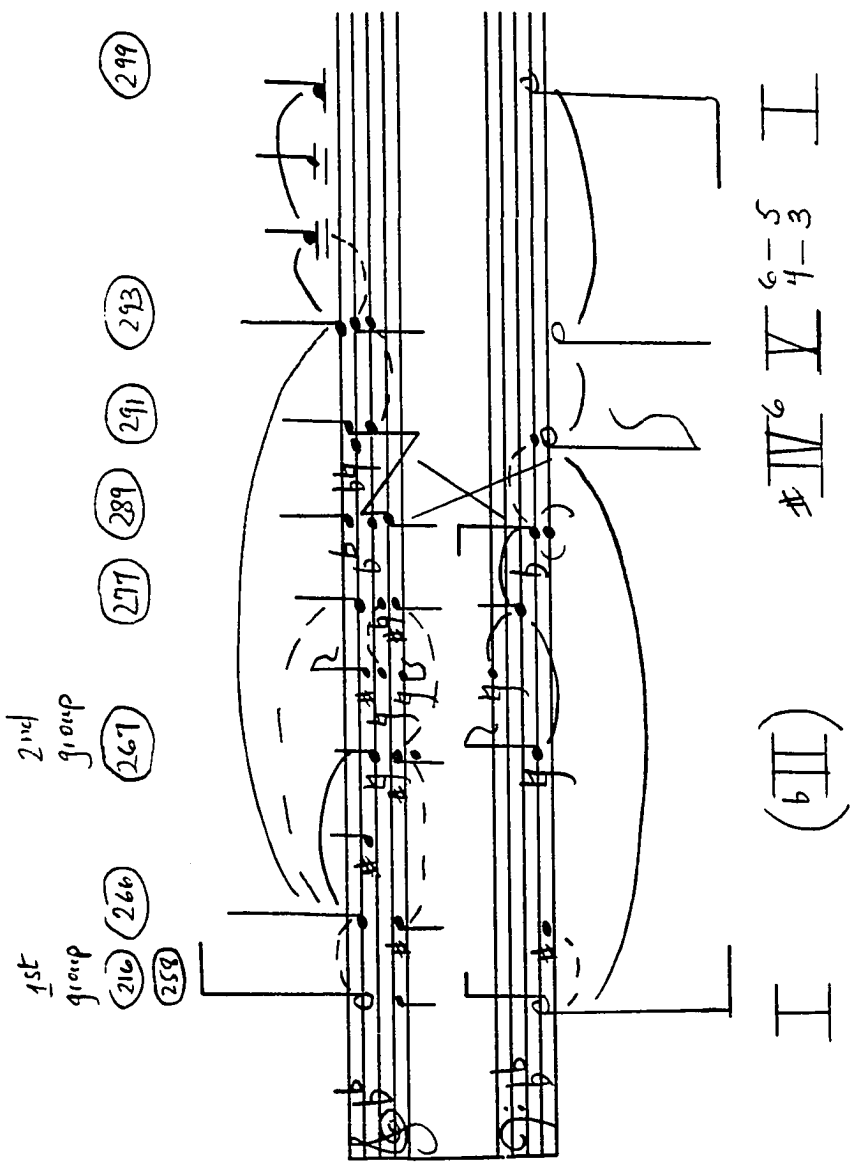
Handwritten musical score for Example 5.30, recapitulation, principal group, (a) middleground, continued. The score is written on two staves, Treble and Bass clef. It includes various musical notations such as notes, rests, and accidentals. Above the staves, there are handwritten annotations: a box containing 'a' with a prime symbol, and circled numbers 253, 255, and 267. Below the staves, there is a handwritten sequence: $- 4\ 6) \ 5 - \flat 6 \ \flat \ \text{II} \ 5$.

Example 5.30, recapitulation, principal group, (b) overview.

b

Handwritten musical notation for Example 5.30, recapitulation, principal group, (b) overview. The notation is written on two staves, Treble and Bass clef, in a key signature of one flat (B-flat). The melody in the Treble clef starts with a half note G4 (labeled 216), followed by a quarter note F#4 (labeled 235), a quarter note E4 (labeled 239), a quarter note D#4 (labeled 240), and a half note C#4 (labeled 255). The Bass clef accompaniment starts with a half note G3 (labeled 5-b6), followed by a quarter note F#3 (labeled 46), a quarter note E3 (labeled 5), and a half note D#3 (labeled 46-5). The notation includes various musical symbols such as stems, beams, and accidentals. Above the staves, there are handwritten labels in boxes: 'a' above measure 216, 'b' above measure 235, and 'a'' above measure 255. The measures are numbered in circles: 216, 235, 239, 240, and 255. Below the staves, there are handwritten labels: '5-b6' under the first measure, '(Aug 6)' under the fourth measure, and '46-5' under the fifth measure.

Example 5.31 Graphs of Schubert, Piano Sonata in B $\flat$, D. 960, I, recapitulation, second group, mm. 216/267-299, (a) middleground; (b) foreground.



Example 5.31, recapitulation, second group, (b) foreground.

b

(216) (255) (261) (268) (273) (279)

I (b II)

Example 5.31, recapitulation, second group, (b) foreground, continued.

(271) (278) (282) (281) (285) (286) (289)

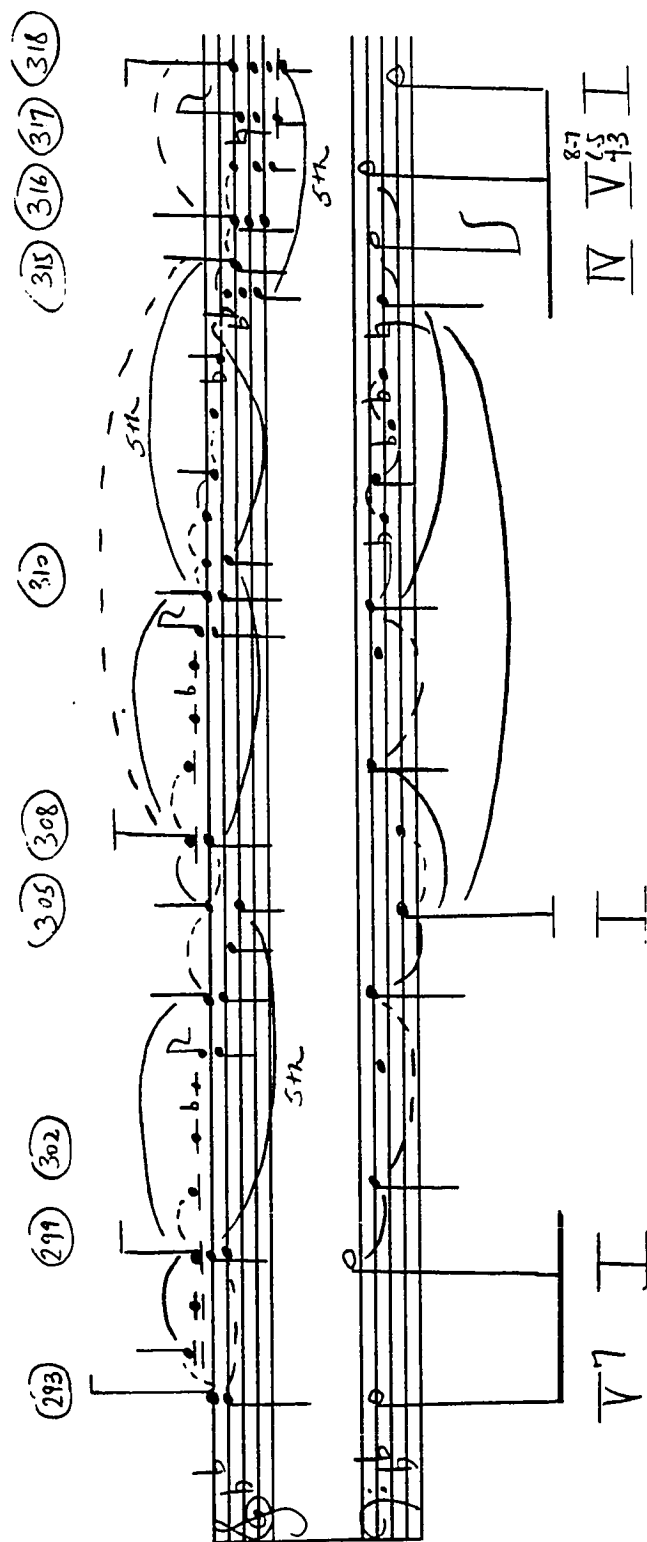
(IV $\frac{6}{4}$)

Example 5.31, recapitulation, second group, (b) foreground, continued.

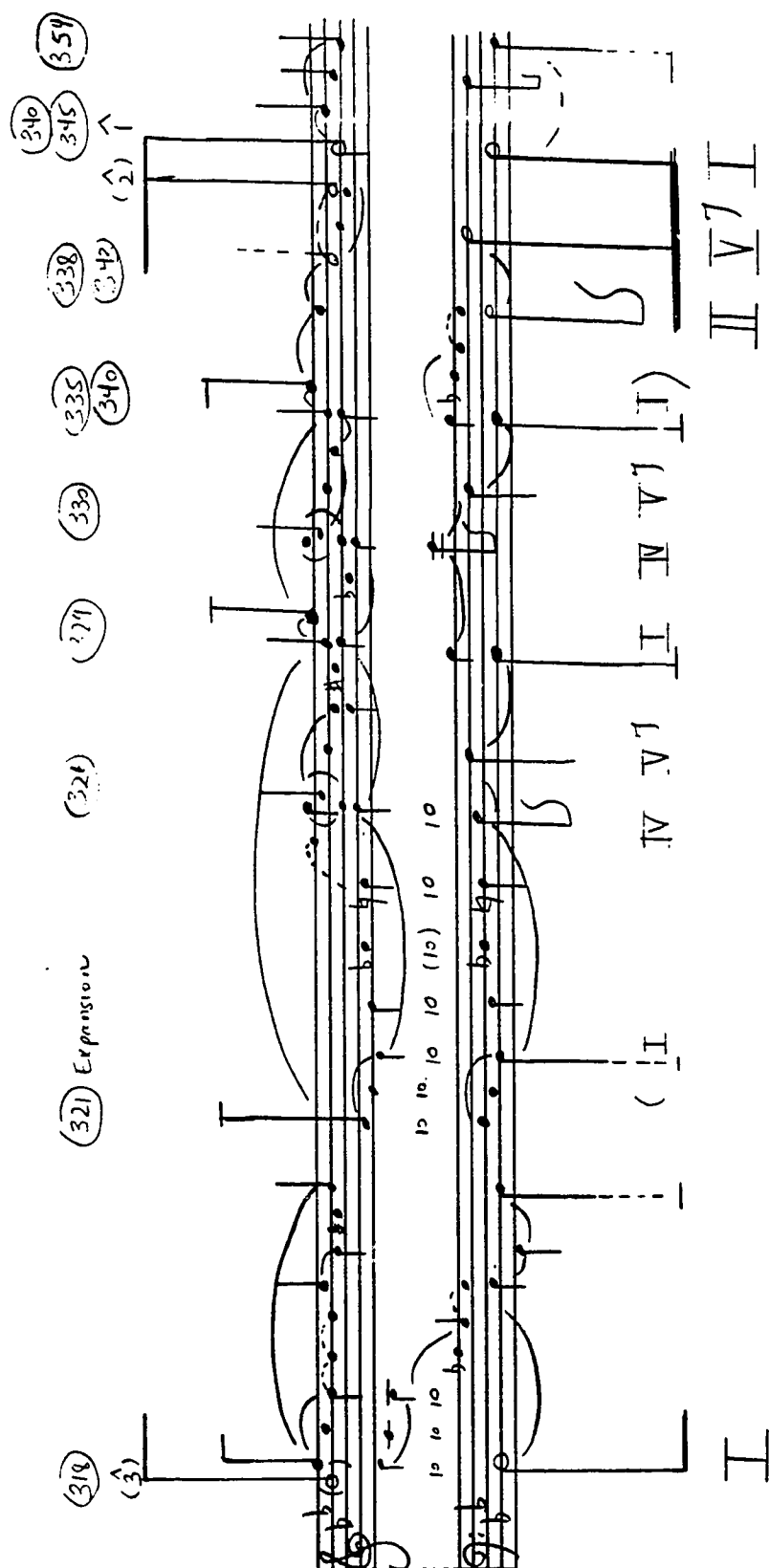
289 291 293 299

(IV₄⁶) #IV V₄⁶⁻⁵ I

Example 5.32 Graph of Schubert, Piano Sonata in B $\flat$, D. 960, I, recapitulation, closing group, first period, mm. 299-318, middleleground.



Example 5.33 Graph of Schubert, Piano Sonata in B $\flat$, D. 960, I, recapitulation, closing group, second period, mm. 318-354.



APPENDIX--MUSICAL SCORES

1. Jan Ladislav Dussek, Piano Sonata in B♭, Op. 9 No. 1, I, exposition.
 Reproduced from *Musica Antiqua Bohemica*, ed. Jan Racek and Václav Jan Sýkora,
 vol. 46, *Jan Ladislav Dusík, Sonate*. Prague: Státní Nakladatelství Krásné Literatury,
 1960.

SONATA I

Op. 9, No 1

JAN LADISLAV DUSÍK
(1760–1812)

Allegro non tanto

The musical score is presented in five systems, each with a grand staff (treble and bass clefs). The first system begins with the tempo marking 'Allegro non tanto'. The second system includes the marking 'dolce con espr.' and 'pp'. The third system features a forte 'ff' dynamic. The fourth system is marked 'pp'. The fifth system includes 'pp' and 'p' dynamics. The score concludes with a series of sixteenth-note runs in the bass clef, marked with asterisks (***) to indicate trills or ornaments.

2

30

25

30

35

f

p

legato

poco legato

H 3099

3

40

45

50

mf

f

decresc.

mf

3099

4

55

[decrsc.]

[pp] cantabile

60

[decrsc.]

[pp]

65

[sf]

[cresc.]

70

[non troppo legato]

This musical score is for a piano piece, spanning measures 65 to 84. It is written in a key with two flats (B-flat and E-flat) and a 3/4 time signature. The score is arranged in six systems, each with a grand staff (treble and bass clefs). The music features a variety of textures, including rapid sixteenth-note passages in the right hand and steady eighth-note accompaniment in the left hand. Measure numbers 65, 75, and 80 are clearly marked at the beginning of their respective systems. Performance markings include a *p* (piano) dynamic at measure 75, a *legato* instruction at measure 76, and a *cr. acc.* (crescendo accelerando) marking at measure 80. The piece concludes with a final chord in measure 84.

H 3099

6

85

90

95

180

cresc.

la sinistra sempre legata

cresc.

coda: etc. simile

2. Jan Ladislav Dussek, Piano Sonata in D, Op. 9 No. 3, I, exposition. Reproduced from *Musica Antiqua Bohemica*, ed. Jan Racek and Václav Jan Sýkora, vol. 46, *Jan Ladislav Dusík, Sonate*. Prague: Státní Nakladatelství Krásné Literatury, 1960.

SONATA III

Op. 9, No 3

Allegro maestoso con espressione

The musical score is written for piano and bass staves. It begins with a piano (p) dynamic. The first system shows the initial melody and accompaniment. The second system continues the piece. The third system features a crescendo (cresc.) and a tutti legato section. The fourth system includes a measure marked with two asterisks (**). The fifth system ends with a crescendo (cresc.) and a final flourish marked with two asterisks (**).

This musical score is for a piano piece, spanning measures 1 to 25. It is written in a key with one sharp (F#) and a 2/4 time signature. The score is arranged in two systems, each containing three staves. The first system (measures 1-15) features a right-hand melody with various ornaments and slurs, and a left-hand accompaniment of eighth notes. Dynamics include *f*, *p*, and *mf*. The second system (measures 16-25) continues the melody and accompaniment, with dynamics ranging from *pp* to *ff*. Measure numbers 15, 20, and 25 are clearly marked. The score concludes with a double bar line and a repeat sign. Below the final measure, there is a small musical fragment and the text "etc. sempre simile".

f *p* *mf*

pp *ff*

p *cresc.* *ff*

dim.

etc. sempre simile

H 3099

46

The musical score consists of six systems of piano notation. The first system (measures 46-47) features a right-hand melodic line with a long slur and a left-hand accompaniment. Dynamics include *pp*, *f*, and *pp*. The second system (measures 48-49) continues the right-hand melody with a slur and includes the instruction *con espressione*. The third system (measures 50-51) shows a right-hand melody with a slur and a left-hand accompaniment. The fourth system (measures 52-53) features a right-hand melody with a slur and a left-hand accompaniment. The fifth system (measures 54-55) shows a right-hand melody with a slur and a left-hand accompaniment. The sixth system (measures 56-57) features a right-hand melody with a slur and a left-hand accompaniment. The score includes various musical notations such as slurs, ties, and dynamic markings.

pp *f* *pp*

mp * *con espressione*

30

35

mf legato 6

The musical score consists of six systems of staves, each with a treble and bass clef. The notation is complex, featuring many sixteenth and thirty-second notes, often beamed together. Dynamics include *f* (forte), *p* (piano), *pp* (pianissimo), and *ff* (fortissimo). There are also markings for *cresc.* (crescendo) and *dim.* (diminuendo). The score includes various articulations such as slurs, ties, and accents. The key signature has one sharp (F#) and the time signature is 4/4. The piece concludes with a double bar line and a final chord.

H 3099

48

50

pp *f* *p* *f*

55

pp *f* *p* *f*

60

ppp *f* *p*

aria

H 9099

Detailed description: This is a musical score for piano, spanning measures 50 to 60. The score is written for two staves, treble and bass. The key signature is one sharp (F#). The tempo is marked '4' (quadruple). The dynamics range from *pp* (pianissimo) to *f* (forte). The score includes various musical notations such as slurs, ties, and fingerings. A small section at the bottom left is labeled 'aria' and marked with two asterisks (**).

D 929 - op. 100
Entwurf

Entwurf

November 1827

Violino

Violoncello

Pianoforte

Allegro

Allegro

9 arco

15

17

23

f *p* *pp* *ff* *fz* *fz* *fz* *f* *ffz*

pizz.

B^b *C^b*

262

31)

27

36

cresc.

41

loco

44

8

$F^\# (G^b)$

*) T. 37, Klavier, erstes Sechzehntel des $F^\#$ nachträglich mit Bleistift.

**) T. 39: Dieses X von Schuberts Hand nachträglich mit Bleistift.