ANTON RUBINSTEIN'S FOUR PIANO SONATAS

by

JIN-OK LEE

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Chadwick Jenkins

Date — Chair of Examining Committee

Norman Carey

Date — Executive Officer

L. Poundie Burstein

Peter Basquin

Norman Carey
Supervisory Committee

THE CITY UNIVERSITY OF NEW YORK

ABSTRACT

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Adviser: Professor L. Poundie Burstein

Anton Rubinstein’s piano sonatas display stylistic features that at its time were characteristic of a conservative Russian approach to composition. Unlike in the works of some of Rubinstein's Russian contemporaries, these works eschew "folkiness" and are firmly embedded in the tonal and formal tradition of Western Europe. Although Rubinstein's sonatas do play with standard tonal and formal structures of the Romantic period to a certain extent, they nevertheless seem to be firmly in dialogue with classical sonata form and traditional tonality.

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TERMINOLOGY[1]

Caesura-fill: connective material, of variable length, bridging a caesura---either a medial caesura or a final caesura---to the next thematic module.

Essential expositional closure: the first satisfactory perfect authentic cadence that occurs within secondary theme area in an exposition.

Essential structural closure: the first satisfactory perfect authentic cadence that occurs within secondary theme area in a recapitulation.

Precore: the initial unit of a development section, preceding a core or core substitute.

[1] The terms and definitions above are extracted from James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (New York: Oxford University Press, 2006), and William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven (*New York: Oxford University Press, 1998).

INTRODUCTION

In his day Anton Rubinstein (1829-94) achieved fame both as a virtuosic pianist and a composer. In performance he was regarded as a rival of Liszt. He was also the first Russian composer whose compositions were widely played in the concert halls and opera theaters of Germany and Austria.[1] Today he is remembered primarily as a legendary pianist. Often he is confused with Arthur Rubinstein, the twentieth-century pianist.

Rubinstein was a prolific composer of both instrumental and vocal music. His opus numbers reach to 121, and there are many more works that do not have opus numbers. He wrote five concertos, a few fantasy-like pieces for piano and orchestra, four piano sonatas, a number of character pieces such as etudes, preludes, ballades, barcarolles, and many ensemble pieces for piano and other instruments. Though many of his works were popular in their day, only the *Melody in F*, one of his smallest pieces, is widely known today.

This neglect is probably due to the critical reception of his compositions, which were often said to lack individuality and to imitate the music of Felix Mendelssohn (1809-47) a little too closely. Cesar Antonovitch Cui (1835-1918) and Alexander Serov (1820-71) were perhaps the most negative critics of Rubinstein's music. In the Paris *Revue et Gazette Musicale*, Cui observed that "Anton Rubinstein's art was the outcome

[1] Victor Walter and D. A. Modell, "Reminiscence of Anton Rubinstein," *The Musical Quarterly*, Vol. 5, No. 1 (Jan., 1919): 15.

of Mendelssohn."[2] And as Charles MacLean has noted, "unfortunately almost every writer on the subject since 1880 has seized on that remark, and blindly and literally copied it, to Rubinstein's disparagement."[3] Given that Rubinstein spent the greater part of his youth in Germany and Austria, it is indeed possible that he came under the influence of Mendelssohn. His use of conservative classic forms, tuneful melodies, and basic tonal language would seem to confirm this. But Rubinstein's melodies are for the most part original. And is it not often the case that even the greatest composers show the influence of their predecessors?

Given that Rubinstein is considered "a belated Classical rather than a Romantic," his works in sonata form can be the truest test of his compositional skill and the best measure of his ability as a composer.[4] In this dissertation, therefore, I will analyze Rubinstein's four piano sonatas, focusing on each sonata's individual characteristics and also its relationships to the other three sonatas. In so doing, I shall attempt to elucidate Rubinstein's compositional style, and to track the compositional development of each sonata through the different periods of the composer's life.

Rubinstein's life

There are numerous books and articles that partially tell the story of Rubinstein's life, though only a few offer much in the way of detail. A notable exception is *Anton*

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[2] Charles MacLean, "Rubinstein as Composer for the Pianoforte," *Proceedings of the Musical Association*, 39th Sess. (1912-13): 139.

[3] Ibid., 139.

[4] Leonid Sabaneev and S. W. Pring, "Anton Rubinstein (Born November 28, 1829)," *The Musical Times*, Vol. 70, No. 1041 (Nov. 1, 1929): 977.

Rubinstein: A Life in Music by Philip S. Taylor.[5] This book describes Rubinstein's personal journey not only as a musician but also as a person. A great deal of correspondence with other musicians and with the Russian Imperial family, showing how they affected his musical activities, is described.

Two other books that discuss Rubinstein in some detail are *Virtuoso* by Harvey Sachs, and *Autobiography of Anton Rubinstein* by the composer.[6] Though neither is as thorough as Taylor's monograph, they are nevertheless quite informative. Sachs focuses on Rubinstein's life as a musician, and the composer's autobiography is largely devoted to the memorable events of his life. Still more information on Rubinstein's life may be gleaned from various articles and books about other composers.[7]

Rubinstein, the third of six children, was born in 1829 in the village of Vichvatijnetz, near the border between Moldavia and Ukraine. His brother, Nicholas (1835-81), became co-founder of Moscow Conservatory with Anton. Although Anton

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[5] Anton Rubinstein, *Autobiographical Stories,* ed. L. A. Barenboym, 3vols. (Moscow: Muzika, 1983-86), 1:67; cited and translated in Philip S. Taylor, *Anton Rubinstein: A Life in Music* (Bloomington and Indianapolis: Indiana University Press, 2007).

[6] Harvey Sachs, *Virtuoso* (New York: Thames and Hudson, 1982). Anton Rubinstein, *Autobiography of Rubinstein*, trans. Aline Delano (Boston: Little, Brown, and Company, 1890).

[7] These include Herbert Weinstock, *Tchaikovsky* (New York: Da Capo press, 1980), and Berthold Litzmann, *Clara Schumann: An Artist's Life; based on material found in diaries and letters*, 2 vols. translated and abridged from the fourth edition by Grace E. Hadow (New York: Da Capo Press, 1979). In addition to these books, the following outline of Rubinstein's life is based on the aforementioned articles by Walter and Modell, MacLean, Sabaneev and Pring, as well as Julien Tiersot, "Liszt in France," *The Musical Quarterly*, vol. 22, No. 3 (July 1936), and Gerald Abraham, "Anton Rubinstein: Russian Composer," Journal of the Musical Times, Vol. 86, No. 1234 (Dec., 1945).

was born a Jew, his family converted to Russian Orthodoxy before he was barely two years old in order to avoid Tsar Nicholas I's anti-Semitism.[8]

He started piano lessons with his mother, Kaleriya Khristoforovna, at the age of five. After a year and a half, he was accepted by Moscow's leading piano teacher, Alexandre Villoing, who became Rubinstein's first and last piano teacher. According to Rubinstein: "Villoing had a good hand position and a good ear. He paid a great deal of attention to tone. This came from the Field school, of which he was one of the finest pupils."[9]

Rubinstein's first public concert was in Moscow in 1839, when he was just ten years old. The program included works by popular composers of the time: Johann N. Hummel (1778-1837), Sigismond Thalberg (1812-71), Franz Liszt, John Field (c. 1782-1837), and Adolf von Henselt (1814-89). Later that year, he went to Paris with Villoing in hopes of studying at the Paris Conservatory. But Luigi Cherubini, director of the Conservatory and an opponent of child prodigies, would not even allow him to audition. France was also hostile to foreigners at this time, and Liszt had earlier been rejected by the Conservatory for similar reasons.[10] Nonetheless, Rubinstein stayed in Paris for six months, giving some private concerts.

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[8] Harvey Sachs, *Virtuoso* (New York: Thames and Hudson, 1982), 64.

[9] Anton Rubinstein, *Autobiographical Stories*, ed. L. A. Barenboym, 3vols. (Moscow: Muzika, 1983-86), 1:67; cited and translated in Philip S. Taylor, *Anton Rubinstein: A Life in Music* (Bloomington and Indianapolis: Indiana University Press, 2007), 9.

[10] Julien Tiersot, "Liszt in France," *The Musical Quarterly*, vol. 22, No. 3 (July 1936), 284.

The years of 1840-42 were busy for the young Rubinstein. Villoing arranged concerts for him in Germany, Vienna, London, Paris, Sweden, and Norway. It was during a short stay in Paris after returning from the concert tour in 1841 that Rubinstein heard Liszt playing for the first time. Liszt appeared at the Salle Erard, one of the two most celebrated concert venues in Paris. Rubinstein was so impressed by Liszt that he began to imitate Liszt's facial expressions and his habit of tossing his hair back while performing.[11]

Rubinstein's concert tour in Europe provided him with opportunities to meet the great musicians of his day. Those who came to hear Rubinstein play include Liszt, Chopin, Mendelssohn, and Ignaz Moscheles (1794-1870). After hearing Rubinstein play, Chopin invited him to his studio and played his own Impromptu from the manuscript. Liszt, moreover, suggested to Villoing that he take Rubinstein to Germany for composition lessons, for Liszt thought the boy had mastered the piano and did not need further instruction on it.[12]

Taking Liszt's advice, Rubinstein arrived at Berlin with his brother Nicholas, his mother, and his sister Luba in 1844. In Berlin, the Rubinstein brothers had the opportunity to play for both Mendelssohn and Meyerbeer, and both made the same set of suggestions: "They concluded that Anton had reached the stage where he alone could perfect his art as a performer, and as for Nicholas, they recommended lessons with

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[11] Sachs, *Virtuoso*, 83.

[12] Taylor, *Anton Rubinstein: A Life in Music*, 13.

Theodor Kullak, perhaps the finest piano teacher in Berlin." For harmony lessons, the brothers were sent to Siegfried W. Dehn, with whom Glinka had studied in the 1830s.[13]

In 1846, news that Rubinstein's father, Gregori Romanovich, was seriously ill compelled his family to return home. Leaving Anton alone in Berlin, the family returned to Moscow to find Gregori already dead; they also discovered that Gregori had left them deep in debt. Rubinstein's lessons with Dehn came to an abrupt end. He soon left Berlin for Vienna in the hopes that his opportunities to survive as a teacher would be better.

The revolution of 1848 brought changes not only to politics but also to music through the rise of nationalism. Rubinstein seems to be one of those who caught that fever, for he returned to Russia with the intention of writing an opera based on a Russian subject. It became the genesis of his first opera, *Dmitry Donskoy*. In 1849-53, Rubinstein gave a number of concerts in Russia, frequently at the imperial court, and there he became acquainted with many intellectuals. One of them was Grand Duchess Yelena Pavlovna, sister of Tsar Nicholas, who, as his most devoted patroness, helped him to establish the Russian Music Society and the St Petersburg Conservatory.

Rubinstein resumed his European concert tours in 1854, now as composer as well as pianist. Among his first stops was Weimar, where Liszt was Kapellmeister. Rubinstein spent several long periods there that year, living at the Altenburg, Liszt's residence.[14] During this time, Liszt mentioned Rubinstein's compositions in letters to some of his pupils and friends. Below are three excerpts:

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[13] Ibid., 18.

[14] Ibid., 70.

> Rubinstein is a clever fellow—the most notable musician, pianist and composer, indeed, who has appeared to me from among the newer lights, with the exception of Murls (Liszt's disciple)…But he possesses tremendous material, and an extraordinary versatility in the handling of it. He brought with him about forty or fifty manuscripts…which I read through with much interest…

Liszt wrote to his student, Hans von Bülow:

> Do you know Rubinstein? He is a model worker and has an uncommon artistic individuality…He is twenty-five (sic) years old, has true pianistic talent (which he has neglected in recent years); and it would be unjust to measure him by an ordinary yardstick.

In a letter to his friend Dr. Franz Brendel, Liszt complimented Rubinstein but referred to him as:

> The pseudo-musician of the future…still, I do not want to preach to him---he may sow his wild oats and fish deeper in the Mendelssohn waters, and even swim away if he likes. But sooner and later I am certain he will give up the apparent and the formalistic for the organically real, if he does not want to stand still.[15]

In the winter of 1856-57, Rubinstein stayed in Nice with Yelena Pavlovna's entourage. Many of the Russian imperial family were also there. It was at this time that Rubinstein and Pavlovna began to be concerned about the state of Russian musical education, which may have been spurred by a personal experience of Rubinstein's that underscored the lowly position of musicians in Russia. He recalls the incident in his autobiography:

> On one occasion while I was performing my religious duties, I went to confession in the Kazan Cathedral. After

[15] Sachs, *Virtuoso*, 70.

> confession I proceeded to the table to have my name enrolled in the books. The deacon began his inquiries: "Your name, rank, and vocation?" "Rubinstein, artist," I said. "Are you employed in the theatre?" "No." "Then perhaps you give lessons in some school?" "I do not," I replied. The deacon appeared surprised, but no more so than I. We both remained silent. "I am a musician, an artist," I repeated. "Yes, I understand; but are you in the government service?" "I told you that I was not." "Who are you then? How shall we describe you?" For several minutes the questioning went on. I know not how it would have ended had it not occurred to the deacon to say, "May I ask your father's profession?" "A merchant of the second guild." "Now, then, we understand!" exclaimed the deacon, greatly relieved. "You are the son of a merchant of the second guild, and as such we shall inscribe your name."[16]

With the desire to make music more professional, and with the help of Yelena Pavlovna, Rubinstein founded the Russian Musical Society (RMS) in 1859. The primary goals of the Society were to improve the system of Russian music education and to encourage Russian musicians. On account of the severe censorship of the Tsar over setting up any kind of societies, however, it was almost impossible to organize a new society at that time. In order to pursue its goals, the RMS had to take control of an inactive music society already sanctioned by the government.[17]

With the support of the RMS, the St Petersburg Conservatory was founded in 1862. "Despite Rubinstein's wish for the new institution to be known as a conservatory, the government had objected to the foreign sounding word and insisted on it being called

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[16] Rubinstein, *Autobiography of Rubinstein*, 91-92.

[17] Taylor, *Anton Rubinstein: A Life in Music*, 82.

a ‘school’. The title of ‘Conservatory’ was not formally adopted until 1873.”[18] The new conservatory attracted many prestigious teachers. Rubinstein was its director, Theodor Leschetizky was on the faculty for piano, Henri Wieniawsky taught violin, and Carl Davidoff, cello. One hundred seventy-nine students were enrolled the first year it was open, among whom were Pyotr Ilyich Tchaikovsky and Annette Essipova, a talented pianist who later became Leschetizky’s wife and Sergei Prokofiev’s teacher.[19] At Rubinstein’s urging, Tchaikovsky became a member of the theory of composition faculty at the Moscow Conservatory, which the Rubinstein brothers co-founded in 1866.[20]

In1865, Rubinstein married Vera Chekuanova, daughter of a retired army officer, in Baden-Baden. Because the wedding was held abroad, Nicholas was the only family member present. The newlyweds returned to St Petersburg via Baden-Baden after a trip to Paris and Switzerland.[21]

In 1867 Rubinstein resigned as the Director of St. Petersburg Conservatory over disagreements with court circles, including Yelena Pavlovna, and with other faculty members of the Conservatory. He could not agree with the court on the matter of hiring an inspector for the conservatory, and could not cope with the ideas of other faculty members about academic standards. He insisted that students who satisfactorily finished

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[18] Ibid., 97.

[19] MacLean, *Rubinstein as composer for the pianoforte*, 142.

[20] Herbert Weinstock, *Tchaikovsky* (New York: Da Capo press, 1980), 39.

[21]Taylor, *Anton Rubinstein: A Life in Music*, 114.

the entire curriculum receive a certificate, but that only those students who excelled be awarded the diploma.[22]

1872 was a landmark year for Rubinstein. He and Wieniawsky were invited to America to concertize and each of their concerts was hailed with acclamations. They were regarded as the most important European musicians to visit America since Thalberg almost twenty years before. Their first concert was at Steinway Hall in New York on September 23, which was followed by 216 scheduled events over a span of eight months and even more performances that were not officially scheduled. The major venues were Albany, Philadelphia, Indianapolis, St Louis, … New Orleans, and … Chicago.[23] Though financially successful, the tour so exhausted Rubinstein that he did not accept the offer to repeat it.[24]

In 1885, Rubinstein devoted considerable time to the design of a series of seven mammoth concerts. Each of these events lasted two or three times the length of a normal concert of today, and presented a formidable list of works starting with the English virginalists and concluding with the works of his compatriots and contemporaries. "These concerts were intended to illustrate the gradual development of piano music."[25] Among the musicians most inspired by this series of concerts was Sergei Rachmaninoff, who, as

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[22] Ibid., 118.

[23] Ibid., 151.

[24] Sachs, *Viruoso*,74.

[25] Rubinstein, *Autobiography of Rubinstein*, 127.

a young pianist, attended the concerts with his teacher, Nikolai Zverev. The experience instilled in Rachmaninoff a huge admiration of Rubinstein's performance.[26]

With these programs Rubinstein embarked on concert trips to Europe. The first trip was made in Berlin during the fall of 1885, and the last in London in May 1886. In many cities, Rubinstein repeated the programs, one for the ordinary public and the other for students. In total, he performed 107 concerts.[27]

The programs for the historical concert series were arranged in chronological order. They began with works by early composers such as William Byrd (1539-1623) and John Bull (c. 1562-1628), and ended with music by Glinka, Tchaikovsky, and Rubenstein's brother Nicholas. Most consisted of works by several composers, but Beethoven, Schumann, and Chopin were given dedicated programs of their own. Among the works played were Beethoven's Op. 27, no. 2 ("Moonlight"), Op. 31, no. 2 ("Tempest"), Op. 53 ("Waldstein"), Op. 57 ("Appassionata"), and Op. 90, 101, 109, and 111; Schumann's Fantasiestücke and Carnaval; and Chopin's second sonata. Other composers featured were J. S. Bach, Handel, Haydn, Mozart, Schubert, Mendelssohn, Weber, and Liszt.[28]

Rubinstein returned to the St. Petersburg Conservatory as director in 1887, when deteriorating health forced Karl Davidov, who had held the directorship in 1876-86, to

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[26] Geoffrey Norris, *Rachmaninoff*, rev., undated ed. of: *Rachmaninoff*. 1976 (New York: Schirmer Books, 1993).

[27]Taylor, *Anton Rubinstein: A Life in Music*, 194.

[28] Sachs, *Virtuoso*, 63.

step down. Soon after Rubinstein took up the position, he dismissed a quarter of the students, citing lack of talent and achievement. Serving also as a member of the piano faculty, he focused on piano literature, and repeated the Historical Concert series of 1885, now mainly for the students.[29]

The year 1889 marked Rubinstein's sixtieth birthday and also the jubilee of his first public appearance, and he was inundated with greetings and good wishes from all over the world. In September of that year, Bartholf Senff, Rubinstein's Leipzig publisher, published a complete catalogue of Rubinstein's works in honor of his half-century-long musical career. In response, Rubinstein began to express profound self-doubt about his worth as a composer:

> I confess to you frankly and honestly that complete disappointment is the sum total of all my artistic activity! That to which I have attached special importance all my life, and to which I have devoted all my knowledge and built all my hopes upon—my work as a composer—has met with failure. Neither the musicians nor the public would recognize me as a composer. Still there is enough human weakness left in me to be confident that neither the former nor the latter are right and that I am myself to blame for my failures, because I always kept aloof from any partisanship, because I always expressed myself frankly as to what pleased me or displeased me in music, and especially because as a composer I wearied the people so little.[30]

[29] MacLean, *Rubinstein as composer for the pianoforte*, 142.

[30] Walter and Modell, *Reminiscences of Anton Rubinstein*, 18. This letter became public only in 1912, translated by D. A. Modell from Viestnic Yevropy, which was one of the major liberal magazines in the late nineteenth century in Russia.

A pair of concerts were organized in honor of Rubinstein and conducted by Tchaikovsky. Furthermore, "as part of the celebrations, Rubinstein was to be awarded an annual lifetime pension from the Tsar of three thousand rubles. Peterhof granted him honorary citizenship, and the University of St Petersburg gave him an honorary membership."[31]

Because of declining health, Rubinstein wanted to resign from the Conservatory in 1891. Due to the objection of the Conservatory, however, he agreed to stay on, though he virtually gave up the directorship. By this time, Rubinstein's relationship with his wife was also faltering. A main reason appears to have been their different ideas about raising the children.[32] In a letter sent to Sergey Rebezov, his son-in-law, his frustration is evident:

> I tried to direct Yasha and Sasha toward a serious and true outlook on life and their position, and, finally, when I became convinced that it was all in vain, I separated from my family and decided to leave it to its fate, and to allow myself to live in seclusion in my own way…Vera always acted without asking me or else did not listen to me. So who needs me? Leave me in my lair. I hope that it will not be too long that I shall have to go on living.[33]

After ending his relationship with his wife, Rubinstein made his home in Dresden. [34]

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[31]Taylor, *Anton Rubinstein: A Life in Music*, 214.

[32] Ibid., 225.

[33] Lev Aronovich Barenboym, *A. G. Rubinstein: Literary heritage*, 3 vols. (Moscow: Muzika, 1983-86), 3:126; cited and translated in Taylor, *Anton Rubinstein: A Life in Music*, 225.

[34] Taylor, *Anton Rubinstein: A Life in Music*, 222.

While staying in Dresden, Rubinstein gave concerts in Germany and Austria, and coached a few extraordinary students, such as Josef Hoffmann and Josef Lhevinne. Before returning to Russia in June 1894, he made his last appearance as pianist at a charity concert for the blind in January. This is perhaps not a coincidence given that Rubinstein himself was suffering from a disease that made him unable to raise his eyelids. During his last six months, he lived in Peterhof. Rubinstein died of heart disease on 20 November 1894.[35] One of the mourners over his death was Clara Schumann. In her diary she recalled Rubinstein as follows:

> News of Rubinstein's sudden death… Great sympathy on all sides, and there is sure to be no lack of musical honors, but how will it be later? Will not all his devices, his efforts to establish his compositions vanish into air? It is sad to think of him. Poor fellow, a restless ambition possessed him.[36]

Rubinstein's opinions on music and other composers.

Rubinstein was well known for being outspoken about his likes and dislikes regarding other composers and their music, and his opinions are on full display in *A Conversation on Music* (hereafter, *A Conversation*), his autobiography. I believe it can be helpful in understanding his musical tendencies to explore his criticisms of different genres of music and other composers' musical traits. In what follows, I shall be quoting extensively from this autobiography.

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[35] Sabaneev and Pring, *Anton Rubinstein*, 980.

[36] Berthold Litzmann, *Clara Schumann: An Artist's Life; based on material found in diaries and letters,* 2 vols. translated and abridged from the fourth edition by Grace E. Hadow (New York: Da Capo Press, 1979), 2: 428.

Rubinstein considered instrumental music to be superior to vocal music. He offers the following four reasons in support:

> First, because the human voice sets a limit to melody which the instrument does not, and of which the emotion of the human soul, be it joy or sorrow, does not admit. Second, because words, even the most beautifully poetized, are not capable of expressing exuberance of feeling, hence the very correct, "inexpressible." Third, because a human being may, in the most exalted joy, hum or carol a melody to himself, but could and would not set words to it—even as in the deepest sorrow he may perhaps hum a melody to himself, most certainly, however, without words. Fourth, because the tragic in no opera sounds or can sound as it is heard in the second movement of Beethoven's D minor Trio, or in the Adagios of his F major [presumably those of violin romance Op. 50, No. 2 and violin sonata No. 5 in F major, Op. 24]…; likewise no Requiem, not even the Mozart makes an impression so deeply moving as the second movement of the Symphony "Eroica" of Beethoven, or contains the same proportion of the expression of joy and the soul's emotions in general as are heard in the instrumental works of the great masters. [37]

Rubinstein nevertheless wrote a great many vocal compositions, and it was from listening to the voice of the famous tenor, Giovanni Battista Rubini that he adopted the idea of producing a rich tone on piano.[38] Moreover, it was on account of their vocal music that Schubert and Glinka were included on his list of most respected composers.

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[37] Anton Rubinstein, *A Conversation on Music*, trans. Mrs. John P. Morgan (New York: Da Capo Press, 1982), 4.
[38] Rubinstein, *Autobiography of Anton Rubinstein*, 20.

There were not many composers that Rubinstein openly admired. He mentions only five in *A Conversation*; J.S. Bach, Beethoven, Schubert, Chopin, and Glinka.[39] Ironically, Mendelssohn, whose music Rubinstein was so often accused of imitating, is not included. While there were other musicians that he greatly respected, he regarded them not to be as admirable as his first "five." Among the second tier were Handel, Mozart, and Schumann. After Schumann died in 1856, Rubinstein proclaimed "*finis musicae*." Among his contemporaries, he considered Berlioz, Liszt, and Wagner to be the most important composers, and Berlioz to be the most interesting of the three.[40]

Rubinstein admitted that "the fugue could be a dry, scholastic form, but J.S. Bach knew how to express all imaginable emotions in this form." As to Beethoven's music, Rubinstein commented that through Beethoven "instrumental music will be capable of expressing the dramatic even to the tragic, that humor may rise to irony, that music in general has acquired an entirely new art of expression." Rubinstein venerated Chopin's piano music, mentioning that "tragic, romantic, lyric, heroic, dramatic, fantastic, soulful, sweet, dreamy, brilliant, grand, simple; all possible expressions are found in his compositions, and are all sung by him upon this instrument."[41]

Despite his negative views of vocal music, Rubinstein admired Schubert's and Glinka's vocal music. In *A Conversation*, he offers the following appreciation of Schubert:

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[39] Rubinstein, *A Conversation on Music*, 3.

[40] Rubinstein, *Autobiography of Anton Rubinstein*, 91.

[41] Rubinstein, *A Conversation on Music*, 27-75.

> Schubert creates the emotional song, which comes from the heart and penetrates to the heart—gives the musical poem to the poetic one; the melody that declares the words; he creates a form of art in which very much that is beautiful has been done after him, but in which he still stands unrivalled. What can rival the "Winterreise," the "Schwanengesang," the "Müllerlieder," and so many others?[42]

Rubinstein's music was frequently criticized by his Russian contemporaries for not being Russian enough, mostly in his instrumental music. It is quite likely that "he did not believe in folkiness in music, so he … denounced it with persistence."[43] Nevertheless, the main reason Rubinstein admired Glinka was for the nationalism in his music, especially his operas:

> Erkel in Hungary, Smetana in Bohemia, the majority of the composers in Sweden and Norway; earlier, Balfe and now the majority of English composers, and so on. From all of these we hear the all-the-world-music in the Romanza, or the Chorus, or a Dance of national character. With Glinka this is not the case—from the first note to the last in the overture, as well as in the vocal part of his operas, all is of national character; melody, harmony, yes, even the treatment of the orchestra.[44]

The features of Rubinstein's life and musical nature bear the mark of his conservatism and stubbornness. It is not surprising that these tendencies also appear in his music itself.

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[42] Ibid., 45.

[43] Gerald Abraham, "Anton Rubinstein: Russian Composer," Journal of the Musical Times, Vol. 86, No. 1234 (Dec., 1945): 361.

[44] Rubinstein, *A Conversation on Music*, 78-79.

It is evident that Rubinstein's music is more like Beethoven's than Liszt's; that is, less adventurous, and based upon a tonal and a formal language more Classical than Romantic. This observation is supported by examining Rubinstein's piano sonatas, most of which are based on the fundamental principles of the genre, though admittedly with some variants, and especially the last sonata.

Rubinstein wrote a total of four piano sonatas: Op. 12, 20, 41, and 100. The first three sonatas were written between 1848 and 1854, while the last sonata was written in 1877, about a quarter century after the third. Each sonata consists of four movements, except for Op. 41, which consists of three movements without a scherzo.

Although the boldest changes appear in the last sonata, some less common ideas are already found in the third. While the first two sonatas focus on the tonic and dominant (though the second is more chromatic in melody and harmony than the first), the third employs third relationships in the modulations of its first movement. Furthermore, the form of its third movement is ambiguous, and suggests three possible forms.

Certain features of the sonata, Op. 41, such as third relationships in modulations and ambiguous forms, also appear in the last sonata, Op. 100. Its second movement contains third relationships in its modulations, and the form of the third movement is as ambiguous as the same movement of the Op. 41. The most unpredictable movement is its finale, which does things that are not found in any of the other sonatas. The finale starts with a four-key exposition, but none of these keys are secured with an essential expositional closure, and there is no final cadence at the end of the movement. The

juxtaposition of too many melodies, each of which is employed by each key area of the exposition, renders the movement disorganized and unsatisfactory.

I have provided a brief overview of the four sonatas above. Some of this is described in the dissertation by Eduard Zilberkant, which focuses on the style of the Romantic period, discussing works by Beethoven, Robert Schumann, Chopin, and others, in addition to Rubinstein.[45] However, my dissertation will put sole emphasis on Rubinstein's sonatas. In the following chapters, each sonata will be thoroughly analyzed. I shall focus on forms, keys, and structures, noting how Rubinstein's compositional style changed with each sonata. Moreover, the distinctive characteristics of each sonata will be examined. In so doing, I hope to shine a light on the music of this important musician, whose compositions are today almost entirely neglected.

[45] Eduard Zilberkant, "Anton Rubinstein and the nineteenth-century piano sonata" (D.M.A. diss., Temple University, 1996)

CHAPTER ONE: Sonata No. 1 in E minor, Op. 12

I. First movement, *Allegro Appassionato*

For a Romantic work, the first movement of this sonata is quite strict with regard to such aspects as form, tonal scheme, and harmonization. The first movement is in sonata-allegro form, and the materials of exposition, development, and recapitulation are presented in the same order. The development section, however, is somewhat unusual, given that the development is typically the freest section in sonata form. See Table 1.1 for the structure of the movement.

Exposition				
Section	PT	TR	ST	CT
Measures	1-51	51-80	81-121	121-48
Development				
Section	PT	ST	RT	
Measures	149-85	186-226	226-57 (TR: 242-57)	
Recapitulation				
Section	PT	Bridge	ST	Extension
Measures	258-305	306-21	322-54	354-79
Coda				
Measures	380-94			

Table 1.1 Structure of first movement

The keys of the two main themes—principal and secondary—stand in a relative relationship: the former in E minor, the latter in G major. Though the secondary theme in the recapitulation begins in E major, the movement ends in E minor. The principal theme in the development starts in B minor and moves to G major, VI of B minor. It then moves to F# major by a falling-third pattern, which is the key of the secondary theme in the development, and is then followed by a canonic section whose motive is drawn from the beginning of the secondary theme. With regard to tonality, this canonic section is the least stable of the development.

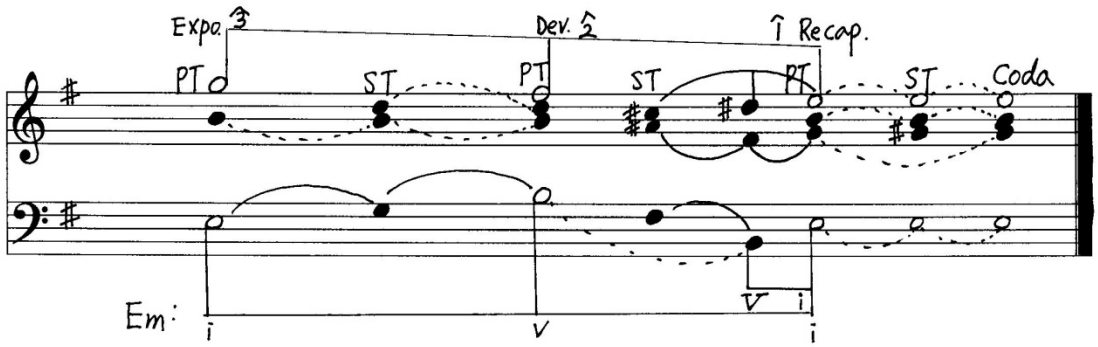
A noteworthy feature of this movement is the composer's treatment of the recapitulation. On account of the omission of the long transition and the shortening of the secondary theme, it is shorter than the exposition. In place of the transition is a brief bridge. The closing theme, which is based on motives from the transition, does not return either. Instead, the closing section is replaced by an extension whose motives are taken from the bridge and combined with a motive from the secondary theme.

Most unusual is the absence of a strong essential structural closure.[46] Commonly the recapitulation will not attain its essential structural closure if there is no essential closure in the exposition. The exposition of this movement, however, achieves a strong essential expositional closure, and so the failure to attain closure in the recapitulation is

[46] James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (New York: Oxford University Press, 2006), 232.

unexpected.[47] It may also be considered a fault, since securing the essential structural closure is the single most significant event of the recapitulation.

The coda brings to mind the atmosphere of the opening of this movement, in which tremolos dominate the whole exposition only to vanish after the principal theme returns in the recapitulation. This section of fifteen measures is comprised of one chord, E minor, with constant tremolos on E in the bass. One senses that the composer may be trying to compensate for the missing perfect authentic cadence in E major earlier in the recapitulation. Although a big eight-measure *crescendo* foreshadows a brilliant ending, the movement ends just as it began: quietly. Example 1.1 below illustrates the tonal scheme of the whole movement.

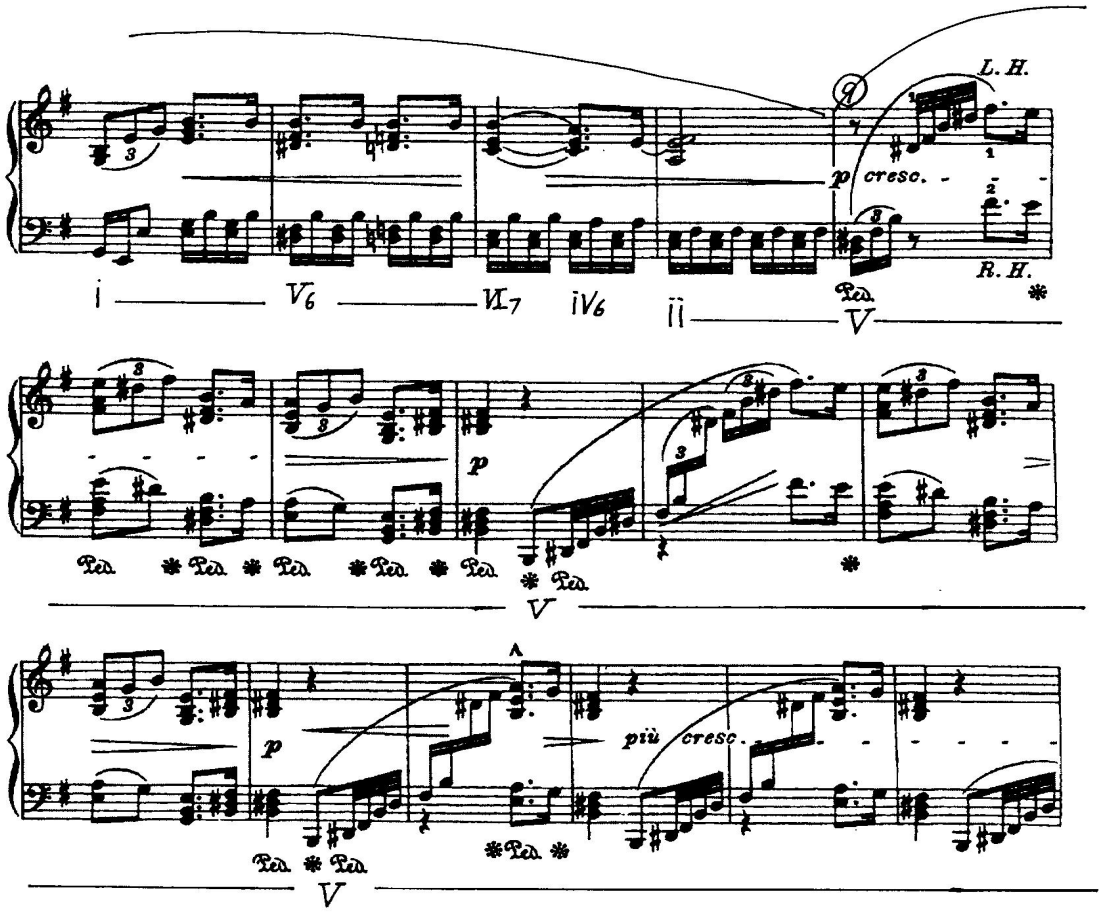


Ex. 1.1 Tonal scheme of the first movement

The exposition opens softly with the principal theme in a brisk 2/4 tempo in E minor. It is a period whose antecedent and consequent phrases are quite long: the former lasts twenty-four measures, the latter, twenty-seven. The first phrase, which is in sentence structure, ends in a somewhat unusual fashion. The eighth measure is built upon a II

[47] Ibid., 120-21.

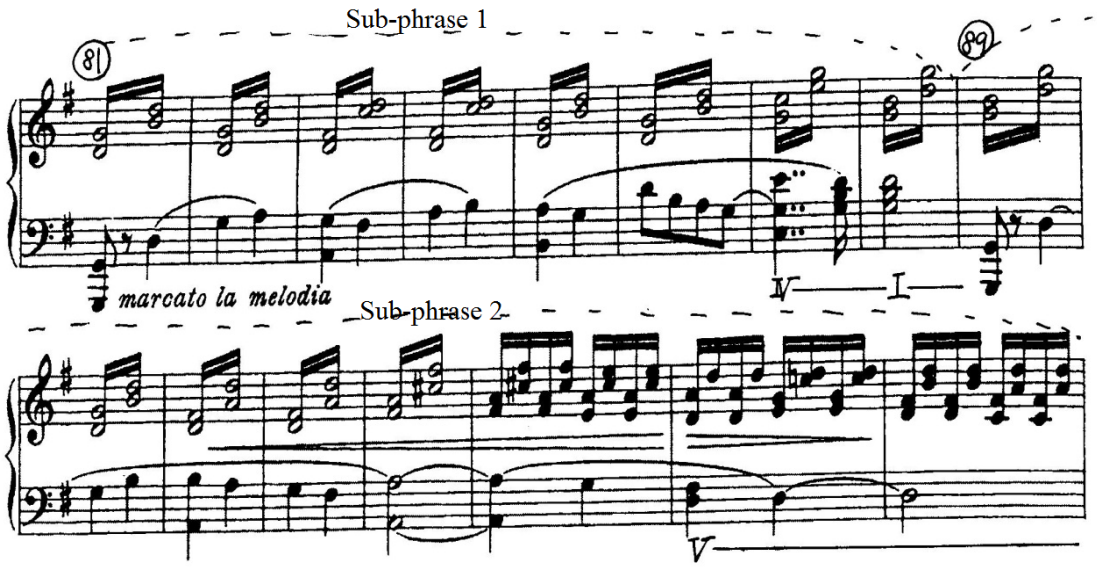
chord; there follows sixteen measures of V chord that concludes the harmonic progression (Example1.2). Thus, the half cadence is emphasized by prolonging the V chord, during which a short arpeggiated motive is repeated. The texture of the antecedent is rather thin and its range is limited. When, after the long post-cadential standing on dominant, it returns as the consequent, it is thicker, wider, and louder in both hands. The consequent retains the melody of the antecedent for seven measures, then begins a twenty-measure long extension. It ends on a perfect authentic cadence and is immediately followed by a long transition comprised of tremolos and arpeggios.



Ex. 1.2 measures 5-20: first phrase which ends in unusual fashion and prolongation of V chord

The transition starts quietly, but the driving energy returns almost immediately. This section is dominated by arpeggios and tremolos, of which the tremolos predominate, especially in the modulation from E minor to G major. These two figurations have already been heard in the principal theme section: arpeggios in the prolongation of the V chord and tremolos in the accompaniment to the theme. The accumulated energy diminishes at the end of this section, and this prepares the quiet entry of the secondary theme.

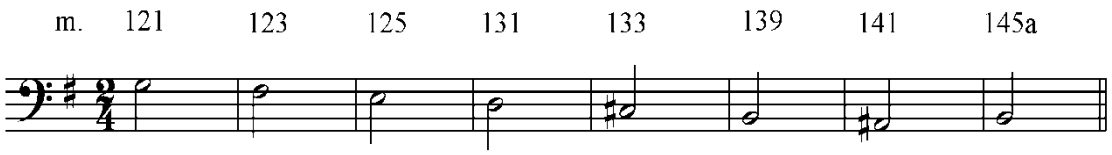
The secondary theme, like the principal, is also periodic. But instead of prolonging the V chord at the half cadence, the antecedent is extended in the same way as was the consequent of the principal theme. In other words, both antecedent and consequent are extended in the secondary theme while in the principal theme, only the consequent is extended. The antecedent is formed of two sub-phrases, each lasting eight measures and ending on tonic and dominant, respectively. The tonic ending of the first sub-phrase (mm. 81-88) is somewhat surprising because, given the context, we expect a dominant chord. Instead, the composer has extended the antecedent by ending its first sub-phrase on the tonic (Example 1.3). The extension of the consequent happens as in of the same manner as the principal theme: after an unchanging eight-measure melody, it is extended to make the sub-phrase 25 measures long.



Ex. 1.3 measures 81-96: sub-phrases of antecedent in secondary theme

The G major secondary theme is more lyrical than the principal theme, though the tremolos of the right hand allude to the principal theme throughout. The melody of the secondary theme starts in the left hand and is repeated in chords of the right hand at the consequent. After a strong essential expositional closure in measure 121, a closing section enters which is reminiscent of the earlier transition.

An important aspect of this closing section is the transition from G major, the key of the secondary theme, to B minor, the starting key of the development. This takes place via a descending bass-line moving stepwise from G to A-sharp, the leading tone of B minor; A-sharp, moreover, is also the third of the F-sharp major chord, the dominant of B minor (Example 1.4). In mm. 145-47b (there are two endings; here these measures are of the second ending), a broken F-sharp major chord occurs just before the development, which starts in measure 149 on B minor.



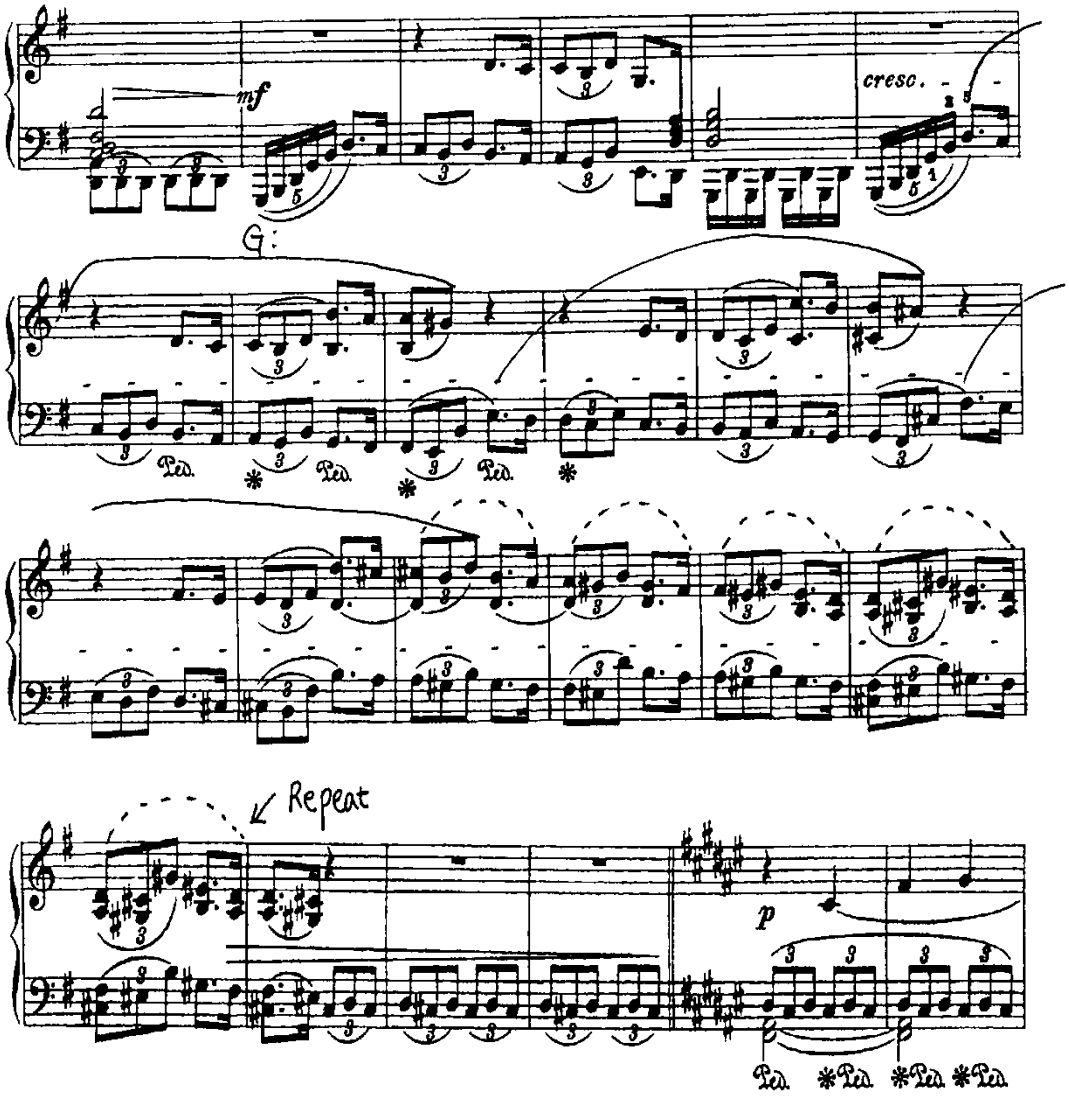
Ex. 1.4 Bass line of closing section

The closing section is also composed of arpeggios and tremolos. The dynamic of this section is *forte* throughout save for the last four measures of the first ending. These four measures are marked *diminuendo* and lead smoothly to the soft opening for the repeat of the exposition.

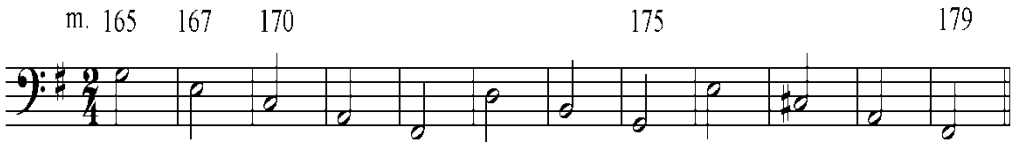
The development (mm. 149-257) combines two elements. The first is a presentation of both phrases of the two main themes; the second is a series of sequences of short motives. The beginning of this section presents the principal theme up to the prolongation of the dominant in the left hand. The differences between prolongations in the exposition and development are notable here. While the prolongation in the exposition remained in the dominant throughout, in the development there is a modulation at the end from the dominant of B minor, the opening key of the development, to G major, VI of B minor. The principal theme in octaves does not return after the prolongation as it did in the exposition; instead, a sequential section (mm. 165-83) ensues in G major with a motive from the principal theme.

Measures 165-68 serve as an introduction to a sequential passage and are immediately repeated. The sequence begins in measure 169 and is divided into two small groups: the first based on a three-measure unit (mm. 169-78); the second on a single-measure unit (mm. 178-82; see Example 1.5). As this happens, the bass line prepares the

entry of the secondary theme in F-sharp major via descending-third motion from G to F-sharp (Example 1.6). A brief oscillation between C-sharp and D occurs in mm.183-85, and suggests a certain indecisiveness of tonality: will the secondary theme begin either in D major, the relative key of B minor, or F-sharp major, the dominant? In the end, it is F-sharp major.

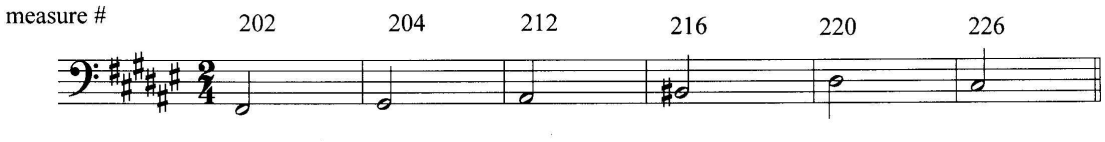


Ex. 1.5 measures 164-87: Two groups of the sequence in development

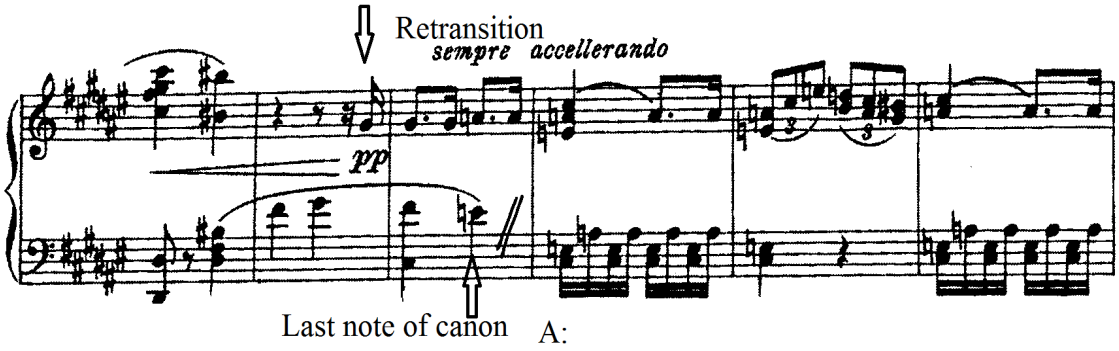


Ex. 1.6 Bass line in sequential area

As the secondary theme plays in the right hand, a pair of oscillations, alternating between D-sharp / C-sharp, and G-sharp / F-sharp, occurs in the left hand. This serves to differentiate the accompaniment of the secondary theme in the development from that of the exposition: the former is in triplets, the latter in tremolos. After the entry of the theme in F-sharp major, a fragment of the theme is used for a canonic passage (mm. 202-26). The fragment is taken from the beginning of the secondary theme and, appearing alternately between the treble and bass clefs, forms an ascending motion in the bass from F-sharp to D-sharp (Example 1.7). As the fragment with D-sharp in the bass repeats, the retransition begins. Example 1.8 illustrates the overlapping of the end of the canon and the beginning of the retransition.



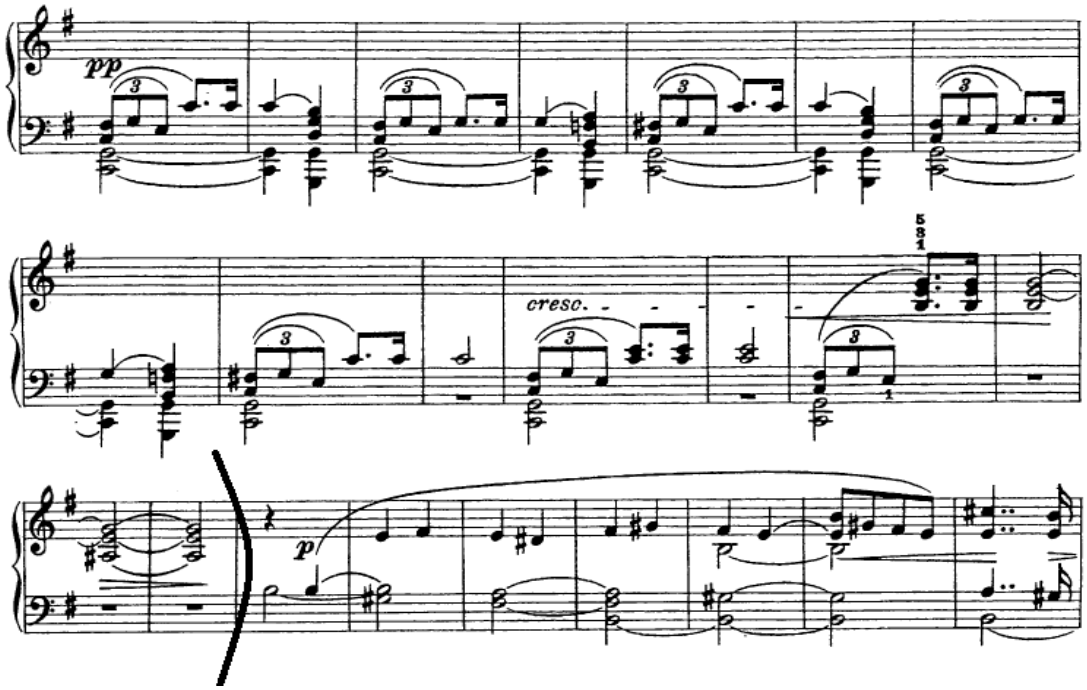
Ex. 1.7 Bass line in canonic passage



Ex. 1.8 measures 220-25: Overlapping of end of canonic passage and retransition

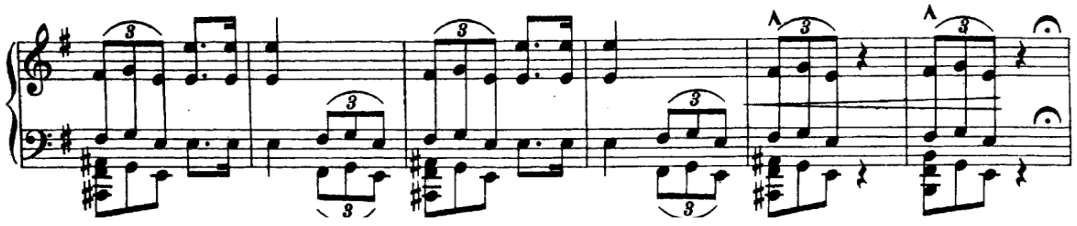
The D-sharp, last note of the ascending bass-line, moves down to C-sharp in measure 226, and the retransition begins in A major. The initial motive of the retransition is the beginning of the principal theme. After five measures, there is an extension of three measures. All this is immediately repeated in A minor, followed by an extension: a progression built on the dominant seventh chord of E minor and leading naturally to the recapitulation in E minor.

The recapitulation (mm. 258-379) is the most unpredictable section of this movement. Save for the principal theme, the other components are quite dissimilar from their appearances in the exposition. The principal theme appears unchanged in measures 258-305, and then a perfect authentic cadence is expected to occur as it did in the exposition. Instead, a fermata in measure 305 is followed by a short bridge which replaces the transition (Example 1.9).

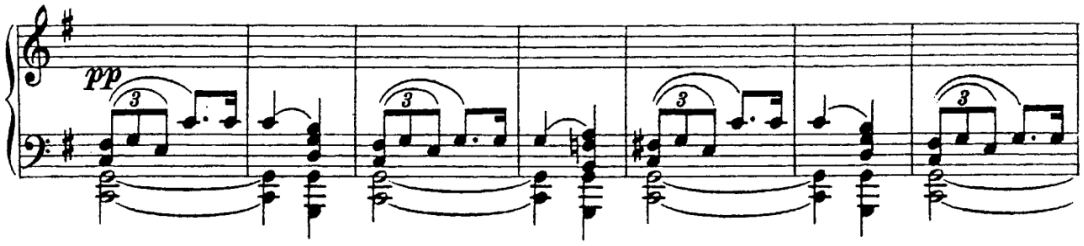


Ex. 1.9 measures 306-28: Delayed essential structural closure

Because they share the same rhythmic motives, the bridge is reminiscent of the last part of the principal theme section (Example 1.10-1&2). This sixteen-measure passage is mostly composed of a VI chord reinforced with a pedal point on C and G. Although this chord is completely unexpected, it does indeed foreshadow the key of the second movement. Since C major is not the first default for the second movement of the E minor sonata, perhaps the composer wishes to prepare us for it in advance.

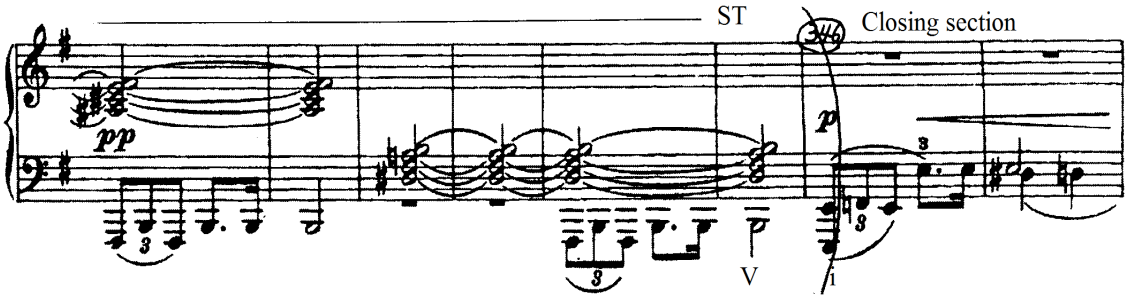


Ex. 1.10-1 measures 300-05: last part of principal theme section in recapitulation



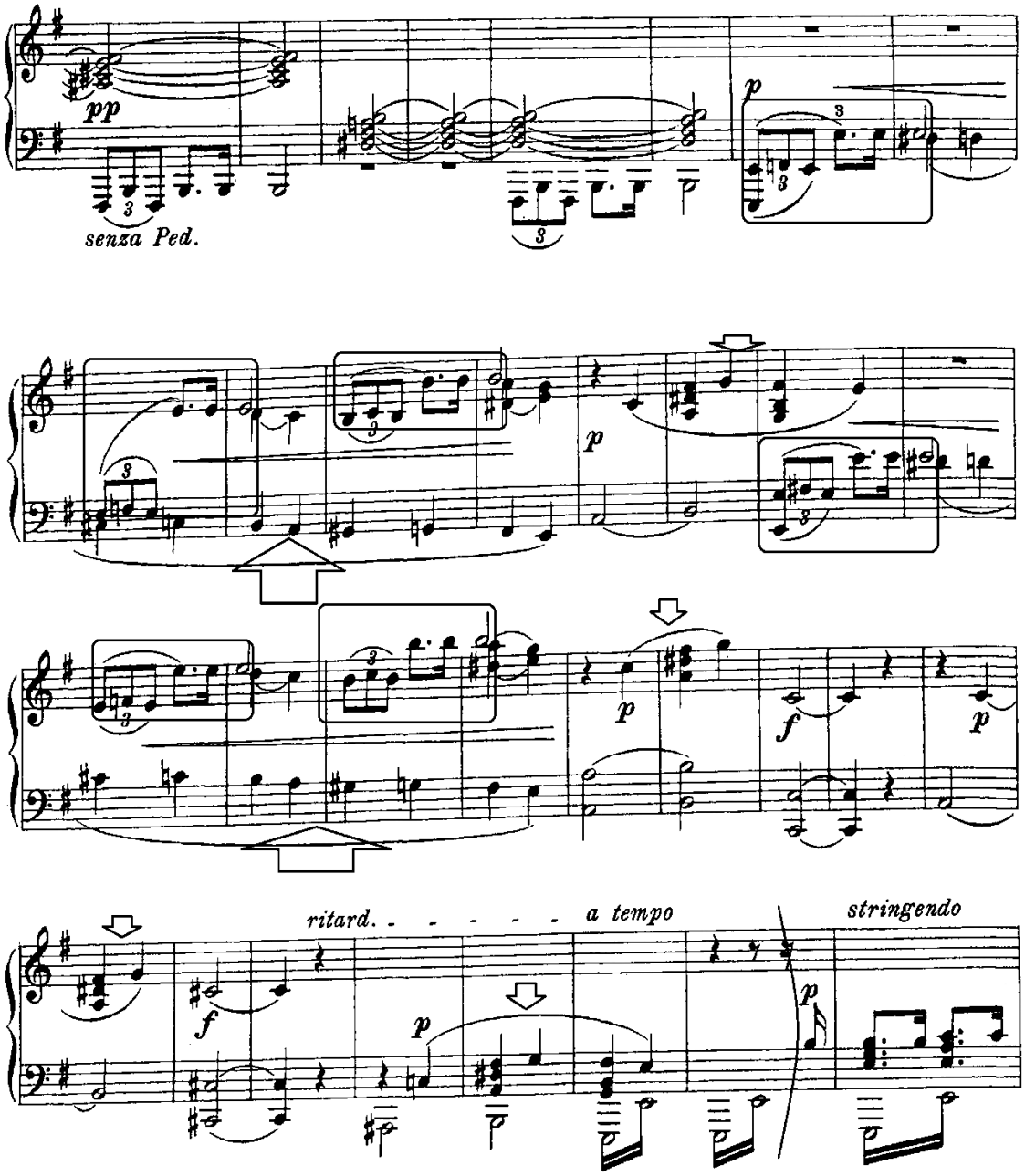
Ex. 1.10-2 measures 306-12: beginning of bridge

The subdued mood of the bridge continues through the secondary theme section in E major. There are no tremolos to recall the principal theme of the exposition, and only half the antecedent returns extended for twenty five measures. The most unusual feature, as mentioned earlier, is the avoidance of a strong essential structural closure, for while this section does in fact end with a V-I progression, its effectiveness is undermined by the absence of the treble voice (Example 1.11). And though the dominant, which can function in either E minor or E major, is emphasized with a pedal point on B, there is nevertheless no strong sense of an evident closure.



Ex. 1.11 measures 340-47: weak essential structural closure

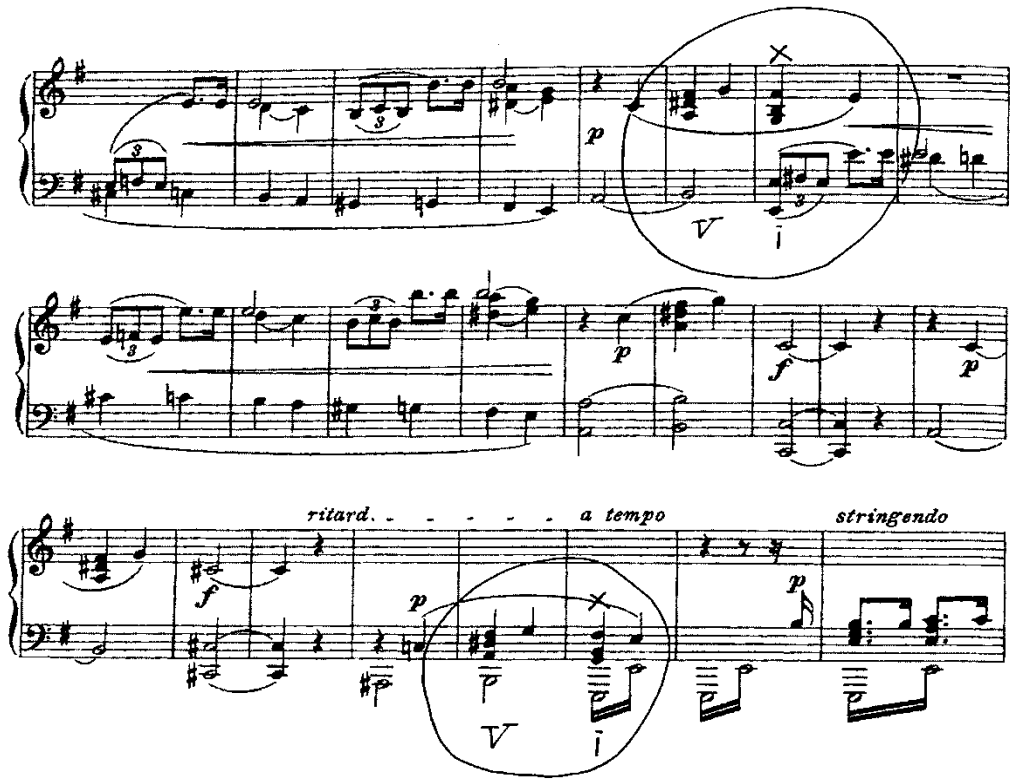
The closing section begins in measure 346 and continues through the coda. Its motive is based on the secondary theme, to which this closing section serves as an extension. In addition, a motive of the bridge is merged vertically with the motive from the secondary theme. Thus, while the bridge motive repeats in the upper voice, the quarter notes which are the motive of the secondary theme are played simultaneously in the lower voice. (In Example 1.12 below, rounded rectangles enclose the motive from the bridge; arrows indicate the motive from the secondary theme). By bringing back the tremolos in the bass at the end, this section prepares the coda.



Ex. 1.12 measures 348-80: vertical combination of motives in closing section

The idea for the coda may be traced back to the retransition, which starts with the principal theme. After five measures, however, the coda is extended to make this section fifteen measures long. Tremolos on E ring continuously throughout the coda, as if trying to compensate for the weakened tonal security of the recapitulation. The articulation *stringendo* and the rising melody anticipate a brilliant ending which nevertheless does not occur. This movement ends quietly, as it began.

Throughout the recapitulation, there is not a single perfect authentic cadence. There are, in fact, a pair of possible perfect authentic cadences in the closing (measures 361-62 and 377-78) but each is obscured by appoggiaturas (see Example 1.13). In terms of the recapitulation's main goal, which is to secure the tonality, this one cannot be considered the strongest closure.



Ex. 1.13 measures 356-80: possible PAC with appoggiatura

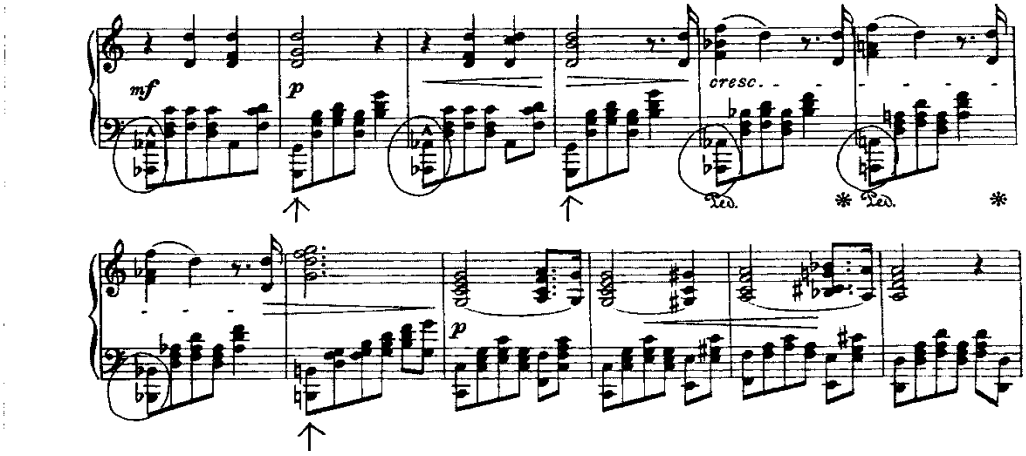
II. Second movement, *Andante largamente*

The second movement is in ternary form (ABA') with a short coda. The A and A' sections are in C major (i.e., VI of E minor, the key of the sonata); the B section is in A minor. The A and A' sections frequently use secondary dominant or diminished chords, yet retain a diatonic harmonic progression. Although the foundation of both sections is the same in respect to melody, harmony, and structure, there are certain differences between them. First, the A' section is longer than the A on account of the extension at the end: 32 measures for the A section vs. 43 measures for the A'. Second, the melody of the A' section is an octave higher and texturally thicker. Third, while the accompaniment of the A section is in eighth notes, the A' section is accompanied in sixteenth-note arpeggios, resulting in a faster and more flowing accompaniment.

Dotted rhythms and triplets are the main features of the B section (mm. 33-68). Its harmonic progression appears, at first glance, to be complicated but in fact is quite straightforward; I will explore the reasons for this in more detail below. At the end of this section is a retransition comprised of a single chord—the secondary diminished seventh chord in G (vii7/G). This chord is followed by second-inverted C major chord upon which the A' section commences. Moreover, in terms of its harmonic progression, the A' actually begins in the middle of the section. Again, I will explain this in more detail as this chapter unfolds.

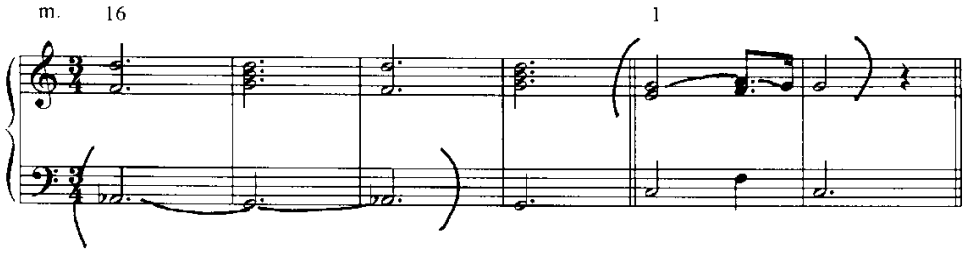
The seven-measure coda is a reminder of the B section. Its texture is thinner, however, and the pitch ‘C’ sounds throughout in the top voice. In consideration of its brevity, this coda is best thought of as a codetta.

The A section (mm. 1-32) consists of four phrases which combine to form a sentence structure: (2+2+4). The first two phrases are a period with a modulation at the consequent; the antecedent (mm. 1-8) starts in C major while the consequent (mm. 9-16) ends in G major. The main frame of the third phrase (mm. 17-24) is a G major chord with chromatic neighboring and passing tones, which set up the return to C major (Example 1.14). Of interest is that the chromatic neighboring tone in the bass seems to be derived from the melodic line in the first measure (Example 1.15). While the melody emphasizes F and D, the other voices move chromatically in three different voices (mm. 21-24); one in the treble clef, the others in the bass clef. The lowest voice proceeds in contrary motion to those in the upper voices, which is the omnibus progression (Example 1.16).[48] The last phrase (mm. 25-32) starts as though it were going back to the first phrase but instead ends on a perfect authentic cadence in C major.

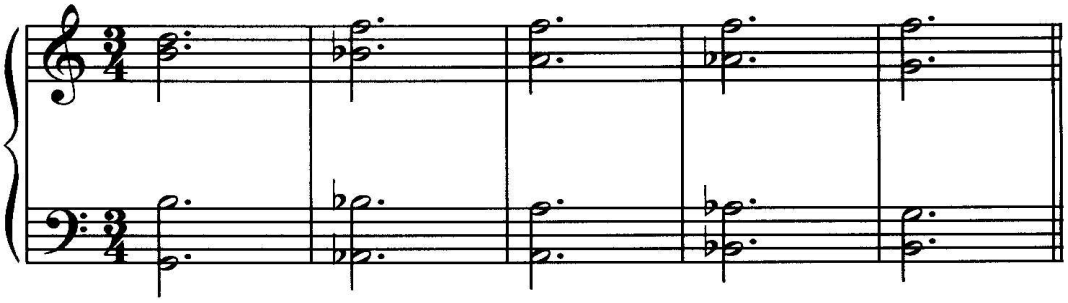


Ex. 1.14 measures 17-28: chromatic neighboring and passing tones in the third phrase

[48] Detailed examples of chromatic progressions including omnibus progression are shown in Robert Gauldin, "The Theory and Practice of Chromatic Wedge Progressions in Romantic Music,**"** *Music Theory Spectrum*, Vol. 26, No. 1 (Spring, 2004): 1-22.

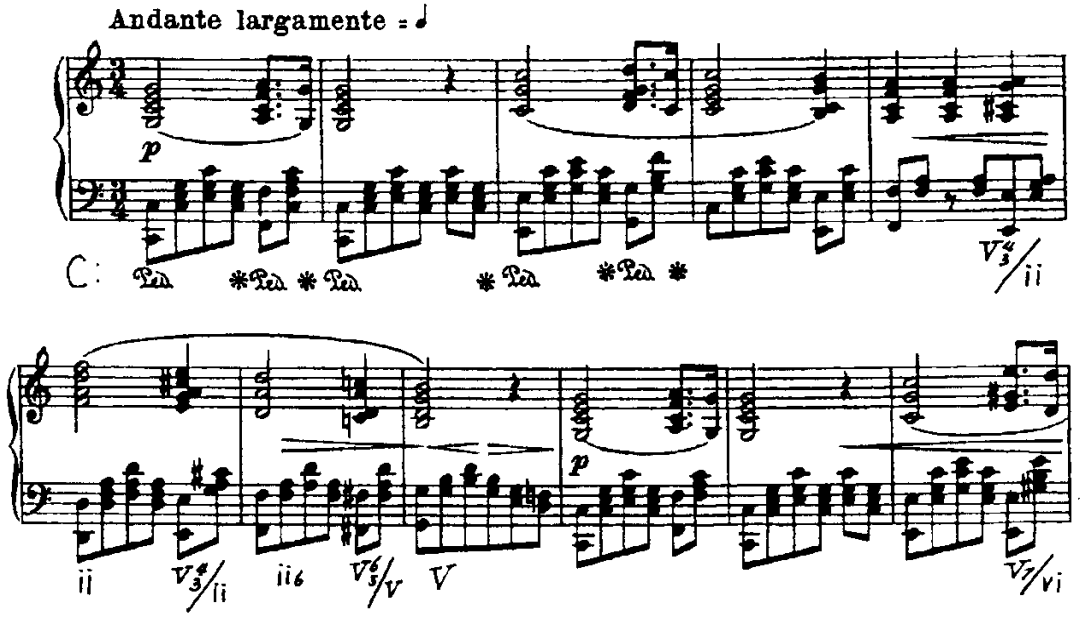


Ex. 1.15 Derivation of neighboring tone



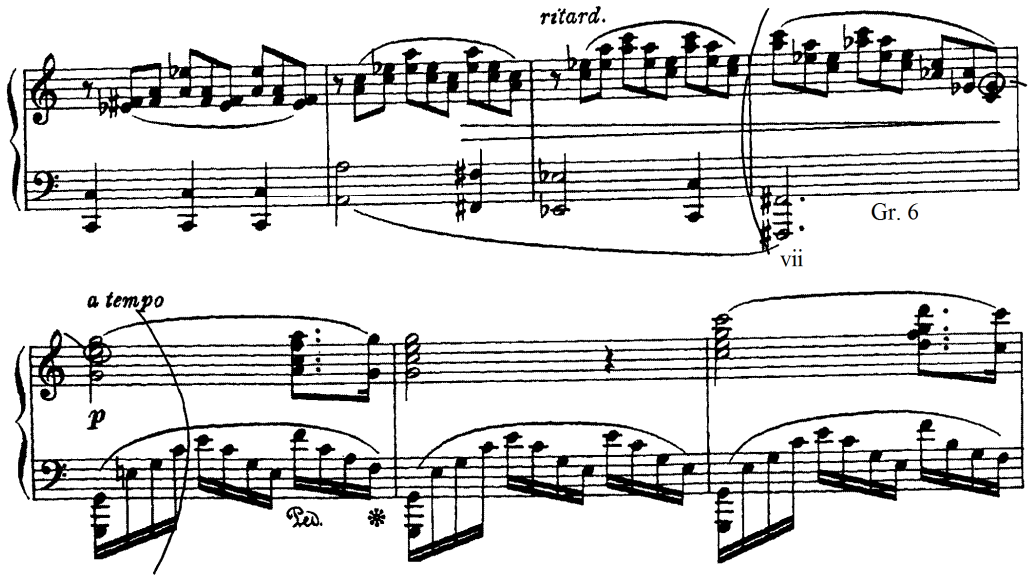
Ex. 1.16 Omnibus progression

Save for the secondary chords, the harmony of the A section is fairly straightforward. Given the relatively short length of this section, however, those secondary chords figure prominently in the overall tonal plan of the section. An example of their usage is given below (Example 1.17).



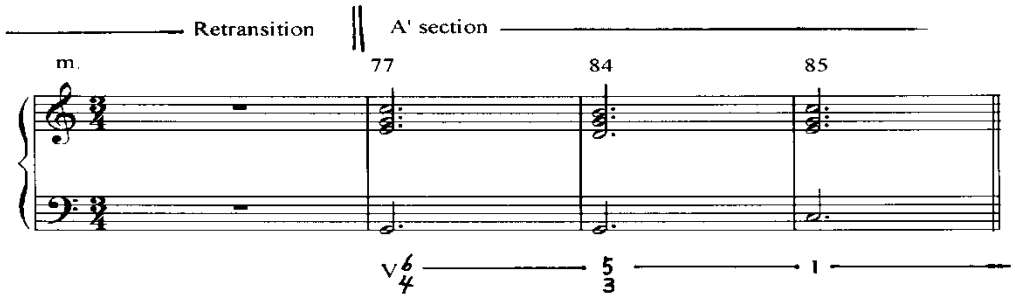
Ex. 1.17 measures 1-11: example of secondary dominant chords in A section

As I have already noted, the second-inversion chord with which the A' section (mm. 77-120) starts follows the retransition, the last measure of which is itself based on the secondary diminished seventh chord in G major in the root position (vii7/G) and augmented German sixth chord. Thus, the F-sharp, the bass note, needs to be resolved to G, and the E-flat, the seventh note, to D. Yet while the F-sharp immediately resolves to G, the E-flat that moves to the E-natural at the outset of the A' section does not resolve until measure 84 (Example 1.18).



Ex. 1.18 measures 73-79: resolution of vii7/G in outset of A` section

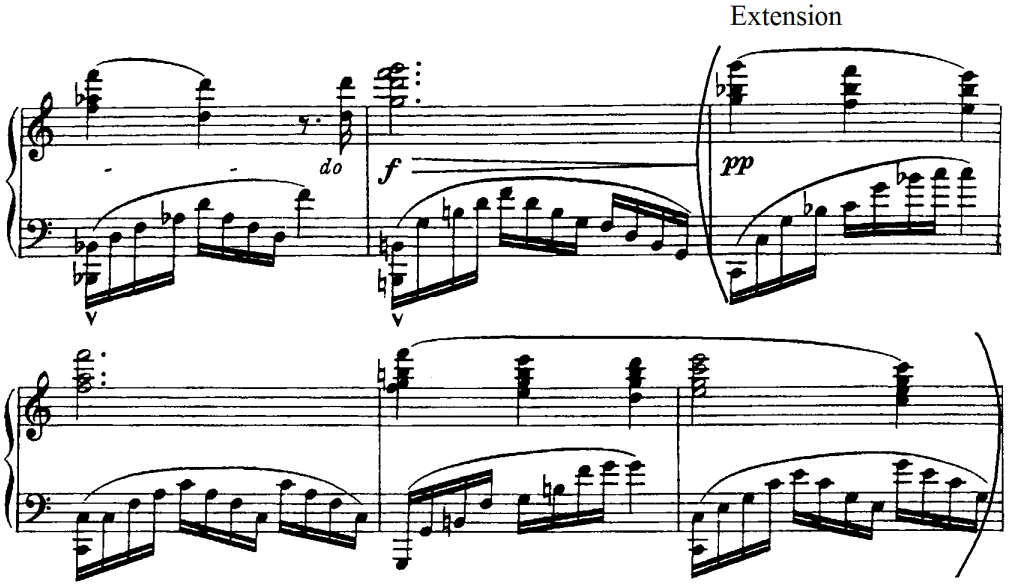
The A' section features two separate returns of the A section; the first is melodic, the second, harmonic. The melodic return of the A' section starts in measure 77, but the harmonic return cannot be said to occur until seven measures later, when the second-inversion dominant chord resolves to a root position I chord in measure 85. As a result, the measures 77-83 are the extension of the V (Example 1.19).



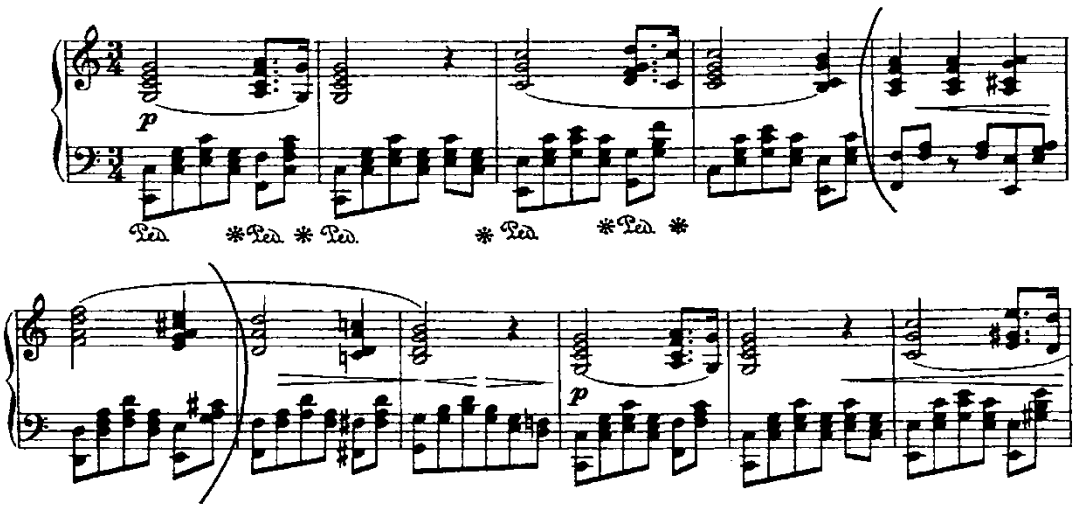
Ex. 1.19 Harmonic progression of beginning of A` section

From measure 77 to measure 100, the fundamental elements of the A' section—melody and harmony—are almost the same as those of the A section. Yet there are some slight differences between them. When the melody returns in the A' section, it is an octave higher and the eighth-note accompaniment has been replaced by sixteenth-notes. There are also variations in dynamics: measure 17, for instance, is marked *mf*, but its corresponding measure 93 is marked *crescendo*.

The extension of the A' section starts in measure 101 with a dynamic marking of *pianissimo*. This extension of twenty measures is in fact a replacement of the last phrase of the A section which did not return to the A' section. The first sixteen measures form a period, while the remaining four measures are an extension of the period. The entire section emphasizes the tonic and dominant of C major, and its rhythmic motives are taken from either the first or last phrase of the A section (Example 1.20-1&2).

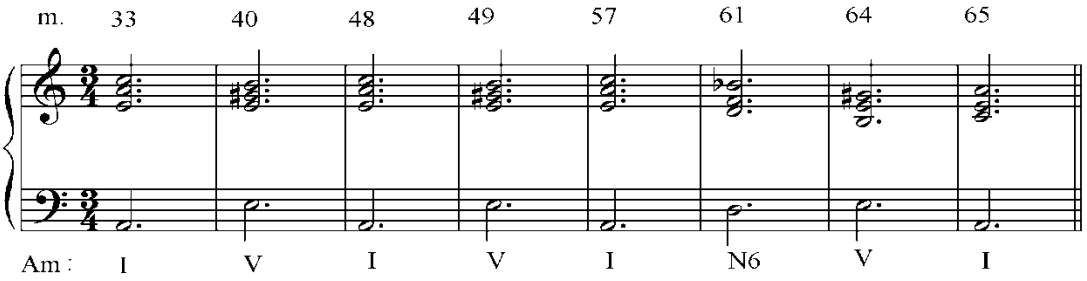


Ex. 1.20-1 measures 99-104: beginning of extension in A` section

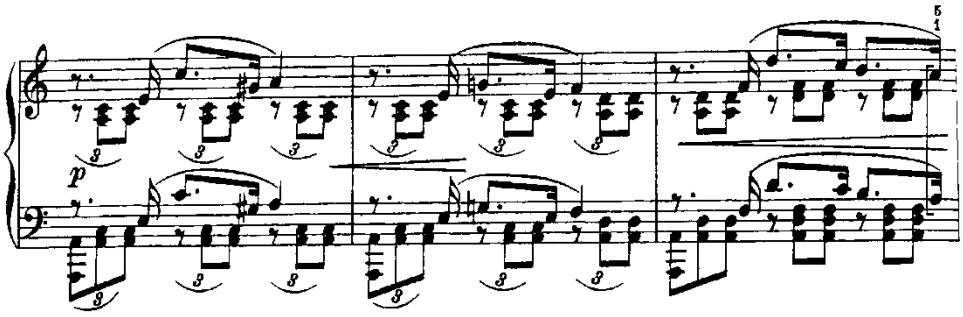


Ex. 1.20-2 measures 1-11: first phrase of A section

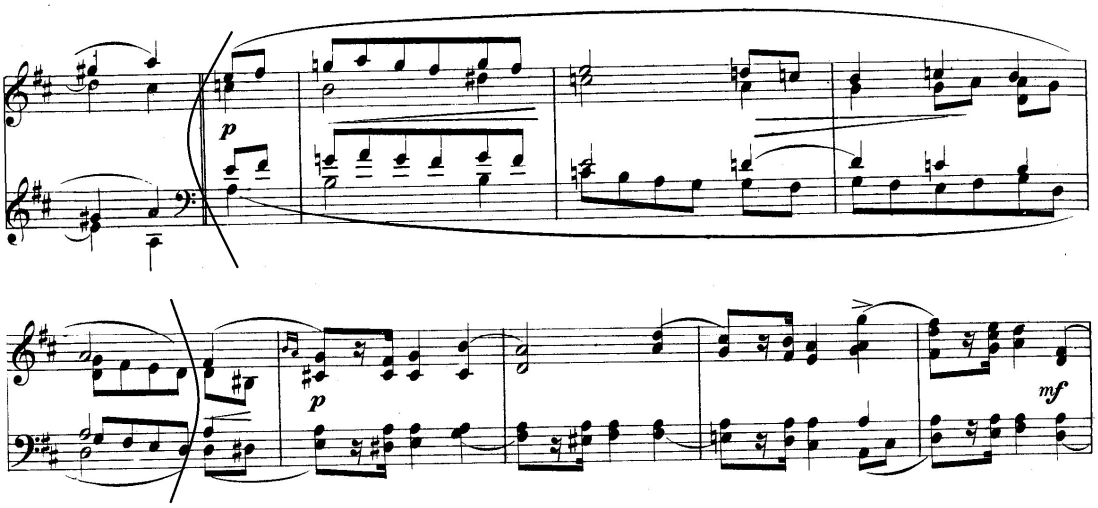
The B section (mm. 33-76) uses rhythm (dotted and triplets) and an A-minor tonality to contrast with the surrounding music; the constant triplets, especially, give it a noticeably different character. While it sounds more rhythmically mobile and colorful than the A sections, its harmony is fairly straightforward (Example 1.21). The melody, moreover, is never lost in the moving figurations, a fact perhaps helped by being doubled in the soprano and tenor (Example 1.22-1). This idea of doubling melodies is seen quite often in works of Robert Schumann such as Carnaval, Op. 9, Kinderszenen, Op. 15, and Fantasie Op. 17. The Example 1.22-2 is an excerpt from his Kinderszenen.



Ex. 1.21 Harmonic progression of B section

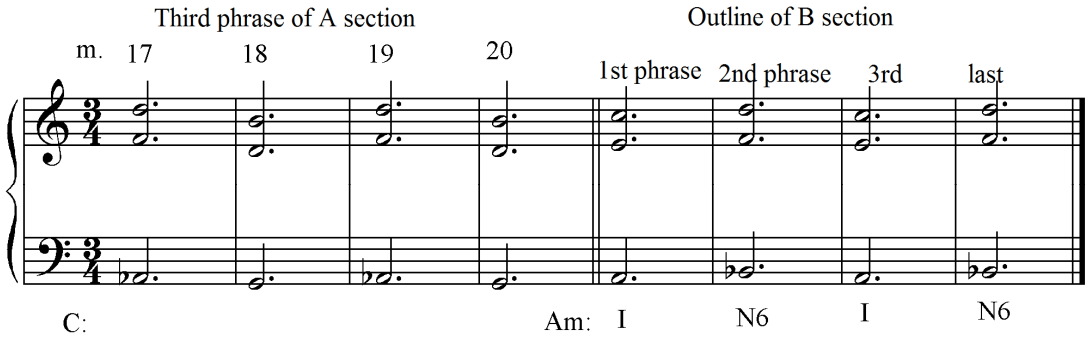


Ex. 1.22-1 measures 33-35: melody doubled in soprano and tenor



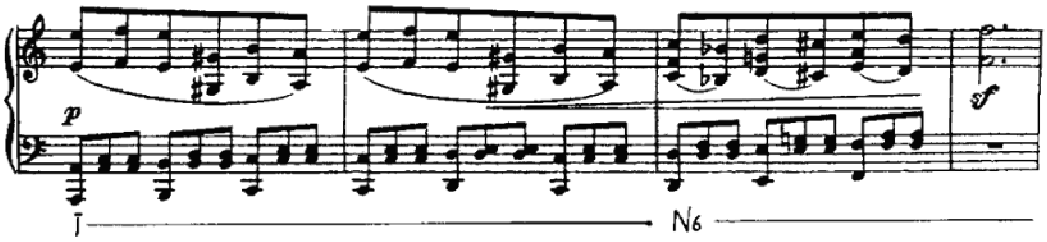
Ex. 1.22-2 Schumann's Kinderszenen Op. 15, no. 2

Three of the four phrases of the B section are based on an eight-measure unit; the third is twelve measures long. The outline of the first two phrases shows I-V-I, while the third phrase emphasizes the dominant; the last phrase ends with a perfect authentic cadence. The second and last phrases contain Neapolitan sixth chords which remind the listener of the chromatic neighboring tones in the bass in the third phrase of the A section (Example 1.23).



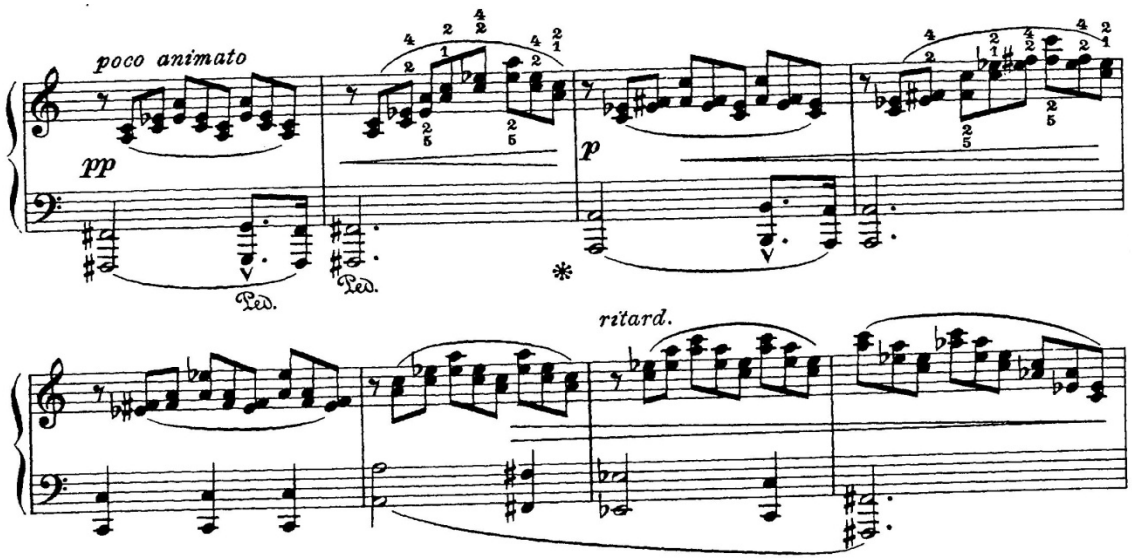
Ex. 1.23 Comparison between third phrase of A section and B section

The twelve measures of the third phrase are based on three chords. The first eight measures are based on the dominant; the remaining four measures start with a I chord but then shift to the Neapolitan sixth, the starting chord of the next phrase (Example 1.24). After four measures of Neapolitan sixth, an extension of the I chord follows.



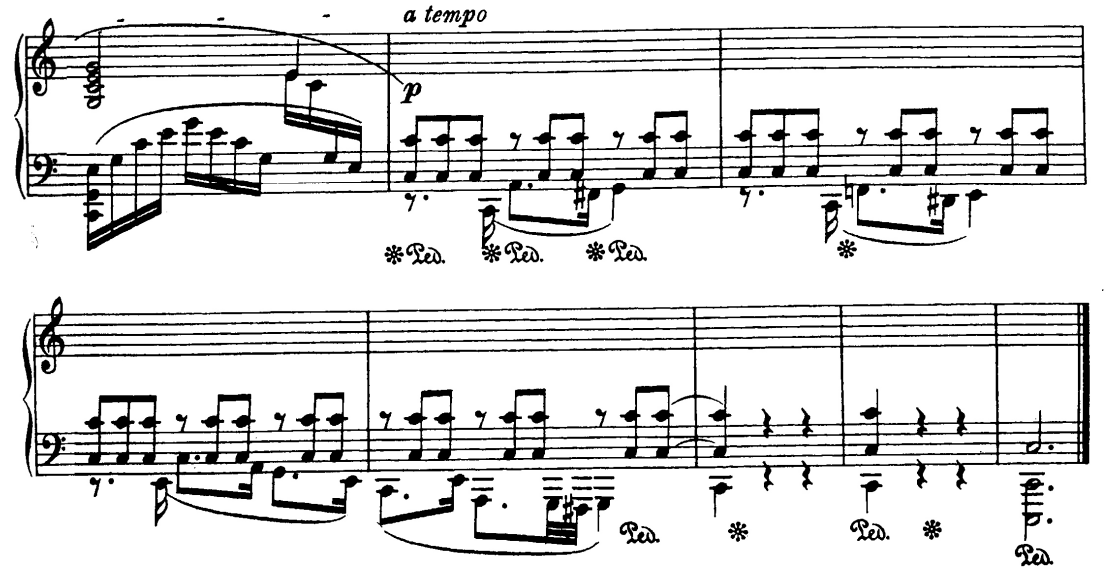
Ex. 1.24 measures 57-60: last four measures of third phrase of B section

While the transition between A and B sections is unremarkable, the retransition (mm. 69-76) is quite prominent. Composed of a single chord (a German augmented sixth chord appears briefly in the last measure), vii7/G, it leads to the second inversion of a C chord in the recapitulation. This section, moreover, combines the motives of both A and B sections: the right hand presenting the triplets of the B section while the bass presents the motives of the A section (Example 1.25).



Ex. 1.25 measures 69-76: retransition

The coda (mm. 121-27) is reminiscent of the B section, but with a thinner texture and triplets constantly playing Cs in octaves (Example 1.26).



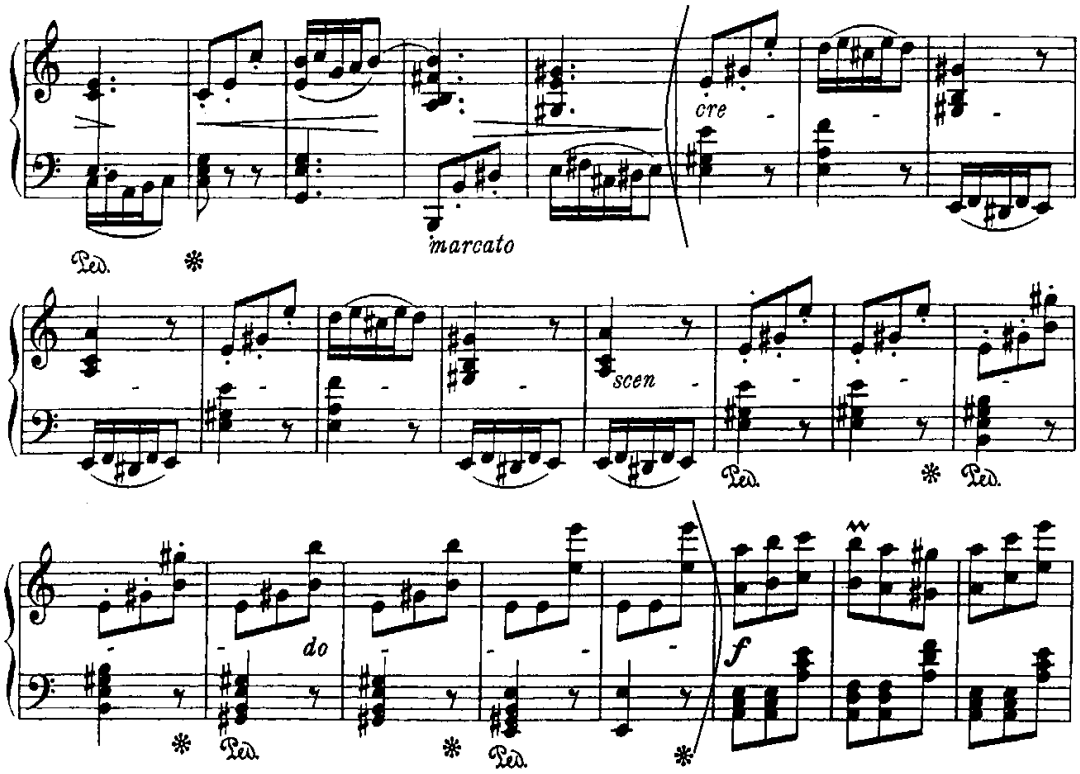
Ex. 1.26 measures 120-27: coda

III. Third movement, *Moderato*

This movement is a typical scherzo with trio: the scherzo is light and buoyant; the trio, more serious and intense. Both sections are in rounded binary form. While the scherzo repeats only the second part, the trio repeats both parts.

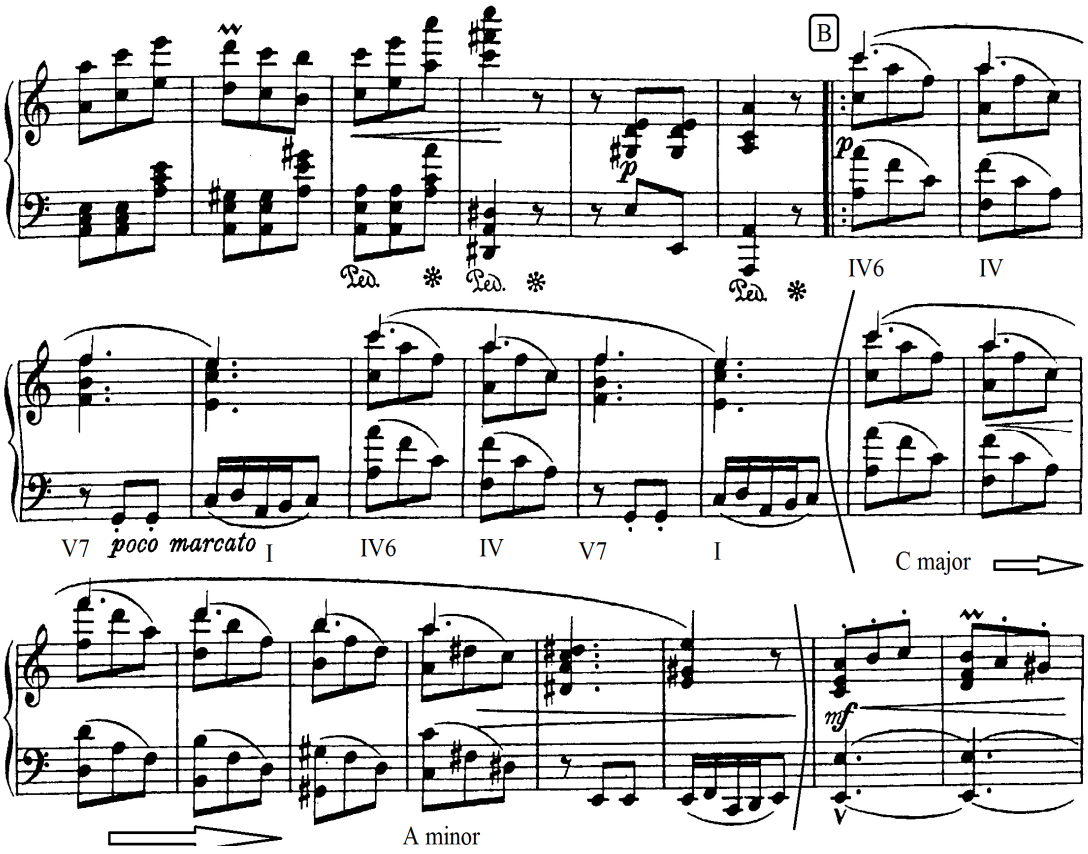
The most noteworthy feature in this movement is the recycling of the compositional ideas that were already heard in the earlier movements, in particular, the long prolongation of the dominant (a unique way of handling the return of the A section in the scherzo), and the ambiguous use of the Neapolitan chord in the trio.

The scherzo (mm.1-95), 3/8 in A minor, opens with a period, each of whose sentences forms an antecedent and consequent. Interestingly, the antecedent ends on a half cadence in A minor and the consequent on an authentic in C major. Because the authentic cadence in measure 16 is not perfect, however, it does not sound finished, and is immediately extended by a sequence; i.e., measures 17-20 are a sequence based on measures 13-16. During the sequence, A minor is restored and the dominant seen in measure 20 is prolonged for sixteen measures (mm. 21-36; see Example 1.27). It can therefore be said that measures 17-36 are an extension of the consequent phrase of measures 9-16. Measures 37-52 are a return of the period which opened the scherzo, yet the consequent ends on a perfect authentic cadence in A minor this time. What is more, this return is characterized by a much thicker texture, and is an octave higher in register.



Ex. 1.27 measures 16-39: prolonged dominant

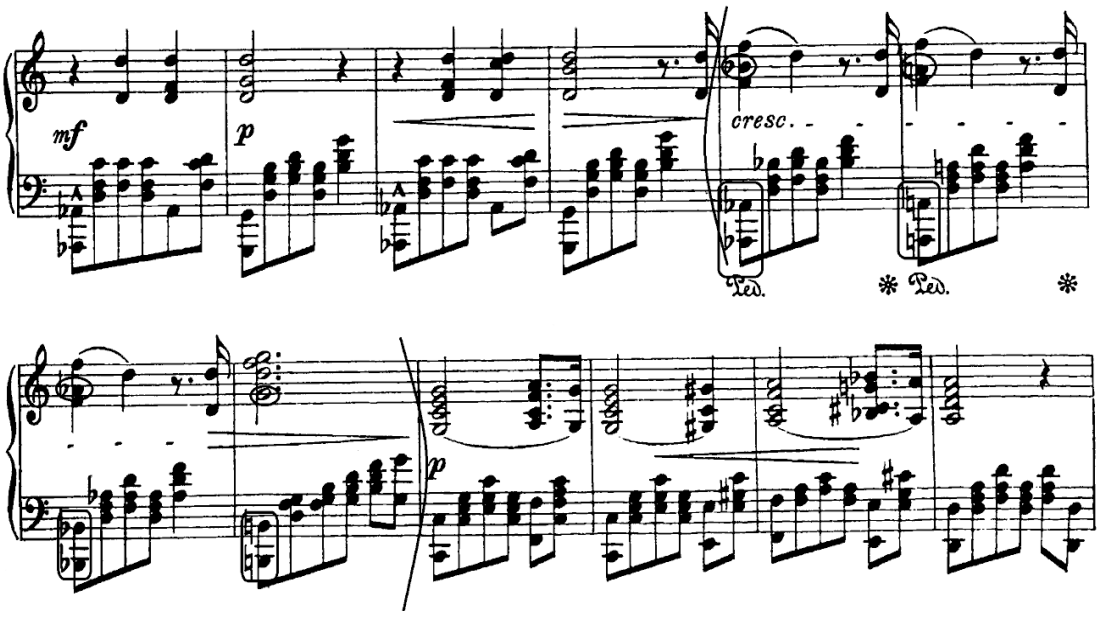
Another feint towards a cadence to C appears at the beginning of the second part of the scherzo. It starts with a IV chord of C major and immediately forms a IV-V-I progression that occurs twice in succession (mm. 53-60; see Example 1.28) Since this cadence is an imperfect authentic cadence, however, it does not sound finished and immediately begins a return to A minor in the next phrase (mm. 61-68; also see Example 1.28 for the transference from C major to A minor) The first sixteen measures of the B section form an extended sentence structure (4+4+8).



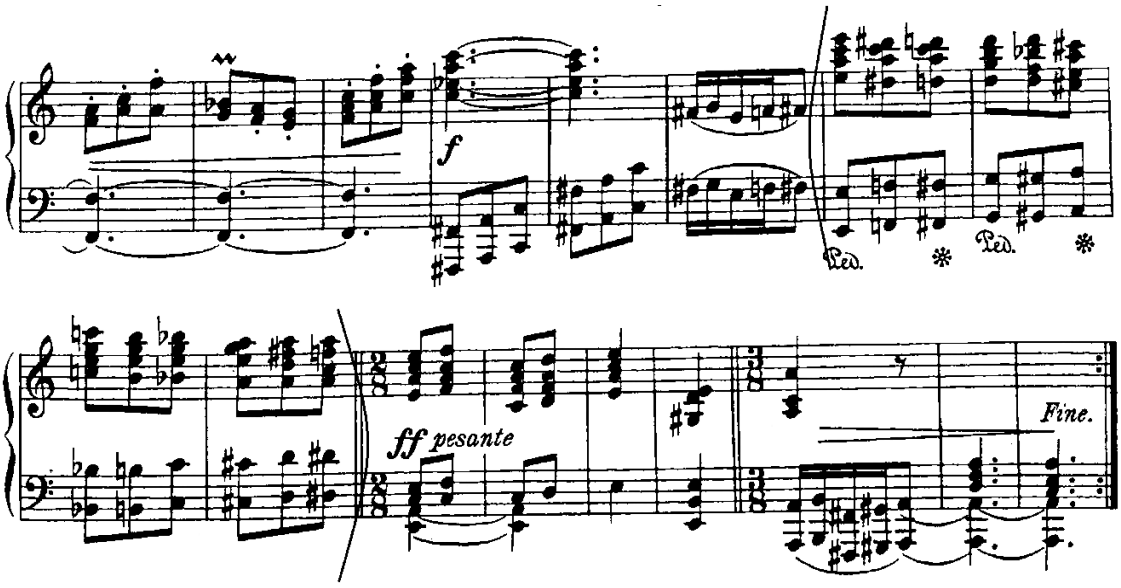
Ex. 1.28 measures 47-70: beginning of second part of scherzo

The most unusual thing to happen in the scherzo occurs at the return of the A section (mm. 69-95). As happened in the previous movement, the A section comes back over the pedal point on the dominant: i.e., the dominant of measures 67-68 does not resolve to the tonic but continues to be prolonged instead. And rather than fulfill the expectation that it will resolve to the tonic in the next phrase, it moves chromatically up to F in measure 77. Another reminiscence (mm. 21-24 of the second movement; see Example 1.29-1) occurs in the scherzo in measures 85-88, where the bass moves chromatically in contrasting motion to the upper voice. Whereas in the second movement the tempo is slow and the chord changes few, in the scherzo the tempo is faster and the

rhythms more animated (Example 1.29-2). As a result, the dominant, which has been unresolved since measure 67, finally resolves to the tonic in measure 93. Thus the prolonged dominant and extensions cause the asymmetrical proportions of each section of the scherzo.



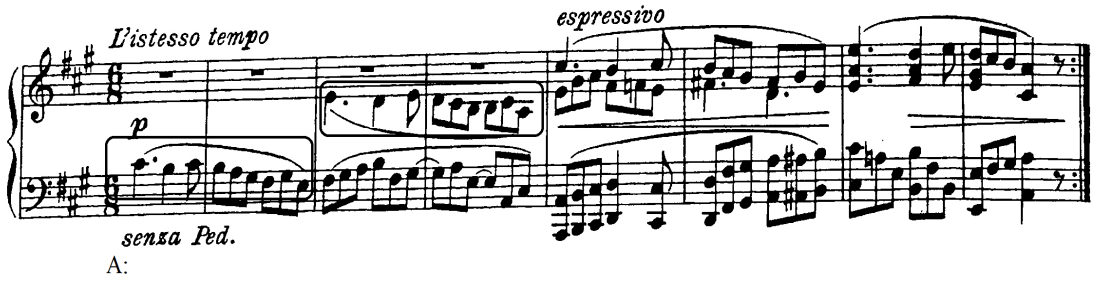
Ex. 1.29-1 measures 17-28: chromatic bass line contrary motion to upper voice in second movement



Ex. 1.29-2 measures 79-95: chromatic bass line contrary motion to upper voices in third movement

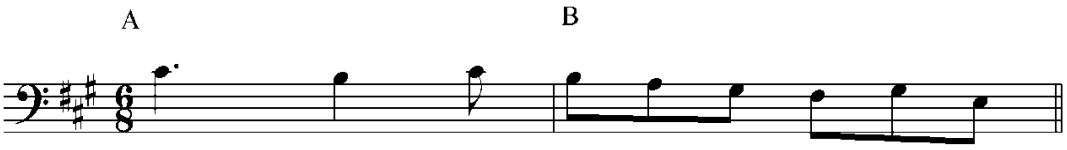
A gigue-like fugue is the main conceit of the trio section (mm.96-127), which is in A major and 6/8 meter. The first part begins with the statement of a brief two-measure long subject in each voice, and lasts just eight measures. After the first part repeats, the second part starts in E major and continues in a homophonic texture emphasizing the temporary tonic (E) and dominant (B) until the first part returns in A major.

Like the scherzo, the trio is also in rounded binary form. Unlike the scherzo, however, in which only the second part is repeated, in the trio both parts repeat. While this trio resembles a fugue in 6/8 meter, there are two differences between this and typical fugues. First, the answer here is a third up from the subject, while a typical fugue has its answer a fifth up. Second, there is no counter-subject—each entry of the subject has only a slightly different type of melodic accompaniment rather than a real counter-subject (Example 1.30).

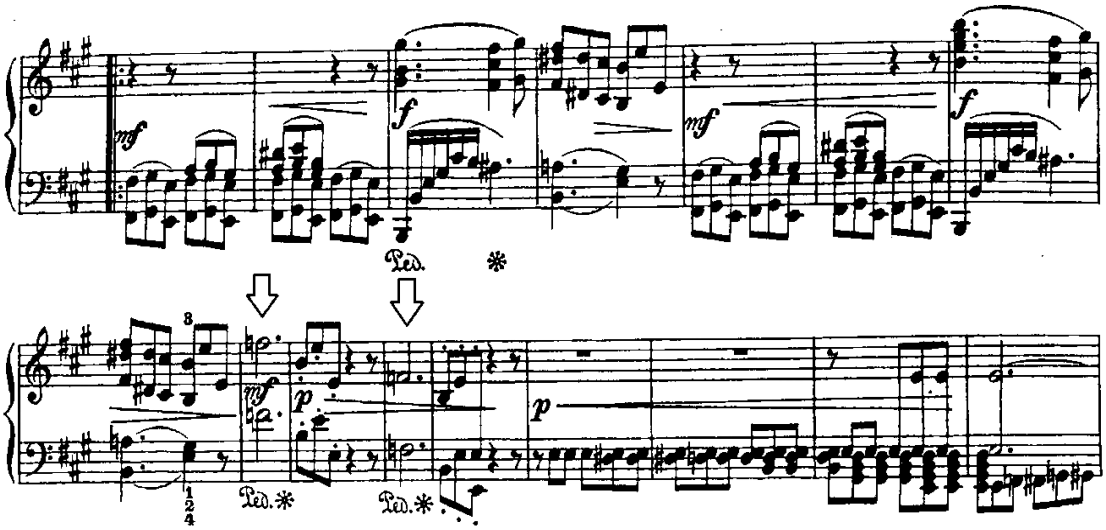


Ex. 1.30 measures 96-103: subject and answer in trio

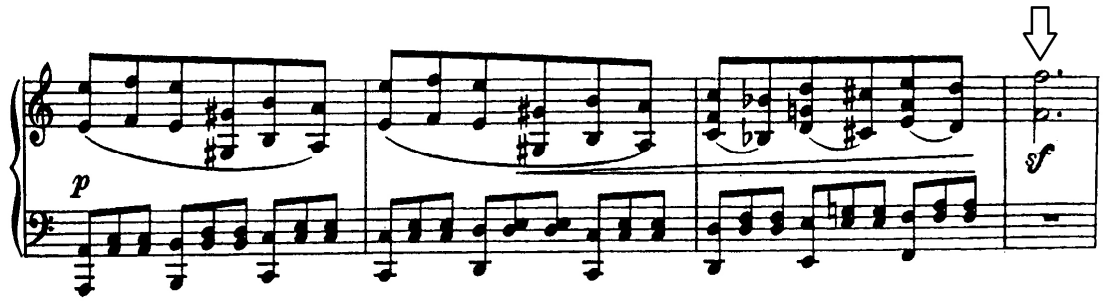
There are two motives used for the trio section (Example 1.31). These motives continue in the B section of the trio, though in E major. This section before the return of the A is divided into two phrases (mm. 104-19). The first phrase (mm. 104-11) sounds quite close to the A section of the trio because the former is mostly constructed of the motives of the latter. But their textures are conspicuously different: one is homophonic while the other is contrapuntal. The second phrase (mm. 112-19), which stresses the dominant and the gradually accumulating notes, is a preparation for the return of the A section. This phrase starts with F, a note of the Neapolitan sixth chord already seen in the second movement. These two moments are similar in the use of a Neapolitan sixth chord and the dotted half-notes which fill up whole measures (Example 1.32-1&2).



Ex. 1.31 Two motives used for trio

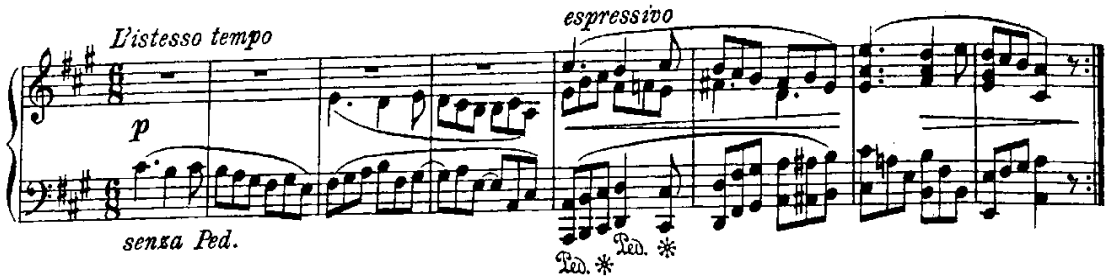


Ex. 1.32-1 measures 104-19: Neapolitan in trio of third movement

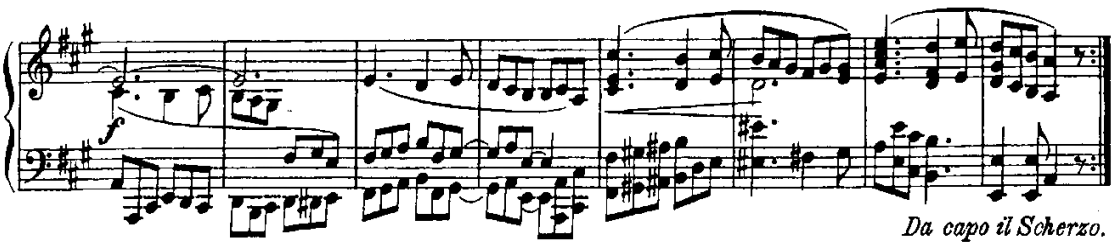


Ex. 1.32-2 measures 57-60: Neapolitan in second movement

There are some differences between the initial appearance and the return of the trio theme. First, the *crescendo* in the previous measures (mm. 116-119) helps the powerful return by adding more and more notes. Thus it starts *forte*, as opposed to the initial appearance at the beginning of the trio. Second, the texture is slightly thicker at the return: even the first two measures have accompaniment; in the next two measures the counterpointing voice plays in octaves. Third, the harmony is elaborated with chromatic notes (Example 1.33-1&2).



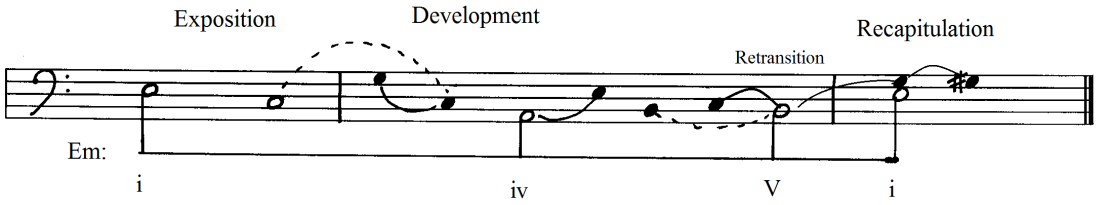
Ex. 1.33-1 measures 96-103: A section of trio



Ex. 1.33-2 measures 120-27: return of A section in B section

IV. Finale, *Moderato*

The finale is much grander and freer than the first two movements of this sonata. It encompasses such unexpected features as irregular phrasing, unconventional proportions in each section, and tonal ambiguity. In particular, the finale does not have clear boundaries between sections; all three of them—exposition, development, and recapitulation—appear to be seamlessly linked. The movement as a whole may be understood in terms of the following tonal scheme:



Ex. 1.34 Tonal scheme of finale

Among the sections, the exposition is simplest. Its principal theme is in E minor and secondary theme is in C major—the key of VI and also the key of the second movement of this sonata. In between the principal and secondary themes is a transition which opens similar to the beginning of the principal theme section, but becomes more chromatic thereafter. It ends with a four-measure caesura-fill which is built upon the dominant of C major.[49] After the secondary theme section comes a short extension that replaces the closing theme.

At nearly twice as long as the exposition, the development is the most daring section of the Finale. It utilizes such contrapuntal techniques as melodic inversion and rhythmic augmentation; in its use of melody-in-unison, monophonic texture, and frequent chromatic scales, its ending is reminiscent of the last movement of Chopin's second piano sonata. Due to its considerable length, I shall divide the development into six parts and explore each part separately.

The recapitulation, which starts, curiously enough, not with the principal theme but with the transition in *fortissimo* in the tonic key of E minor, is arguably the most dramatic section of this movement. Yet because the transition closely resembles the

[49] James Hepokoski and Warren Darcy, *Elements of Sonata Theory* (New York: Oxford University Press, 2006), 40-41.

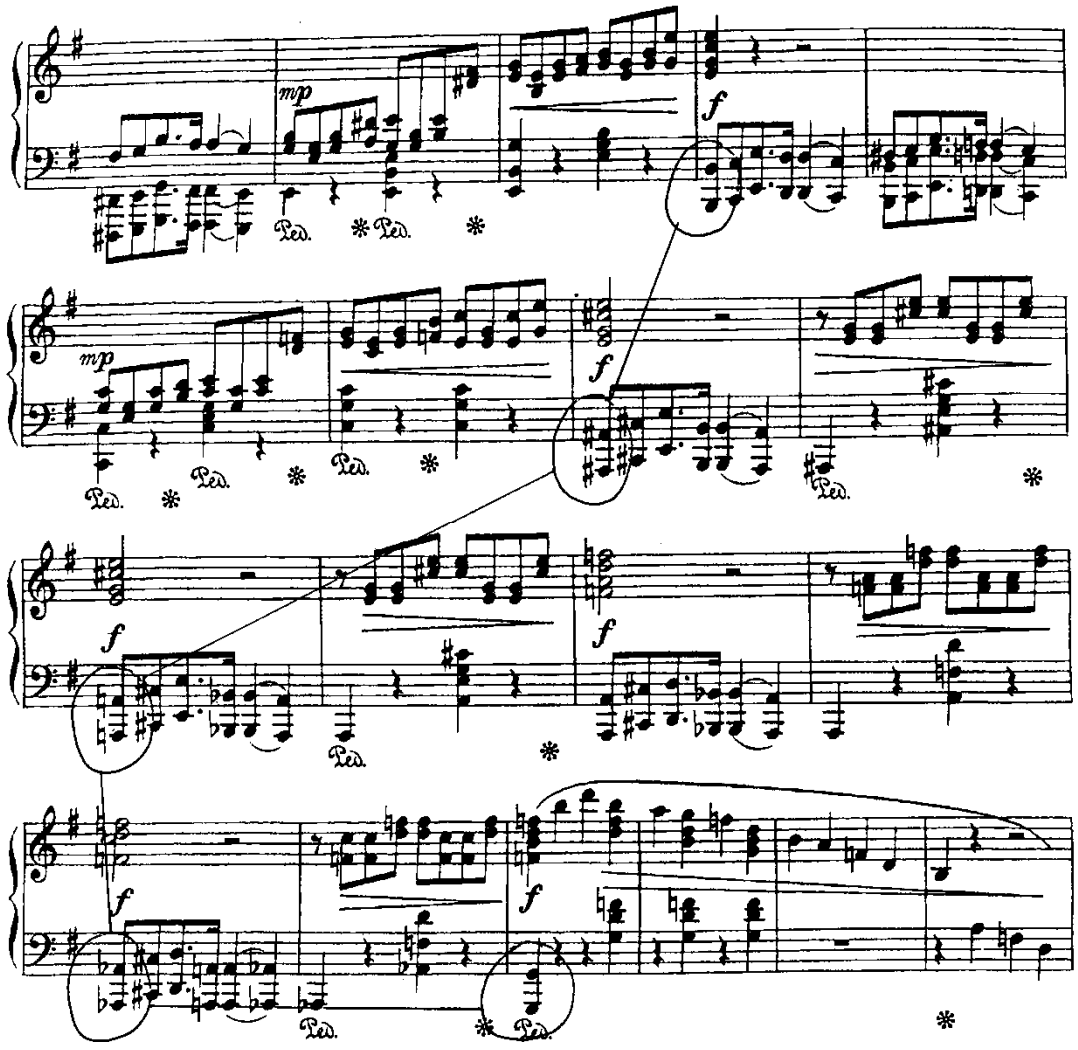
principal theme, that theme is nevertheless invoked. The secondary theme, which is mostly played *piano* in the exposition, returns to the recapitulation with a repeat where it is considerably accented as *fortissimo* in E major. Moreover, the melody is set within a thick texture, its accompaniment in widely ranging arpeggios.

The coda maintains the dramatic mood of the secondary theme, albeit with a motive from the principal theme. Like the beginning of this movement, the coda starts with unisons in both hands, the texture becoming thicker in the higher register, and the melodic line changing hands. This section consists of five short phrases, three of which are four measures long, the rest, six and five measures, respectively.

There is a clear resemblance between the principal themes of the first and last movements, and both themes emphasize the dominant through prolongation. The principal theme of the finale starts with an antecedent and consequent, each four measures in length. Nevertheless, the music seems to vacillate tonally, for the antecedent ends with a half cadence in E minor while the consequent ends with an imperfect authentic cadence in G major. This motion to G major does not foreshadow the secondary key which, as I noted above, is C major, not G major. The next phrase begins as if it were going to form an antecedent and consequent similar to the previous phrase, but a prolongation of the dominant in E minor instead follows.

In the first movement, the principal theme reappears after the prolonged dominant. In the finale, this prolongation is instead followed by a long transition, based on the melody of the principal theme. Its melody is in octaves and is accompanied by faster, thicker motion in the left hand. The modulation from E minor to C major occurs through

a descending chromatic motion in the bass clef in the latter part of this section (Example 1.35).

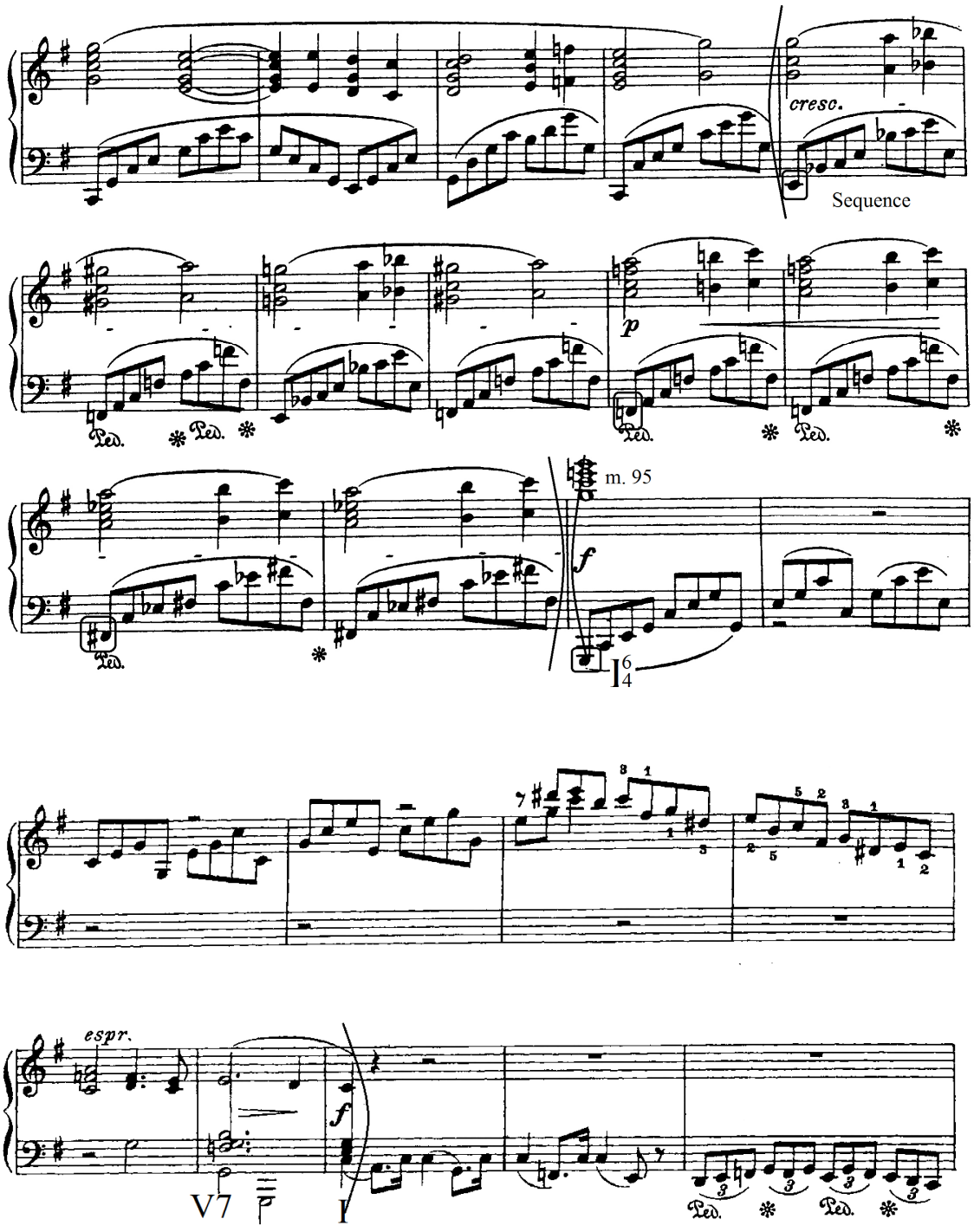


Ex. 1.35 measures 36-54: modulation through chromatic motion in bass

The secondary theme section, mm. 55-103, is comprised of two sets of antecedent-consequent periods, of which the consequents are always extended by a repetition. Whereas the antecedents are eight measures long, the consequents are twelve and twenty-one measures long, respectively. This irregular phrasing is one of the notable

features of this section. A second feature of note is the sudden transitory modulation in the first consequent (mm. 63-74). Following the antecedent, the consequent begins in C major but moves to E major in the second part without a pivot chord before returning to C major in the second antecedent phrase.

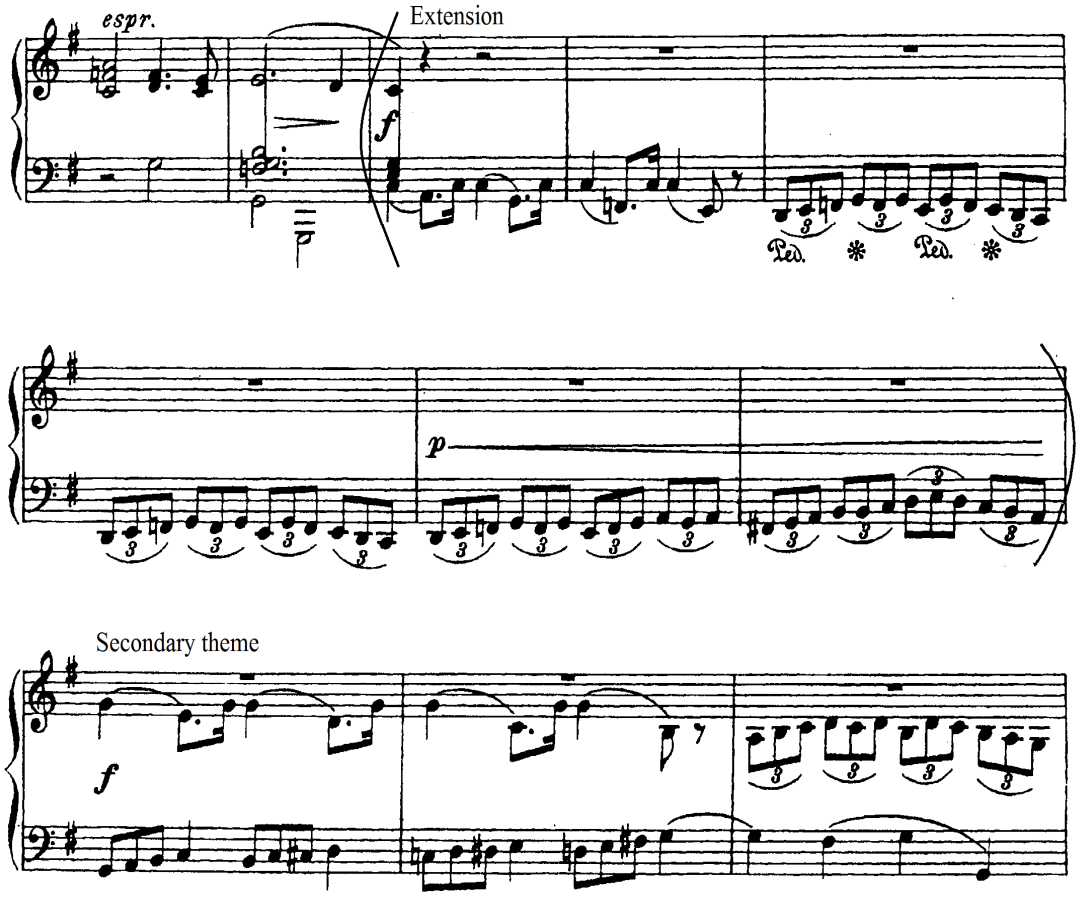
The second consequent phrase (mm. 83-103) is even more complicated. While the first four measures are identical to the antecedent, the following seventeen measures involve two different motivic ideas: a repeat with a sequence and a chromatic bass line, mm. 87-94, and an extension of the cadential I6/4, mm. 95-103 (Example 1.36).



Ex. 1.36 measures 83-105: second consequent phrase of secondary theme section

Finally, there is no closing theme in mm. 103-108. Instead, there is a short extension comprised of a two-measure motive from the principal theme, and a four-

measure-long motive of triplets derived from the bass line of the transition. The modulation from C major to G major—the opening key of the development— takes place in the last measure (Example 1.37).

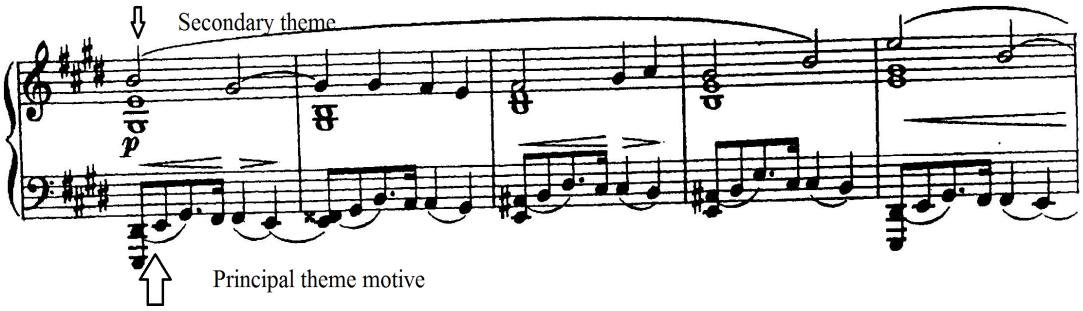


Ex. 1.37 measures 101-08: extension after secondary theme

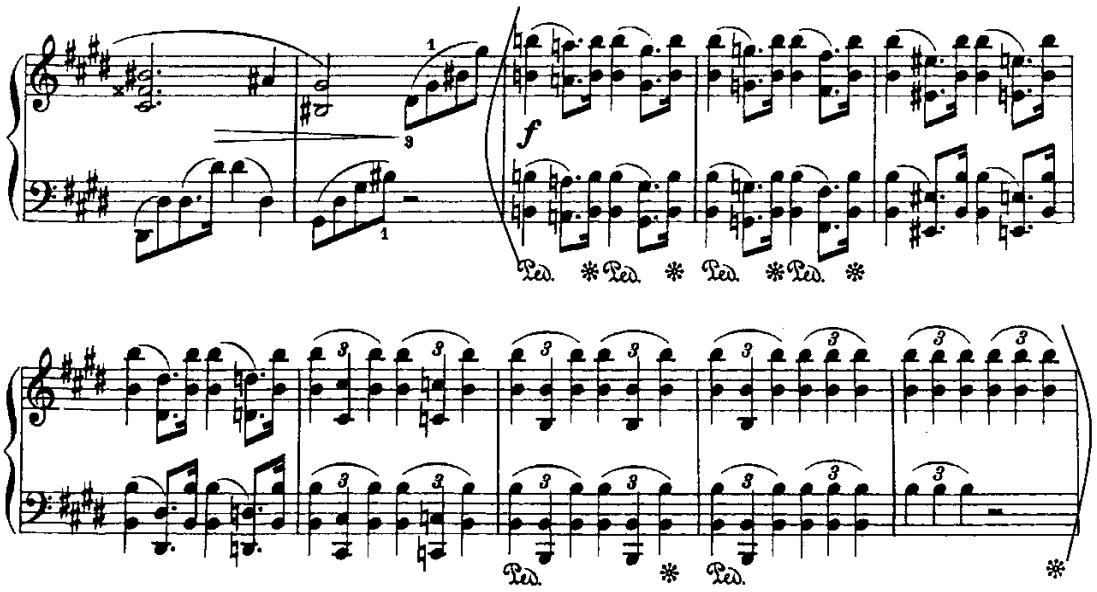
The recapitulation is dense and dramatic. It starts, not with the principal theme, but with a *fortissimo* statement of the transition. Because the theme of the transition is based on the principal theme, however, there is nonetheless a sense of its return at the onset of the recapitulation. The transition is cut short in its recurrence. Only about half of

it reappears within the recapitulation, leading to the secondary theme through a two-measure caesura.

The secondary theme of the recapitulation (mm. 245-99) appears to have a crisp structural scheme. It begins softly in E major, a third higher than its appearance the exposition. But in it the principal theme is used as a counterpoint to the secondary theme, the treble register with the latter, the bass register with the former (Example 1.38). As in the exposition, this section is comprised of two antecedent-consequent periods. There is also a sudden modulation with the first consequent, as there was in the exposition, though whereas the modulation in the exposition was from C major to E major, here it is from E major to G-sharp major. The most significant difference occurs just before the appearance of the second antecedent-consequent period. In the exposition, there was almost no gap between the two periods; in the recapitulation, there is an interpolated eight-measure phrase, mm. 256-72, that emphasizes the dominant of E major (Example 1.39).

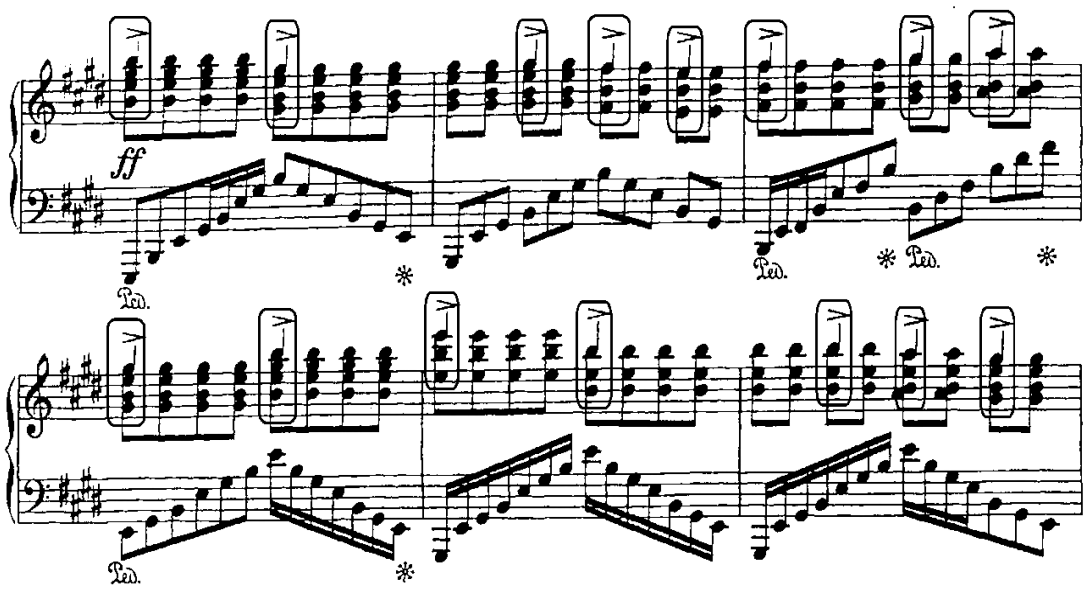


Ex. 1.38 measures 245-49: secondary theme with principal theme motive in recapitulation

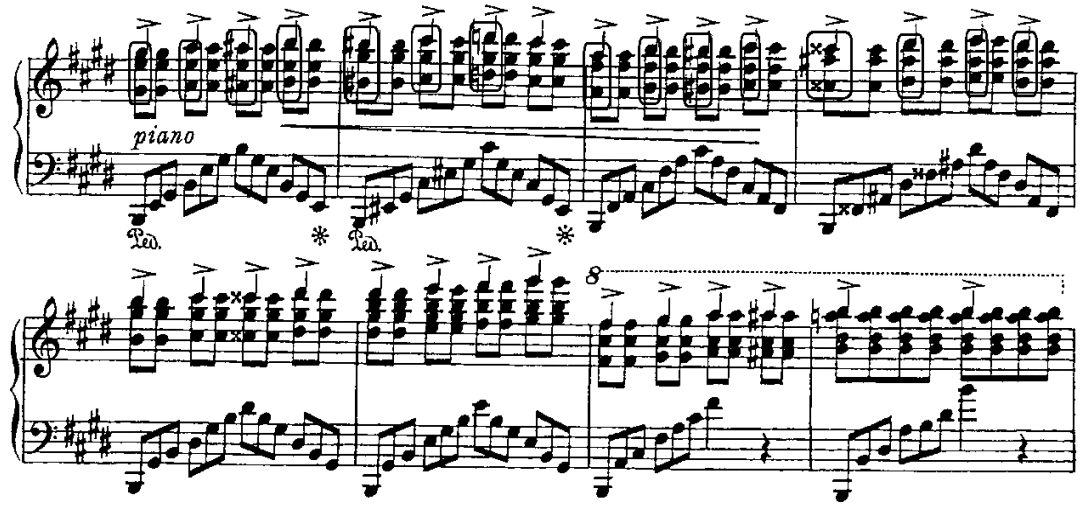


Ex. 1.39 measures 263-72: interpolation in secondary theme section of recapitulation

The second appearance of the secondary theme (mm. 273-99) is the most climactic moment of the whole movement. The highly accented melodic line sits atop a dense chordal texture in the right hand and an arpeggiated accompaniment in the left whose range spans almost three octaves (Example 1.40). This moment of greatest passion then leads to a coda through an explicit essential structural closure in measures 298-99, after which there is a brief chromatic scalar passage (Example 1.41).



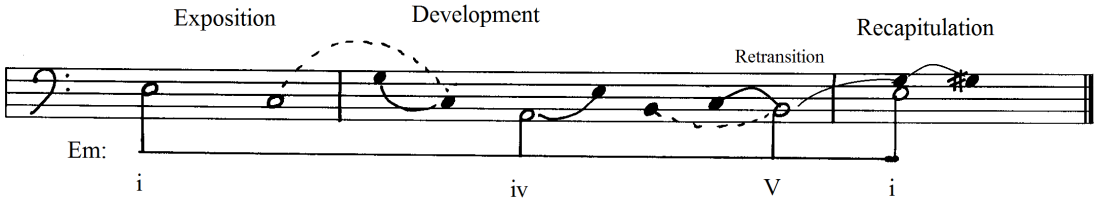
Ex. 1.40 measures 273-78: dense appearance of secondary theme



Ex. 1.41 measures 291-98: chromatic scalar passage before coda

The first four measures of the coda are a partial statement of the principal theme, after which the theme is repeated and extended to six measures. This section ends with a passage similar to the interpolation at the secondary theme area of the recapitulation, with the principal theme in octaves in both hands.

The development (mm. 109-228) is the most complex section of this movement. The main idea for this section is derived from the transition; it is largely based on the melody of the principal theme and triplets although there is a tinge of the secondary theme in its midst. This section starts in G major, the dominant of the secondary theme. Even though various tonicizations follow this, the crucial keys are A minor, IV of the movement as a whole, and E minor with a pedal point on B in the retranstion, V of the movement.



Ex. 1.42 Tonal scheme of finale (Reminder)

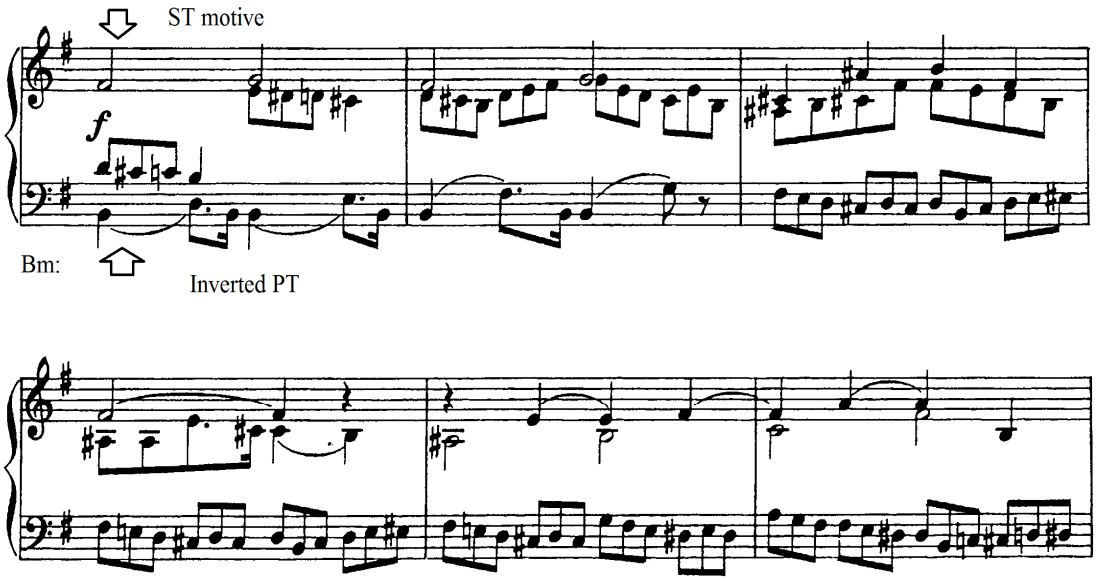
In that a subject appears in each voice successively, and the whole section is set in a polyphonic texture, the development resembles a three-voice fugue. Each entrance, however, appears quite isolated from the others, and thus the sense of fugue is diminished. The development is comprised of three sections and a retransition; (see Table 1.2).

Parts	1	2	3	Retransition
Measures	109-38	139-72	173-96	197-228
Keys	G-C-Am	Am-Em-Bm-Em	Bm-C-Aug. 6^{th} of Em	Dominant of Em
Alteration of Subject	Original	Inversion	Augmentation	Harmonization

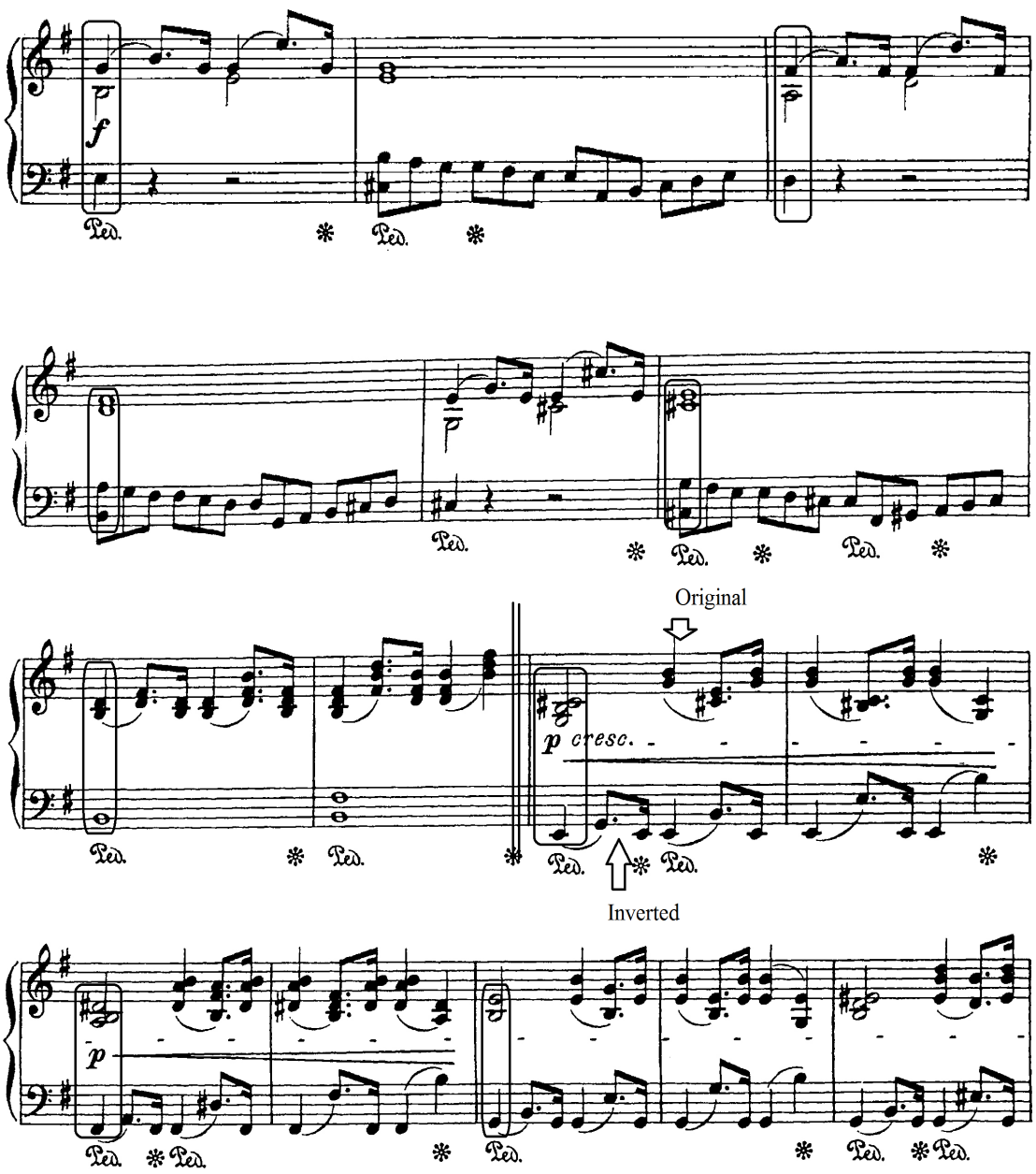
Table 1.2 Structure of development

The first section begins in two voices, with the subject in the alto and the counter-subject in the bass. The subject is answered in the soprano in measure 115 and then in the bass in measure 123. As such, the first section may be categorized as an exposition of a fugue.

A motive from the secondary theme appears at the beginning of the second section of the development, now set with longer note values. After this initial appearance, this motive returns in less obvious ways. The inverted subject—appearing in the bass in the key of B minor as the motive of the secondary theme and triplets float above—form the main idea of this section, mm. 151-56 (Example 1.43). This inversion is followed by two contrasting sets of sequences: the first is a downward sequence based on alternation between the inverted subject and the triplets; the second is an upward sequence based on a vertical setting of the inverted and original subject (Example 1.44).



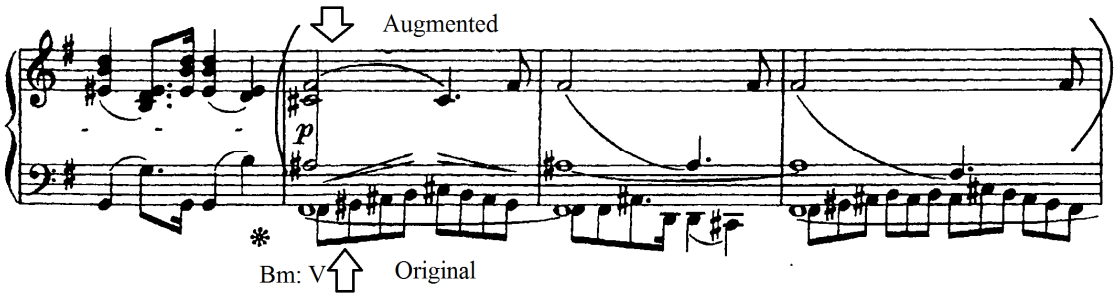
Ex. 1.43 measures 151-56: inverted principal theme with secondary theme motive



Ex. 1.44 measures 157-71: sequences with inverted principal theme motive

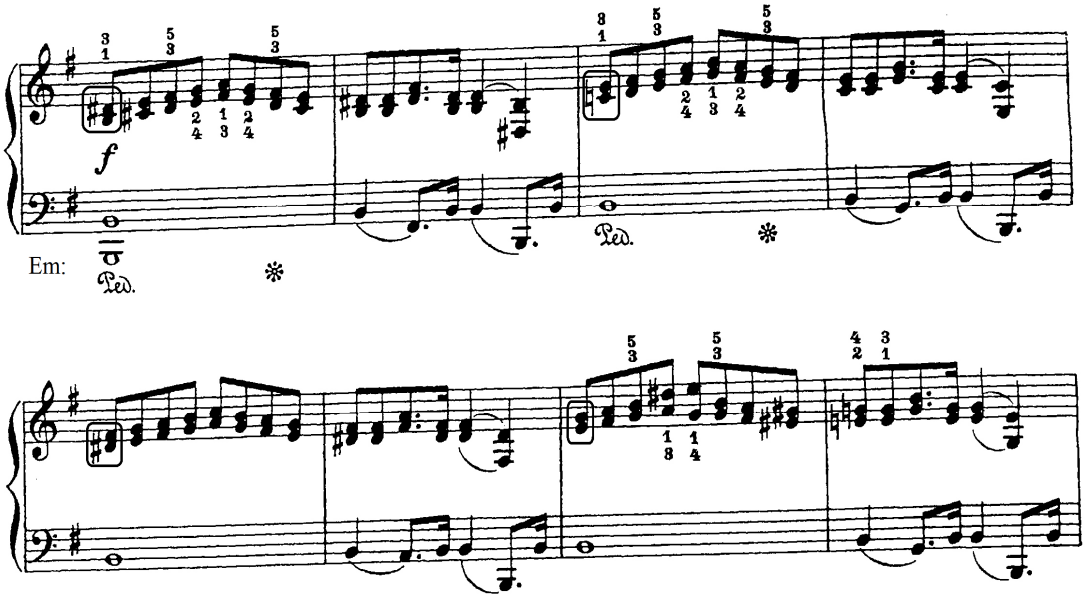
In the third section of the development, the principal theme is used in whole, and not cut in half as it was in the first and second sections. Nevertheless, the theme is split by means of an alteration: its first half is rhythmically augmented; the second half retains its original shape. Moreover, these two parts are combined vertically: at points, the

augmented subject appears on top and the original on bottom; at other points it is the reverse (Example 1.45). The music begins on the dominant in the key of B minor and ends with the augmented German sixth chord of the key of E minor after brief tonicization to C major, with the augmented chord leading the retransition to the dominant background of E minor.

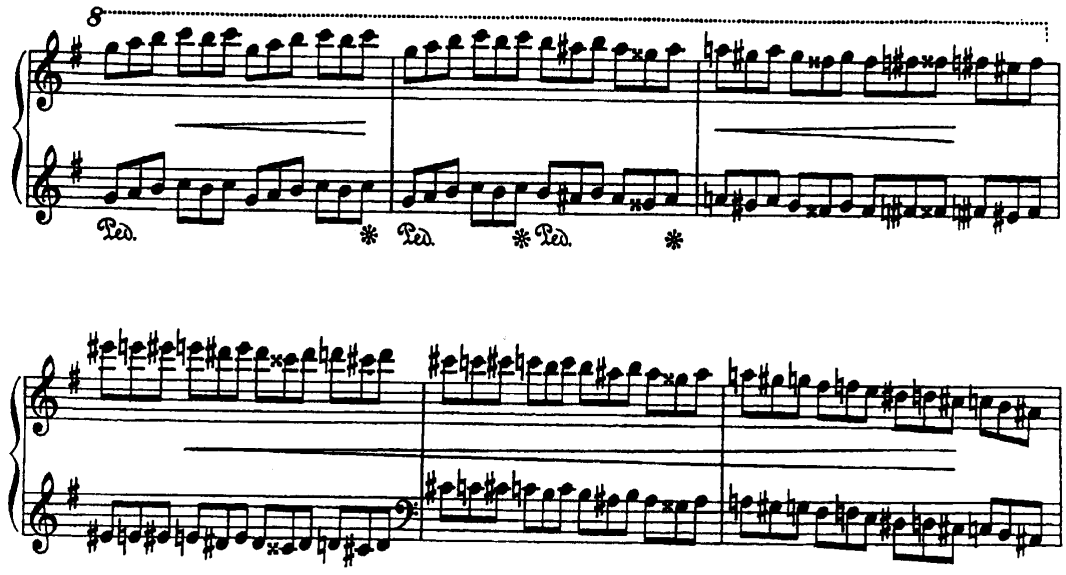


Ex. 1.45 measures 172-75: combination of augmented and original subjects

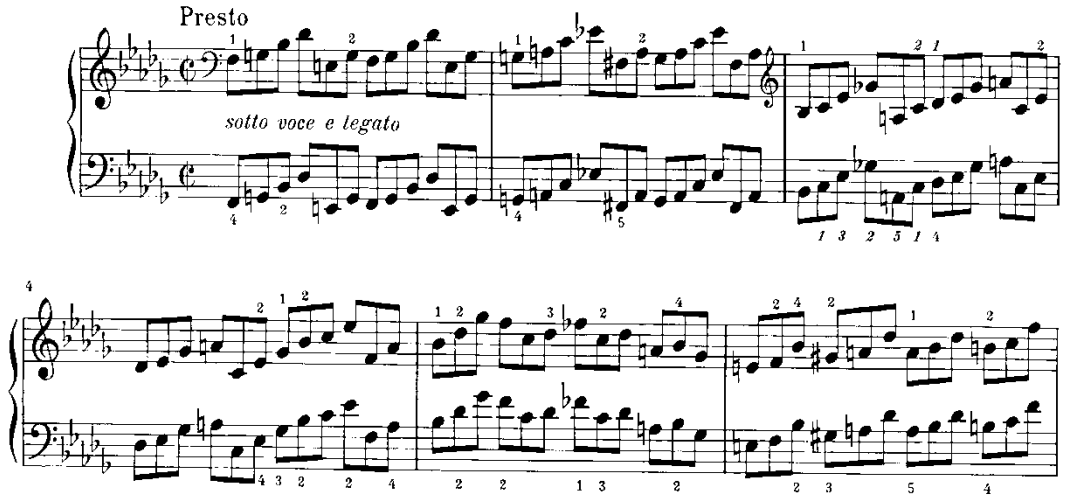
The retransition embraces two seemingly unrelated parts. The first part secures the dominant of E minor through a sustained pedal point on B in the bass as the right hand plays a series of sequences based on a motive from the principal theme (Example 1.46). The second part consists of short diatonic and chromatic scales that sound like a whirlpool, as it were, and which form perhaps the most unexpected moment in the development section. It is reminiscent of the last movement of the Chopin piano sonata No. 2 in B-flat minor: constant triplets in octaves; (cf. Example 1.47-1&2). However, a significant difference between them is that Rubinstein's passages are based on scalar figurations, whereas those of Chopin's are on arpeggios, which form a sequence of secondary diminished seventh chords.



Ex. 1.46 measures 197-204: first part of retransition



Ex. 1.47-1 measures 220-25: second part of retransition



Ex. 1.47-2 measures 1-6: finale of Chopin sonata No. 2

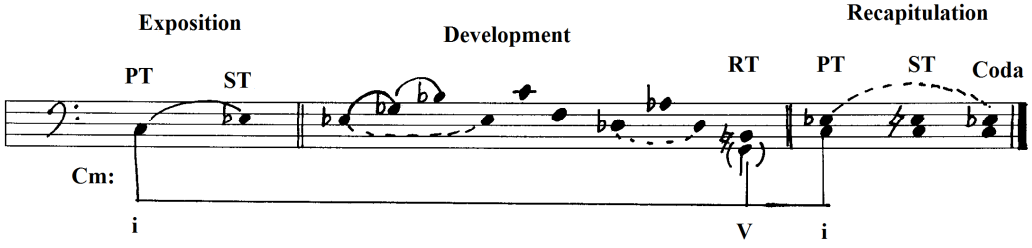
In sum, there are substantial differences between the first and last movements of this sonata. The finale is noticeably bolder than the first movement and it is less conventional in terms of key scheme, form, and structure.

CHAPTER TWO: Sonata No. 2 in C minor, Op. 20

I. First movement, *Allegro con moto*

The second sonata is more chromatic and freer in form and phrasing than the first. Features such as the modulation to the Neapolitan key in the first and last movements, and the reordering of themes that occurs in the recapitulation of the first movement are nowhere to be found in the first sonata. Nevertheless, the second sonata shows the composer's strong intention to emphasize the dominant in many places.

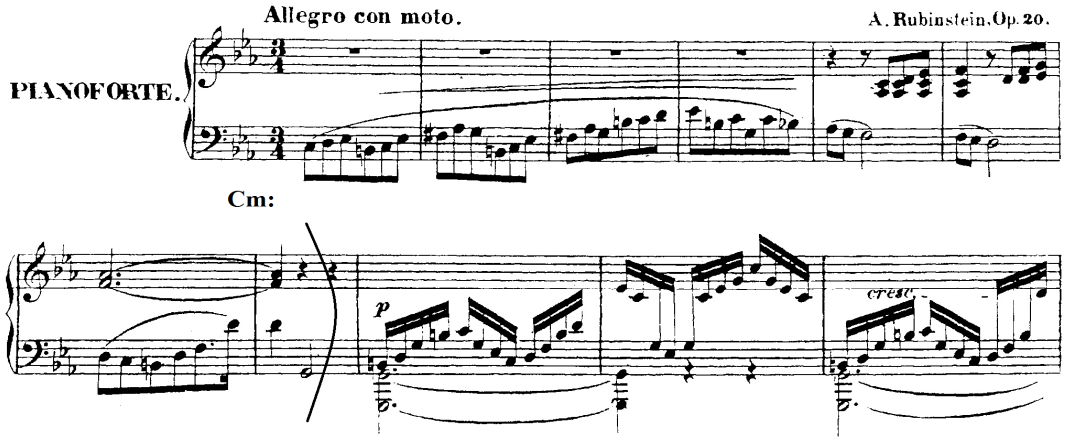
The main key of the first sonata-allegro movement is C minor. This movement does not have boundaries between sections, nor a repeat at the end of the exposition, nor a closing theme. Instead, a secondary development and a reordering of the themes takes place in the recapitulation. The following graph will demonstrate its tonal scheme.



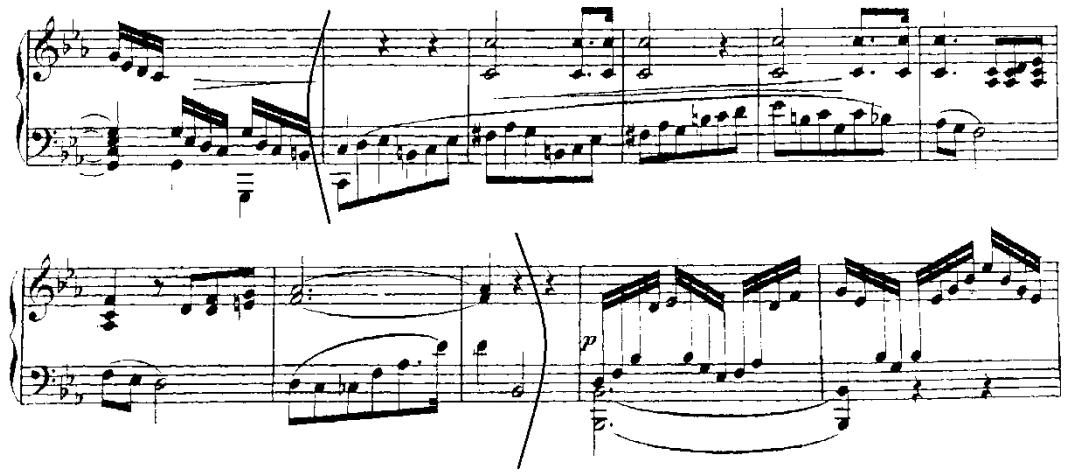
Ex. 2.1 Tonal scheme of first movement

Because the parts of this movement are so seamless, it is best to think of the principal theme and transition areas as a single unit (mm. 1-64): this unit forms ABA'; the A and B sections comprise the principal theme area (mm. 1-32); the A', the transition (mm. 33-64). Each section starts with the principal theme, but whereas the A and A' start and end in C minor, the B tonicizes to E-flat major. The first A and B sections are nearly

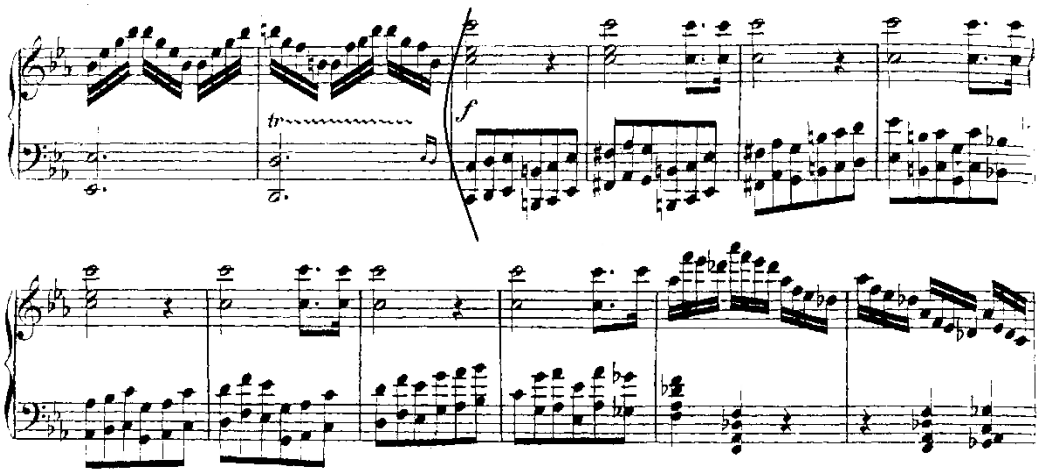
identical save for the texture of the melody and the closing cadence. That is, the A section starts with an unaccompanied melody in the bass while the B section moves along with a simple countermelody (Example 2.2-1, 2, 3).



Ex. 2.2-1 measures 1-11: A section of principal theme

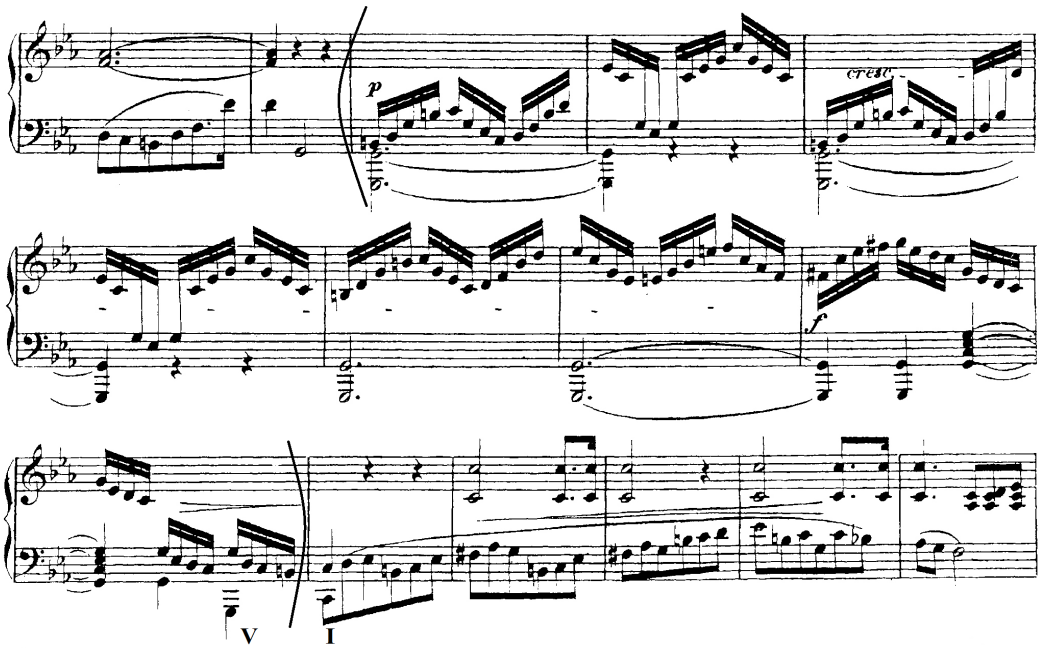


Ex. 2.2-2 measures 16-26: B section of principal theme



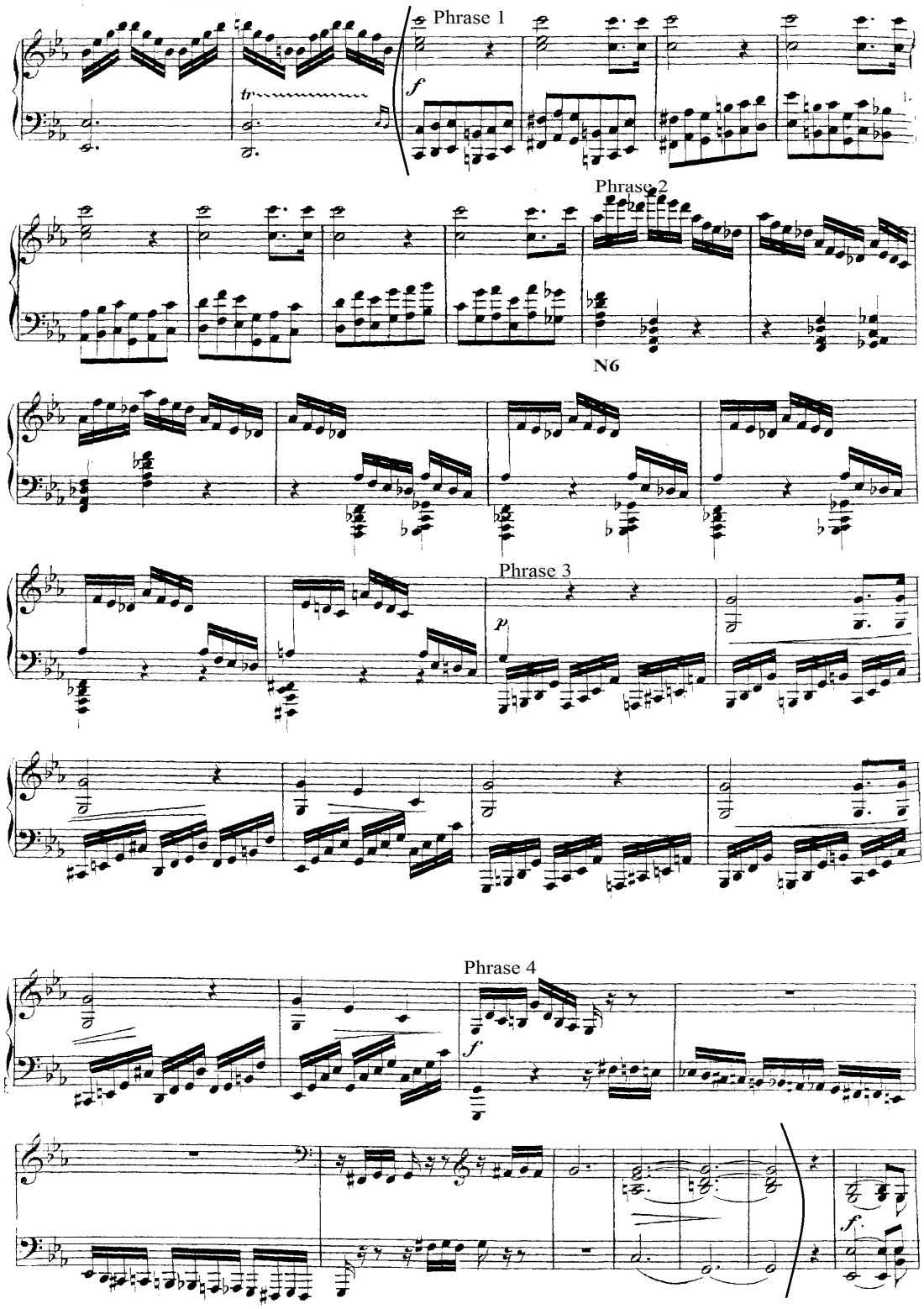
Ex. 2.2-3 measures 31-42: A' section (transition)

Of those three sections, only the A section ends with a perfect authentic cadence. The dominant prolongation right before the cadence, a harmonic device used in the first sonata, illustrates the composer's desire to emphasize the polarization between tonic and dominant (Example 2.3).



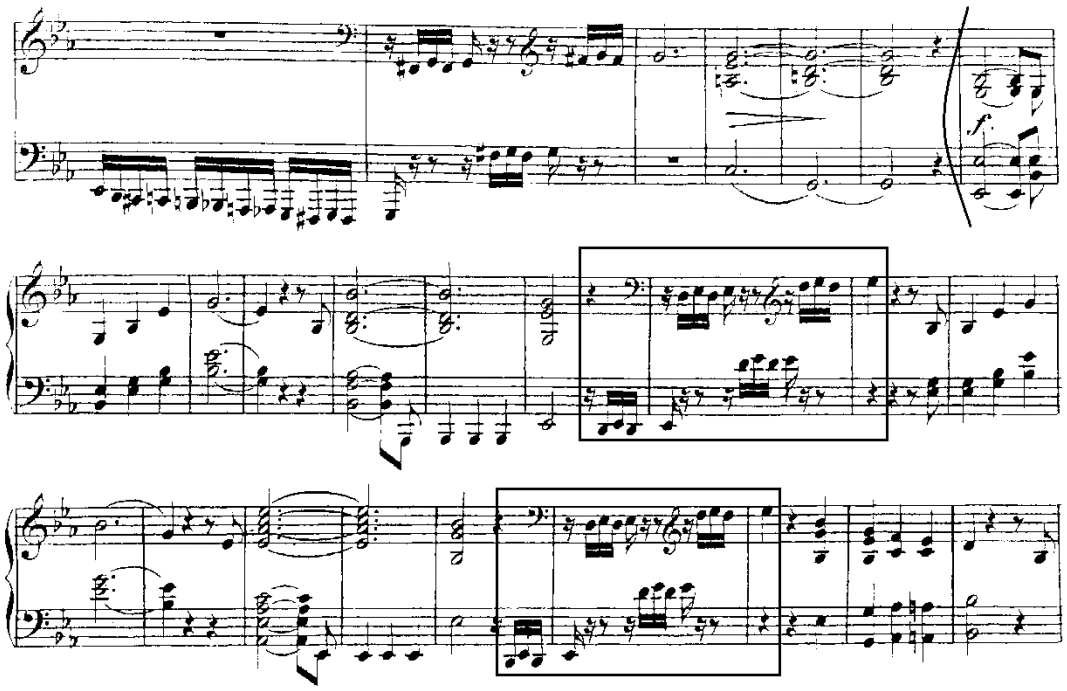
Ex. 2.3 measures 7-21: V-chord prolongation before cadence

The transition, or A', consists of four phrases, each eight measures long. The first phrase is taken from the principal theme; the second from the prolongation of the V chord in the Neapolitan key, D-flat major. The third phrase is a C-minor triadic melody over chromatic arpeggios; the fourth is a caesura-fill based on a chromatic scale (Example 2.4).



Ex. 2.4 measures 31-65: four phrases of transition

There is a short pause after the last chord of the transition—V of C minor—followed by an unprepared modulation to E-flat major that marks the beginning of the secondary theme. The structure of this theme is somewhat complicated on account of a series of short, trill-based interpolations scattered about here and there (Example 2.5). If these interpolations are excluded, however, the structure is clearly antecedent and consequent.



Ex. 2.5 measures 59-83: interpolation within secondary theme

The two phrases have slightly different lengths, the antecedent being thirty-two measures long, and the consequent, twenty-nine. This whole section is in E-flat major. Instead of a closing theme, this section is followed by a three-measure extension.

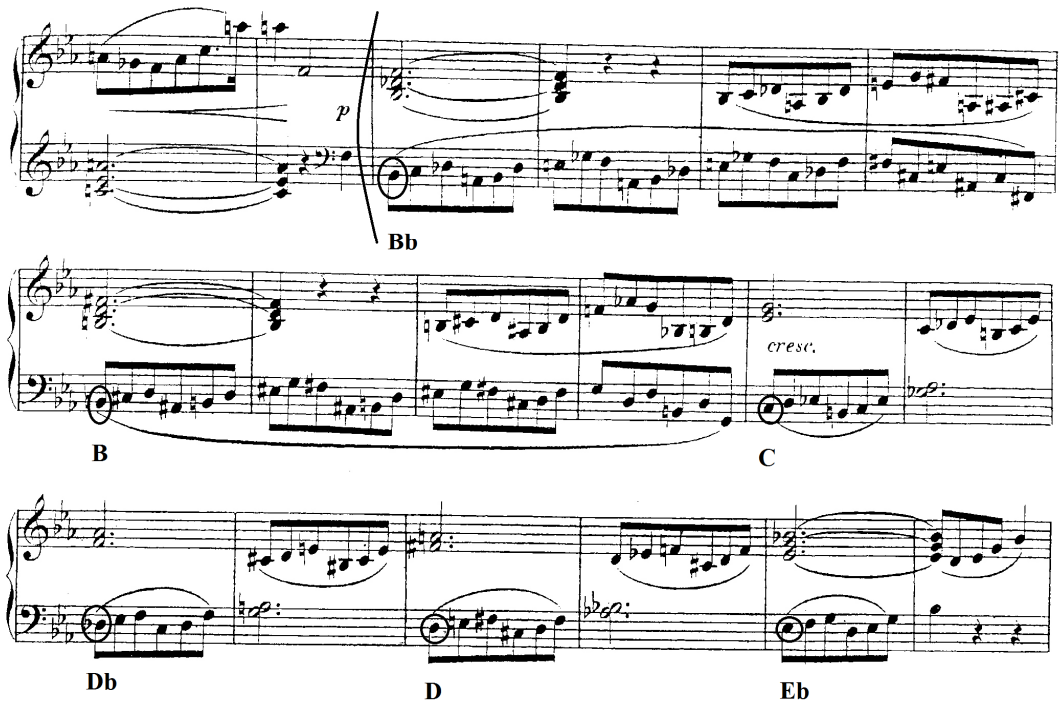
The bulk of the development is based on the motives of the principal theme and the V-chord prolongation; a few motives of the secondary theme appear just before the

retransition. As is normal for a development, there are frequent modulations and tonicizations. Based on the motives used, this section can be divided into three subsections: principal theme, V-chord prolongation motive, and secondary theme. Table 2.1 below illustrates:

Used motive	PT	V chord	ST
Measures	129-60	161-208	209-40
Keys	Ebm-Gb-Bbm-Bm-Cm-Db-D-Eb	Cm-Fm-Db-Dbm-Abm	Abm-Dbm

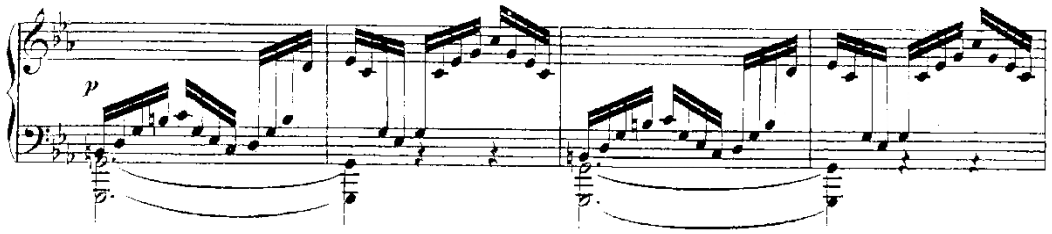
Table 2.1 Three subsections of development

The first subsection may be likened to a sentence structure: (8+8+16). The first eight-measure phrase begins with the principal theme in the treble clef in E-flat minor; the second repeats the same music now in the key of G-flat major. The sixteen-measure phrase features ascending chromatic motion in the bass line (Example 2.6).

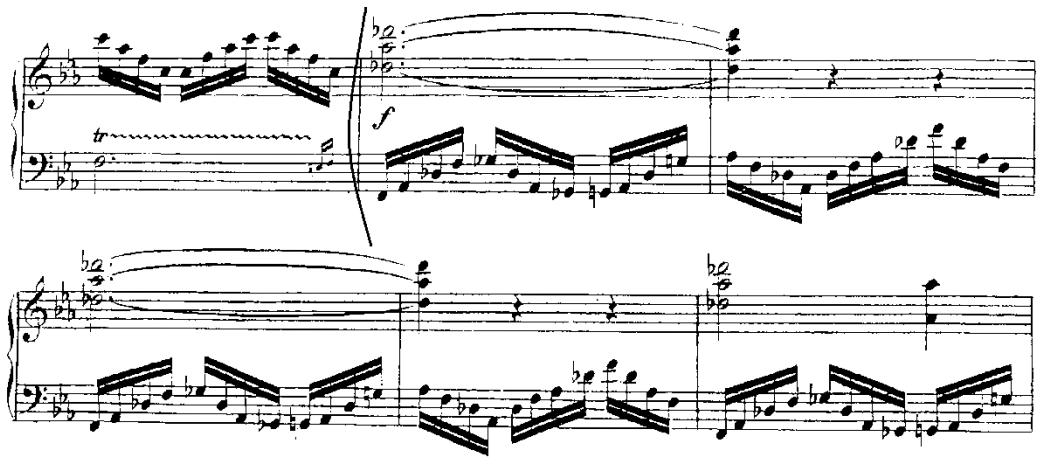


Ex. 2.6 measures 143-60: chromatic motion in bass in sixteen-measure phrase

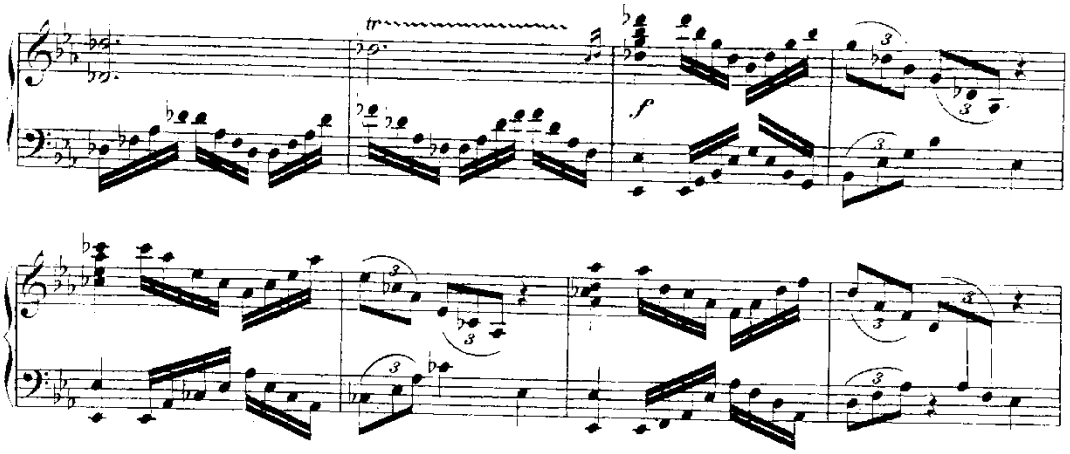
The second subsection, which prolongs the V chord, has three distinct phrases: measures 161-76, measures 177-92; and measures 193-208 (Example 2.7-1, 2, 3). In the second phrase, the arpeggiated motion in the treble clef of the first phrase is moved to the bass clef. In the third, the arpeggios appear in both hands, and mirror each other. Here and there, some of the sixteenth notes which form the arpeggios are changed to triplets.



Ex. 2.7-1 measures 161-64: first phrase of second subsection

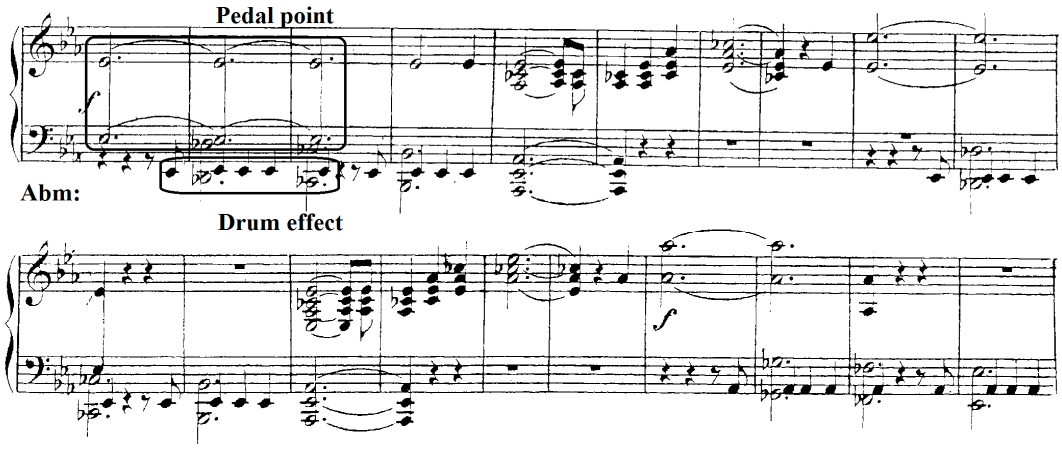


Ex. 2.7-2 measures 176-81: second phrase of second subsection



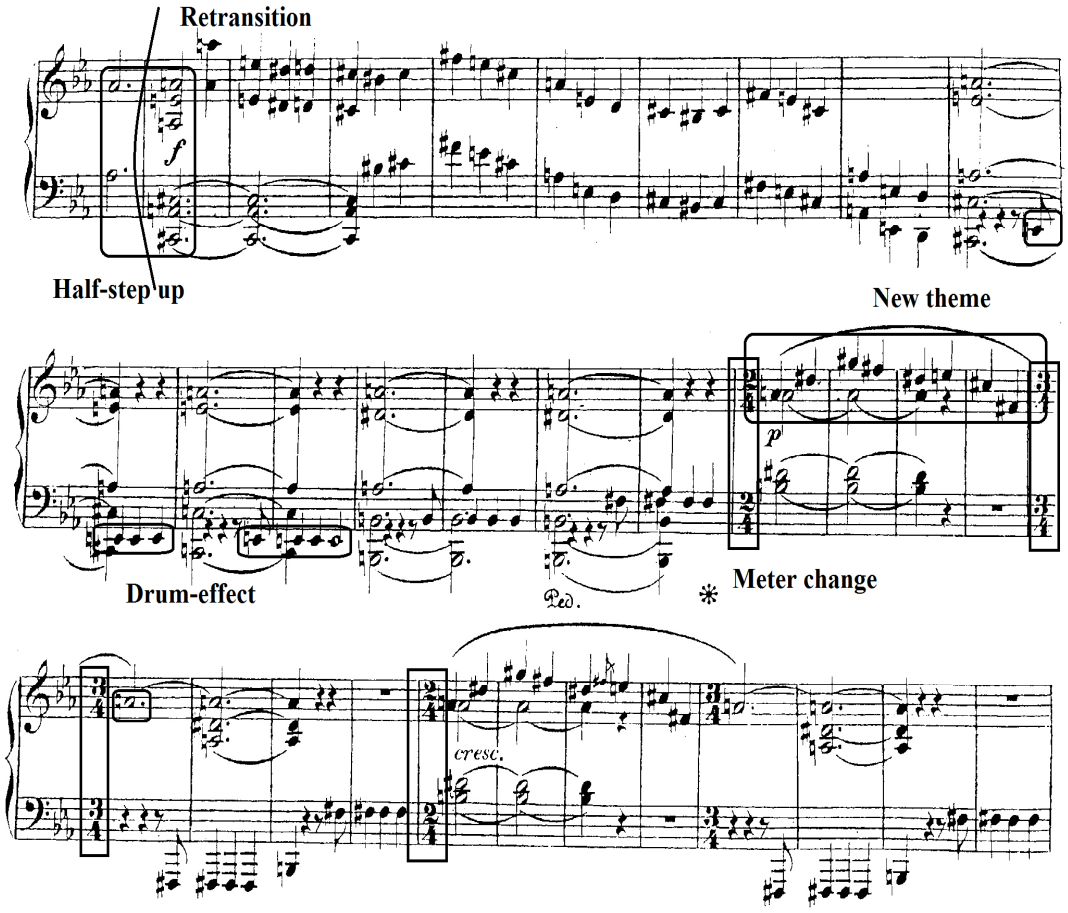
Ex. 2.7-3 measures 191-98: third phrase of second subsection

Interesting characteristics of the third subsection (mm. 209-40) are the constant drum effects and the pedal points that stress the dominant. E-flat is repeated in the A-flat minor area, with A-flat in the D-flat minor area on the bass under the pedal points of the same notes on the treble clef (Example 2.8).



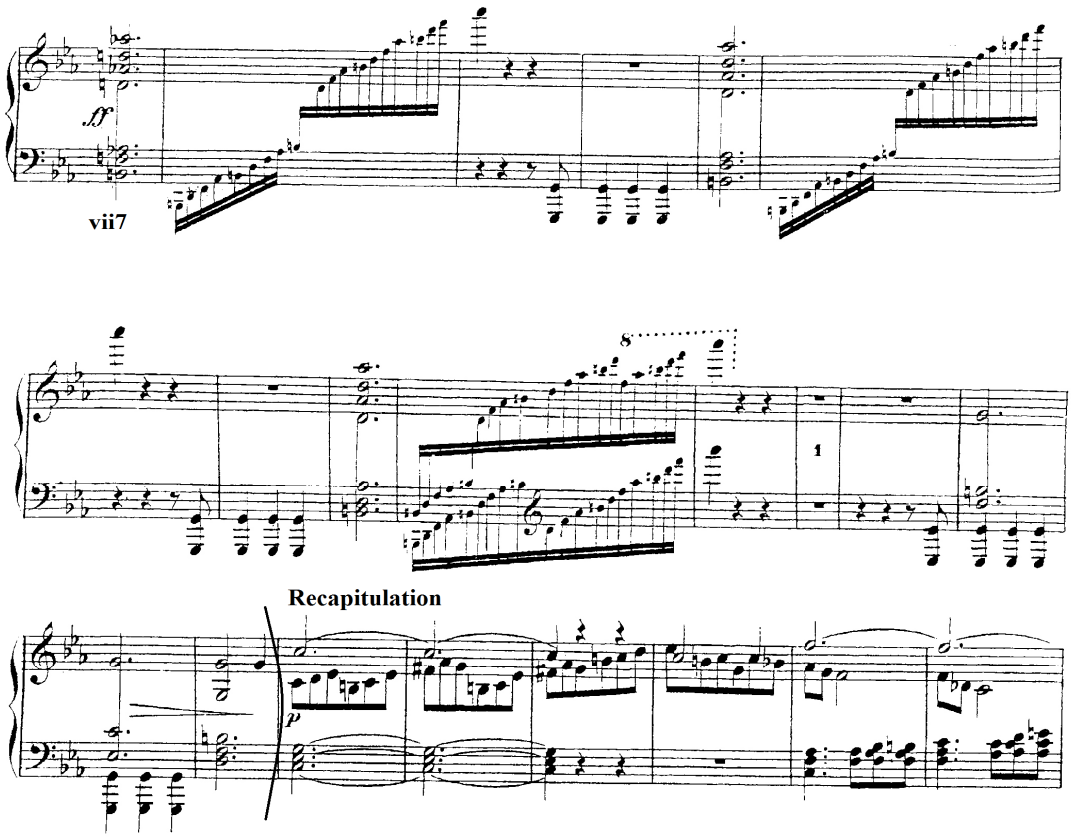
Ex. 2.8 measures 209-28: pedal points and drum effects in third subsection

At first glance, it is difficult to determine where the retransition (mm. 241-88) begins. This is due to the seamless construction of this movement, and in particular, to the connection of the chromatic last part of the development to the beginning of the retransition. On closer examination, however, it becomes clear that the retransition starts just after the end of the D-flat minor section by going a half step up (Example 2.9). The drum effects continue throughout the retransition. A new theme is introduced, along with a change of meter: the original meter is 3/4 but twice it alternates with 2/4, and it is in these 2/4 areas that a new theme appears (see also Example 2.9).



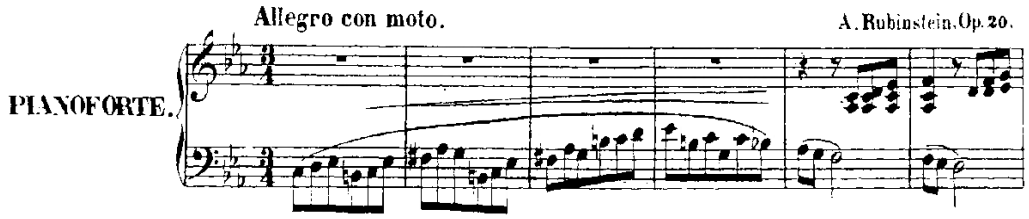
Ex. 2.9 measures 240-72: some features in retransition

The last key of the development, D-flat minor, is enharmonic to C-sharp minor, and thus helps prepare the key of A major in which the retransition starts. The retransition proceeds chromatically, eventually ending on a diminished seventh chord of C minor in measure 273. This chord alternates with repeated dominants of the same key until the recapitulation starts. Of note is the diminished chord section (mm. 273-88), which is one of very few places in this movement to be marked *fortissimo*. A *diminuendo* at the close of the retransition leads to a marking of *piano* at the beginning of the recapitulation (Example 2.10).

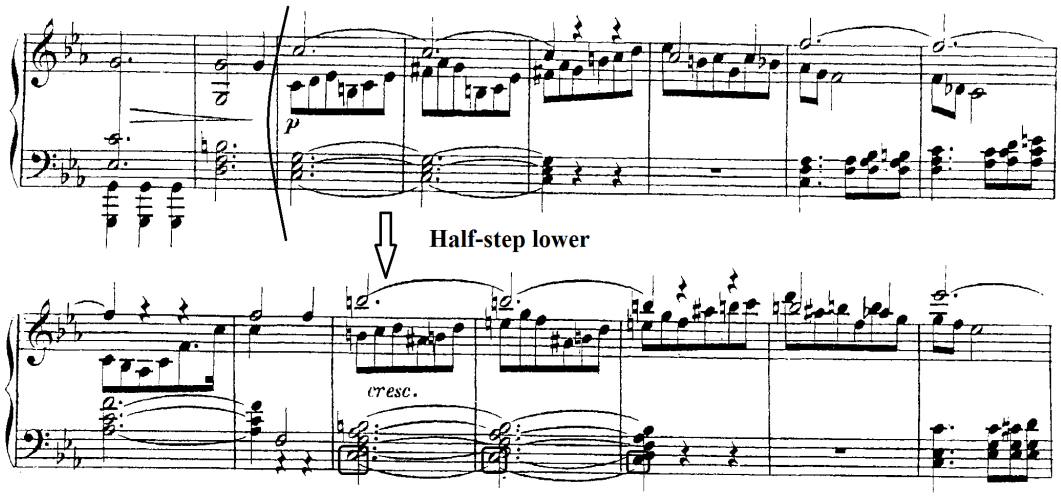


Ex. 2.10 measures 273-94: alternation of diminished seventh chords and repeated dominants in retransition

Also of note in the recapitulation (mm. 289-417) are a secondary development, a reordering of all the thematic material, and the return of the secondary theme over the dominant. Whereas in the exposition, the principal theme appears just in the bass, here it returns in the alto with a pedal point on a C-minor chord (Example 2.11-1). Immediately thereafter, it is repeated a half-step lower, yet the pedal point remains on C (Example 2.11-2).

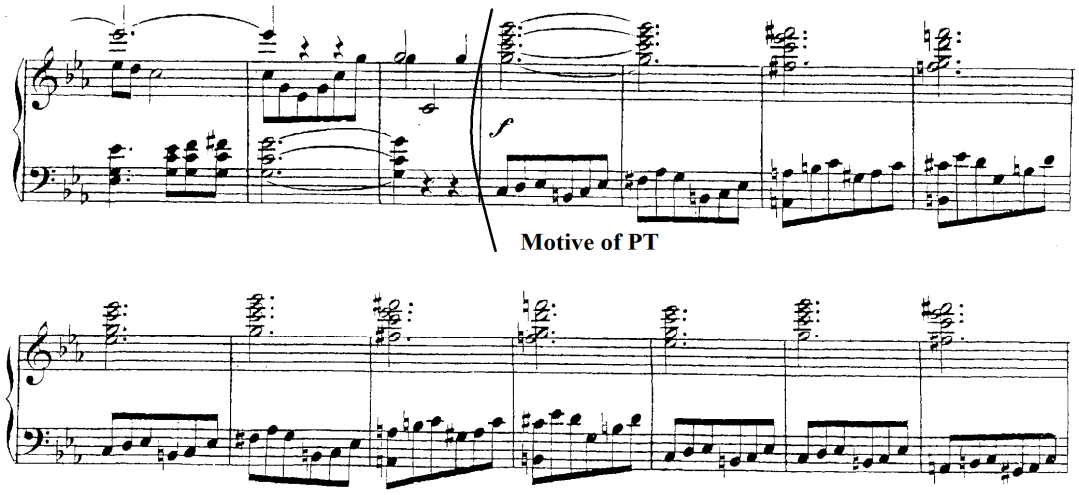


Ex. 2.11-1 measures 1-6: principal theme in exposition

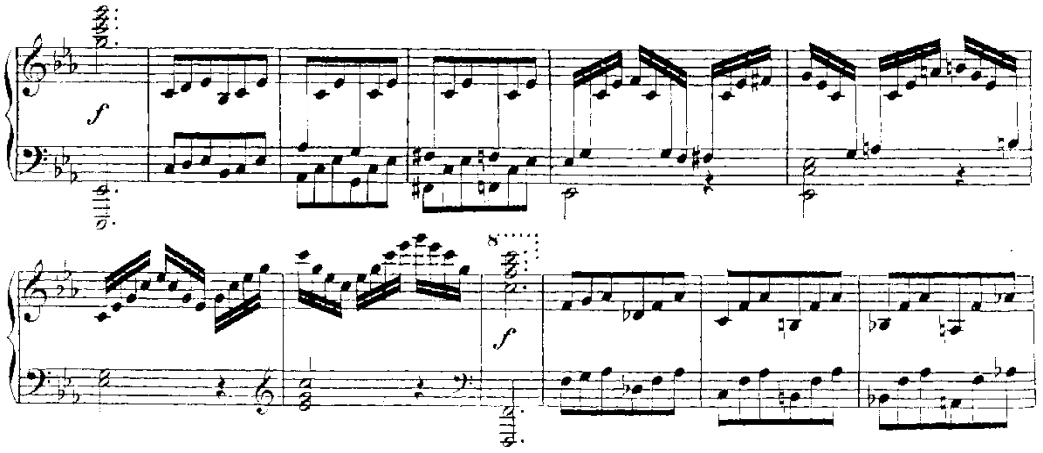


Ex. 2.11-2 measures 287-94: principal theme in recapitulation

The secondary development (mm. 305-68) begins with a motive of the principal theme in the bass and is accompanied in the treble clef by a chromatic chord progression (Example 2.12-1). Measures 337-69 are a variation of the previous V-chord prolongation: a few chords and eighth notes have been added to what, in the exposition, was a texture comprised solely of sixteenth notes (Example 2.12-2). What is more, this variation, is more harmonically diverse. Whereas in the exposition the emphasis was solely on the dominant, in the recapitulation, C minor, F minor, and a diminished seventh of the dominant are all explored.



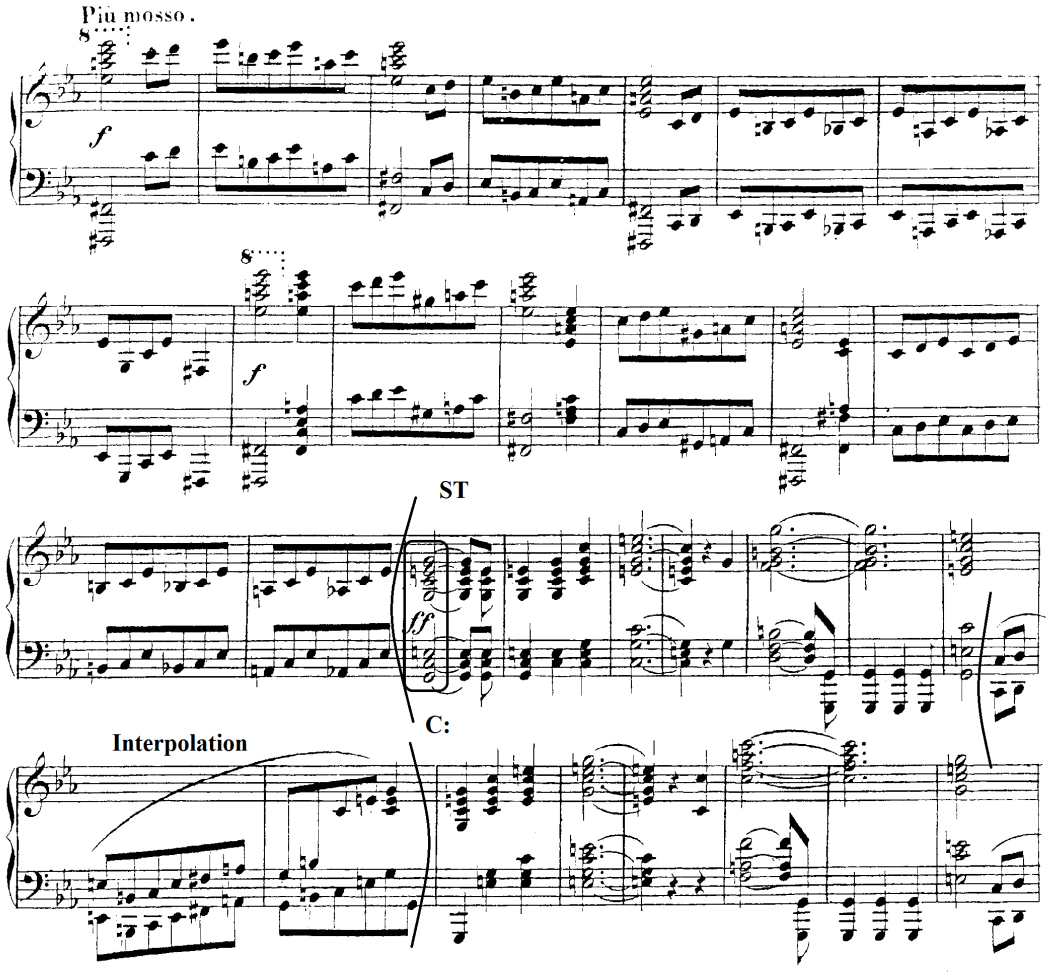
Ex. 2.12-1 measures 302-15: beginning of secondary development



Ex. 2.12-2 measures 337-48: variation of V-chord prolongation in secondary development

A return of the transition would be expected next, but that is not what happens; in fact, the missing transition will not appear until the coda. What instead follows is a dramatic and energetic statement of the secondary theme. In contrast to the statement of the principal theme in the recapitulation, whose dynamic was *piano*, the secondary theme begins with an explosive *fortissimo*, and continues to build upon an energy that has been

developing since measure 353. In a feature already seen in the second movement of the first sonata, and to be encountered again in the last movement of this sonata, the secondary theme appears in the second inversion of C major, not in root position, as expected (Example 2.13). Other noteworthy characteristics of this section are its chordal melody, arpeggiated notes in the interpolations, and its half return: the interpolations were made of short trills in the exposition. Also in the exposition, the secondary theme was antecedent and consequent; here only the consequent returns.



Ex. 2.13 measures 353-83: Secondary theme in recapitulation

Instead of a closing theme, an extension follows (mm. 401-17), as in the exposition. This theme is derived from the V-chord prolongation, but unlike the one in the exposition it is set over a pedal point on the tonic and formed of triplets, not sixteenth notes. This extension, moreover, is harmonically unstable, and oscillates between C minor and C major.

The coda (mm. 417-52) starts with a theme of the transition consisting of a triadic melody above and chromatically ascending arpeggios below. By repeating the progression V-I, it stabilizes the main key, C minor. The missing transition is followed by the new idea of the retransition in 2/4 meter. And with the return to the 3/4, the movement ends in *Presto* under a dynamic of *fortissimo*. Thus, the coda is not merely an additional section. The transition which was earlier omitted has now appeared, and the new idea which appeared briefly in the retransition is re-introduced here. The coda, therefore, completes the movement both in form and in fact: while the composer's approach to sonata form is rather unconventional, he has nevertheless given us all its parts.

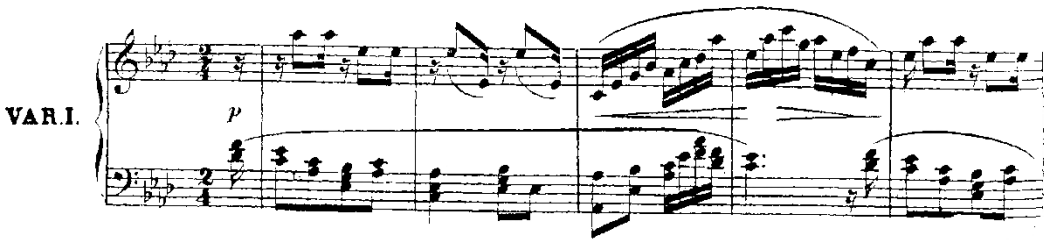
II. Second movement, *Andante*

The slow movement of the Sonata Op. 20, No. 2 is a theme and variations. Its theme, as well as each of its four variations, is in conventional rounded-binary form with eight-measure phrasing in 2/4 meter. The key of the theme and each of the variations, save for the third, is A-flat major. Only in the third variation are both halves of the binary form repeated; the theme and the first, second, and fourth variations repeat only the

second half. In this sense, the movement is similar to the theme and variations of the second movement of Beethoven's Sonata in G major, Op. 14, no. 2.

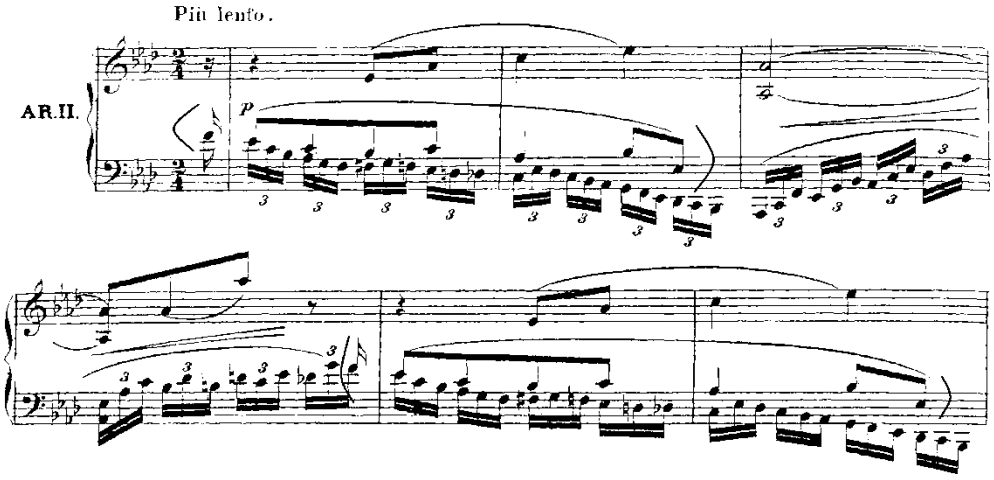
The theme itself is homophonic, with the melody on top. It is in A-flat major throughout, save for the middle section, which modulates to E-flat major. Harmonically, the theme is a straightforward tonic-dominant idea and, save for the brief *crescendo* in the middle, has a soft dynamic throughout.

The first variation also has mostly soft dynamics. Its most significant feature is its use of a syncopated accompanimental pattern (Example 2.14). Its melodic line appears in the bass, below the syncopated accompaniment in the treble. In all, the melody and harmony are quite similar to the theme itself.



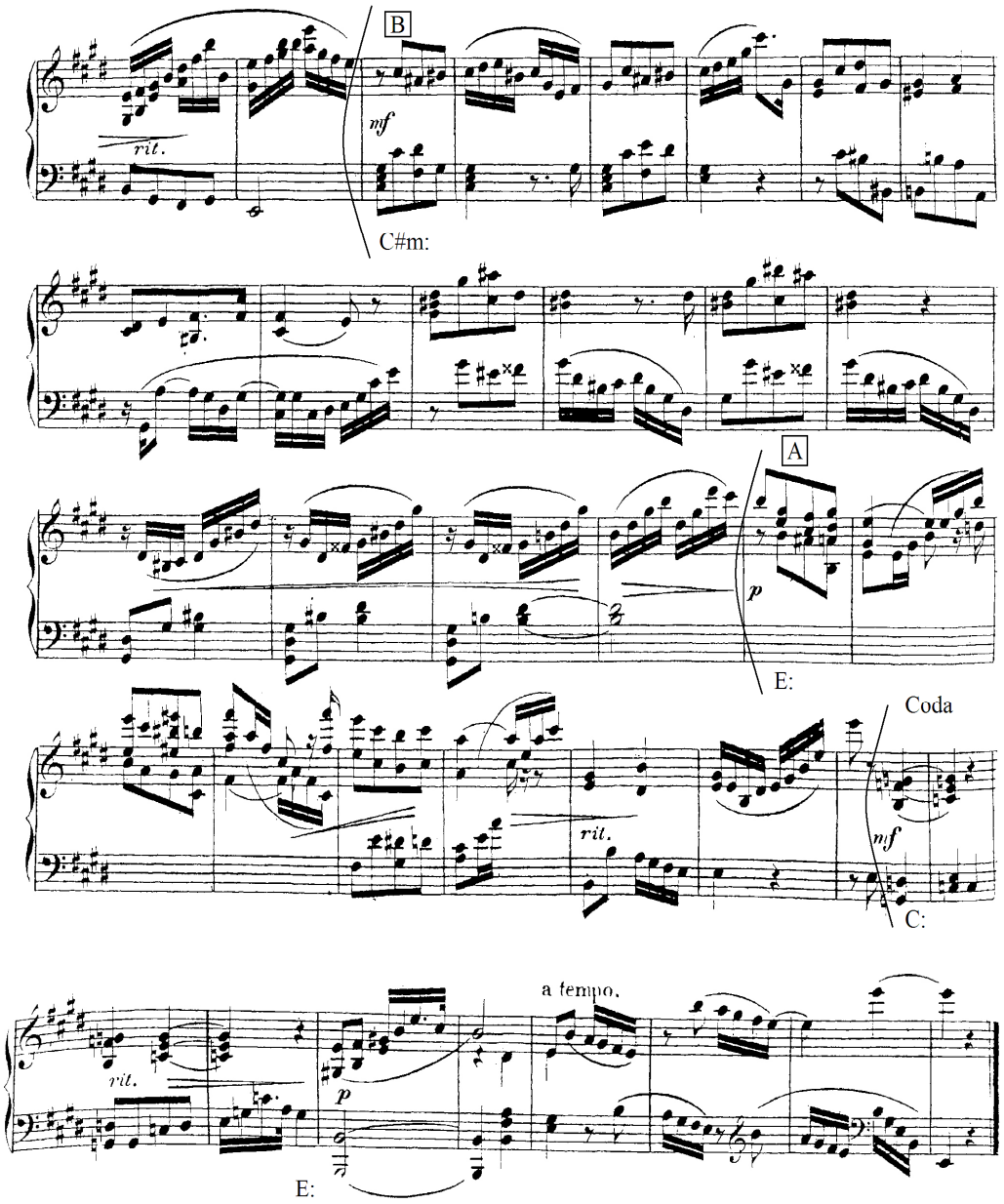
Ex. 2.14 first variation

The second variation exhibits rather more transformation. The A and A' sections use a part of the theme, whereas the B section employs the whole theme. Furthermore, the melody of the A and A' sections is no longer on top: it is now in the middle, surrounded by A-flat triads above and flowing triplets below (Example 2.15). In the B section, the melodic line returns to the top voice, and is accompanied by flowing triplets in the bass.



Ex. 2.15 second variation

The third variation differs significantly from the first and second variations: it modulates to E major, a remote key from A-flat; it is faster, more motivically saturated, and more polyphonic. And whereas the other variations are sectional, every part of this variation is seamlessly connected, though its sections are visually clear as a result of the key signature changes—the middle section is in C-sharp minor, the coda, in C major (Example 2.16).

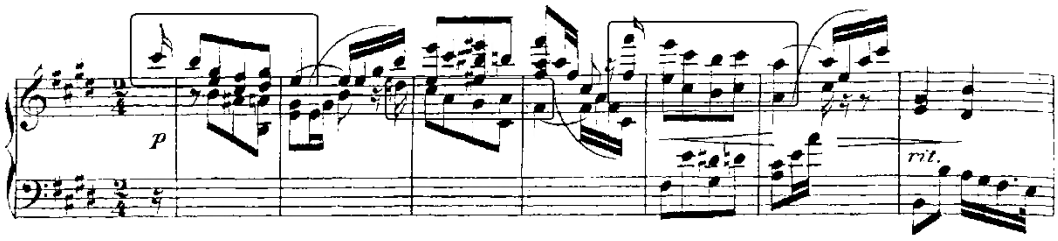


Ex. 2.16 measures 15-50 of variation III: third variation[51]

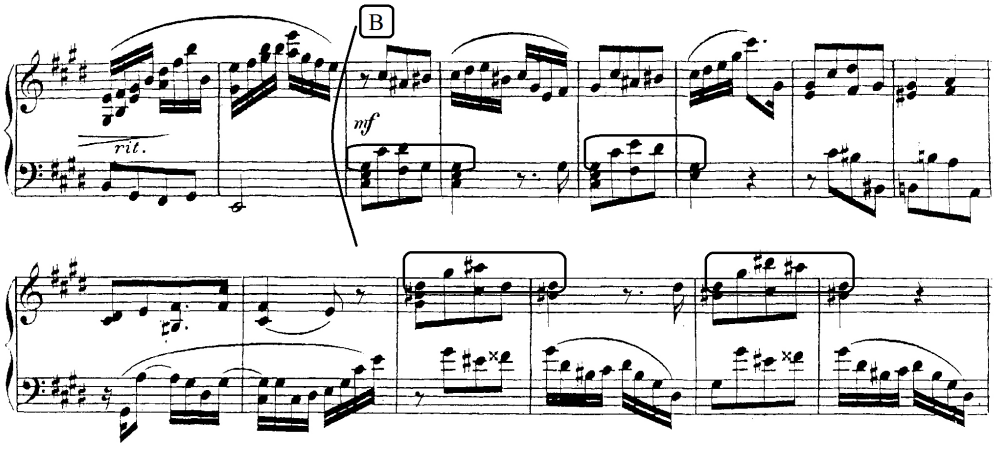
The texture of the third variation is predominantly contrapuntal. Its motivic ideas are derived from the beginning of the theme, and relate to each other as follows: the first

[51] Measure numbers are separately counted in each variation.

motive inverted becomes the second motive (Example 2.17-1&2). The A and A' sections are based on the first motive; the B section, on the second motive.

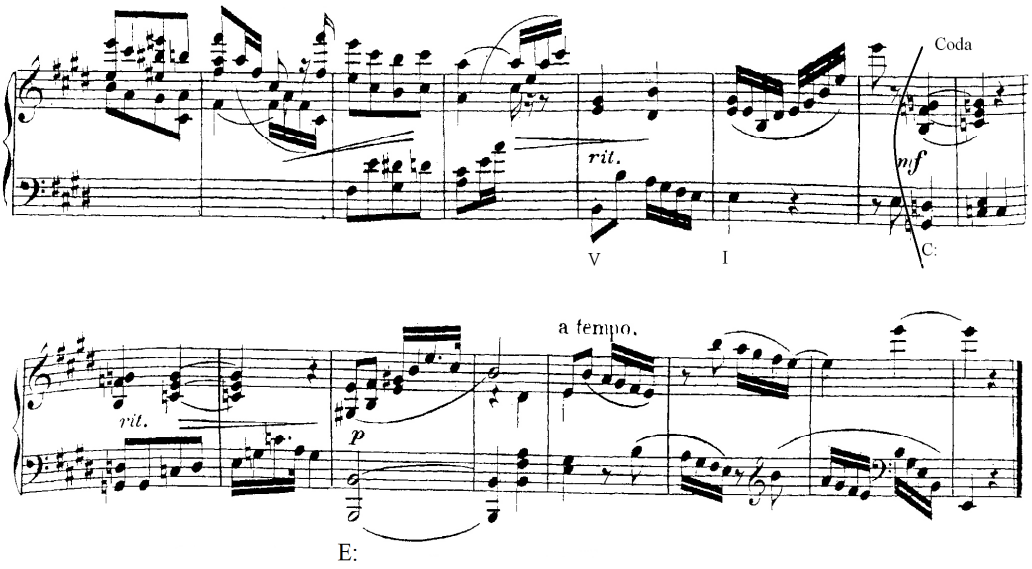


Ex. 2.17-1 measures 1-7: first motive in A section



Ex. 2.17-2 measures 15-28: second motive in B section

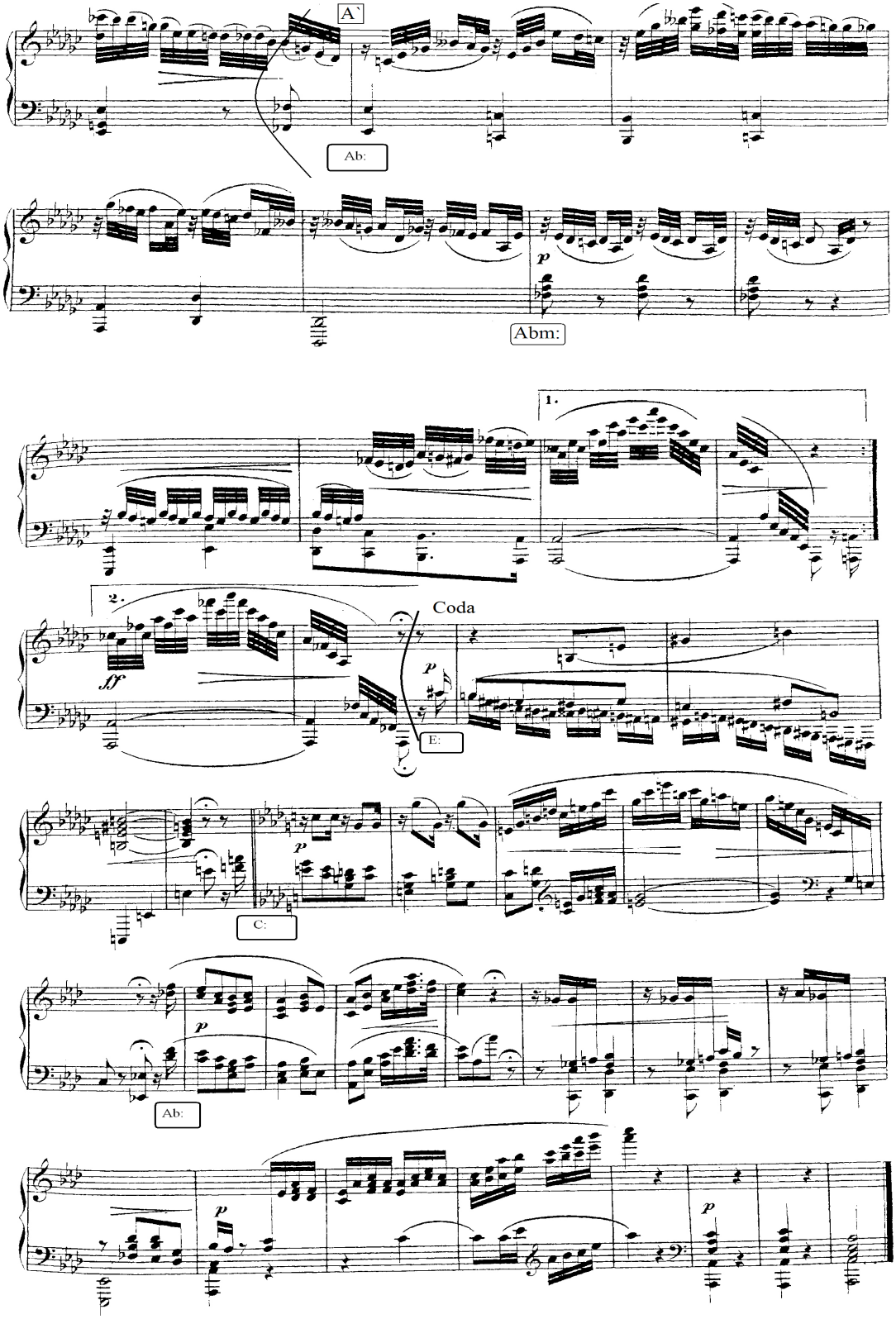
A coda follows the authentic cadence at the close of the A' section; it starts, without preparation, in C major, but quickly returns to E major (Example 2.18).



Ex. 2.18 measures 35-42: coda

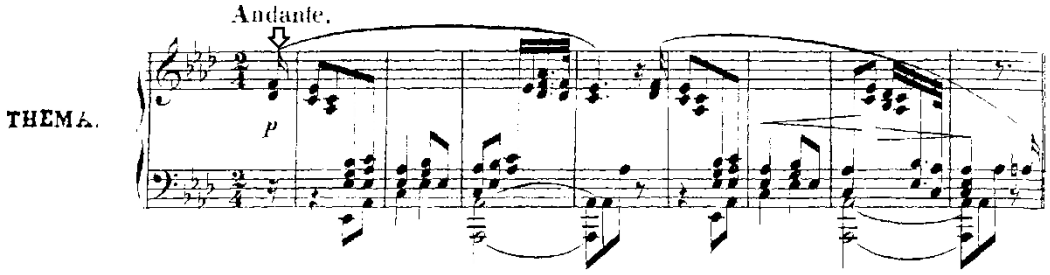
Up to this point, the prevailing dynamic has been *piano*, and the overall mood, quiet and serene. The frequent *crescendos* and *diminuendos* do not disturb the overall sense of calm. The appearance, however, of a *mf* in the middle section and in the coda of this variation signals a change.

That change is evident in the final variation, which is more diverse and intense than in any preceding variations. While its basic format is similar to the previous variations, this variation is much longer and more complex. It is also the only variation to be set in a minor key: it is in A-flat minor, though it modulates to A-flat major at the end (Example 2.19). Noteworthy is the falling major third progression from the A' section to the end of the coda, in which the first shift from A-flat to E evokes the key of the third variation. This major third pattern, moreover, is reminiscent of the key relation between the first and second movements: C minor and A-flat major.

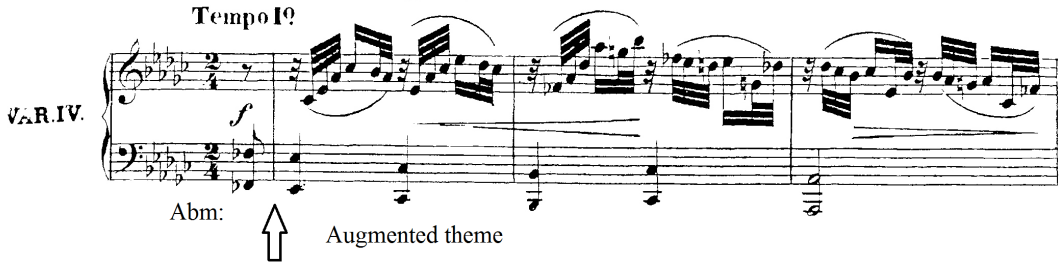


Ex. 2.19 measures 28-63 of variation IV: falling major-third progression

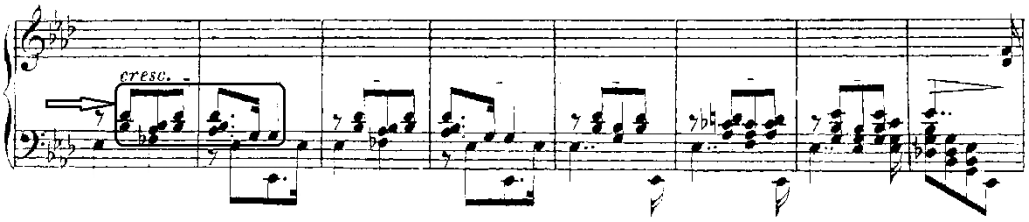
The final variation involves an intriguing rhythmic transformation, for the theme is augmented in the A section and diminished in the second half of the B section (Example 2.20-1, 2, 3, 4). The augmented theme opens the last variation in the bass along with an accompaniment consisting of short arpeggios and scales. For the first time in the movement, the theme is reinforced in octaves and given a dynamic marking of *f*. The B section is highly syncopated, recalling the syncopations of the B section of the first variation.



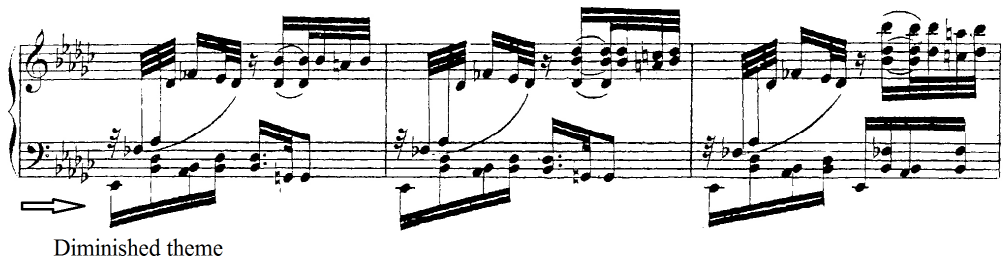
Ex. 2.20-1 measures 1-8: original theme in thema



Ex. 2.20-2 measures 1-3 of variation IV: augmented theme



Ex. 2.20-3 measures 17-24: original theme in B section of thema



Ex.2.20-4 measures 25-27 of variation IV: diminished theme

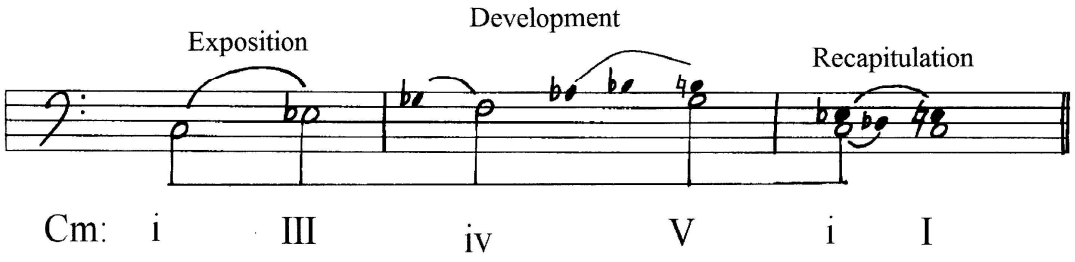
The A' section of the final variation starts in A-flat major but shifts to A-flat minor after six measures, thus ending in the minor. There are two endings before the coda. The first is in A-flat minor, the tonic key of the variation; the second is in F-flat major, the enharmonic equivalent of E major and the key of the coda; (cf. Example 2.19 above).

Although the composer inverts, augments, and fragments the theme of this movement, it is nevertheless not much altered, and is still easily recognized in each of the variations. Likewise, the tonal scheme of the movement as a whole is conventional, and there is not much in the way of structural complexity. Its relative simplicity contrasts with the complicated first and last movements, and this is most likely its overall purpose.

III. Third movement, *vivace*

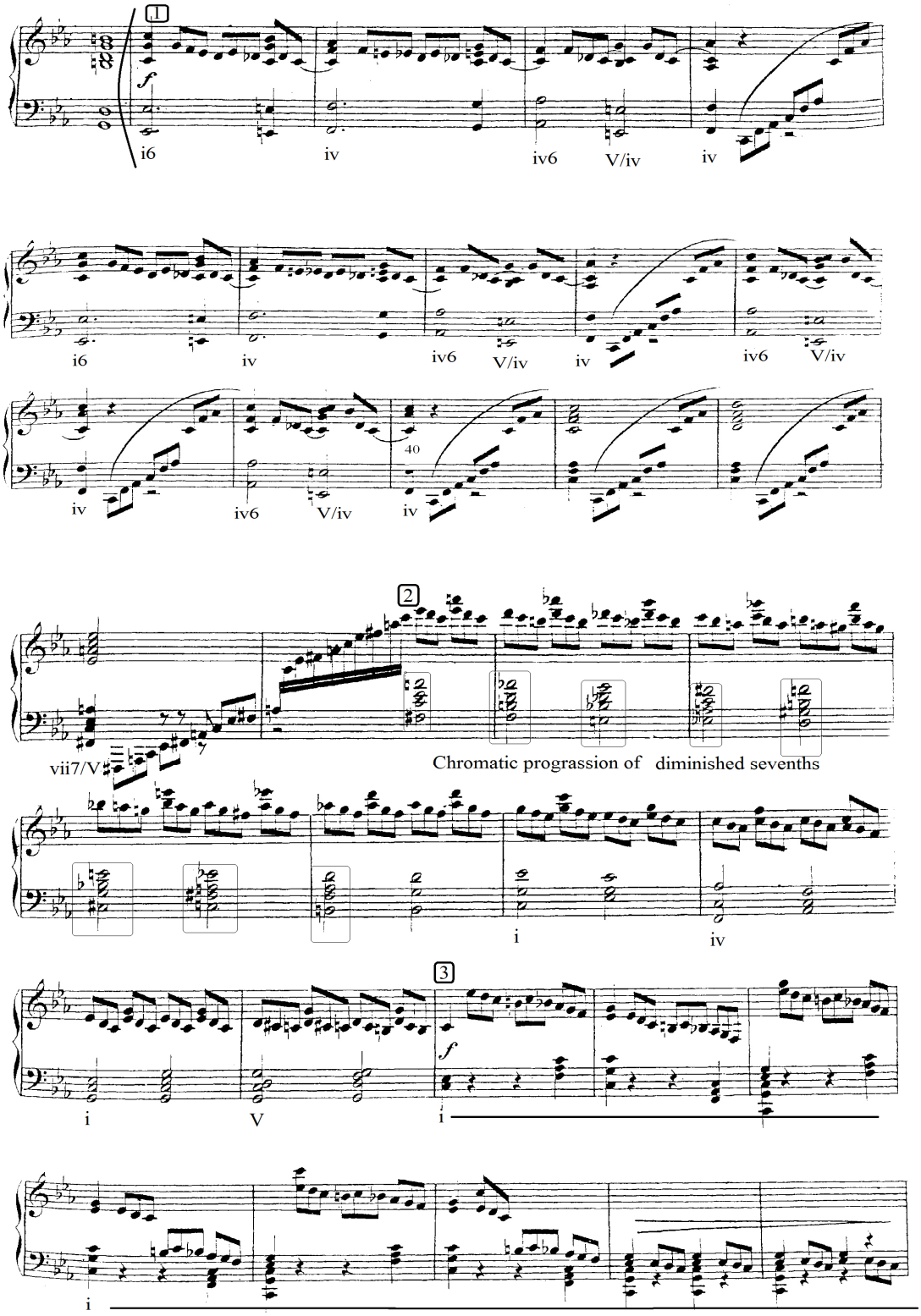
The Op. 20 is Rubinstein's only sonata in three movements, thus its third movement is also its finale. This movement is in tri-rotational sonata form: the exposition and recapitulation are comprised of a relatively short principal theme and a long transition. Its most notable feature is the entrance of its secondary theme, which is introduced over the dominant in the exposition, but returns in the recapitulation in first

inversion at the first phrase, and in second inversion at the second phrase. The secondary theme returns first in the Neapolitan key, then modulates to the parallel major of the tonic. The tonal outline of this whole movement is shown below.



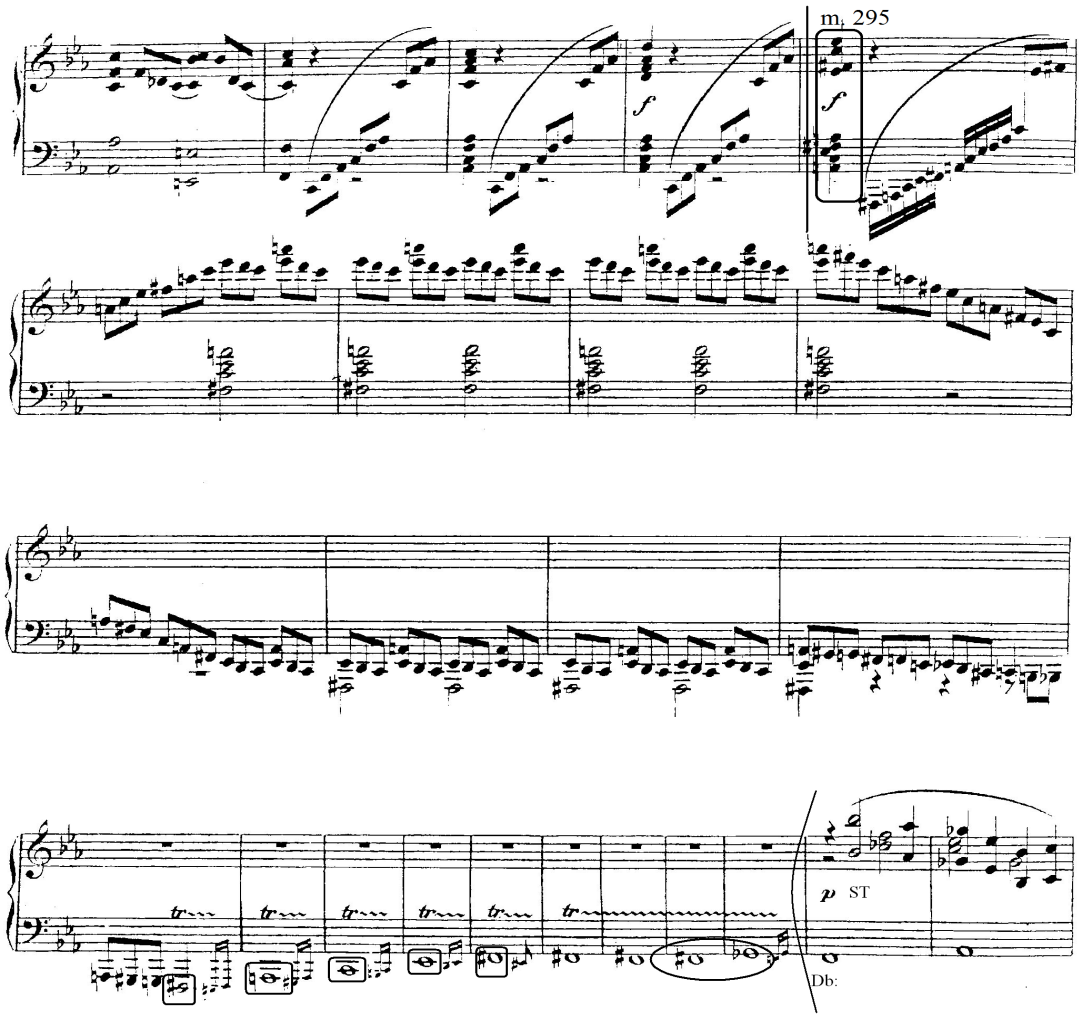
Ex. 2.21 Tonal outline of third movement

The transition of the exposition (mm. 21-60) is the sonata's longest, most chromatic section. It begins with the antecedent phrase of the principal theme, but does not proceed to the consequent, rather, the last four measures of the antecedent are extended. This extension (mm. 29-60) embraces three different figurations: the first is an alternation between tonic and subdominant; the second is a chromatic progression of diminished seventh chords; the third is a caesura-fill which emphasizes the tonic key (Example 2.22).



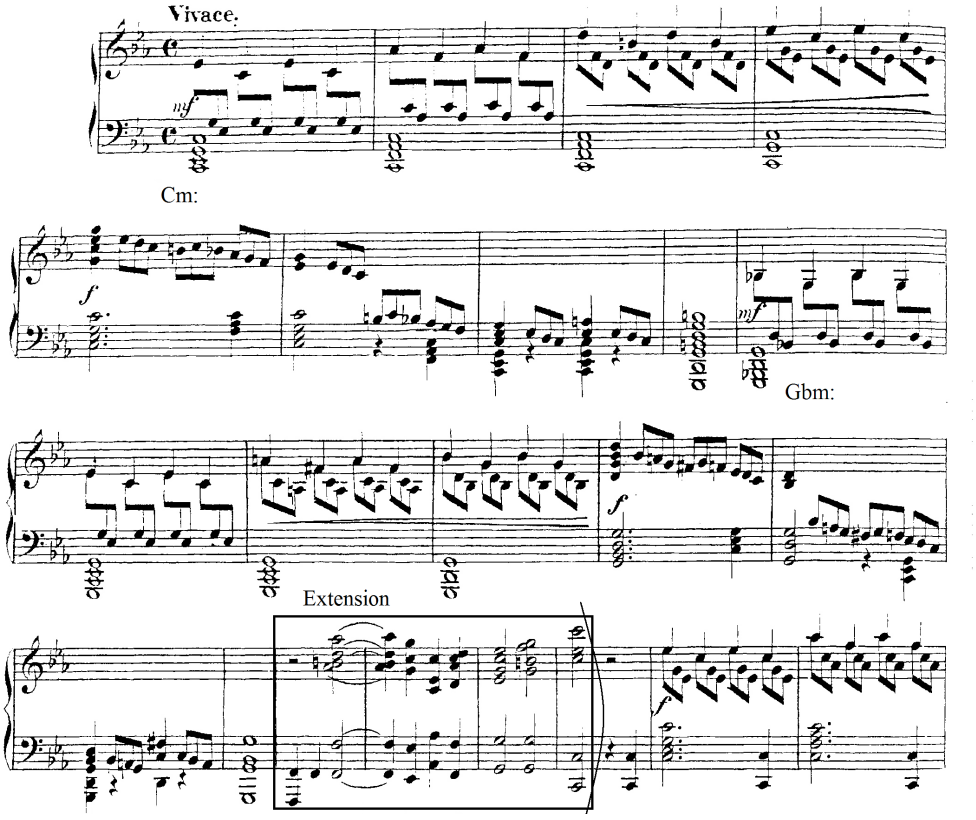
Ex. 2.22 measures 28-60: transition in exposition

The first half of the transition in the recapitulation matches that of the exposition, but it changes at the arrival of the secondary diminished seventh chord in measure 295. While this chord was in root position in the exposition, here it is in the first inversion. The most significant difference between the two sections is that the diminished chord continues here, while the chord was followed by a chromatic chord progression in the exposition. The nine measures of trills at the conclusion of this section even form the diminished seventh chord once again (Example 2.23; cf example 2.22 above).



Ex. 2.23 measures 291-314: diminished seventh chord in recapitulation

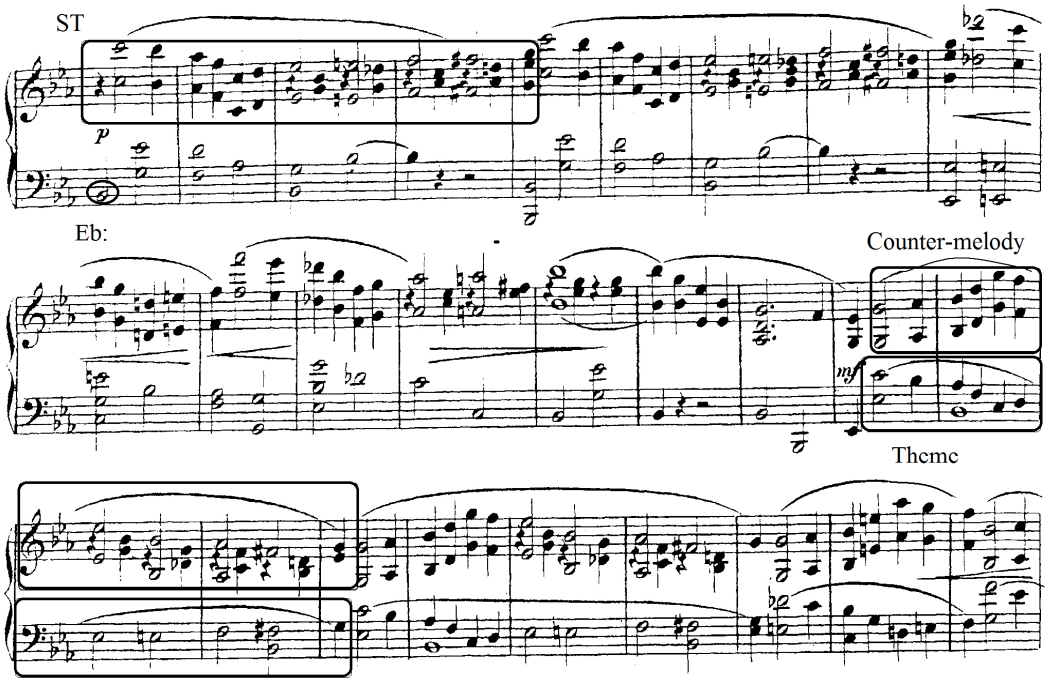
At only twenty measures long, the principal theme section is quite short. Its most noticeable feature is its irregular phrasing: the first two phrases, each eight-measures long, form the antecedent and consequent; the last four measures form an extension. It does not stay in the same key: the second phrase is in G minor (Example 2.24).



Ex. 2.24 measures 1-22: principal theme section

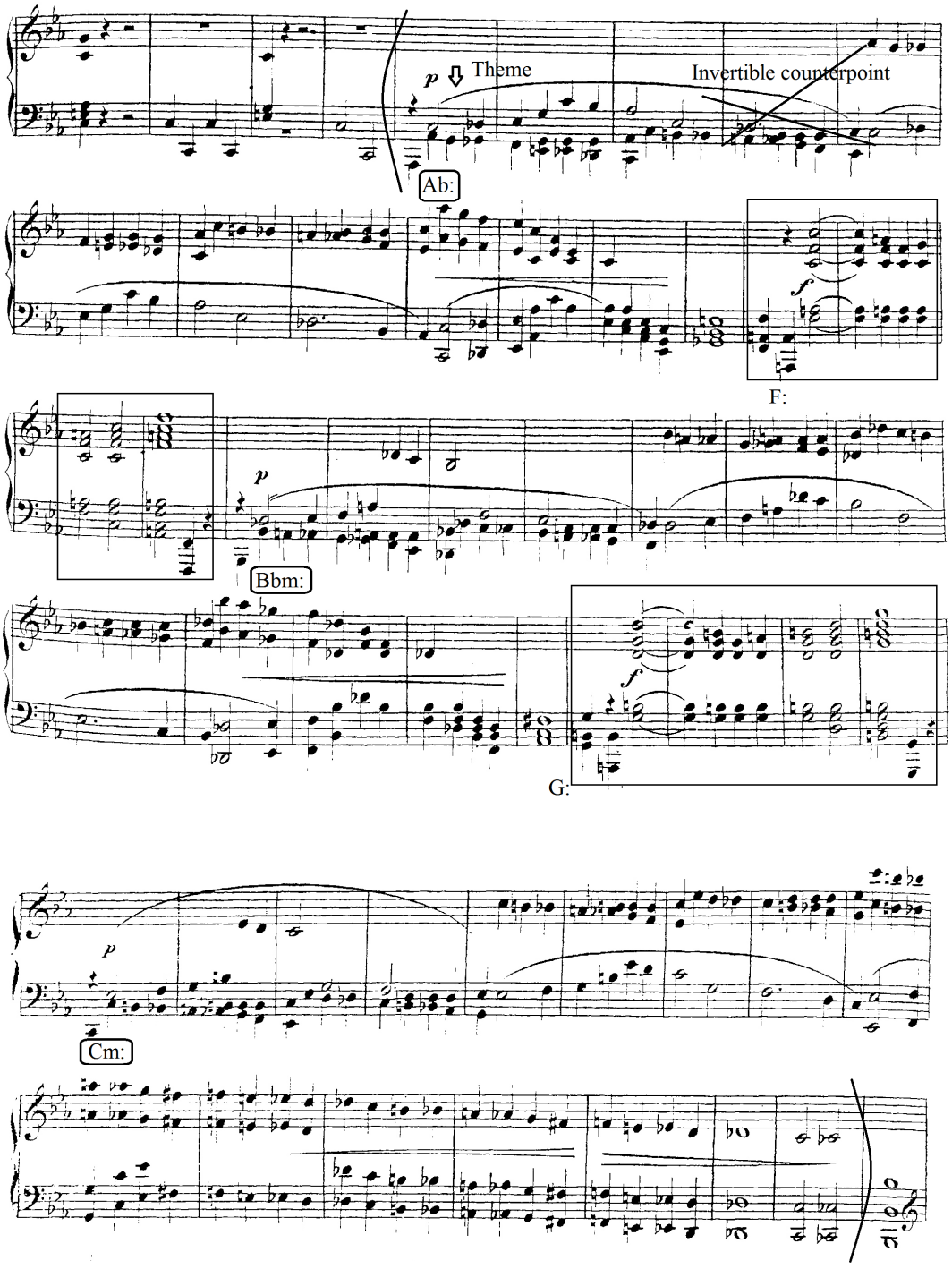
Most notable in this movement are the entries of the secondary theme in each section. In the exposition, the secondary theme enters over the dominant in E-flat major. This section consists of two long phrases consisting of thirty-two measures; each phrase is sixteen-measures long, and forms a sentence structure. The theme first appears in the

soprano with a simple accompaniment, then repeats in the tenor range with a mirroring counter-melody in which the theme is inverted (Example 2.25).



Ex. 2.25 measures 61-87: secondary theme in exposition

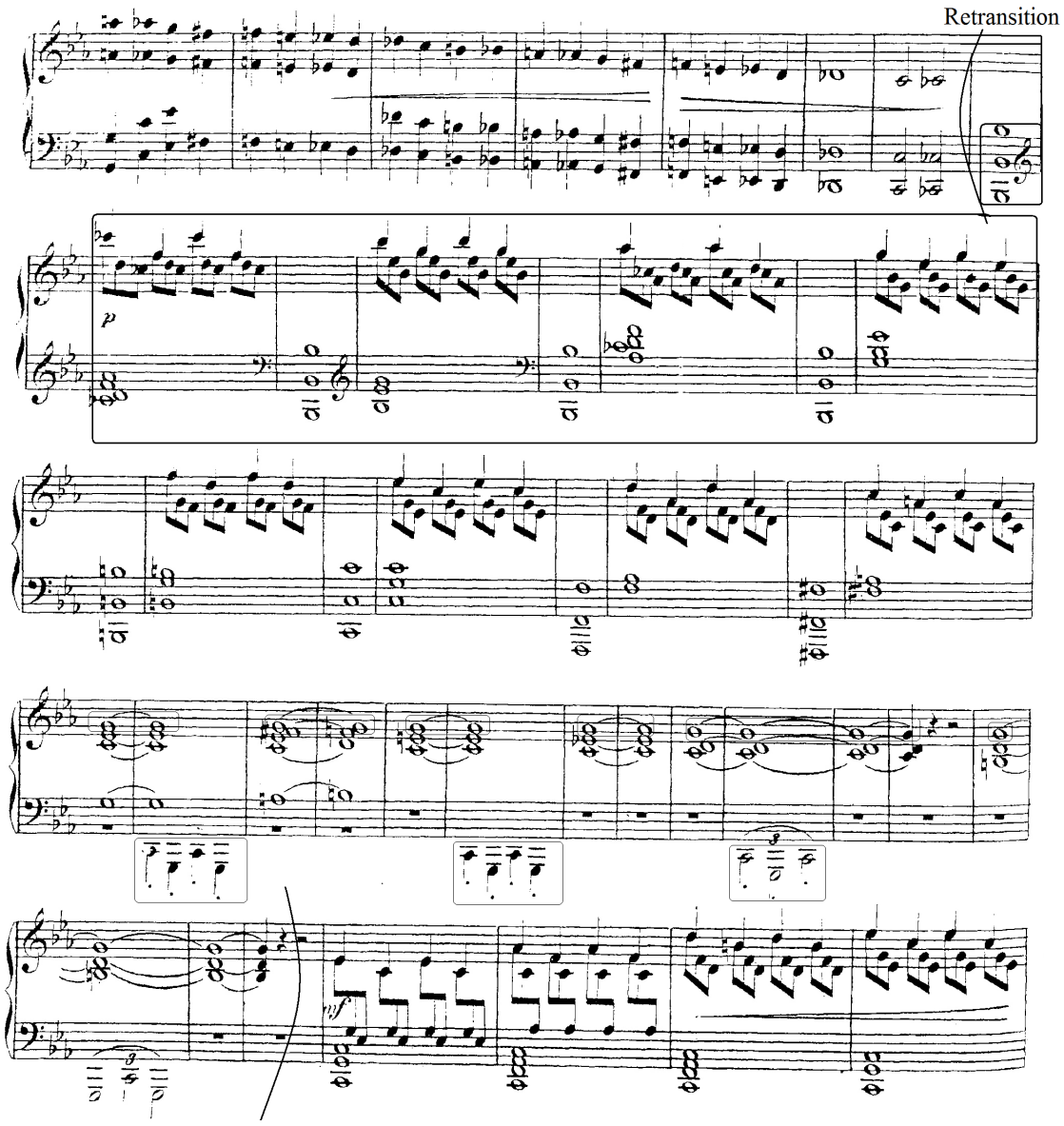
The second phrase of the secondary theme is the main idea of the corresponding section in the development (mm. 173-220), but note: in the exposition, the countermelody was the melodic inversion of the secondary theme, here it is a chromatic descending scale. Furthermore, an invertible counterpoint—not seen in the exposition—is used here. This phrase appears three times in this section; in A-flat major, B-flat minor, and C minor. There are, moreover, brief excursions to F major between A-flat major and B-flat minor, and G major between B-flat minor and C minor (Example 2.26).



Ex. 2.26 measures 169-221: secondary theme motive in development

Overall, the A-flat major and B-flat minor phrases are similar. Similarly, the last phrase begins like the first two, but ends with a chromatic descending scale in octaves. It is on the last note of this descending scale that the retransition begins.

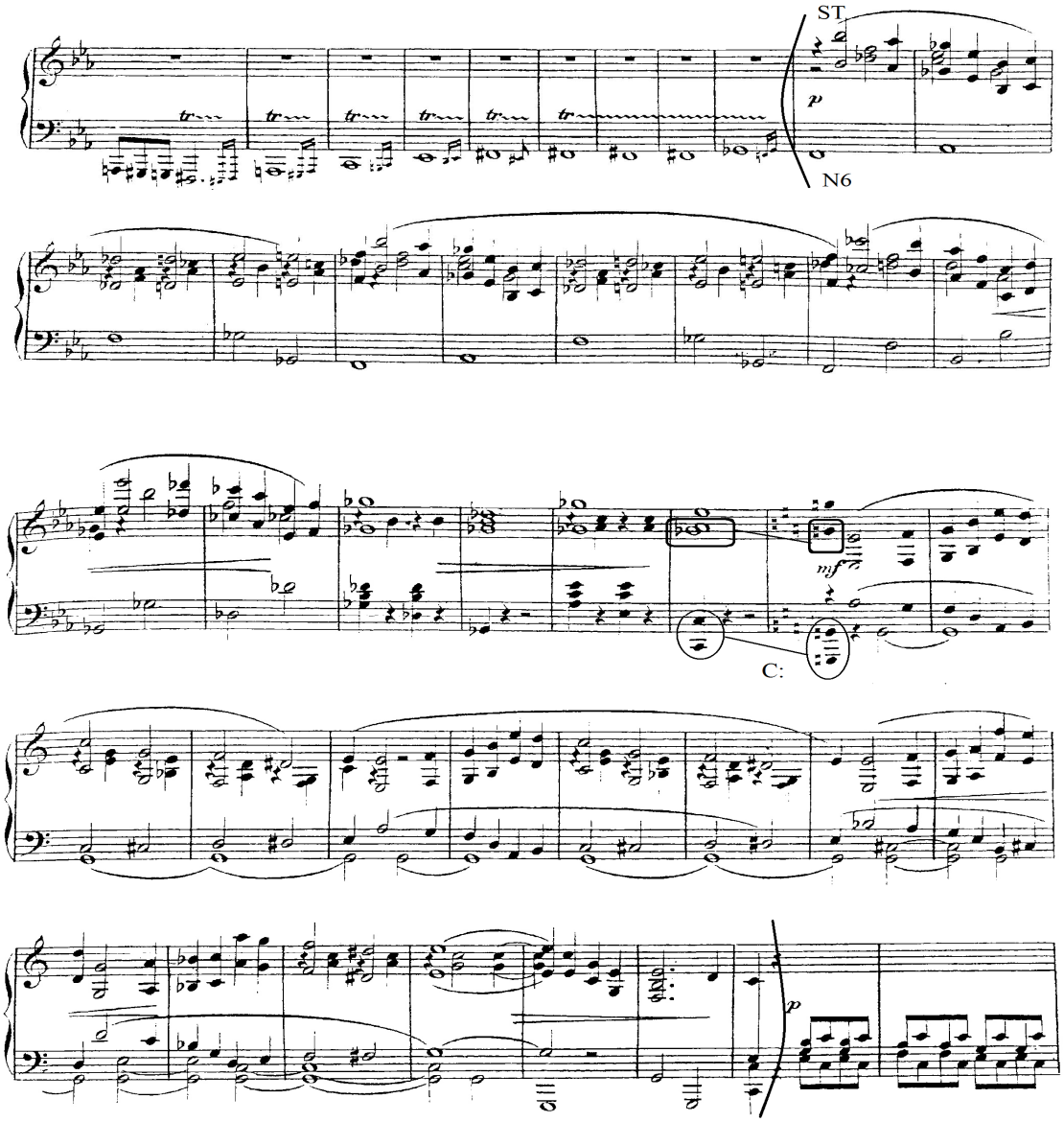
In the retransition (mm. 221-52), the predominant rhythms are whole notes and triplets. Because B-flat is emphasized with whole notes four times in the beginning of this section, it would appear as if the composer were establishing the key of E-flat major. However, the tonic key of C minor is restored by a pedal point on G in measures 237-52, and confirmed by the three iterations of the C-G drum-effect (Example 2.27).



Ex. 2.27 measures 205-56: retransition

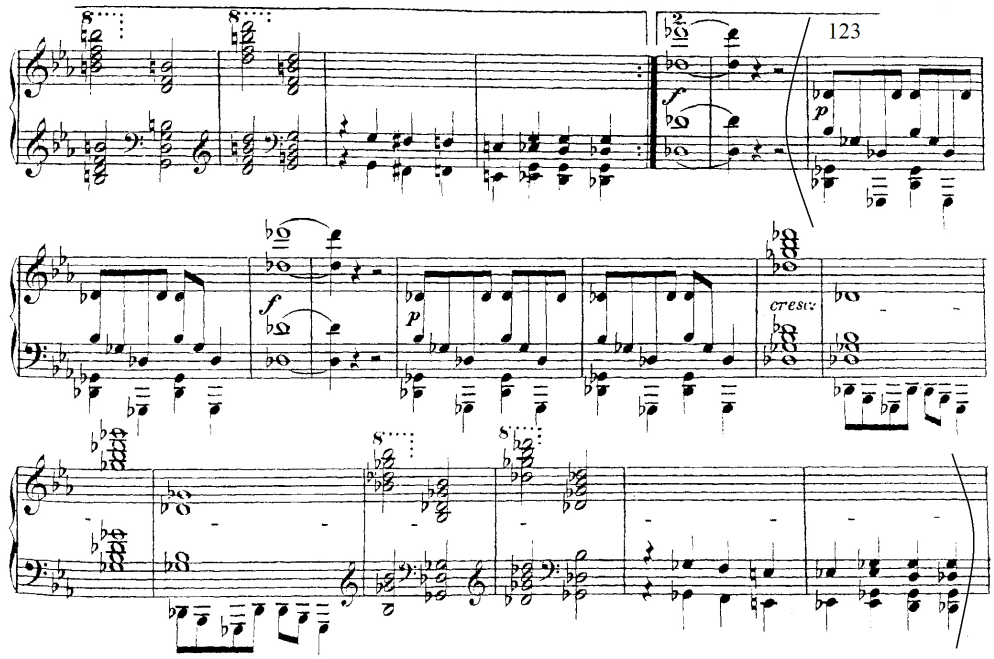
The outset of the secondary theme is unique in the recapitulation. It does not return in the tonic key but instead reappears over the dominant of the Neapolitan key, D-flat major (Example 2.28). As in the exposition, the secondary theme of the recapitulation consists of two long phrases: the first is in D-flat major; the second, in C major. The first

phrase has a thinner texture than its counterpart in the exposition. The second phrase mirrors its counterpart in the exposition in that both have the inverted secondary theme as counter-melody. In the recapitulation, this phrase holds a pedal point on the dominant of C major in the bass throughout. Example 2.28 illustrates the transition of D-flat major to C major, and the long pedal point on G.



Ex. 2.28 measures 323-46: secondary theme in recapitulation

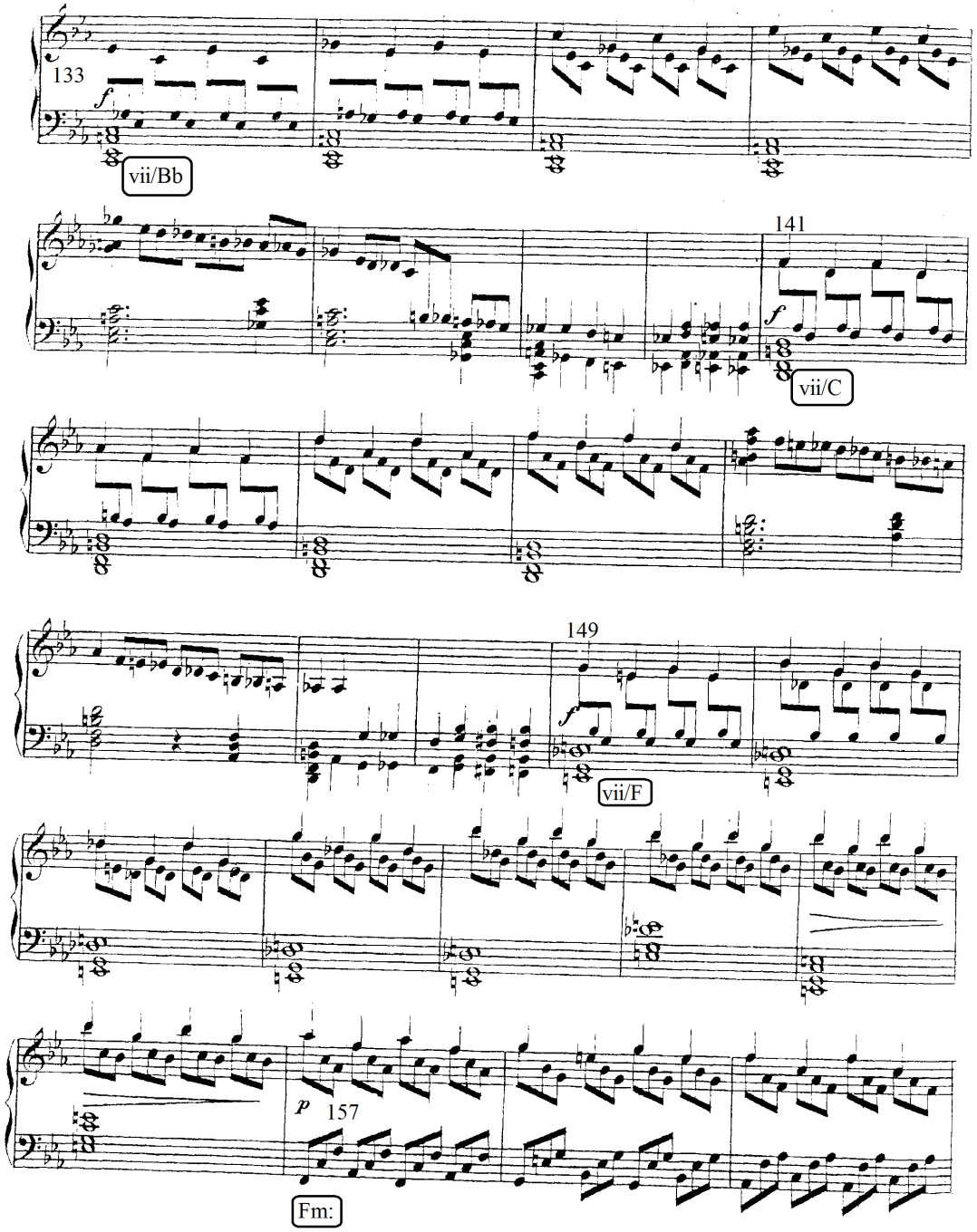
Just prior to the development, there is a precore in G-flat major that seems to be a vestige of the closing theme section, for its main motive is drawn from the theme (Example 2.29).[52]



Ex. 2.29 measures 123-32: precore

Thus, the development begins in measure 133, but a solid tonality is not reached until measure 157 on account of measures 133-156, which unfold a series of unstable diminished chords. This section consists of three phrases, each of which is built on a different chord (Example 2.30).

[52] William E. Caplin, Classical Form: *A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 147-153.

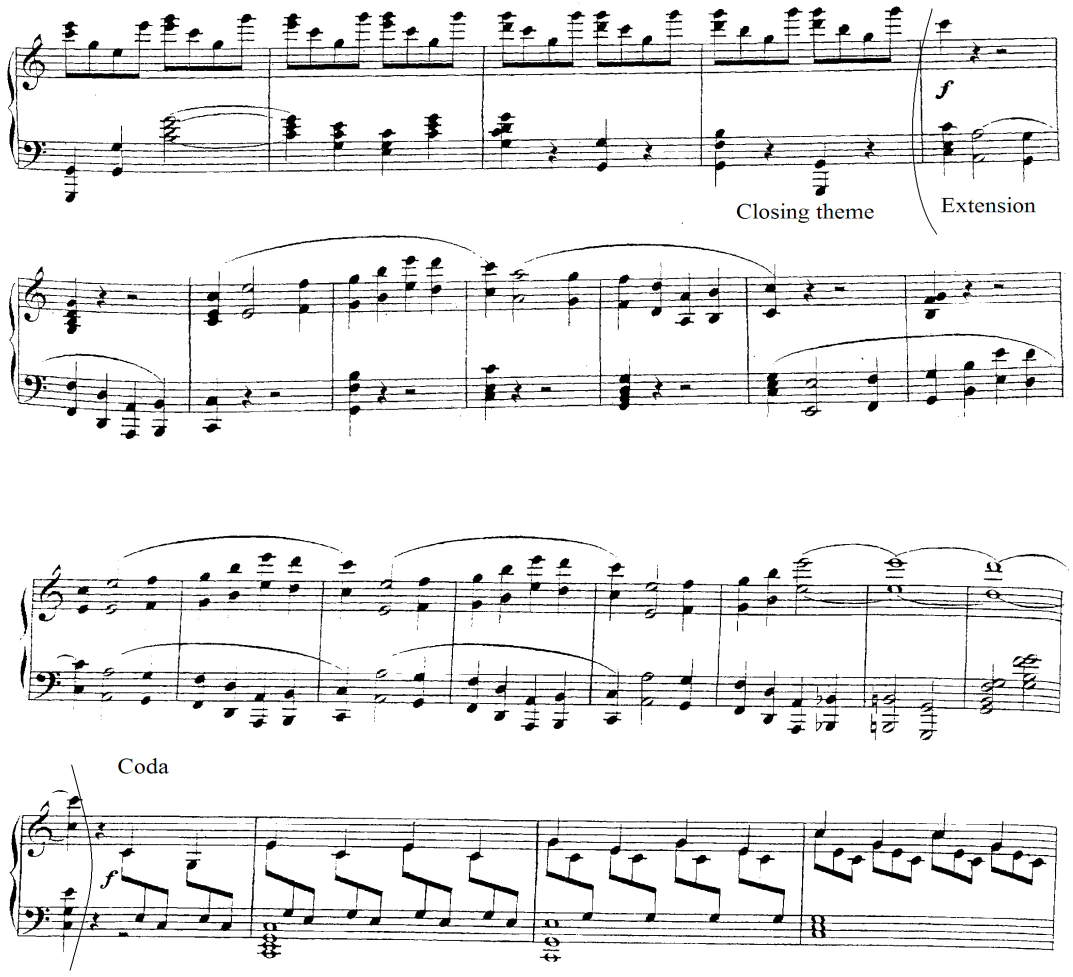


Ex. 2.30 measures 133-59: first part of development section

The first explicit key of the development section, F minor, is established by the principal theme at measure 157, in which the both hands play its triplet motive together in

contrary motion. Note that in the exposition, only the right hand had triplets, under which the left hand sustained long chords. This section continues through measure 172, and is then followed by the secondary theme motive section in A-flat major.

The closing section in the recapitulation is almost twice as long as its counterpart in the exposition. Its theme consists of two figurations: tremolos and short arpeggios. The second figuration is prolonged and is followed by an extension and coda. The extension revisits the secondary theme, while the coda re-establishes C major—the parallel major key to the tonic and the key of the secondary theme in the recapitulation (Example 2.31).



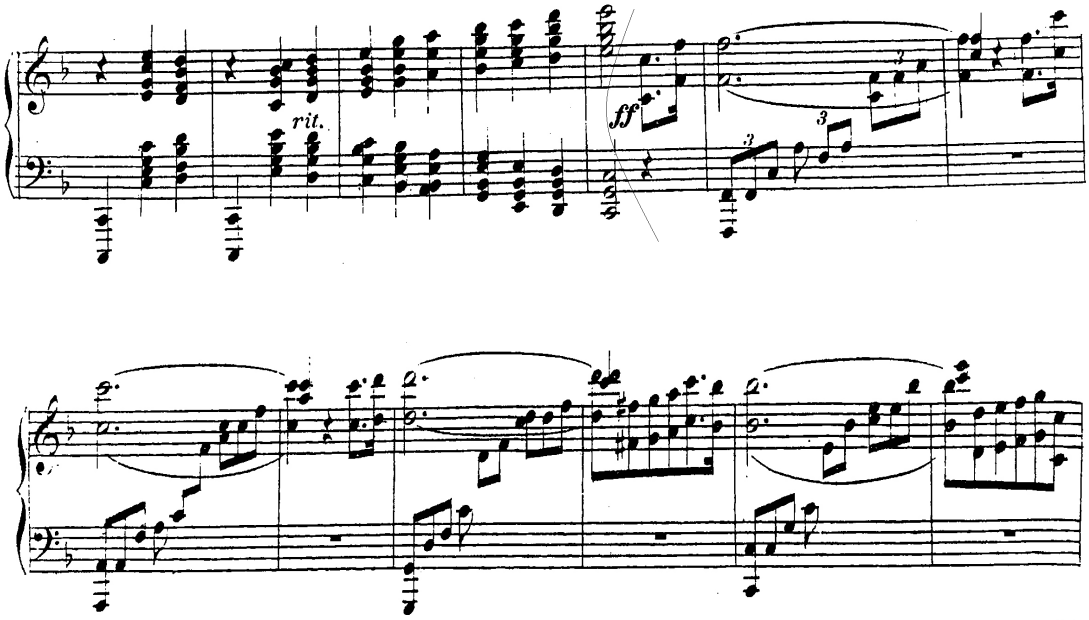
Ex. 2.31 measures 393-416: extension after closing theme section

CHAPTER THREE: Sonata No. 3 in F major, Op. 41

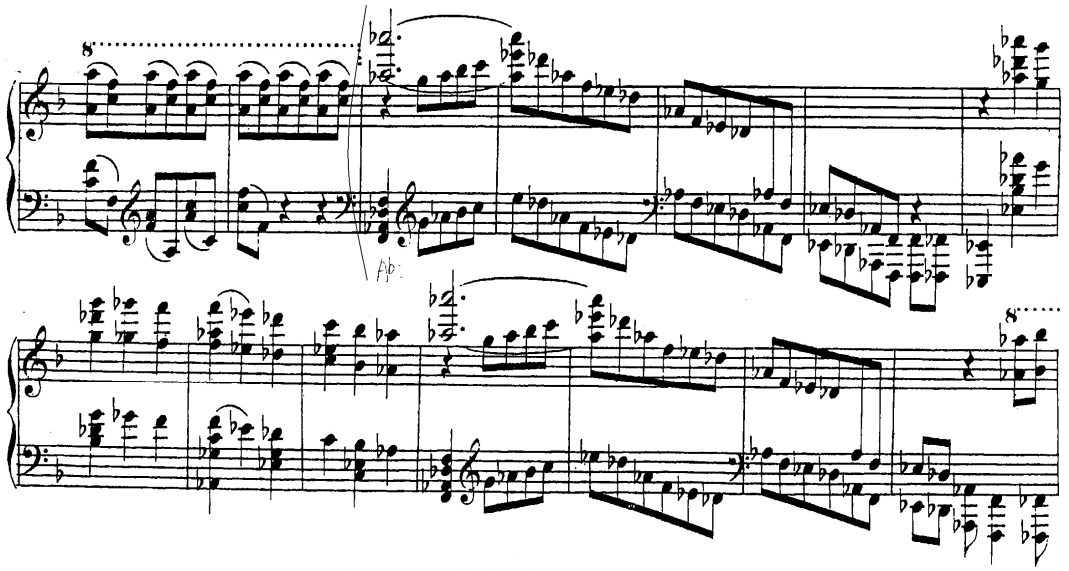
I. First movement, *Allegro*

Though the first three sonatas were written around the same period (1848-54), there is a clear distinction between the first two sonatas and the third. The first two sonatas employ mostly conventional features, while the third treats forms and keys with greater freedom and more ambiguity. There are, for instance, three possibilities for the form of the third movement: ternary, parallel, and sonata. Furthermore, although it was not unheard in the Romantic period, the key relationship between the principal and secondary themes of the first movement is quite bold: the secondary theme appears in bIII of the principal theme in the exposition, but returns in natural-III in the recapitulation. Of Rubinstein's four sonatas, this is the only one to use this idea.

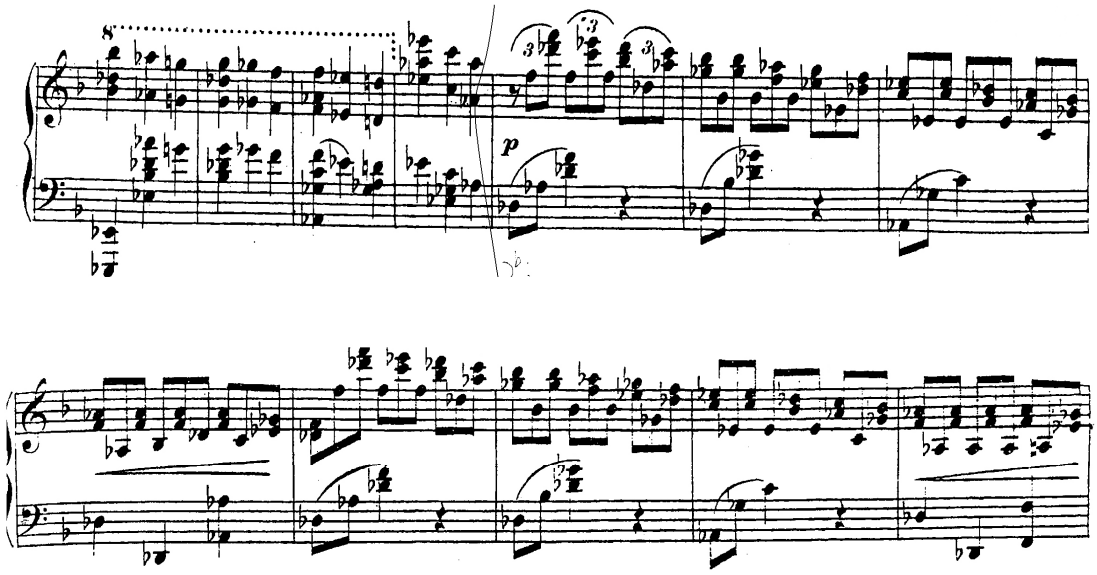
The first movement embraces not only unusual key choices but also unusual proportions. The longest section in this movement is the transition, which—excluding the retransition—is longer than the whole development section. The transition consists of four subsections (mm. 40-120), each with a different melodic contour and key. The first subsection employs the principal theme but whereas the accompaniment of the principal theme section is chordal, here the accompaniment is arpeggiated triplets (Example 3.1-1). The second subsection is based on diatonic and chromatic scales (Example 3.1-2), and the third is based on triplet tremolos (Example 3.1-3). The last subsection utilizes a part of the principal theme with a syncopated accompaniment (Example 3.1-4).



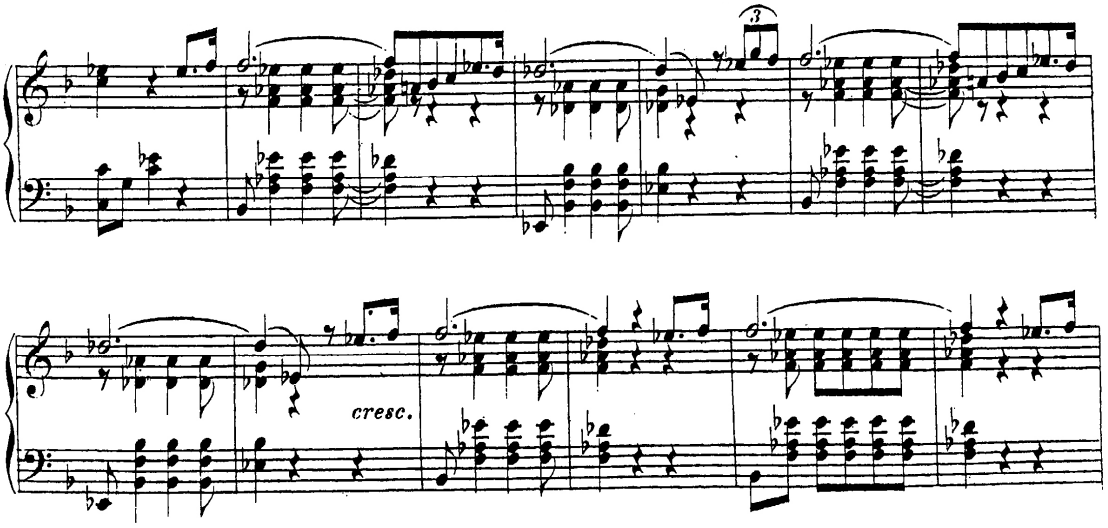
Ex. 3.1-1 measures 36-48: principal theme with arpeggiated accompaniment



Ex. 3.1-2 measures 63-76: diatonic and chromatic scales



Ex. 3.1-3 measures 77-88: triplet tremolos



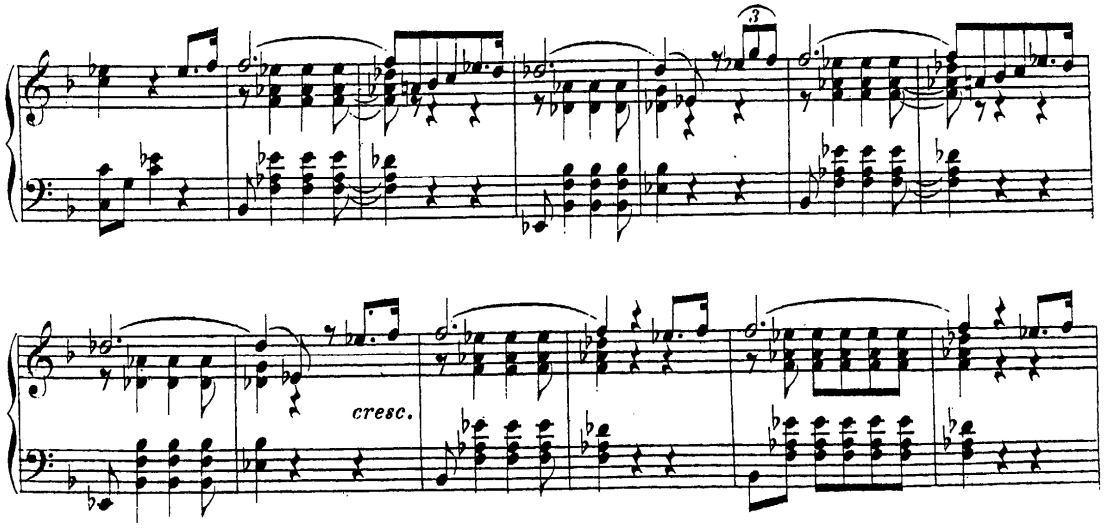
Ex. 3.1-4 measures 105-16: principal theme with syncopated accompaniment

In the recapitulation, the first and second subsections of the exposition return in exactly the same way, save for key, while the third subsection is shortened. The last subsection is radically changed: the melody of the last subsection within the exposition

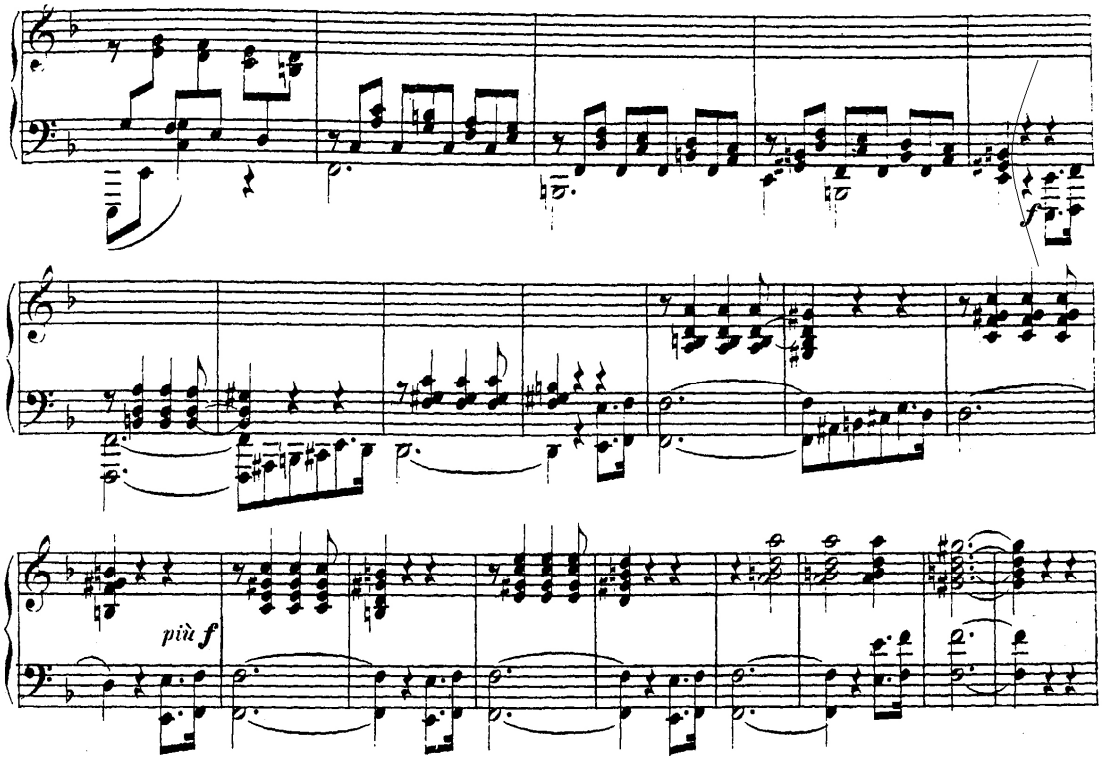
appears in the bass in the recapitulation and the major mode of the former section changes to a minor mode in the latter (Example 3.2-1&2). Table 3.1 below shows the comparison of the tonal scheme of the transitions between the exposition and recapitulation.

Subsection	1	2	3	4
Exposition	40-64	65-80	81-104	105-120
Keys	F	Ab	Db-Bbm-Fm-Cm	Ab
Recapitulation	288-312	313-328	329-344	345-360
Keys	F-Ab	C	C	Am

Table 3.1 Comparison of the tonal scheme of transitions

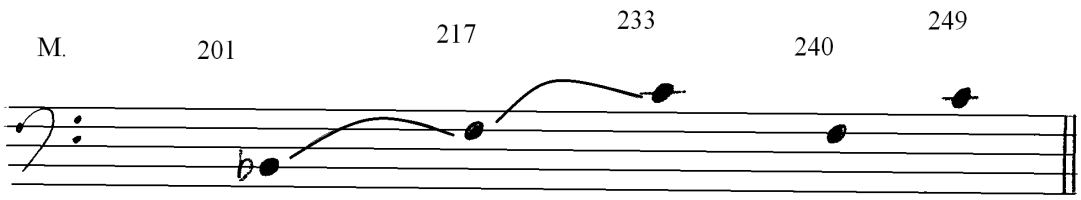


Ex. 3.2-1 measures 105-16: subsection 4 in the exposition

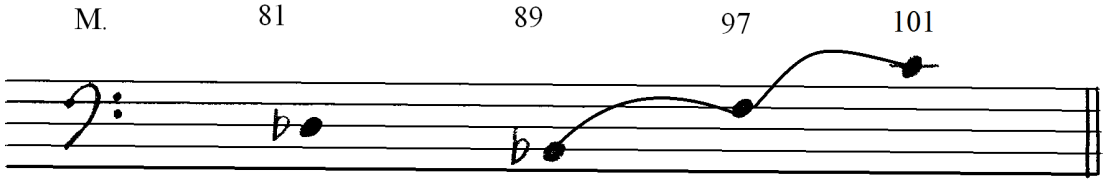


Ex. 3.2-2 measures 345-60: subsection 4 in the recapitulation

At sixty-two measures (excluding retransition) vs. eighty, the development section is more compact than the transition (mm.40-120). This section forms another rotation of the principal and secondary themes, each of which is fairly short. The tonal progress is a circle of fifths (Example 3.3-1) which appeared in the third subsection of the transition within the exposition (Example 3.3-2): B-flat minor, F minor, and then C minor.

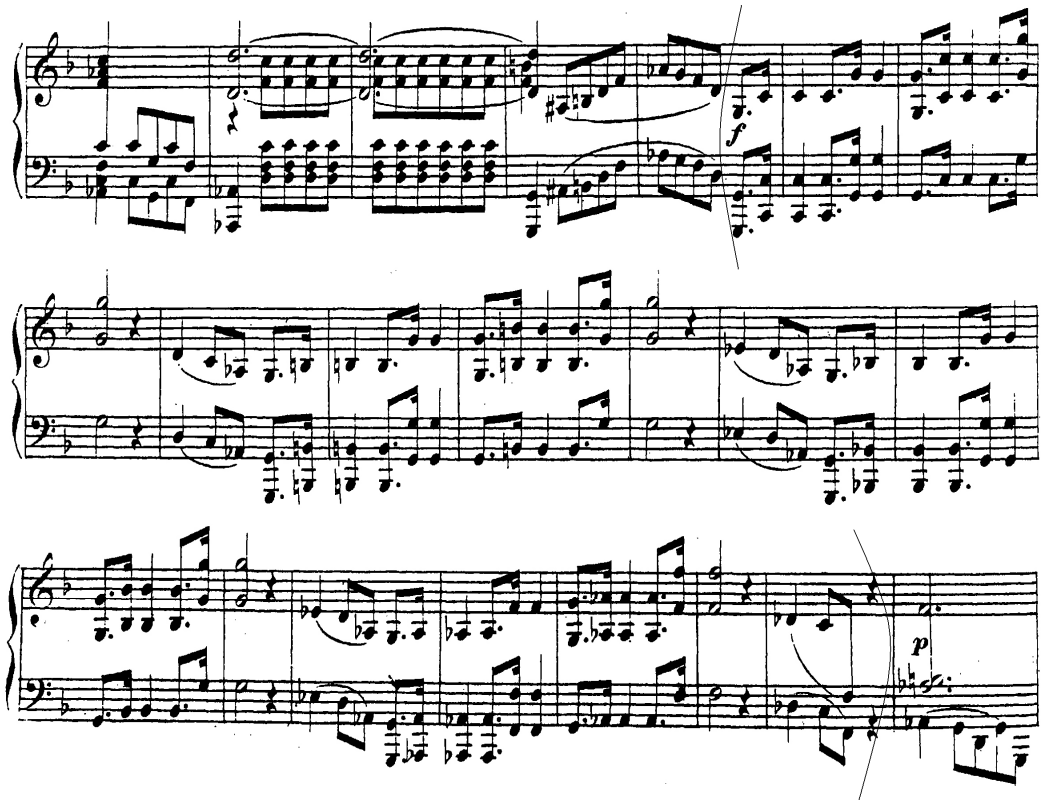


Ex. 3.3-1 A circle of fifths in development

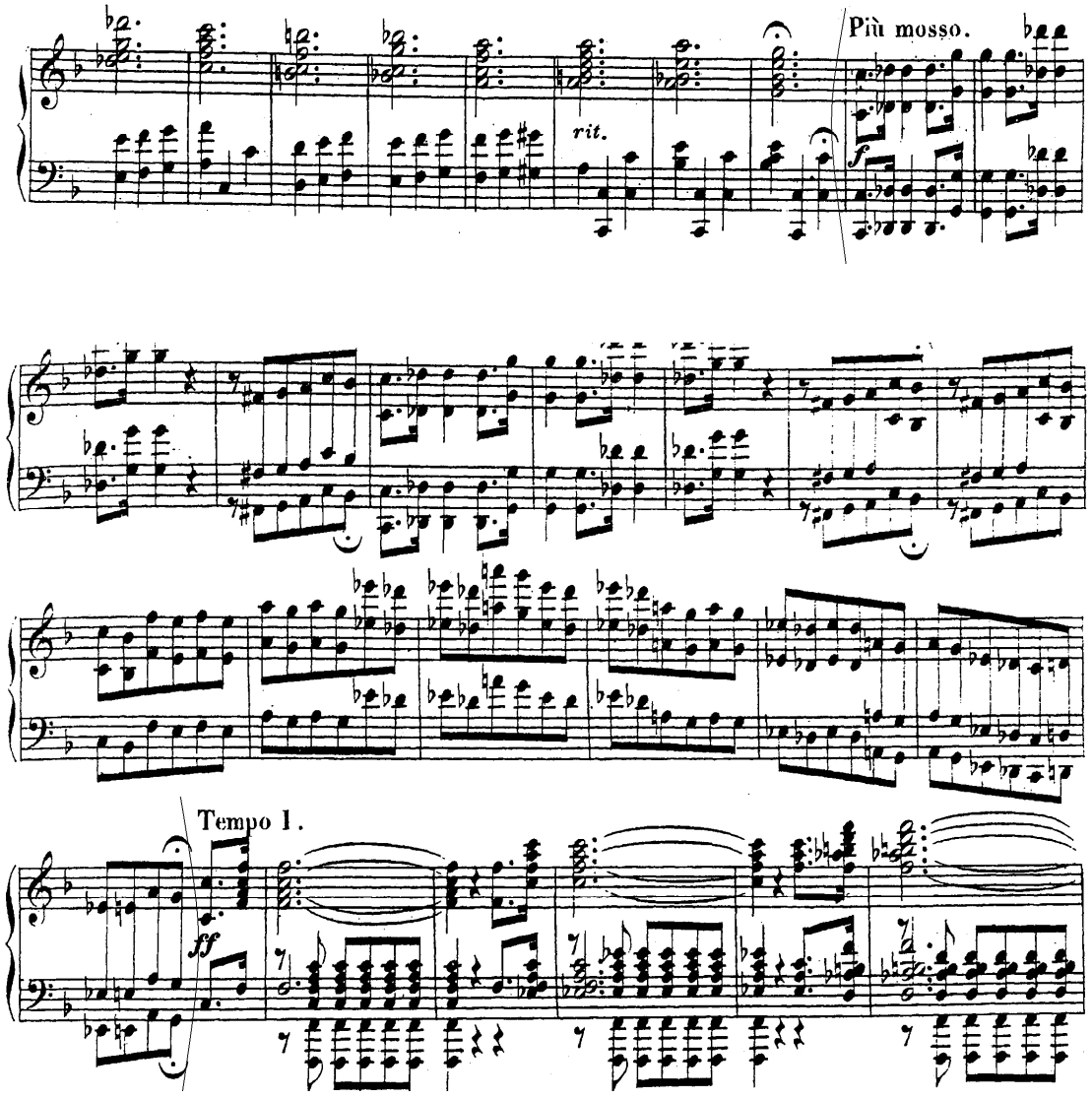


Ex. 3.3-2 A circle of fifths in exposition

Between the principal and secondary themes, there is an interpolation of the first motive of the principal theme. This motive appears again between the secondary theme in the recapitulation and the coda (Example 3.4-1&2); the closing theme does not return in the recapitulation.

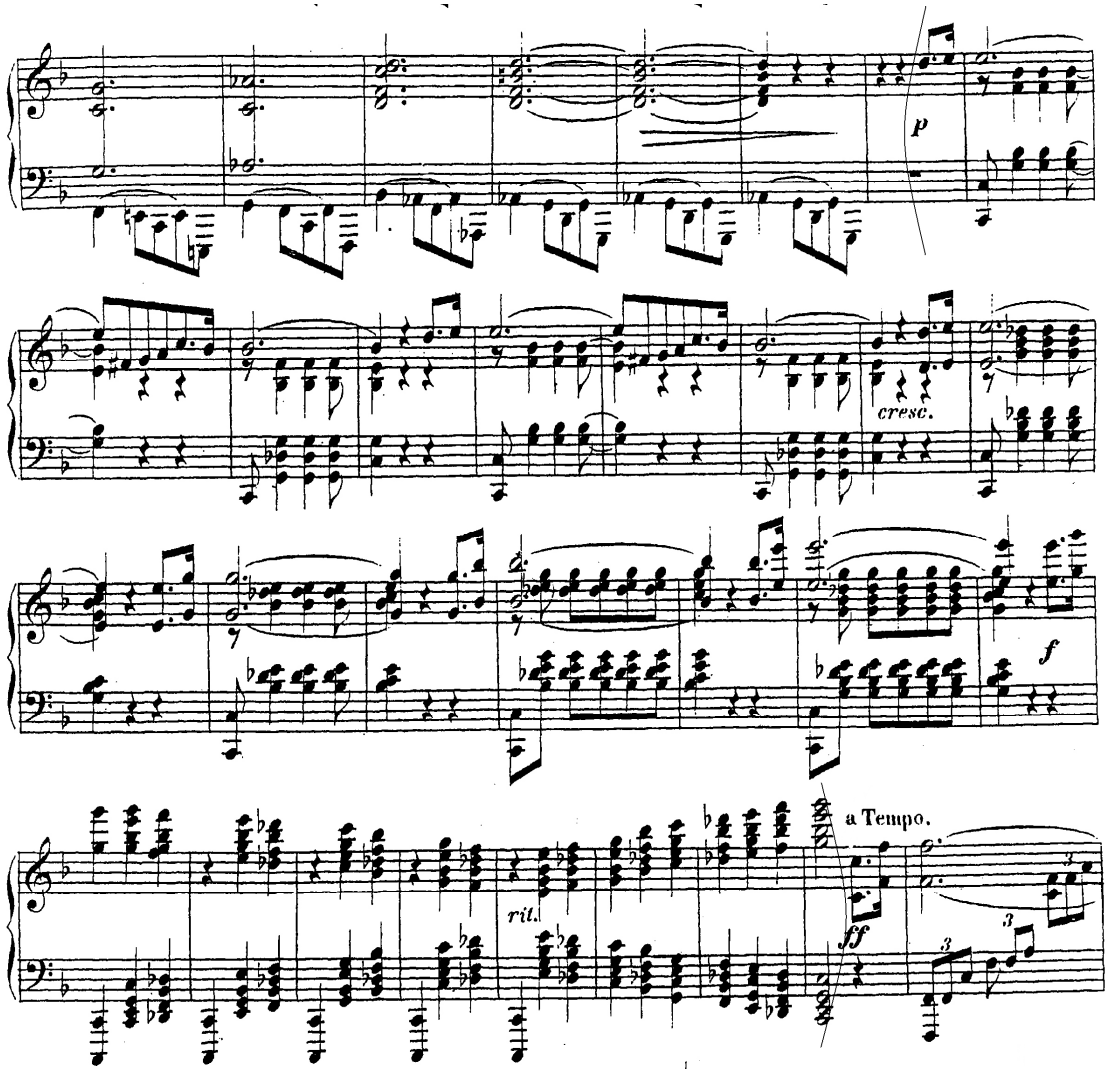


Ex. 3.4-1 measures 228-49: interpolation in development



Ex. 3.4-2 measures 425-53: interpolation before coda

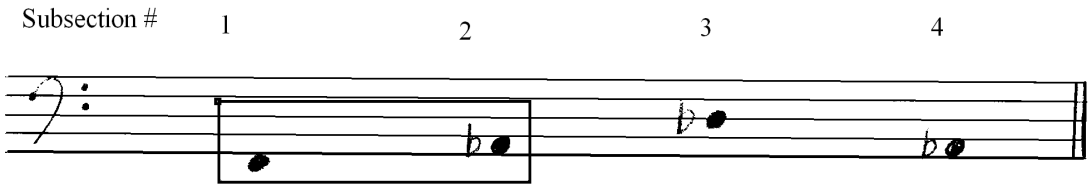
After a brief pause, the retransition begins in the dominant of F major. This section consists of two figurations: the first recalls the last subsection of the transition in the exposition, which consists of the principal theme and a syncopated accompaniment; the second is analogous to the last eight measures of the principal theme section in the exposition (Example 3.5).



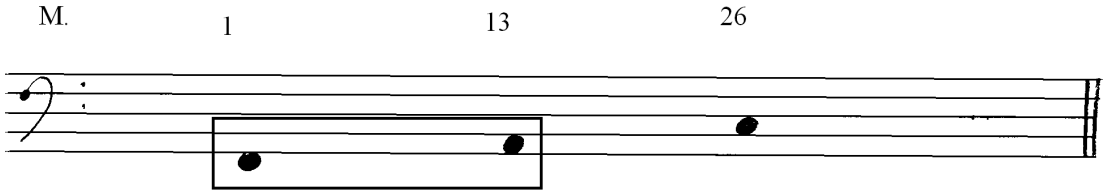
Ex. 3.5 measures 258-89: retransition

The secondary theme of this movement appears three times, and each appearance is noteworthy: the theme always returns in a different key, with a different accompaniment, length, and cadence. The choice of key for the secondary theme in the exposition and recapitulation is also quite bold: it appears in A-flat major (bIII of the principal theme) in the exposition, and returns in the recapitulation in A major. This feature is foreshadowed in the principal theme and transition sections in the exposition: a

tonicization from F to A-flat appears first in the transition (Example 3.6-1); a second tonicization, this time from F to A, occurs in the principal theme section (Example 3.6-2).

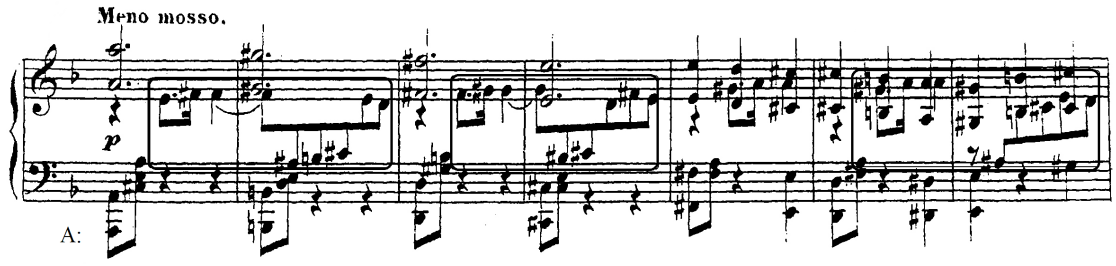


Ex. 3.6-1 Tonicization in transition

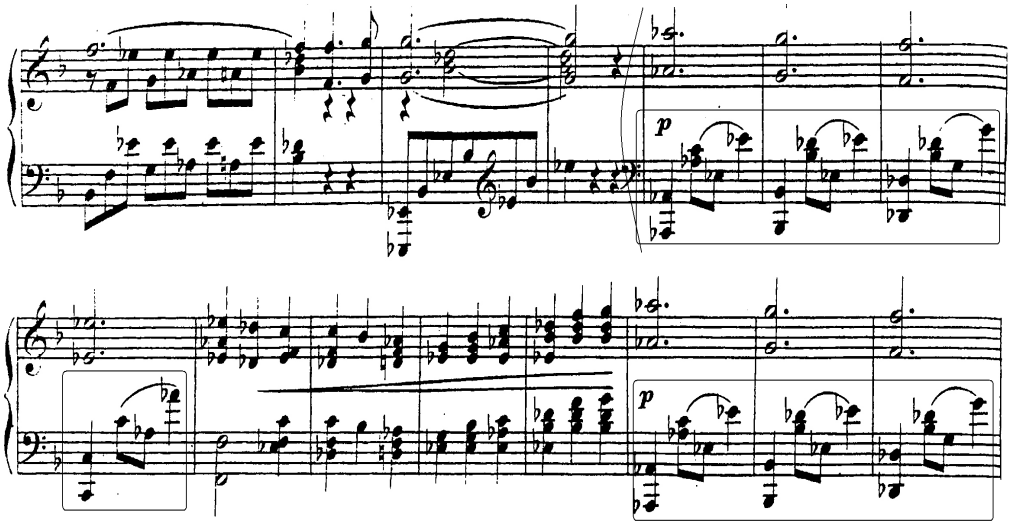


Ex. 3.6-2 Tonicization in principal theme section of exposition

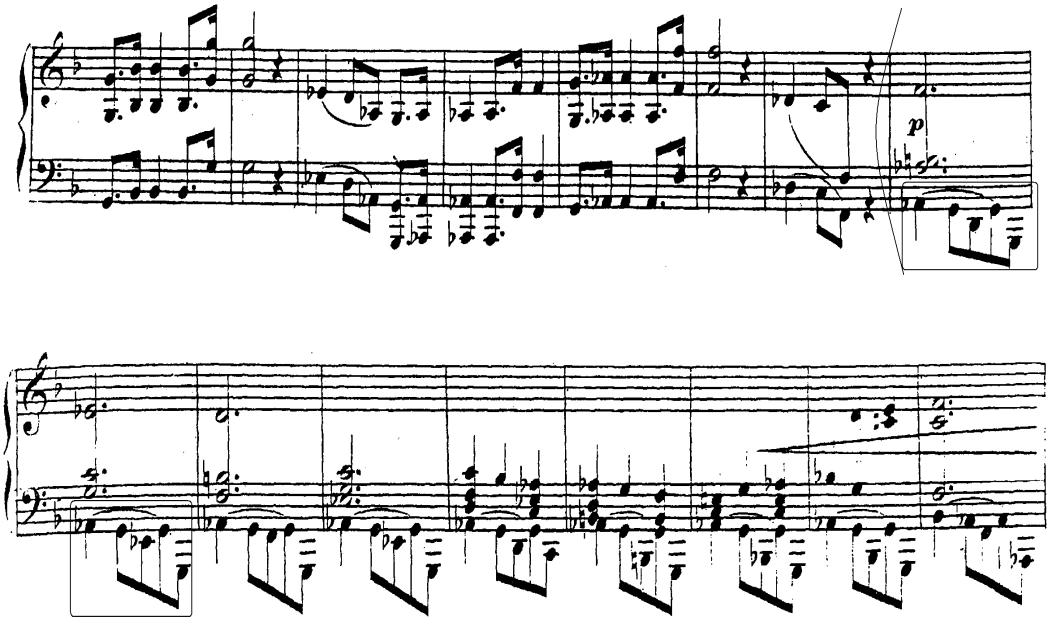
In its accompaniment, the secondary theme of the recapitulation embraces some fragments of the principal theme (Example 3.7-1), while the theme in the exposition and development feature a simple dance-like accompaniment (Examples 3.7-2 and 3.7-3).



Ex. 3.7-1 measures 361-67: secondary theme in recapitulation



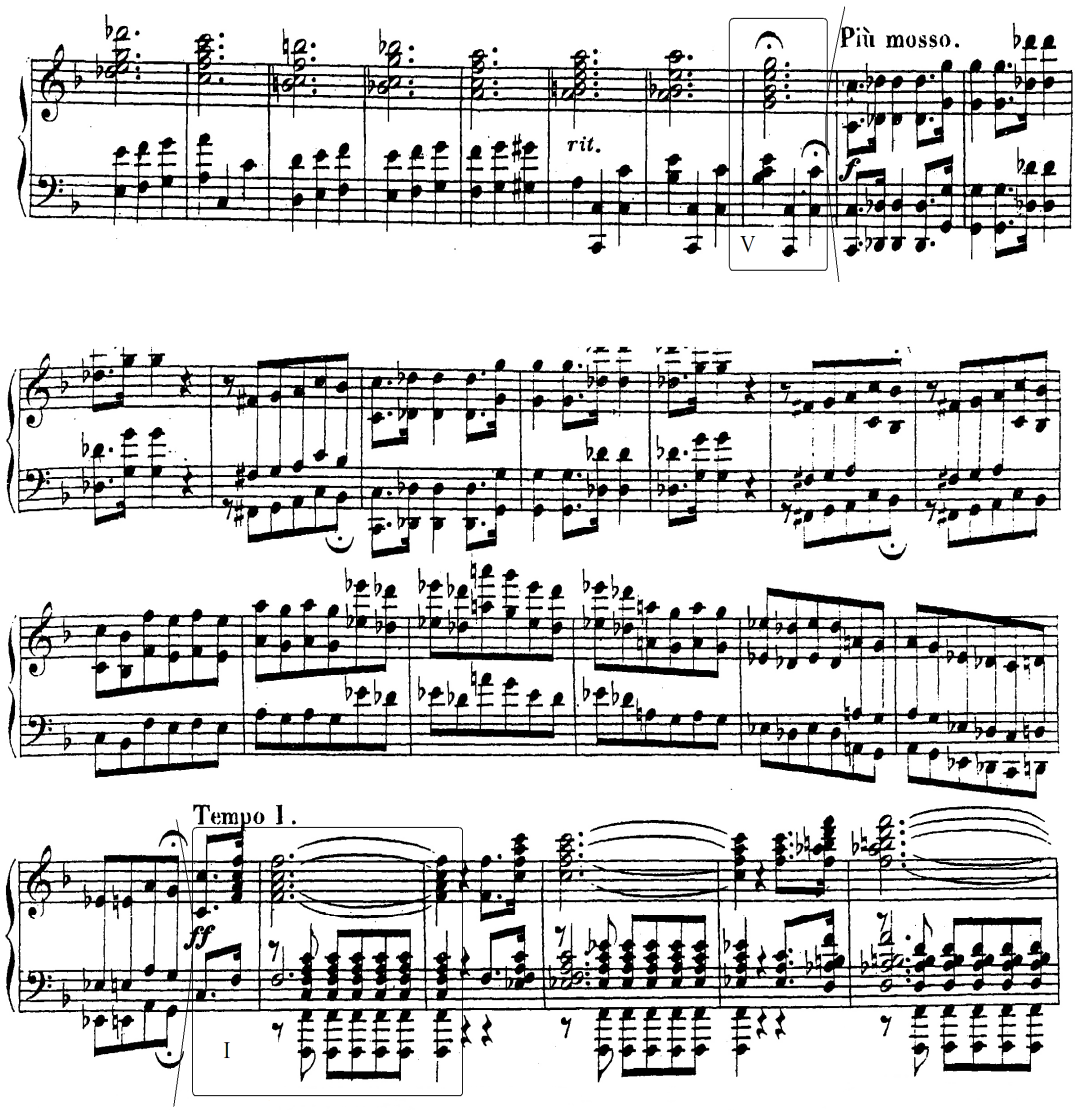
Ex. 3.7-2 measures 117-31: secondary theme in exposition



Ex. 3.7-3 measures 242-57: secondary theme in development

The secondary theme in the recapitulation is much longer than the same theme in the exposition; in the development it is considerably shortened. In the recapitulation, the last part of the secondary theme is extended and followed by an interpolation which

stretches out the cadence of the theme. This interpolation is comprised of certain motives of the principal theme (Example 3.8).



Ex. 3.8 measures 425-53: interpolation within essential structural closure

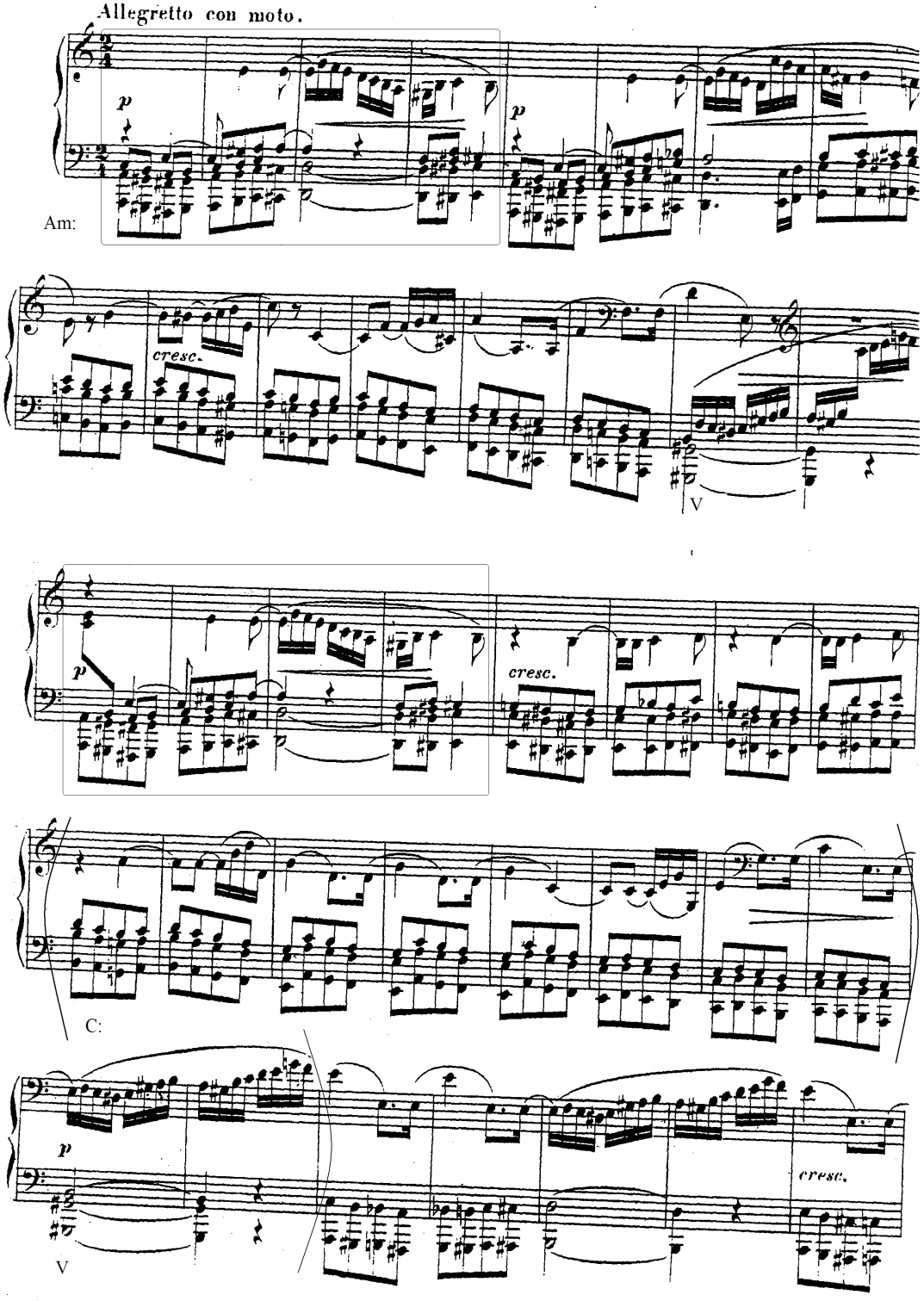
In order to facilitate the essential structural closure in the tonic key, the secondary theme modulates from A major to F major in the recapitulation. Its cadence, however, is delayed by an interpolation, mentioned above (See Example 3.8 above for the delayed cadence); this interpolation does not occur in the exposition. After completion of the

cadence, the tonic is reinforced in the coda; the closing theme does not return but is evoked here.

II. Second movement, *Allegretto con moto*

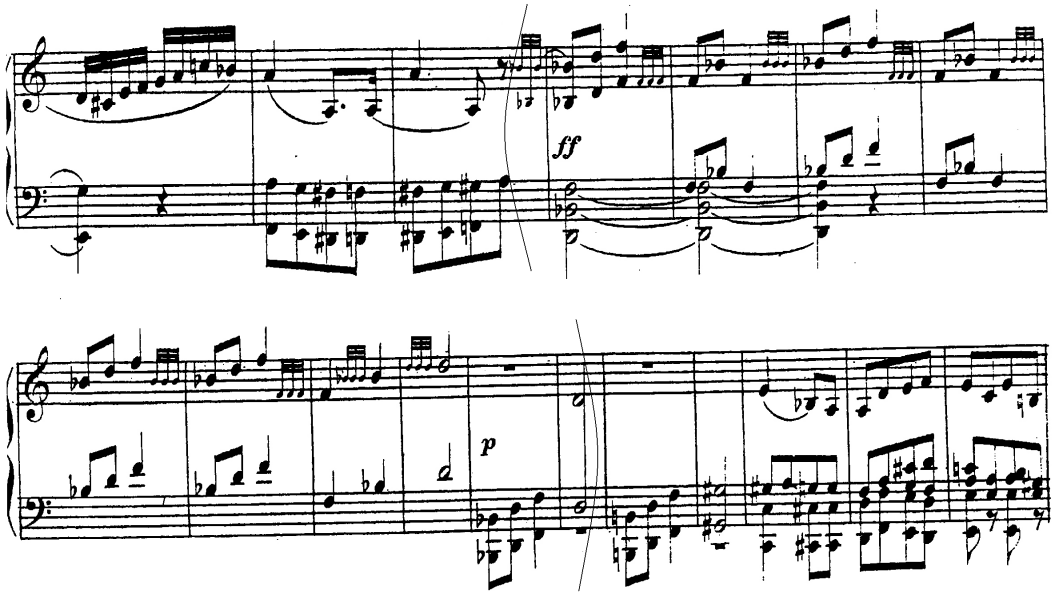
The second movement of this sonata is in A minor, and its form is ternary. The A and B sections provide a certain contrast in mood, with some reminiscences of the A section appearing in the B section. Throughout the movement, the left hand plays march-like rhythms that contrast with the lyrical melody in the right hand. While the phrases are mostly formed by eight-measure units, some phrases are unexpectedly irregular. The movement's most noteworthy feature is its key structure: tonicizations of the Neapolitan and mediant keys appear as frequently as in the first movement.

The first A section starts with an antecedent phrase in the low register in which the dark, insistent march-rhythms in the left hand suggest an atmosphere of gloom. After this sixteen-measure antecedent, the outset of the next phrase appears to be the consequent, but only the first four measures are those of the antecedent; thereafter, the music diverges, forming another antecedent. Within this second phrase, a tinge of C major briefly appears, though the phrase ends on the dominant of A minor (Example 3.9).



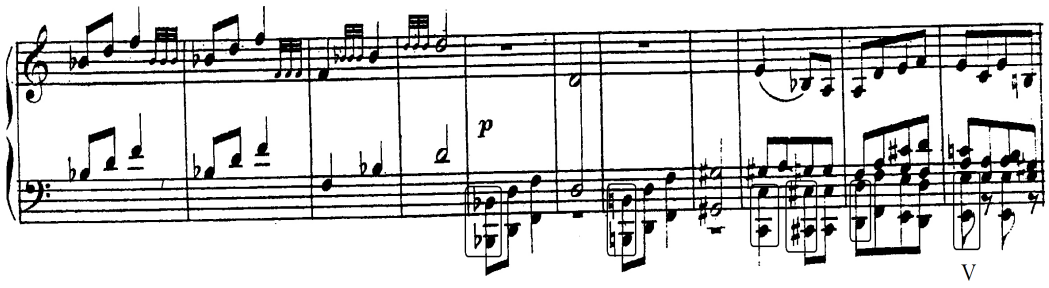
Ex. 3.9 measures 1-39: first two phrases of the A section

An authentic cadence in A minor appears in the following phrase. For the next twelve measures, this third phrase revisits motives from the end of the previous phrase. This reminiscence is then suddenly interrupted by the appearance of a *ff* Neapolitan passage—the first time this dynamic indication is used in this movement (Example 3.10).

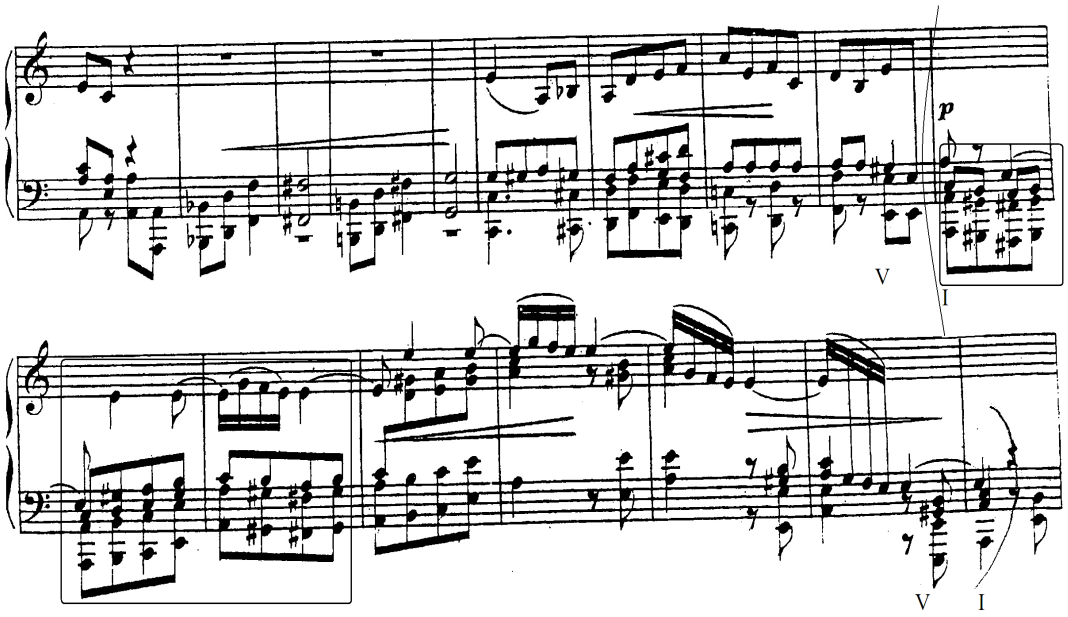


Ex. 3.10 measures 46-63: Neapolitan passage in the third phrase

A chromatic bass line leads this passage to the dominant (Example 3.11), followed by a codetta which revisits ideas from the beginning of the movement (Example 3.12).

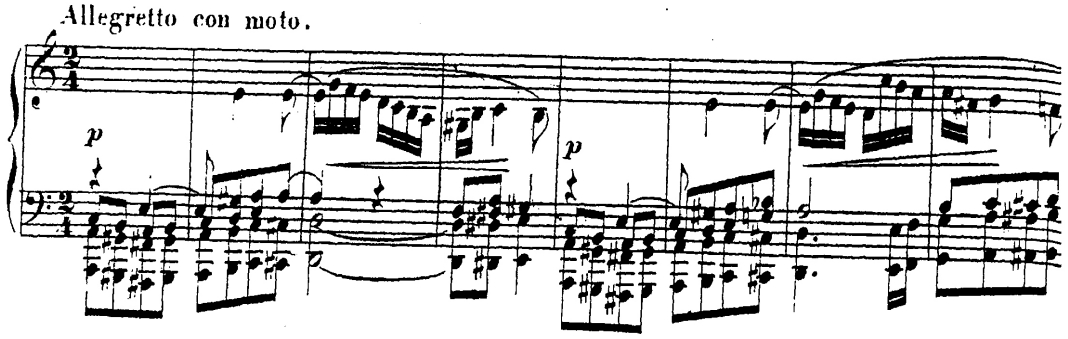


Ex. 3.11 measures 53-63: chromatic bass line between Neapolitan and dominant

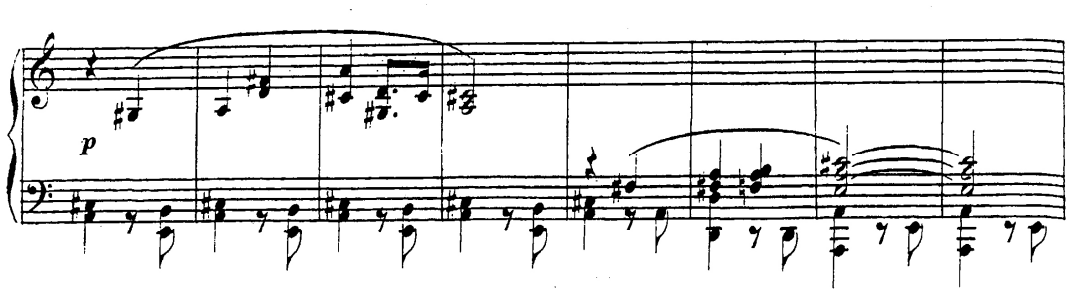


Ex. 3.12 measures 64-80: codetta in A section

The march-like rhythms in the bass that dominated the A section continue to be used in the B section, though they are not identical; Examples 3.13-1 and 3.13-2 compare their differences.



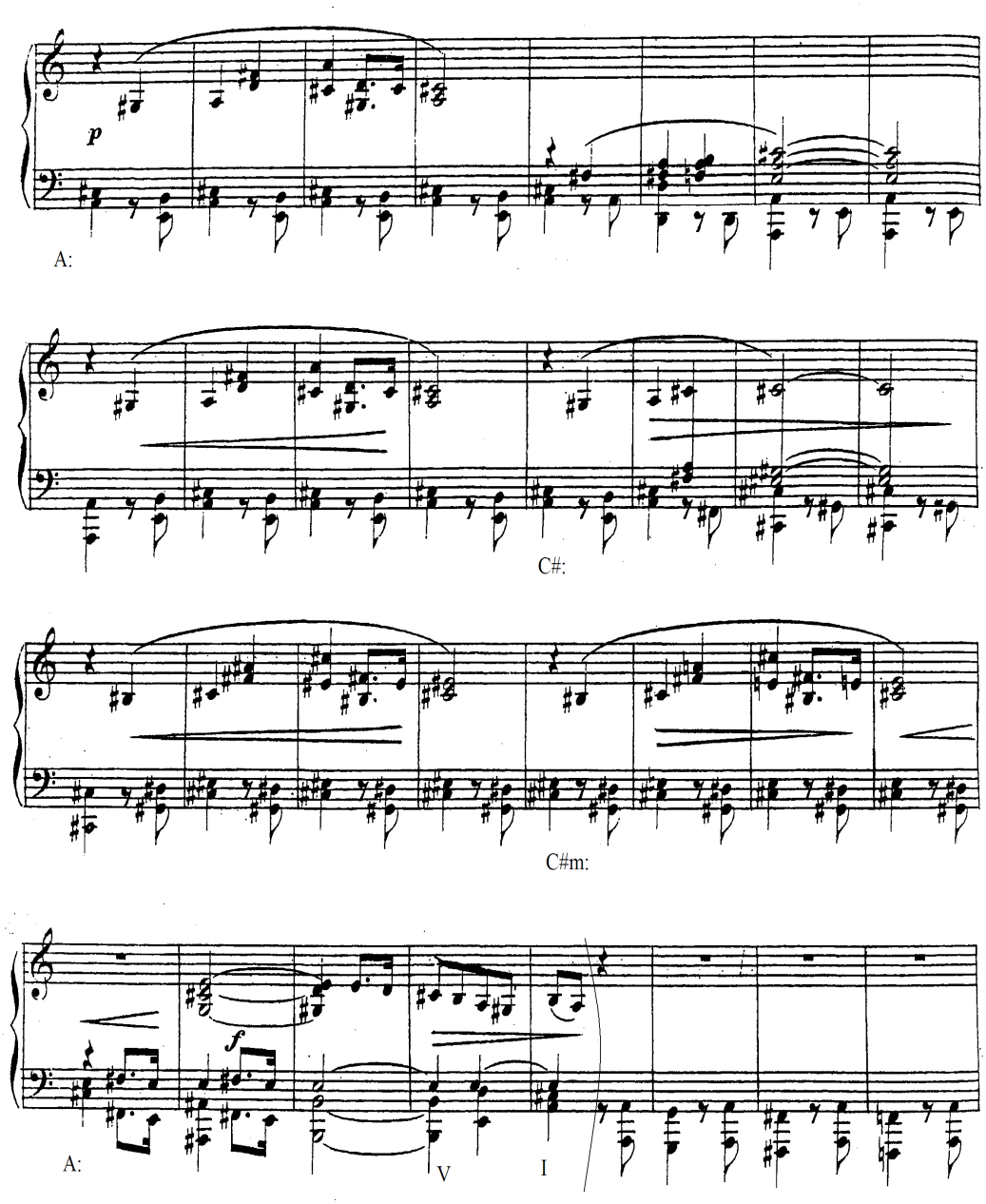
Ex. 3.13-1 measures 1-8: march rhythms in the bass in the A section



Ex. 3.13-2 measures 81-88: march rhythms in the bass in the B section

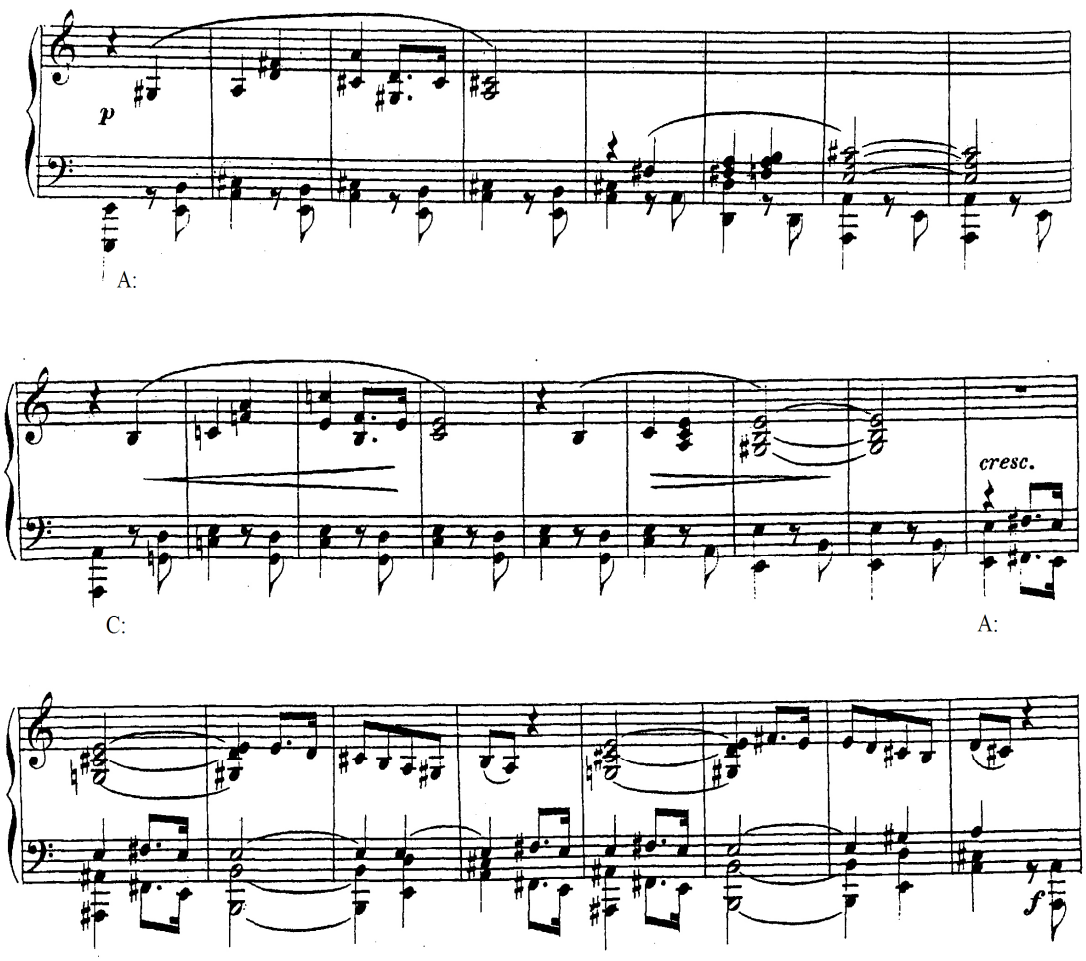
The B section melody is as lyrical and mellow as that of the A section, and because it is in A major, its overall mood is brighter and more cheerful. The structural similarities between those two sections are as follows. Both consist of three major phrases with a prominent, ascending chromatic motive in the bass in the later part of each section. All three phrases end with an authentic cadence to A major.

The first phrase embraces tonicizations of C-sharp major and C-sharp minor, a modulation to a third above the tonic that was a major feature of the first movement. This phrase consists of three eight-measure subphrases and one four-measure subphrase, which ends in a quick cadence (Example 3.14).



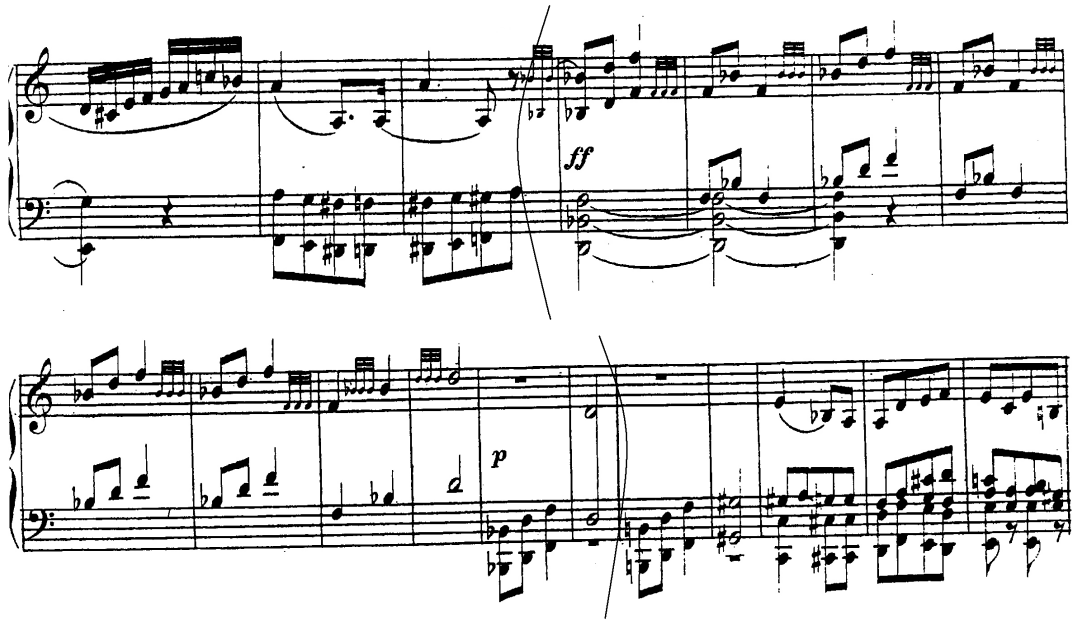
Ex. 3.14 measures 81-112: first phrase of the B Section

The second phrase of the B Section begins over the dominant, and contains a tinge of C major. This momentary appearance of C major echoes the second antecedent of the A section (Example 3.15).

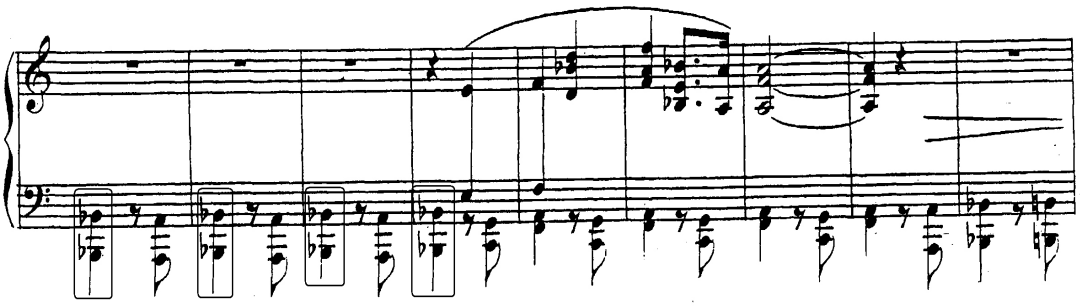


Ex. 3.15 measures 113-37: tonicization of C in the second phrase of the B section

Two features of the last phrase evoke the A section: The first is the emphasis on B-flat; the second is the ascending chromatic motion in the bass. Unlike the first and second phrases, this last phrase starts in F major, and highlights the B-flat that was a part of the Neapolitan sixth chord from the last phrase of the A section (Example 3.16-1&2).

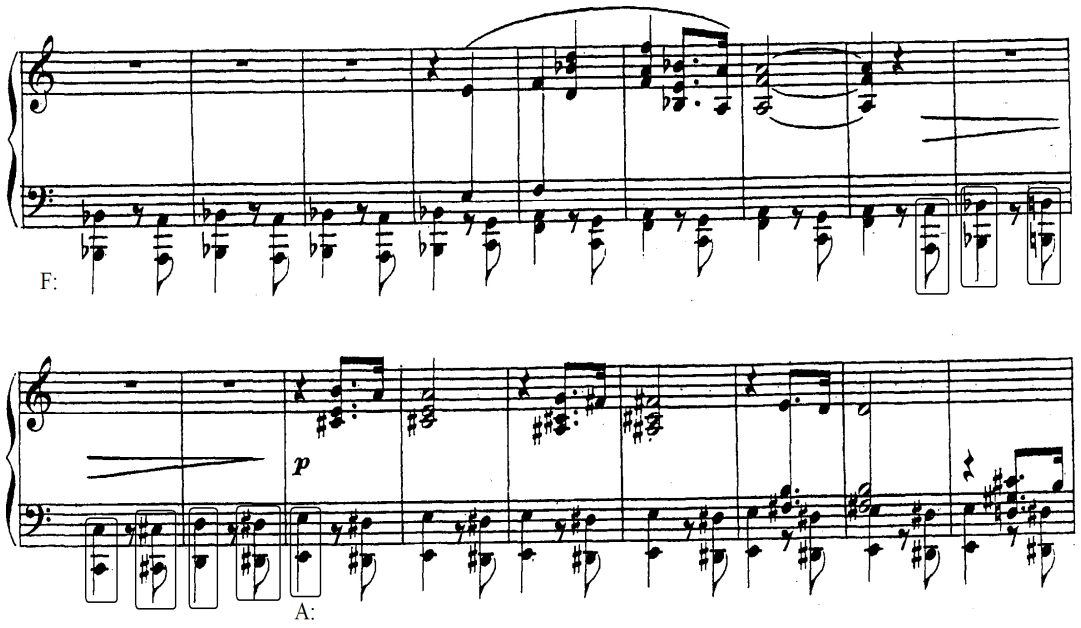


Ex. 3.16-1 measures 46-63: emphasis on B-flat in the A section



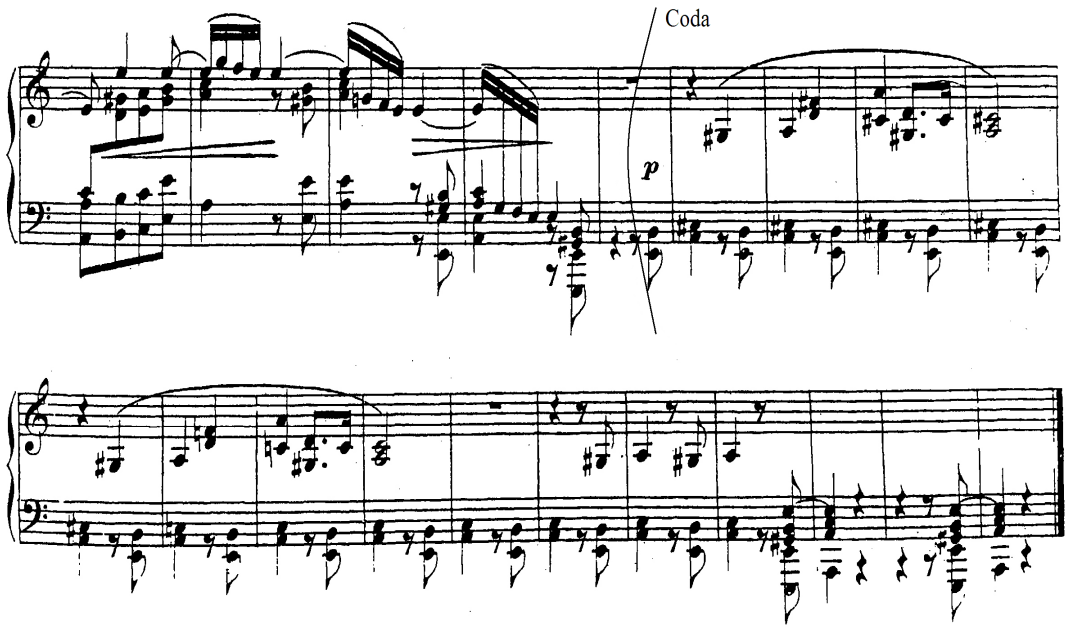
Ex. 3.16-2 measures 138-46: emphasis on B-flat in the B section

The chromatic motion in the bass sets up the return to A major (Example 3.17).



Ex. 3.17 measures 138-55: chromatic bass line from F major to A major

While the A section is comprised of two antecedent phrases, the A' section merges them into one phrase, the latter omitting measures 14-31 of the former. The rest of the A section is repeated here without change, including the codetta. The A' section ends with a coda that is reminiscent of the B section (Example 3.18).



Ex. 3.18 measures 221-41: coda of the A' Section

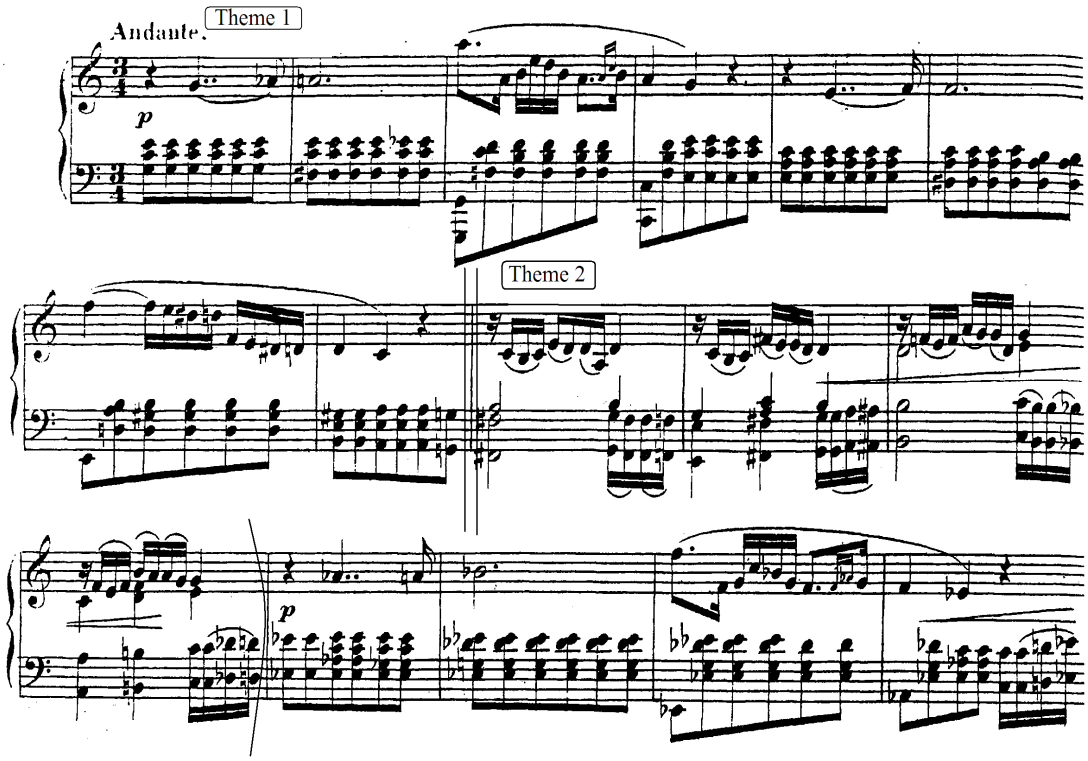
Although the mood of the B section of this movement differs considerably from that of the A and A' sections, the three parts are unified by compositional technique: an emphasis on the lowered second; an ascending chromatic base line; and a tonicization of a third above the tonic. Moreover, tonicization of the mediant key in the B section connects this second movement to the first. Finally, these aspects demonstrate coherence both within the second movement itself, and between the first and second movements.

III. Third movement, *Andante*

With regard to form, the third movement of this sonata is ambiguous. Analysis reveals elements of ternary, parallel, and rondo form, though none is predominant. The

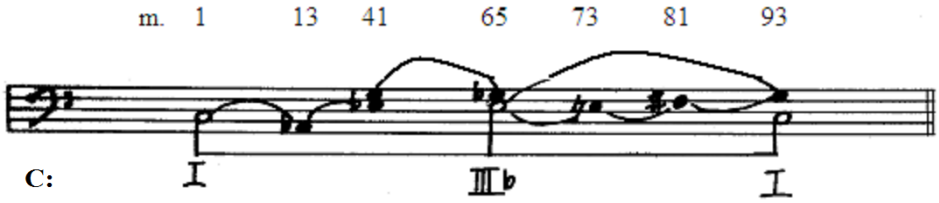
only constants in this movement are the contrasts between theme, key, and form. This chapter will focus on the interplay of each of these elements.

The most prominent contrast occurs between two alternating main themes that vary in mood, rhythm, melody, and scale. Theme 1 is tranquil and diatonic, with repeated chords in the accompaniment; Theme 2 is more chromatic and more rhythmically active (Example 3.19).



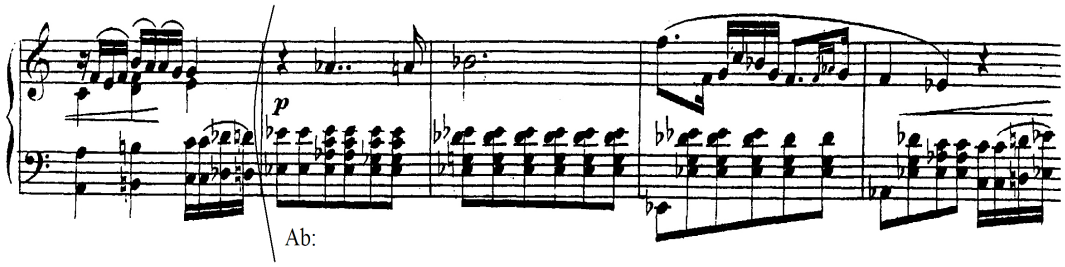
Ex. 3.19 measures 1-16: two contrasting themes

A second contrast involves the keys of C and E-flat. While the predominant key of this movement is C major, the greater part of the middle section employ keys that encompass E-flat. Example 3.20 below is a graph of the tonal scheme of the third movement.



Ex. 3.20 tonal scheme of third movement

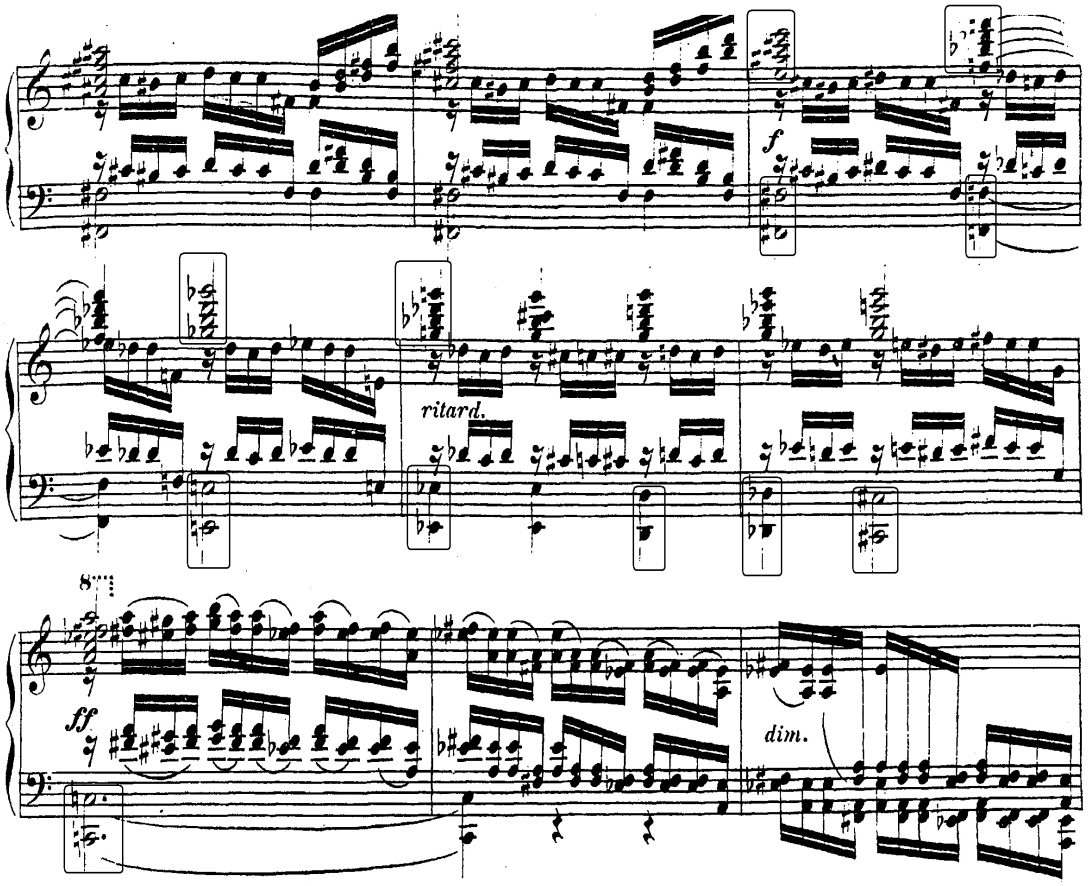
The first theme appears four times: mm. 1-8, 13-20, 41-64, 93-104. The first and last appearances are in C major, while the second appearance is in A-flat major and the third in E-flat major. Even in the A-flat major section, E-flat is emphasized in the bass by the emergence of the theme in the second inversion (Example 3.21).



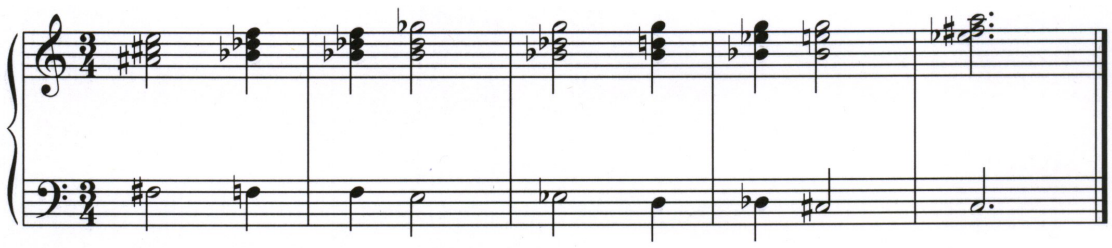
Ex. 3.21 measures 12-16: first theme in A-flat major

The second theme also appears four times: mm. 9-12, 21-40, 65-92, 105-20. The first appearance is so brief—it is only four measures long (mm. 9-12)—that it does not seem like a theme. Its second and third appearances, however—in G major and E-flat minor, respectively—are quite long: twenty and twenty eight measures each. In contrast to the first theme that remained in flat keys, the second theme is mostly in sharp-related keys, with the exception of the third appearance in E-flat minor. The E-flat minor is followed by a tonicization of E major, then F-sharp minor, eventually finishing in the

secondary diminished chord in G major. The passages from F-sharp minor to the diminished chord progress through the omnibus progression (Example 3.22-1&2).

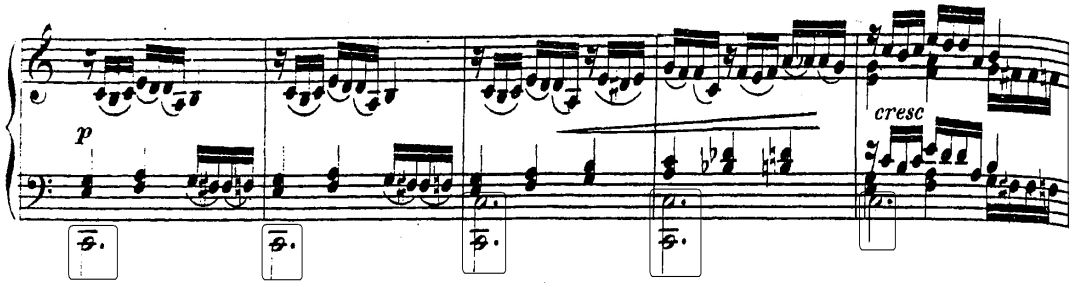


Ex. 3.22-1 measures 83-91: omnibus progression from F-sharp minor to vii7/G



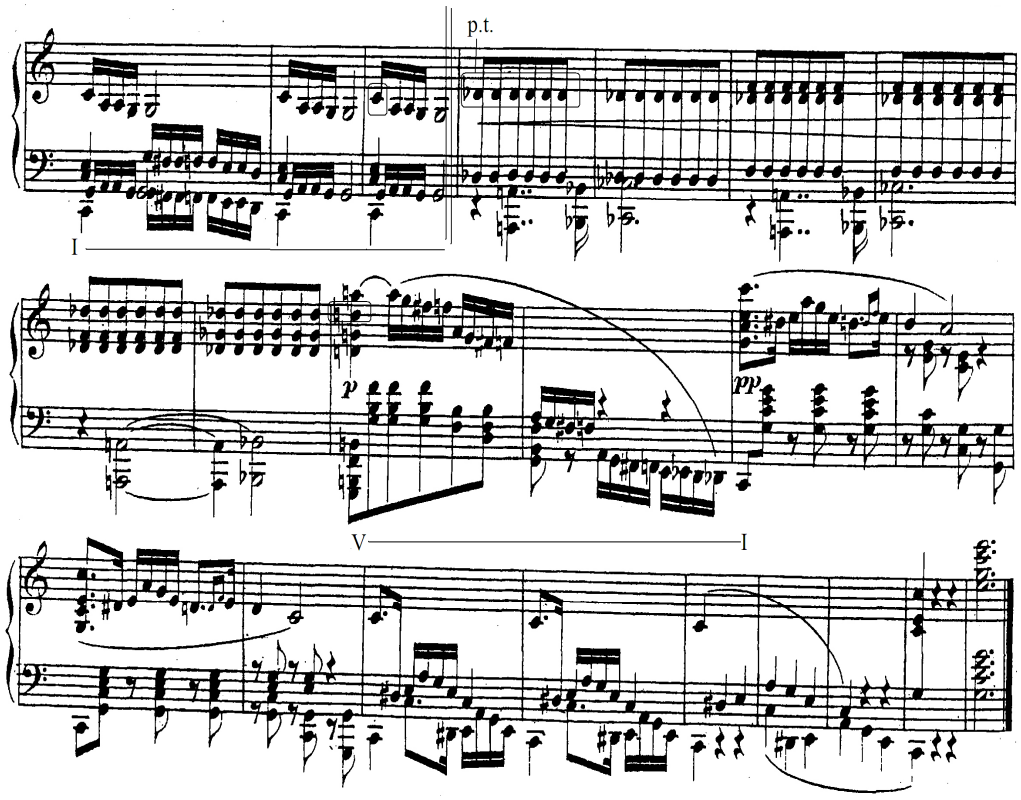
Ex. 3.22-2 Chord reduction of measures 85-89

The E-flat minor section (mm. 65-92) is followed by a last appearance of the second theme, which returns to C major. It is still quite chromatic, but occurs here over a C pedal point (Example 3.23).



Ex. 3.23 measures 105-09: second theme over pedal point on the tonic

After oscillating between the keys of C and E-flat, the first theme appears once again in C major just before the movement ends (mm. 121-39). It appears as fragments, however, rather than the whole theme. A unique feature of this moment is that a passing tone is stressed over six measures, while a segment of the first theme passes in the bass (Example 3.24).



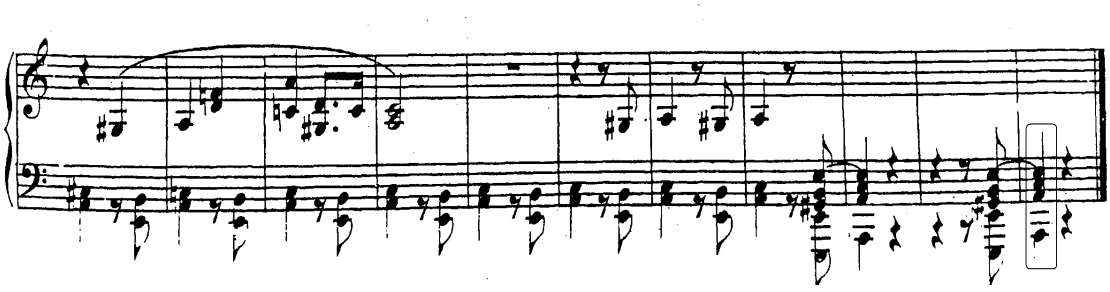
Ex. 3.24 measures 118-39: emphasized passing tone over segment of first theme

The last contrast must be framed between clarity and ambiguity of form. It is clear that the first section of this movement returns at the end. Save for this, however, most other details of form are ambiguous. As was mentioned earlier, there are three possible forms for this movement. Table 3.2 below summarizes each:

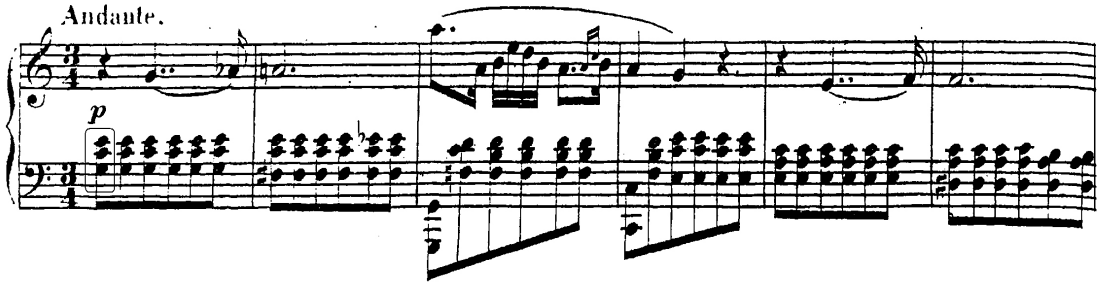
Ternary form	A				B		A'		
Measures	1-64				65-92		93-139		
Parallel form	First section				Second section		Third section		
Measures	1-40				41-92		93-139		
Rondo form	A	B	A'	B'	A"	B"	A	B	Coda
Measures	1-8	8-12	13-20	21-40	41-64	65-92	93-104	105-20	121-39

Table 3.2 Three possible forms for third movement

In addition to ambiguity of overall form, there are details in the beginning of the movement and the returning of the first theme in the later section that are unclear. This movement seems to be a continuation of the previous movement, in that the second movement ends on an A-minor chord and the third movement starts on the second inversion of a C-major chord (Example 3.25-1&2).

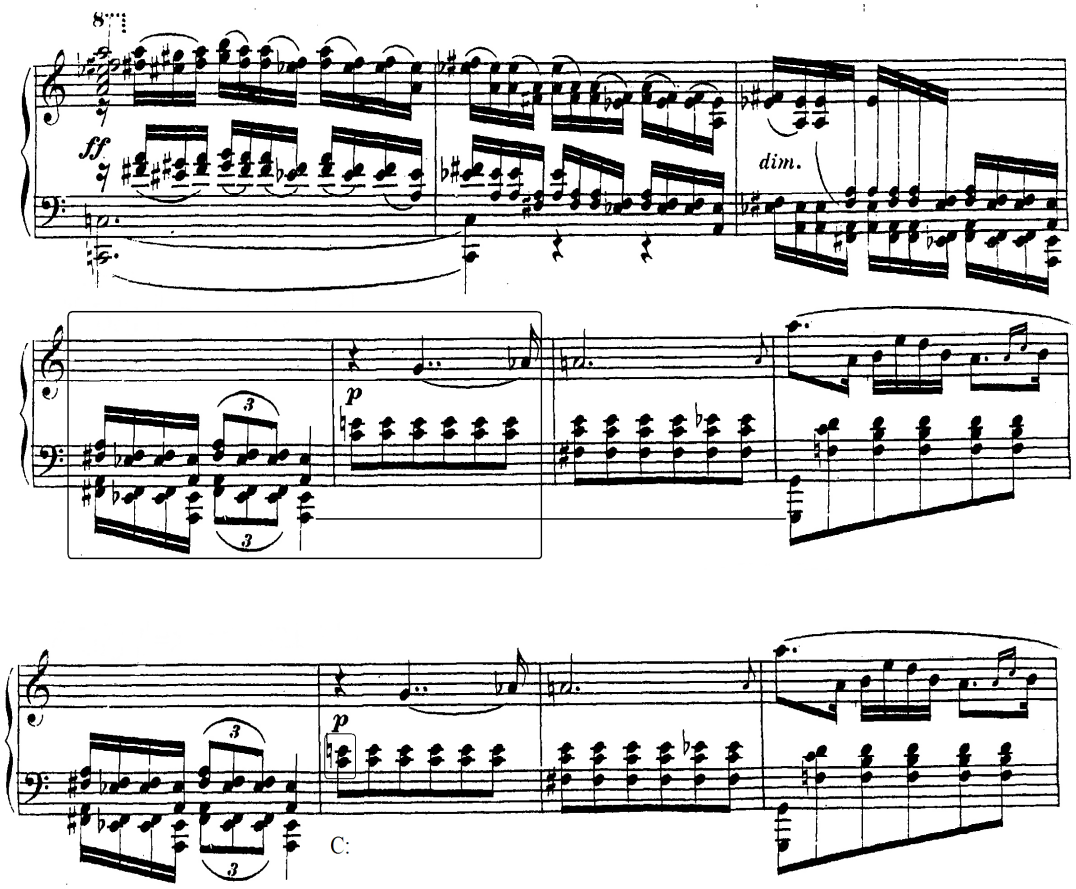


Ex. 3.25-1 measures 231-41: last part of second movement



Ex. 3.25-2 measures 1- 6: first part of third movement

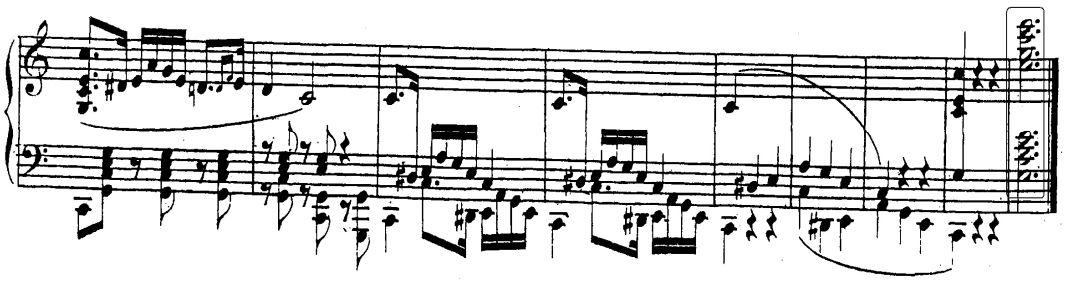
What's more, the return of the theme in root position occurs rather unexpectedly, for it is preceded by the secondary diminished chord in G. The second inversion of the tonic could thus be the more natural resolution of the diminished chord. This diminished chord, however, leads to the rooted tonic chord, and eventually resolves after some delay (Example 3.26).



Ex. 3.26 measures 89-95: delayed resolution of diminished seventh chord

Here an unusual feature is found. We have seen previously that certain movements start in root position and return in inverted position. This movement is the opposite, beginning with a tonic chord over the dominant note in the bass and returning in the root position of the same key, (though the very last chord of this movement is a

second-inversion tonic chord; Example 3.27): it happens only in this movement out of all the movements of four sonatas.



Ex. 3.27 measures 131-39: last tonic chord over dominant note in bass

The formal ambiguity of this movement appears to be a manifestation of the composer's desire not to adhere to conventional structures but rather to explore contrasts between fundamental aspects of the music: theme, key, and form. Moreover, by beginning and ending with the tonic over the dominant note in the bass, this movement is integrated into the larger picture of the sonata as a whole, and may therefore be seen as a bridge between the second and last movements.

IV. Finale, *Allegro*

It is normative that the first and last movements of a sonata be in the same key, and all but one of Rubinstein's piano sonatas observe this norm. The exception is the third sonata, in which the first movement is in F major, but the last is in F minor; (with an F major ending). This has significant hermeneutic implications. Specifically, the F minor

strives to achieve the parallel major key so as to finish the sonata in the triumphant mood in which it began.

Others have noted that a major-mode first movement and a minor-mode finale have the effect of a transition from happiness to tragedy. It has also been noted that a minor-mode finale will sometimes end in the major mode, creating a triumphant closure. Hepokoski and Darcy cite two instances of the latter.

> Is it conceivable to conclude a major-mode work with a minor-mode finale, suggesting an unanticipated reversal of fortune? There are a few (very few) early instances of this, occasionally underpinned with programmatic implications. Some are liberated into the major mode toward the very end. Such is the case with Dittersdorf's Symphony No. 6 in A after Ovid's *Metamorphoses*, "The Transformation of the Lycian Peasants into Frogs" (c. 1781-82), in which the unfortunate metamorphosis is reflected upon in an A-minor finale that turns, at the end, into an A-major, *diminuendo* fade-out. The situation may also be found in Haydn's Quartet in G, op. 76 no. 1, in which the finale's G-minor sonata, *Allegro ma non troppo*, converts into the major mode for the recapitulation.[53]

In the Finale, the first attempt to regain the major key occurs in the exposition. Since the principal theme appears in F minor, the secondary theme would be expected in either A-flat major or in C minor. When it appears, however, it is in C major—the dominant major key, and an unexpected key of motion to a major key.

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[53] James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 336.

It is significant that, while the secondary theme is in C major throughout, there is no perfect authentic cadence in C major at the end. Thus, the essential expositional closure in the major key is not achieved, and the result is a failed exposition also mentioned by Hepokoski and Darcy.

> The purpose of S within the exposition is to reach and stabilize a perfect authentic cadence in the new key. In eighteenth-century sonatas this aim is almost invariably accomplished: the new key is fastened down with a PAC/EEC and often reinforced with a closing zone. The generic model inherited from the earlier eighteenth century is overwhelming in its consistency and purpose: S exists to drive to a secured PAC. Were that PAC/EEC left unaccomplished—as a fully intended expressive strategy on the part of the composer—the exposition would be an illustration of frustration, nonattainment, or failure. Such a situation is countergeneric. Most failed expositions, then, are nonclosed expositions. S is either kept from articulation a PAC at all (there is no proposed EEC-effect at any point) or attains a PAC that is immediately overridden, perhaps through thematic repetition, and subsequently lost or permanently undermined, thus failing to produce a satisfactory EEC.[54]

After being considerably delayed by the secondary development, the major key is ultimately achieved in the secondary theme of the recapitulation. Here the secondary theme is presented in F major and secured by the perfect authentic cadence that forms the essential structural close.

Whereas the exposition and recapitulation seem intent upon securing a major key, the development introduces a new theme and a new tonality. This new theme also

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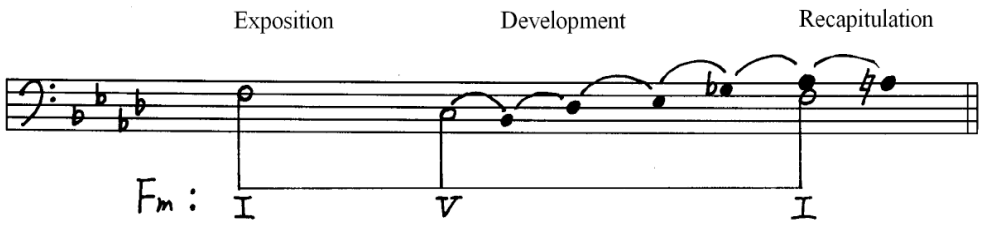
[54] Ibid., 177.

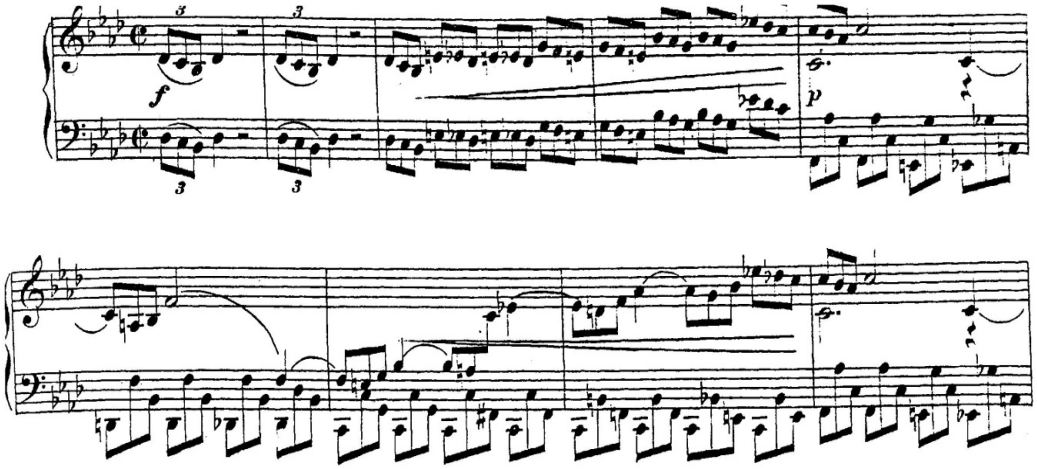
appears in the secondary development section of the recapitulation. I shall therefore begin my analysis with the development.

The development section (mm. 60-176) starts in B-flat minor with a precore that quotes the principal theme and thus delays the appearance of the "actual" development. Though it begins in B-flat minor, the predominant key of the development is D-flat major: a new theme is introduced in D-flat major; the most part of this section remains in this key. The flat second of the tonic, or G-flat—the furthest key from the tonic—appears at the end of the development. The following graph illustrates the tonal scheme of the whole movement (Example 3.28).

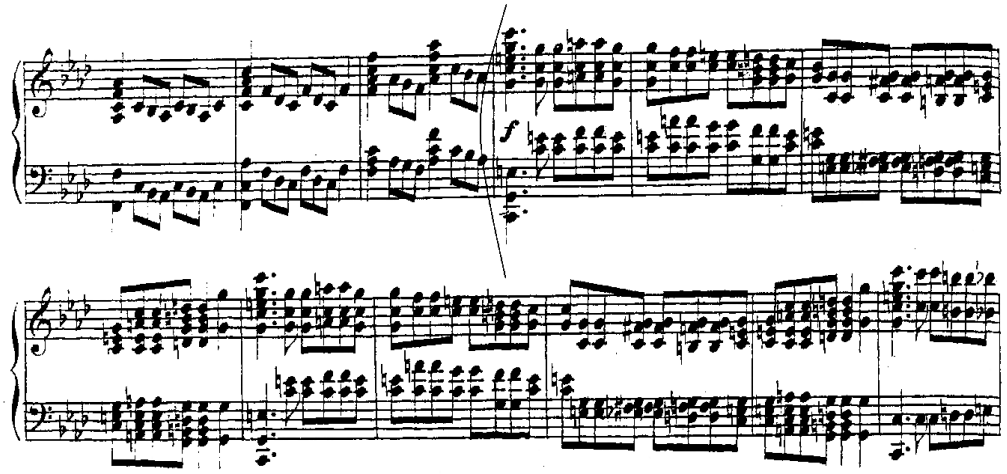


Ex. 3.28 Tonal scheme of the Finale

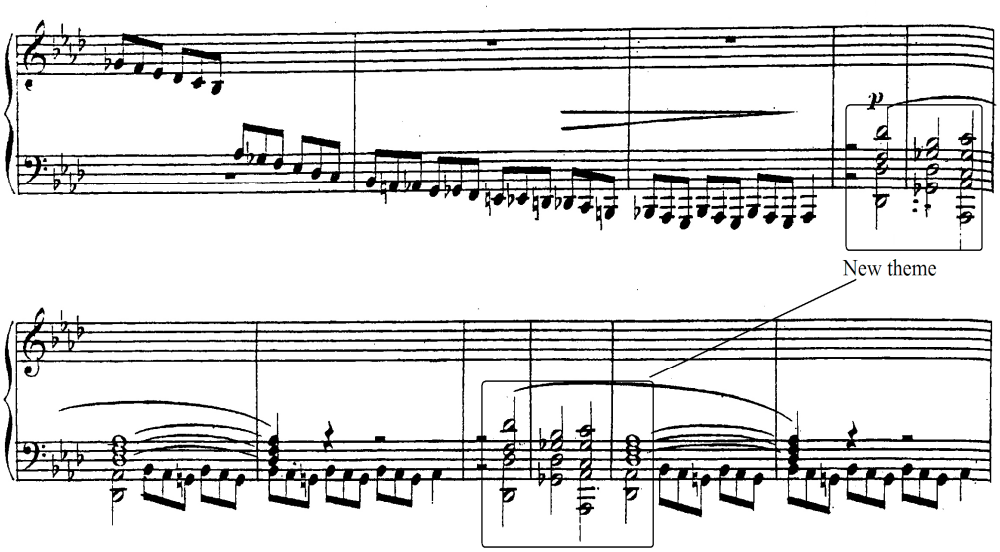
There are three main themes in this final movement, for a new theme is introduced in the development. The secondary theme and new theme are static and chorale-like, whereas the principal theme is fast-paced with constant triplets (Example 3.29-1, 2, 3).



Ex. 3.29-1 measures 1-9: principal theme



Ex. 3.29-2 measures 37-45: secondary theme



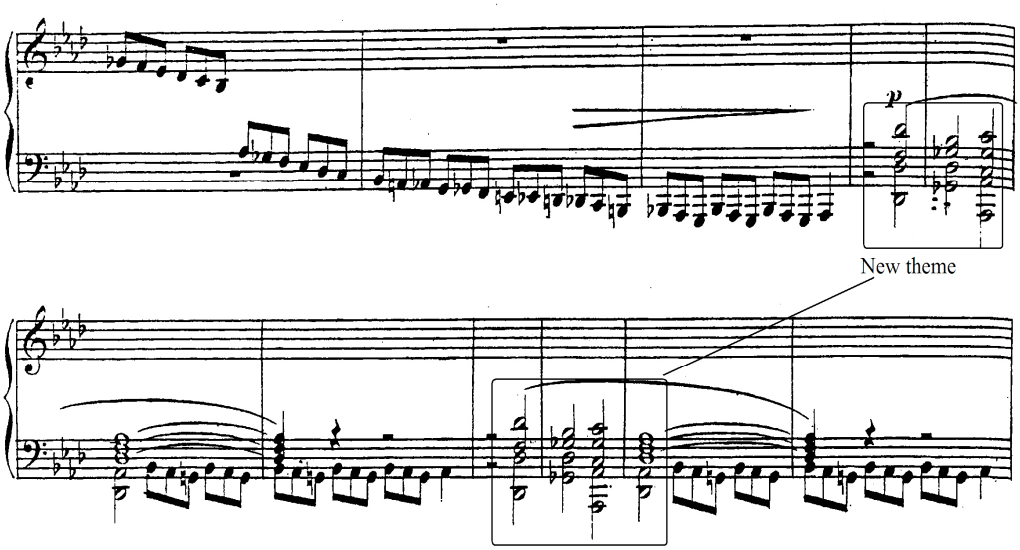
Ex. 3.29-3 measures 94-104: introduction of new theme in development

Out of those three themes, the development section utilizes only the new theme and a motive of the principal theme. This motive consists of triplets which are, at times, rhythmically augmented. In accordance with the structure of the new theme and triplets, this section is divided into three smaller sections. See Table 3.3 below for a brief description of those subsections.

	Subsection 1	Subsection 2	Subsection 3
Measures	97-128	129-44	145-60
Shapes	New theme with regular triplets and augmented triplets introduced	Fragments of new theme and triplets	Vertical combination of new theme and augmented triplets

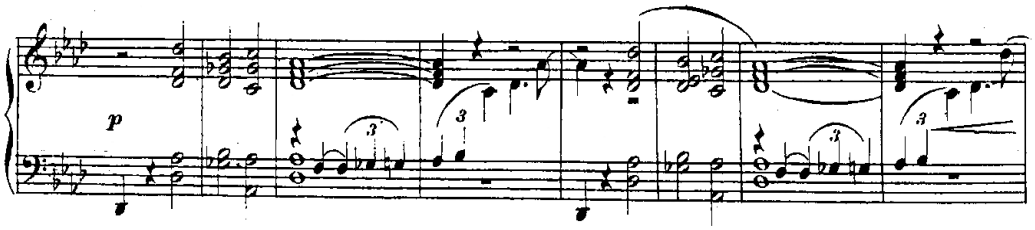
Table 3.3 Three subsections of development

The new theme is introduced in the first subsection. In measures 97-104, the new theme forms a main melodic line, and the triplets seem to ring as its echo (Example 3.30).



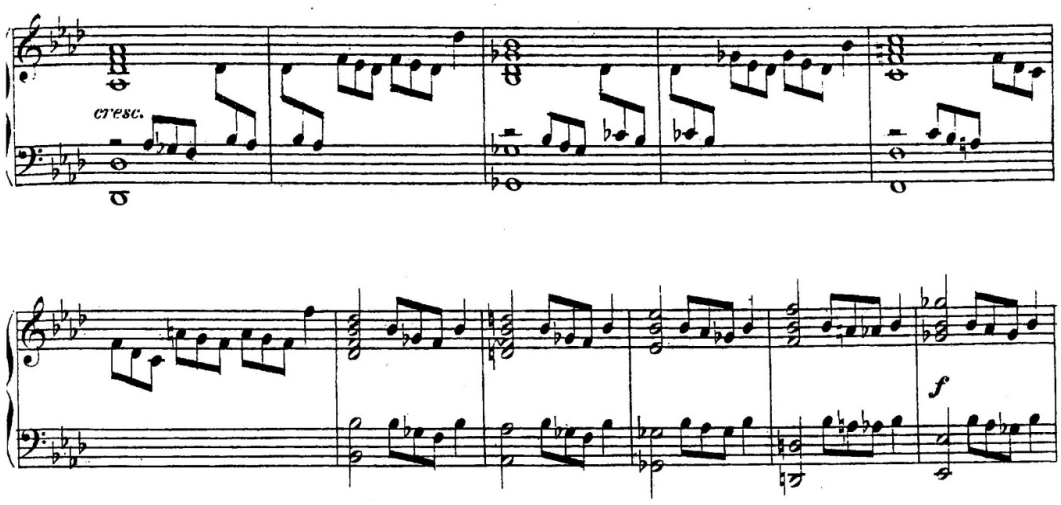
Ex. 3.30 measures 94-104: introduction of new theme

Beginning in measure 113 of this subsection, augmented triplets appear. Here the triplets are not an echo any more; instead, they function like a duet with the new theme (Example 3.31).



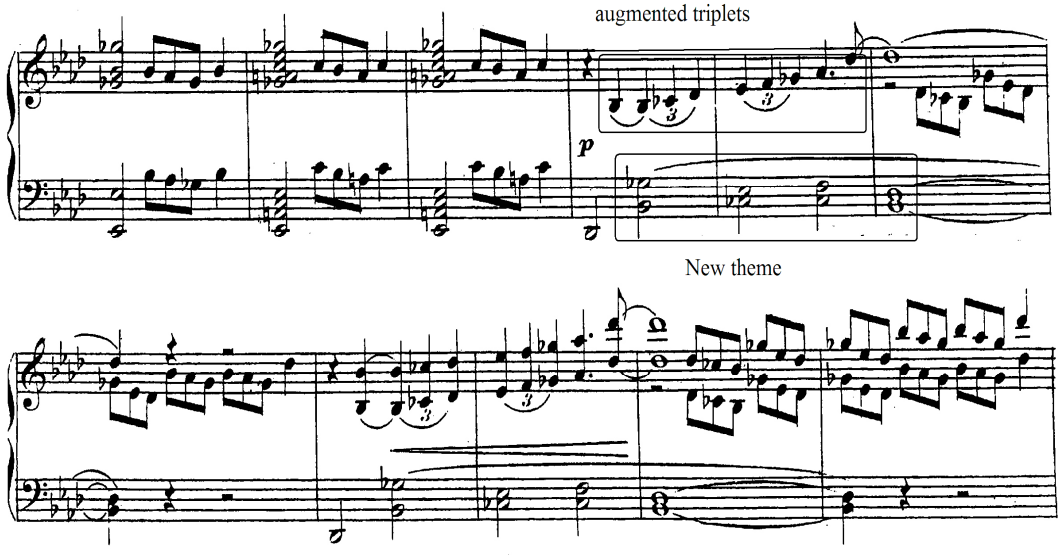
Ex. 3.31 measures 113-20: augmented triplets

The second subsection borrows a rhythmic motive from the new theme, consisting of whole and half notes. These notes appear sporadically without forming any solid melody (Example 3.32).



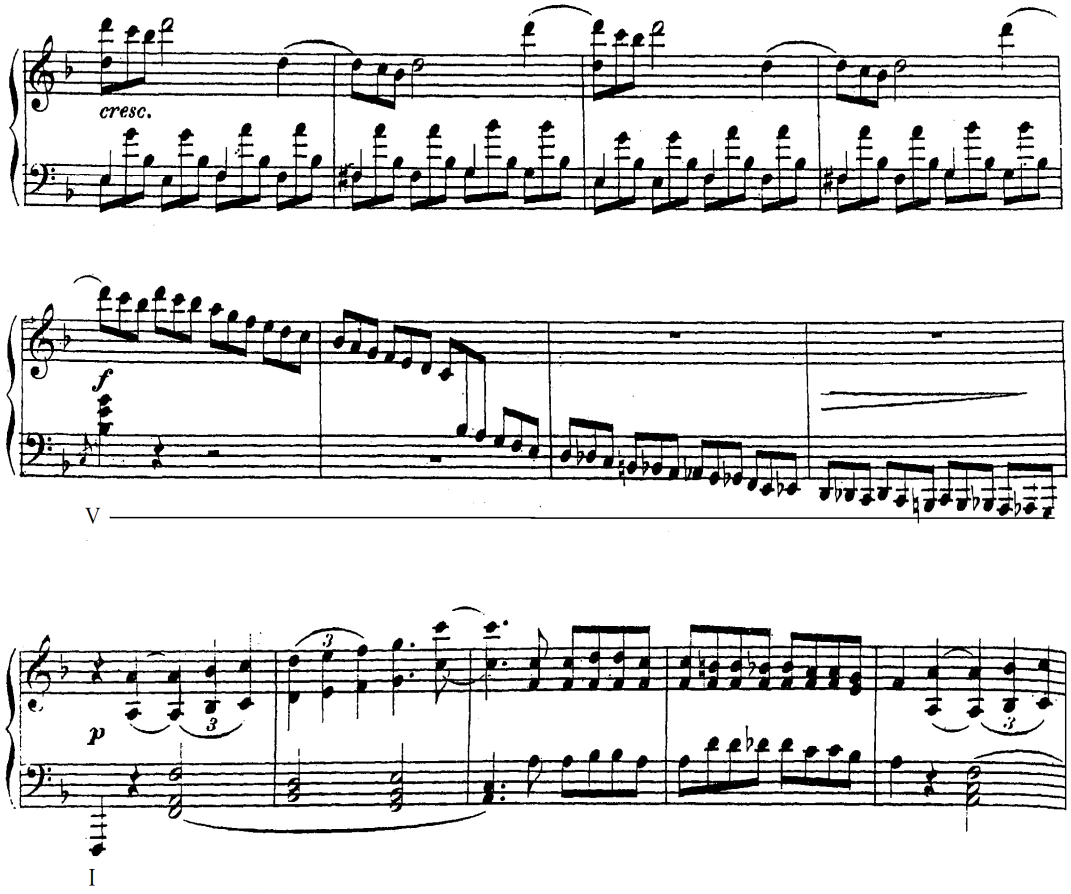
Ex. 3.32 measures 131-41: rhythmic motive of new theme

The last subsection is more texturally compact than the other two: the new theme and the augmented triplets are combined vertically, and the augmented triplets appear in octaves. It is in this subsection of the development that the music moves to G-flat major, the most distant key from the tonic (Example 3.33).



Ex. 3.33 measures 142-52: vertical integration of new theme and augmented triplets

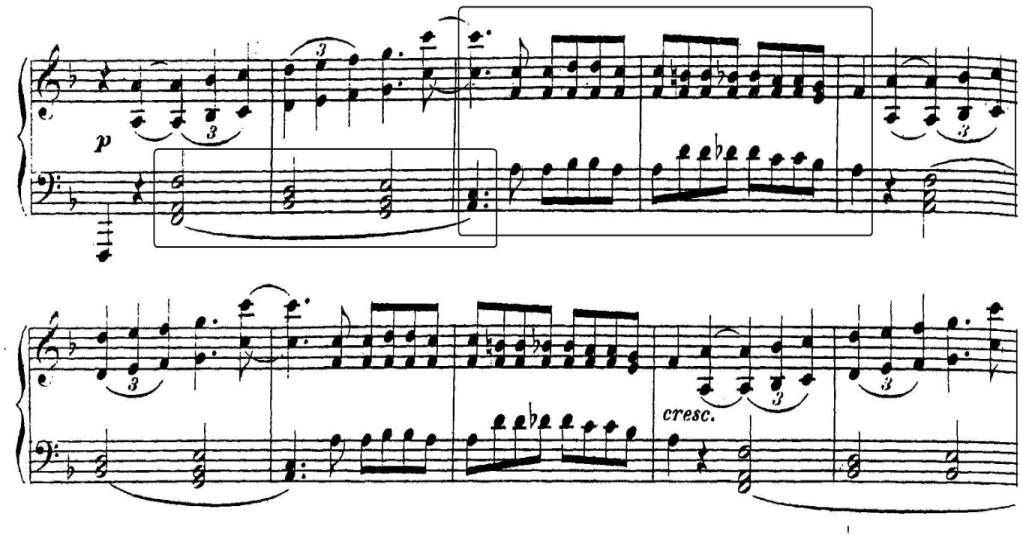
The whole of the development does not return in the secondary development section of the recapitulation: only the precore, the last subsection, and the retransition return. Before the secondary theme can establish the essential structural closure in F major, the precore interferes and achieves the closure. This cadence, however, is not strong enough to make a big statement, since it is accomplished through a descending scale, and not by a powerful set of chords (Example 3.34).



Ex. 3.34 measures 257-69: weak essential structural closure

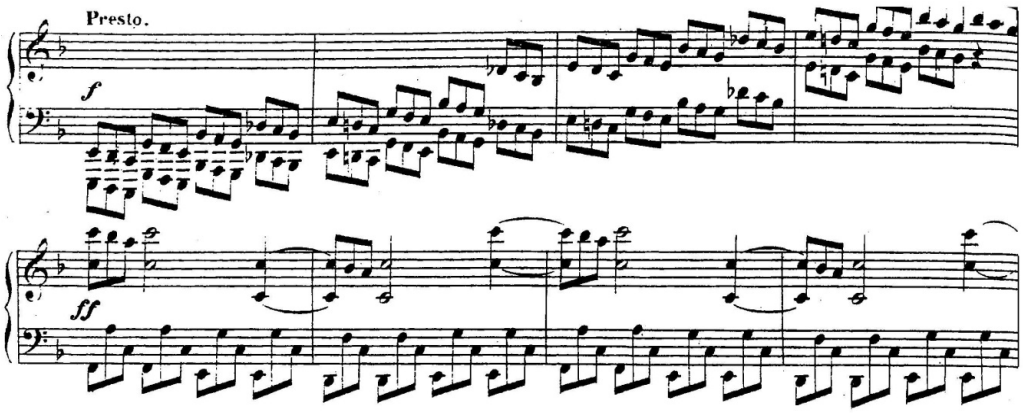
After the essential structural closure at the end of the precore, the last subsection of the development begins. But unlike in the development, here the last subsection is

integrated with the secondary theme. A wider range of chords thicken the texture (Example 3.35).



Ex. 3.35 measures 265-74: integration of new and secondary themes in second development

Though this section is mostly in F major, E major is briefly tonicized before the F minor retransition reappears. This brief transition away from F major is balanced by the long coda, which consists of the principal theme in a louder dynamic and a thicker texture (Example 3.36).



Ex. 3.36 measures 329-36: beginning of coda

Despite some interruptions, this minor-mode finale succeeds in its mission of concluding the third Sonata in the triumphant major mode. What could not be accomplished in the exposition is finally completed in the recapitulation. I further note that the new theme—the core idea of the development—is recalled by being brought back in the recapitulation. Thus, the recapitulation is not only the return of the exposition, it is also the section that secures the tonal goal and confirms the new thematic material of the development as a whole.

To conclude, the third Sonata, with its unusual modulation in the first movement, its formally ambiguous third movement, and its failed exposition in the finale, represents a significant departure from standard sonata form.

CHAPTER FOUR: Sonata No. 4 in A minor, Op. 100

I. First movement, *Moderato con moto*

The Sonata, Op. 100, Rubinstein's fourth and last sonata, was written approximately a quarter century after the Op. 41, no. 3. Yet its first movement embraces more of the standard features of sonata form than does the previous sonata although there are some adventuresome characters in the other movements.

The first movement is in typical sonata form. In the exposition, the principal theme is in A minor, the secondary theme, in C major. These themes come back in the recapitulation in A minor and A major, respectively. An unusual feature is the almost inconsequential treatment of the principal theme in the exposition: it is merely an eight-measure phrase. The transition, in contrast, is fifty seven measures long. Nevertheless, this short principal theme is the most crucial material for the development, followed in importance by the closing theme.

The secondary theme of this sonata is less melodious than that of Rubinstein's other sonatas. Instead, it is full of rhythmic diversity: blurred bar-lines and rhythmic acceleration.

Of all sections within the exposition and recapitulation, the transition is the longest. Given that it is nearly as long as the entire development section, I intend to focus the discussion in this chapter primarily on the transition and development. At the same time, I will explore the principal and closing themes closely, since the development is based entirely upon them.

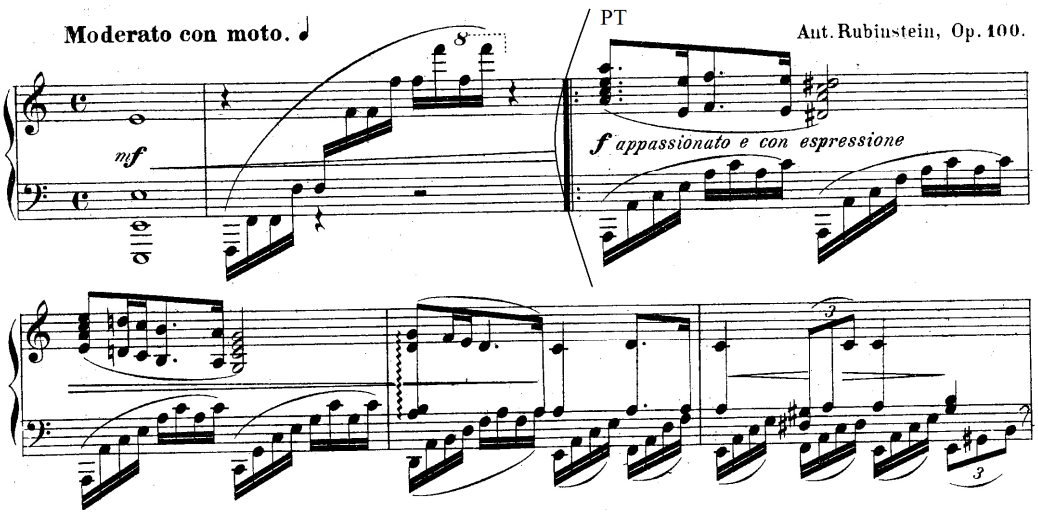
The beginning of transition is ambiguous. The music remains in the tonic until measure 46, but from measure 11, begins to get more active. A series of scalar and arpeggiated figurations, rather than thematic material, predominate the writing. For these reasons, I consider the transition to begin at measure 11.

The transition section (mm. 11-67) starts as if it were the consequent to the principal theme, but only the first four measures are alike; the remainder of the music is completely different. The transition as a whole is divided into four subsections in accordance with melodic contours and keys (Table 4.1).

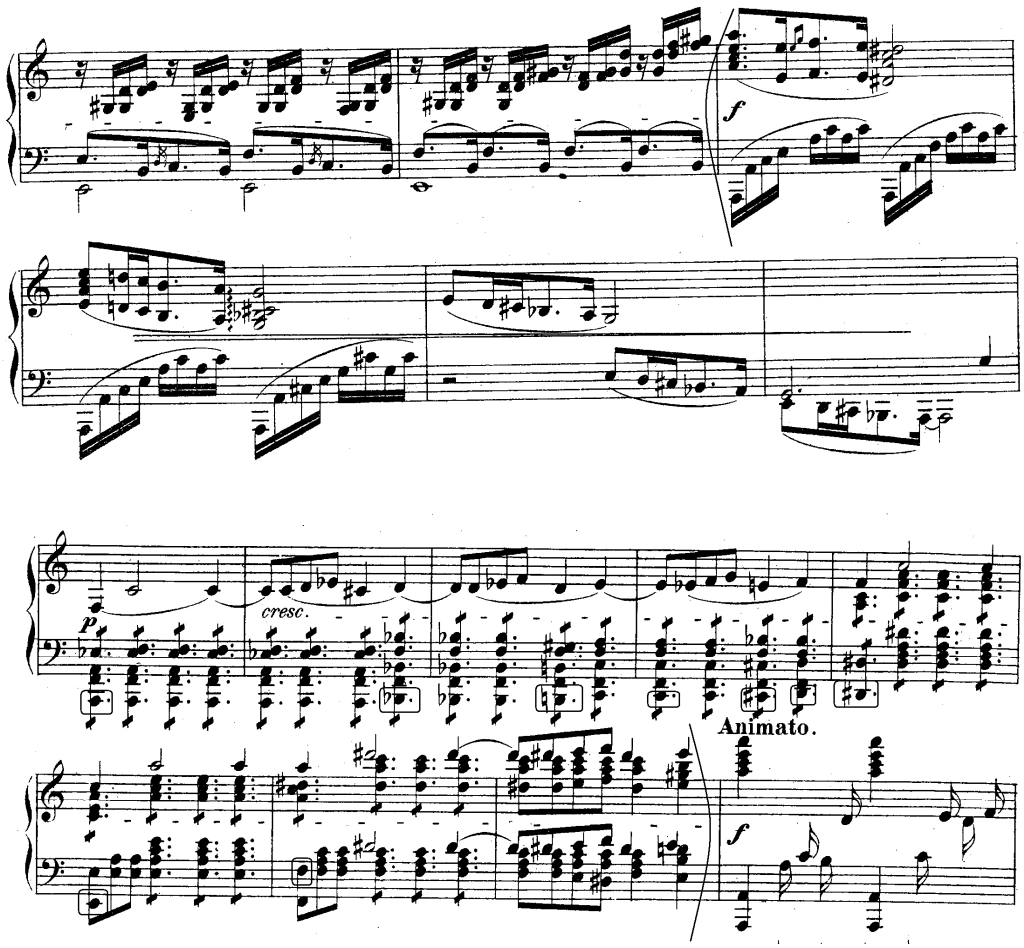
	Sub 1	Sub 2	Sub 3	Sub 4
Measures	11-22	23-46	47-54	55-67
Keys	Am	Am	Db	C

Table 4.1 Four subsections of transition

The first subsection (mm. 11-22) consists of a clear melody and accompaniment. Its first four measures are similar to the principal theme, while the rest is based on a new melody with a chromatic bass-line (Example 4.1-1&2).

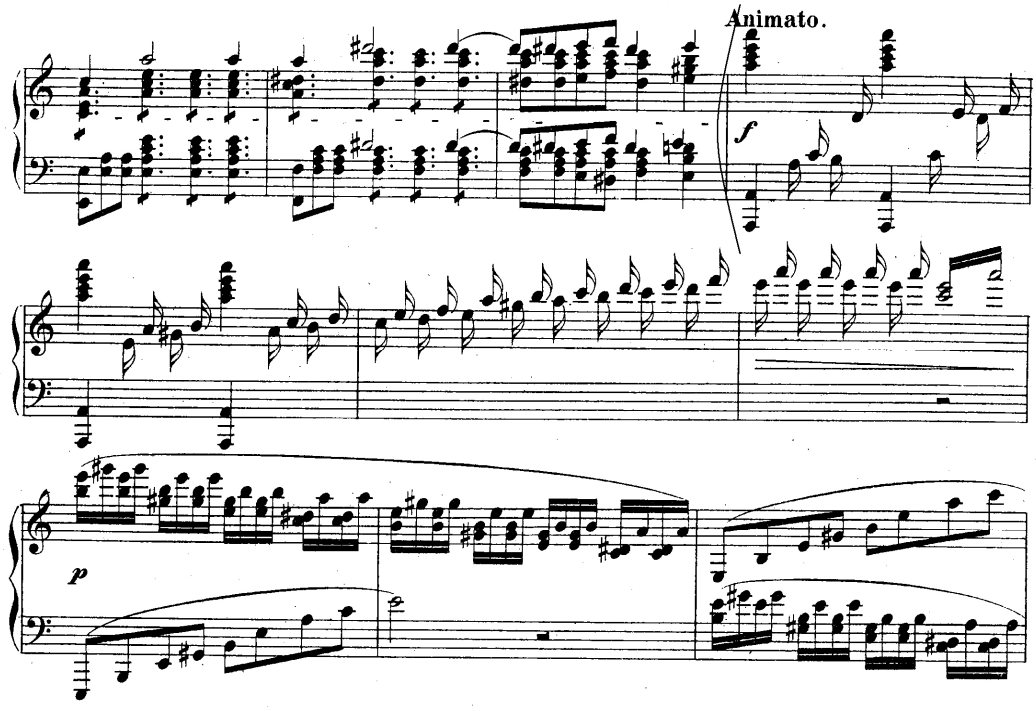


Ex. 4.1-1 measures 1-6: first four measures of principal theme

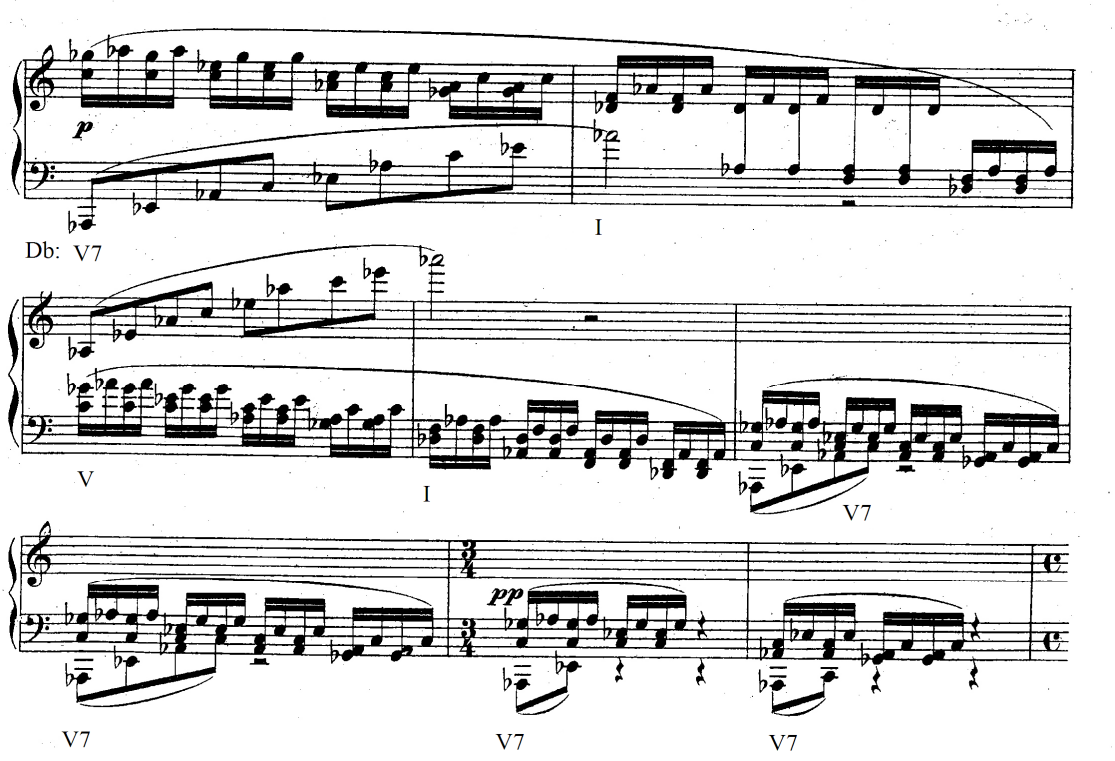


Ex. 4.1-2 measures 9-23: first subsection of transition

At the beginning of the second subsection, the tempo changes to an *Animato* marking. Both this and the third subsections (mm. 23-46; 47-54) are notable for their lack of singable melodies: the music is instead a long concatenation of arpeggios and tremolos (Example 4.2-1&2).

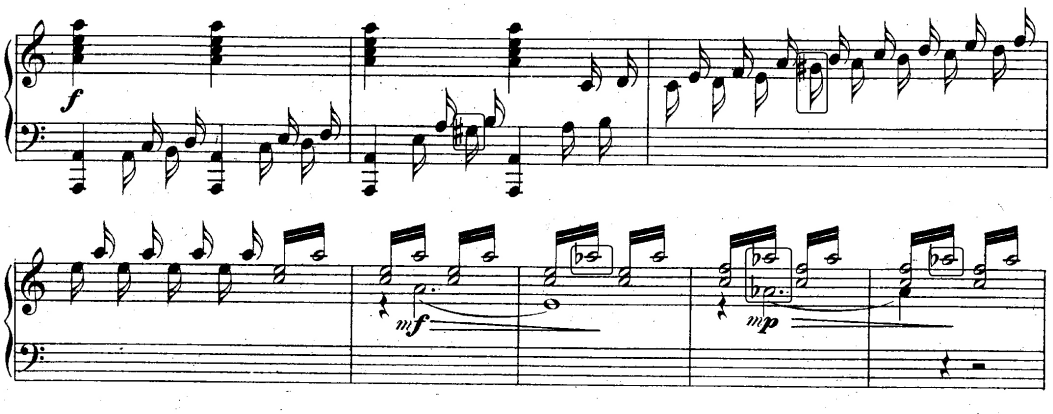


Ex. 4.2-1 measures 20-29: second subsection of transition



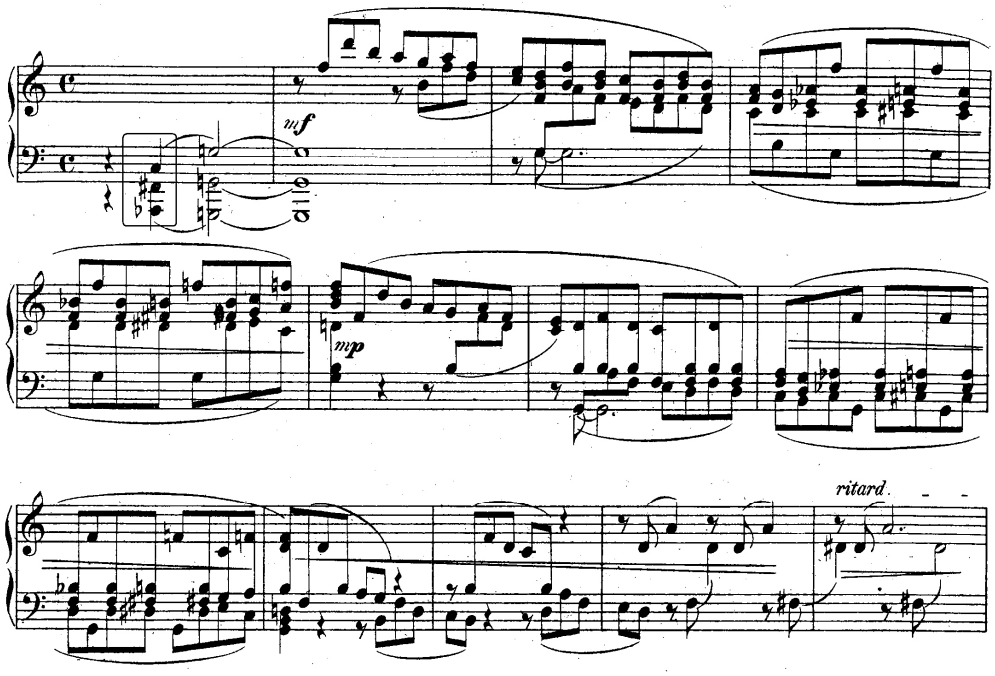
Ex. 4.2-2 measures 47-54: third subsection of transition

These two subsections are built primarily on I and V chords: the second subsection is in A minor; the third, in D-flat major. This tonicization from A minor to D-flat major seems to foreshadow the tonal relationship between the principal and secondary themes in the recapitulation, where these two themes come back in A minor and A major, respectively. Since D-flat is enharmonic with C-sharp, it becomes the mediant of A major. In this transition, the A minor also tonicizes to the D-flat major through enharmonic tones: a G-sharp in the A minor transforms into an A-flat in the D-flat major (Example 4.3).



Ex. 4.3 measures 39-46: enharmonic tonicization

The dominant seventh of D-flat major leads to an Italian sixth chord in C major in the last subsection (mm. 55-67); the G-flat of the previous subsection transforms into an F-sharp. Finally, the composer uses a bit of canonic technique in this subsection; he will use canon a great deal more in the development (Example 4.4).



Ex. 4.4 measures 55-67: last subsection of transition

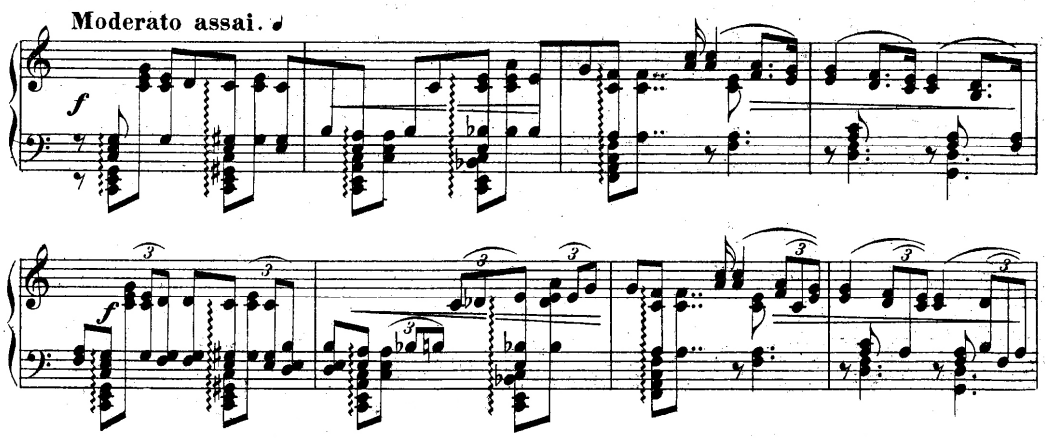
In the recapitulation, the transition returns in similar manner, save for a greater number of chromatically occurring tonicizations. A comparison between exposition and recapitulation is given in Table 4.2 below.

	Sub 1	Sub 2	Sub 3	Sub 4
Exposition	Am	Am	Db	C
Recapitulation	Am-F-F#m-D	Bb-Bbm-Cb	Bb	A

Table 4.2 Comparison of transition

Before examining the development and its themes in detail, let us first examine the secondary theme, which differs by being less melodious and more rhythmically varied and vigorous than its standard model. This variety is fueled by a progression of ever faster rhythms, starting with eighth notes, then moving to triplets, and then to sixteenth notes for the rest of the section.

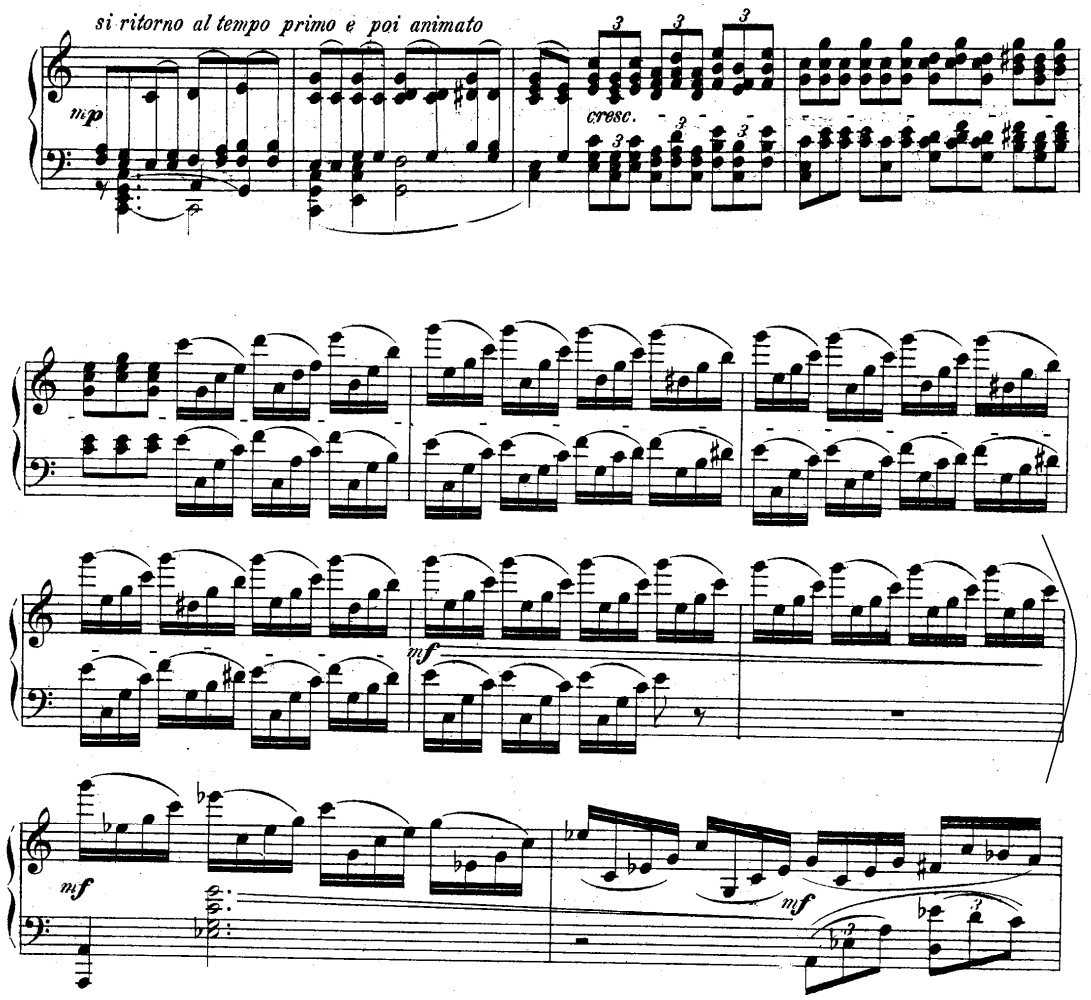
The most noteworthy feature in the beginning of the secondary theme is its rhythmic ambiguity. Barlines are blurred, and the two hands, each of which has its own rhythmic accents, are entangled (Example 4.5). These features make it difficult to follow the melodic line.



Ex. 4.5 measures 68-75: beginning of secondary theme in exposition

Measures 72-75 are a variant of measures 68-71. Both are based on the same melody but have different rhythms: the first phrase consists of eighth notes, the second phrase, of triplets. The placement of those left-hand chords that come on weak beats is particularly difficult (see Example 4.5).

The rhythmic ambiguity does not last long, and neither does the passage. The majority of this secondary theme section is figured in sixteenth notes. Between these two places, however, is a short passage in triplets that connects the eighth-note beginning to the sixteenth-note end (Example 4.6).

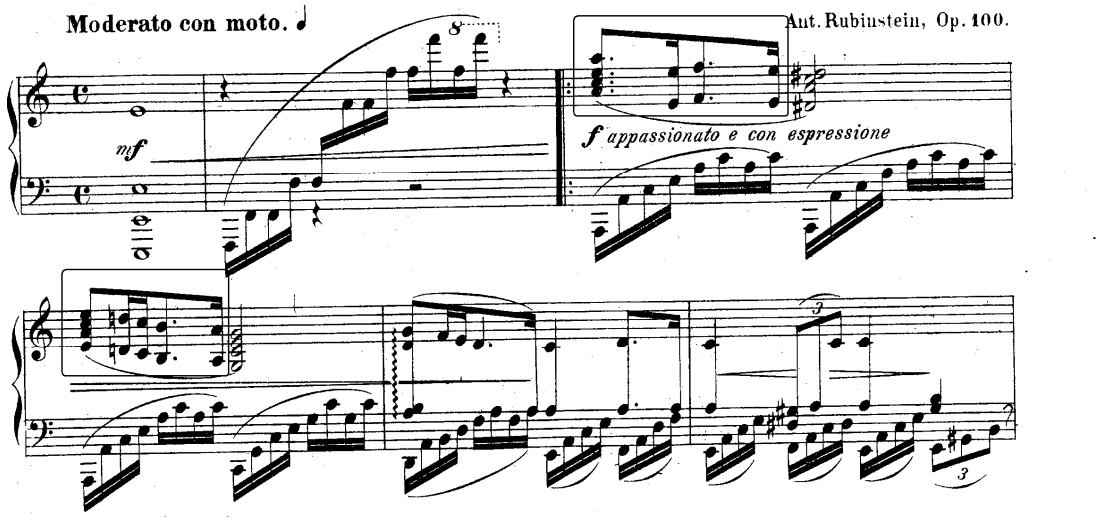


Ex. 4.6 measures 76-87: rhythmic acceleration in secondary theme

The development section consists of four subsections, each of which contains a different combination of the principal and closing themes. Since these themes are better understood in conjunction with each other, I will explore them closely before discussing each subsection of the development.

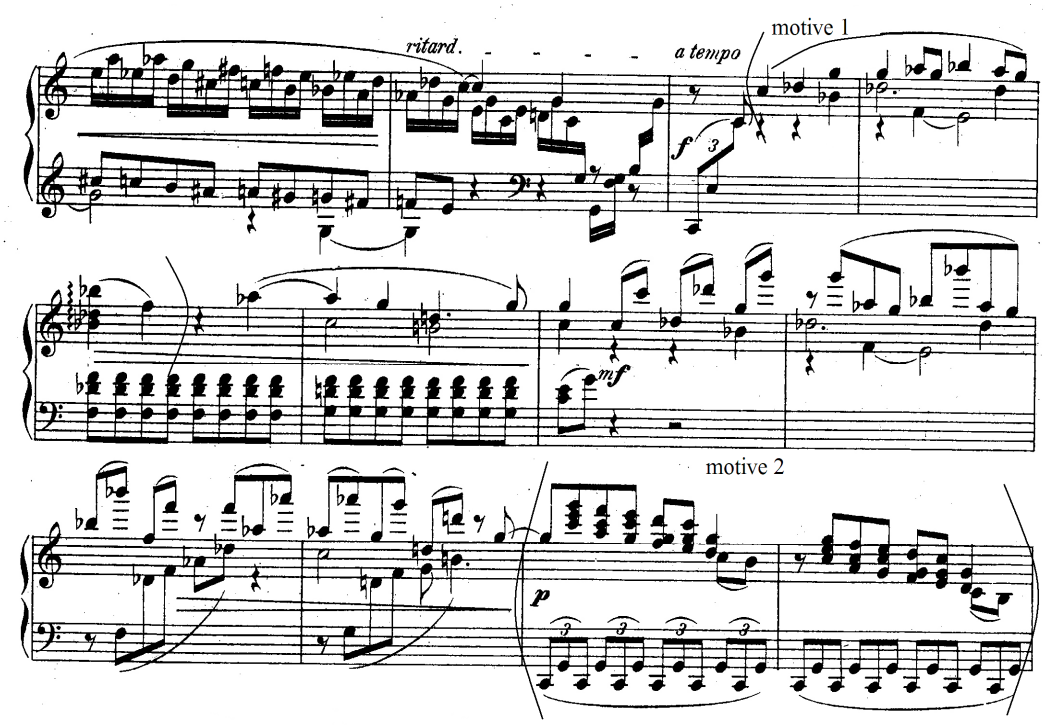
As mentioned above, the principal theme, as discussed above, is an eight-measure phrase, prepared by a two-measure introduction starting on the dominant of A

minor. The two motives used for the development appear on the treble staff: one is a dotted rhythm; the other is a short scale in stepwise motion (Example 4.7).



Ex. 4.7 measures 1-6: two motives from principal theme for development

The development section depends more on the closing than on the principal theme. This theme (mm. 104-19) also consists of two motives, both of which are longer than those of the principal theme. They are also quite unlike each other (Example 4.8).



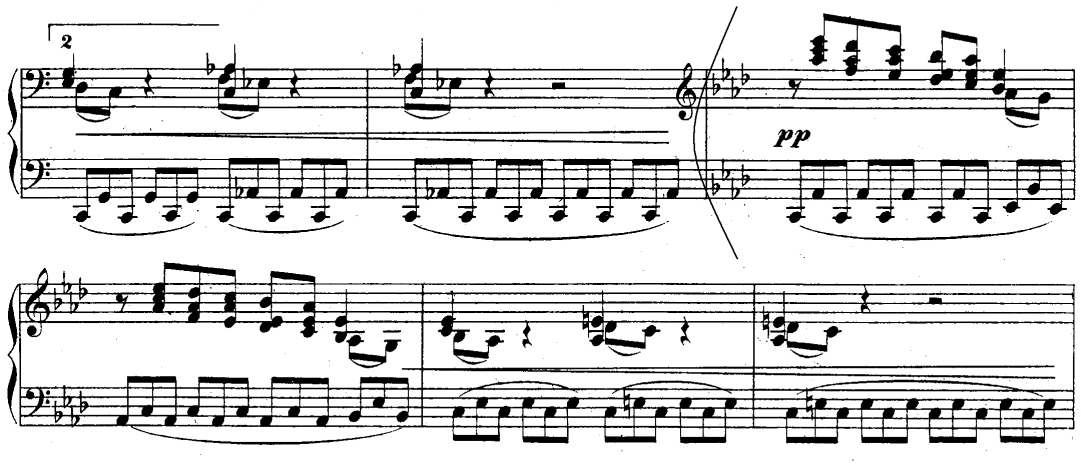
Ex. 4.8 measures 102-13: two motives from closing theme

This development section (mm. 120-96) is characterized by many motivic fragments and tonicizations. It consists of four subsections, each of which uses different motives. Table 4.3 below summarizes each subsection.

	Sub 1	Sub 2	Sub 3	Sub 4
Measures	120-33	134-57	158-73	174-96
Keys	Ab-Fm-Db-Bbm	Various (Counterpoint)	Db	F#m-D-Em
Used motives	Motive 2 of CT	PT	Motive 2 of CT & PT	Motive 1 of CT

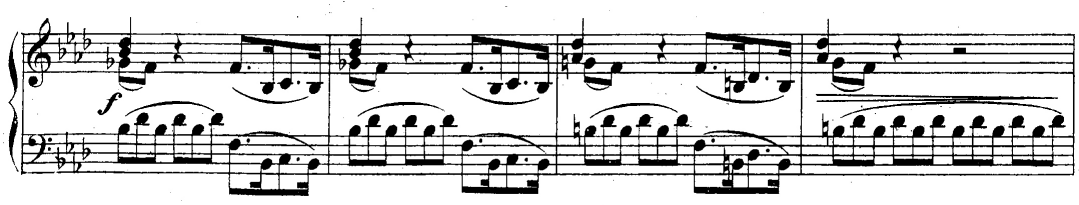
Table 4.3 Four subsections of development

The development, which embraces a chordal, scalar melody and a tremolo accompaniment, starts with the second motive of the closing theme (Example 4.9).



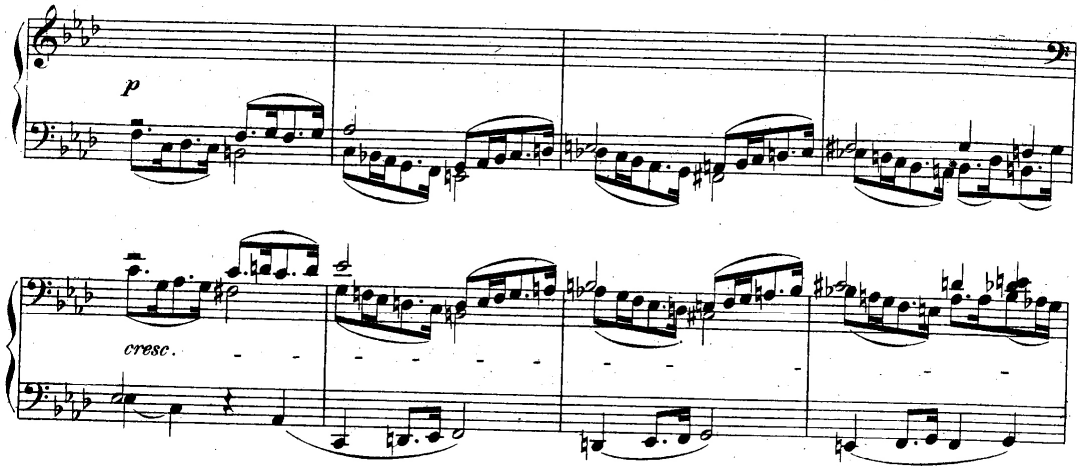
Ex. 4.9 measures 118-23: beginning of development

Before the second subsection appears, there is a bridge that combines the motives of the first and second subsections: the triplets carry the motive of the first subsection, the dotted rhythm, that of the second subsection (Example 4.10). It is at this moment that a *forte* marking first appears in this section. The first subsection is mostly quiet, and the second subsection goes back to a *piano* after this loud bridge.



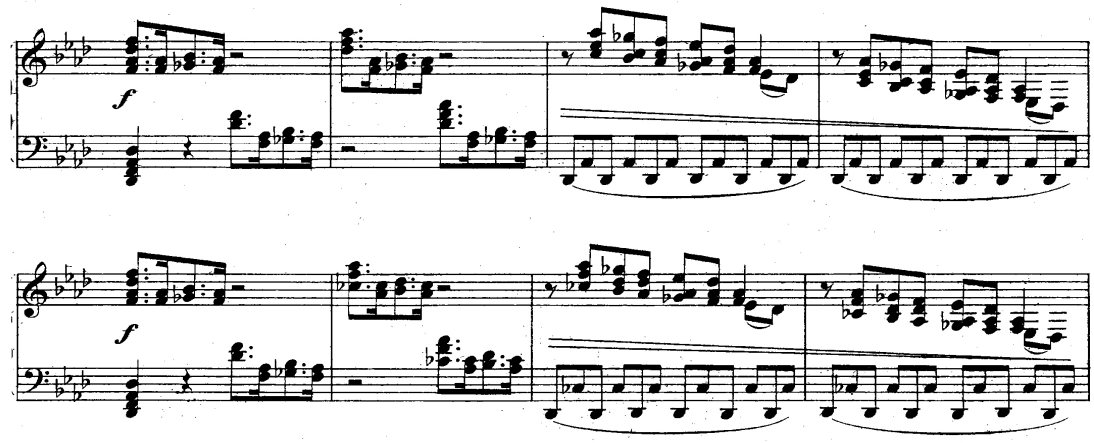
Ex. 4.10 measures 130-33: bridge between first and second subsections

The imitation technique that briefly appeared in the last subsection of the transition is the main musical material in the second subsection. It starts with a two-voice canon, and is gradually expanded to four voices in the end. This subsection takes a motive from the principal theme, which is largely a dotted rhythm (Example 4.11).



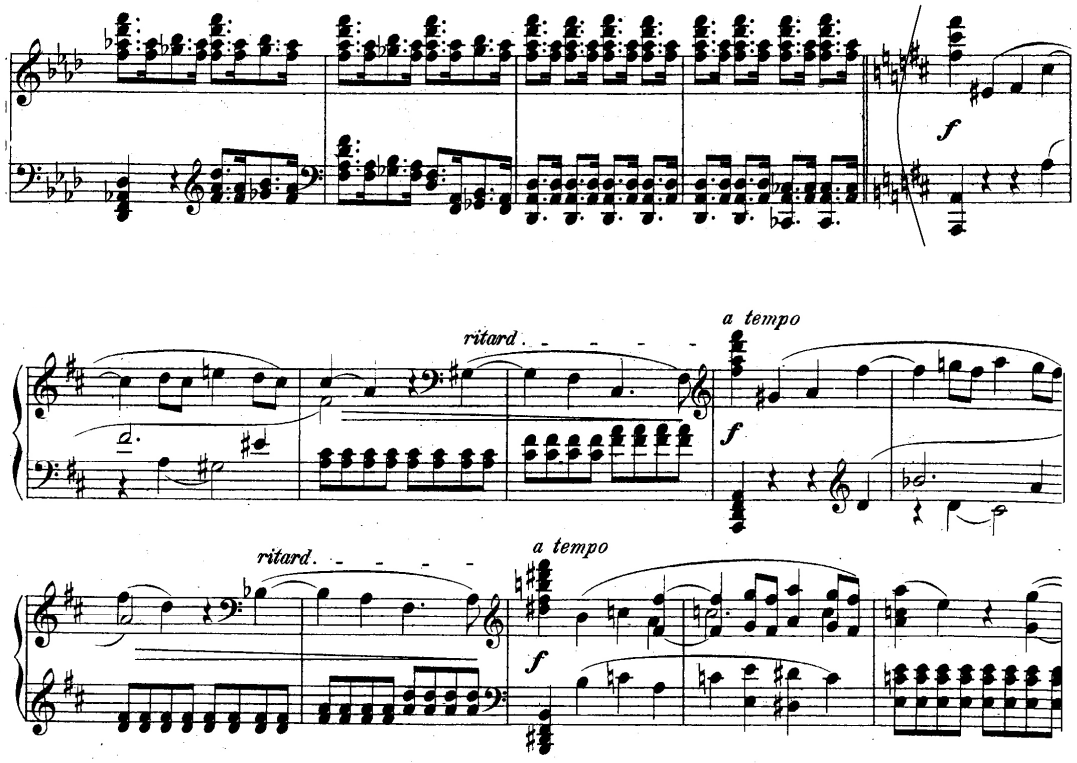
Ex. 4.11 measures 134-41: beginning of second subsection

The third subsection combines the prior subsections, and has a *f* dynamic marking in effect throughout (Example 4.12).



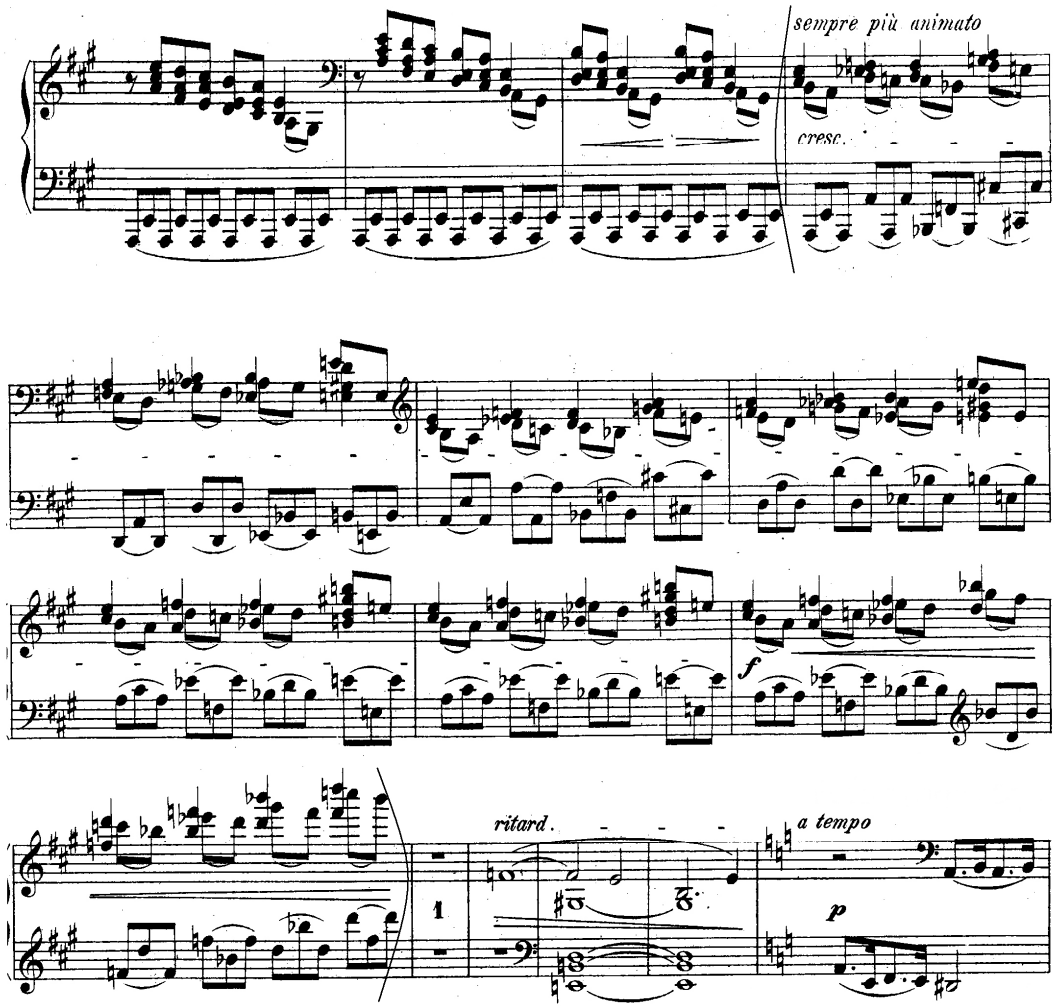
Ex. 4.12 measures 158-65: part of third subsection

The theme of the last subsection is drawn from the first four measures of the closing theme, appearing three times in three different keys: F-sharp minor, D major, and E minor. A *ritardando* concludes each appearance of the theme (Example 4.13).



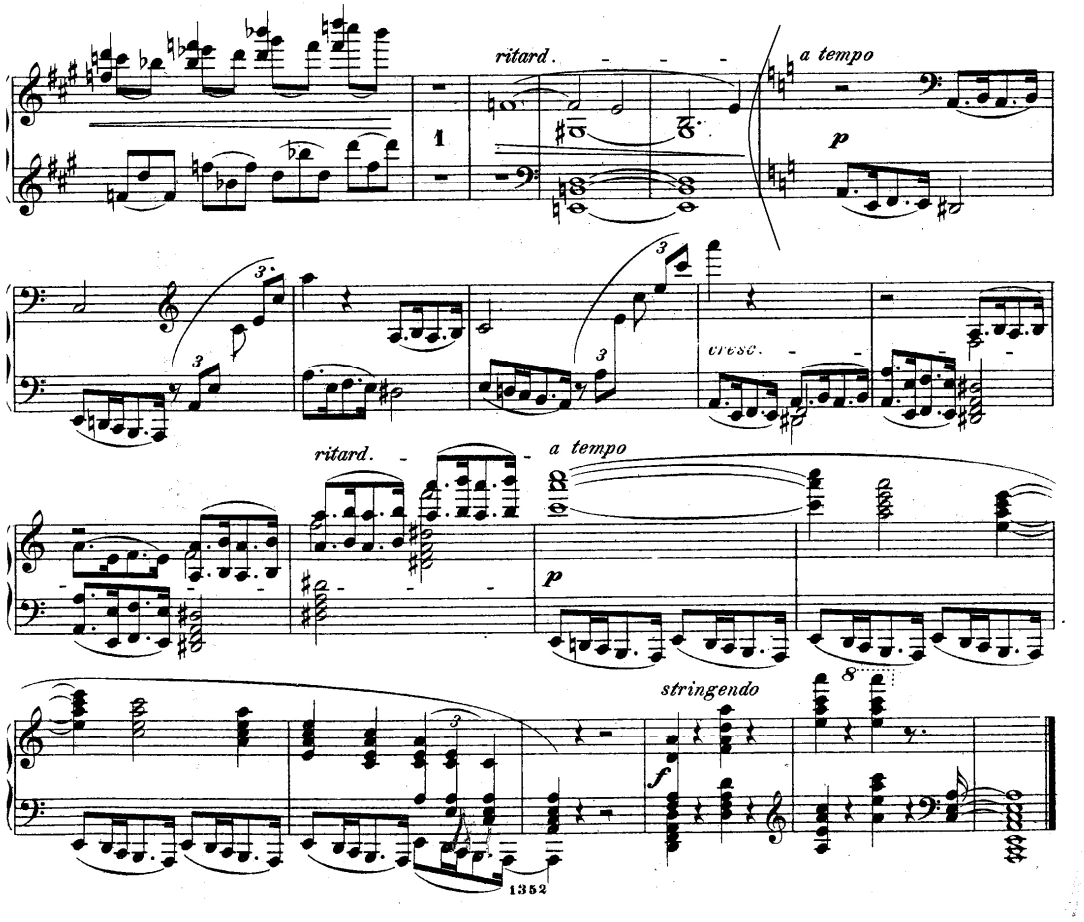
Ex. 4.13 measures 170-84: part of the last subsection

The recapitulation returns the exposition almost without change. Only at the end is the theme extended in a more chromatic progression (Example 4.14).



Ex. 4.14 measures 319-34: extension of closing theme in recapitulation

Finally, the A major in which the secondary theme appeared in the recapitulation returns in the coda in A minor (mm. 334-49). A hint of canonic imitation in measures 334-39 reminds the listener of the second subsection of the development (Example 4.15).



Ex. 4.15 measures 329-49: coda

II. Second movement, *Allegro vivace*

As was the case in the Op. 41, the second and third movements of this sonata are reversed: the second movement is a scherzo, the third is slow. The scherzo is in rounded binary form in D minor, the subdominant of the first movement, with a through-composed trio in B-flat major. Whereas the first movement had no surprises in terms of

key or form, the second shows formal and harmonic aspects that are both unexpected and slightly ambiguous.

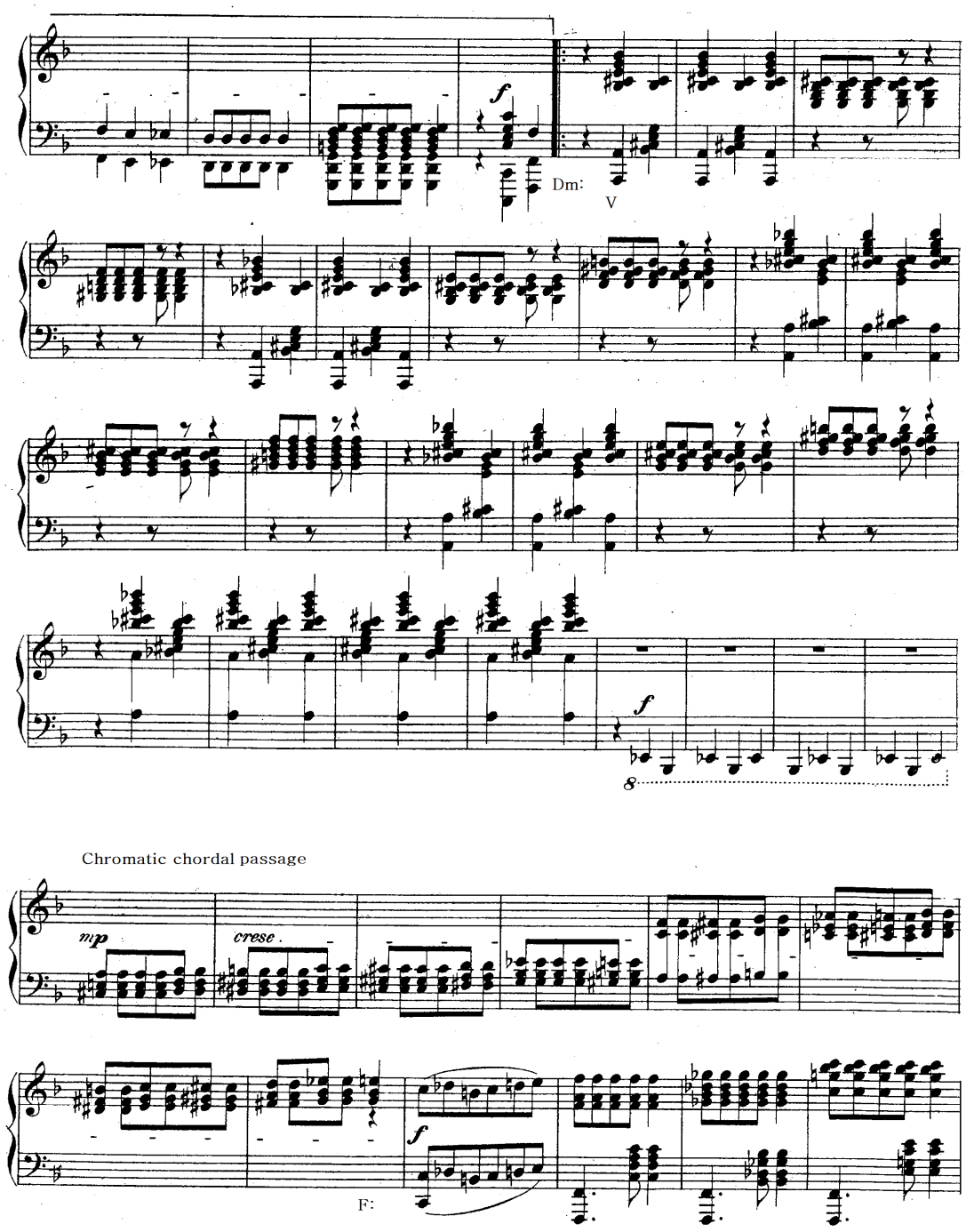
A noteworthy feature of this movement is that every section starts upon the dominant—something foreshadowed in the prior movement. This is the case, not only in both sections of the scherzo, but also in the trio. The composer's use of a non-tonic chord to begin is unique to this sonata. While there are movements in Rubenstein's other sonatas that begin on the tonic chord and have the dominant note in the bass, there are no others that begin on the dominant chord itself.

The scherzo and trio in this movement contrast greatly. The scherzo is rhythmic and percussive, with numerous repeated chords; the trio is smooth, and has arch-shaped melodic contours. Changes in tempo, meter, dynamics, key, and texture further the sense of contrast. Table 4.4 below illustrates:

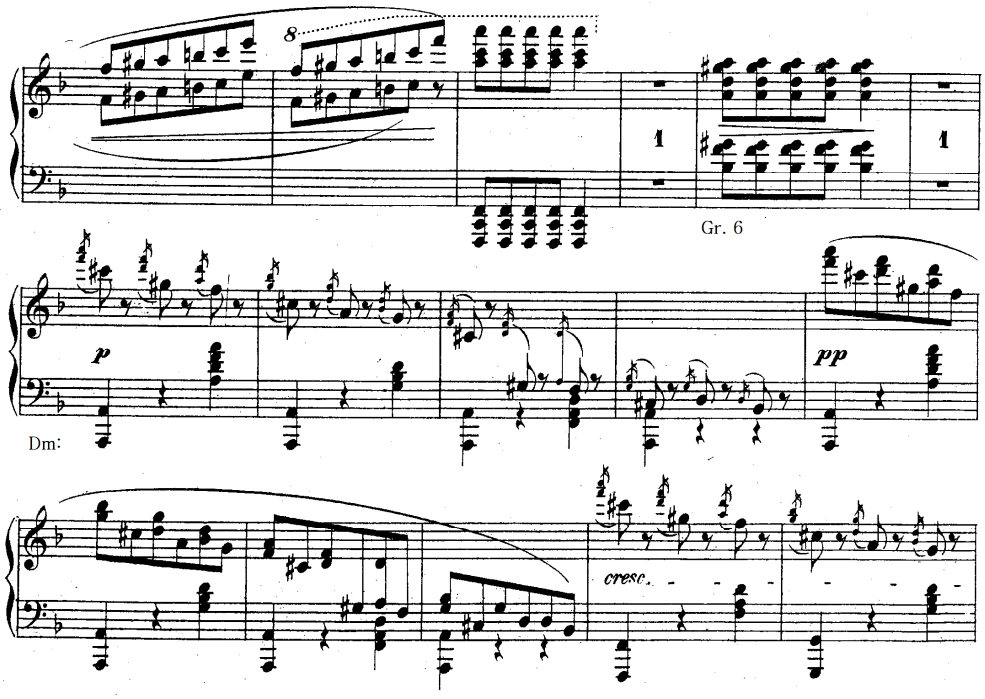
	Tempo	Meter	Dynamics	Key	Texture
Scherzo	*Allegro*	3 / 4	Mostly *f*	D minor	Homophonic
Trio	*Moderato*	12 / 8	*p* and *pp*	Bb major	Imitative

Table 4.4 Comparison between scherzo and trio

The scherzo (mm. 1-128) is in rounded binary form with a long codetta; both sections begin on the dominant of D minor. In the passage that starts the second section, the dominant is prolonged for 20 measures. The first section of the scherzo briefly returns in F major in measure 65 via a chromatic chordal passage that starts on the dominant of D minor and "sinks" into F major (Example 4.16). This is followed by a return to the tonic key of D minor through an augmented 6^{th} chord (Example 4.17).

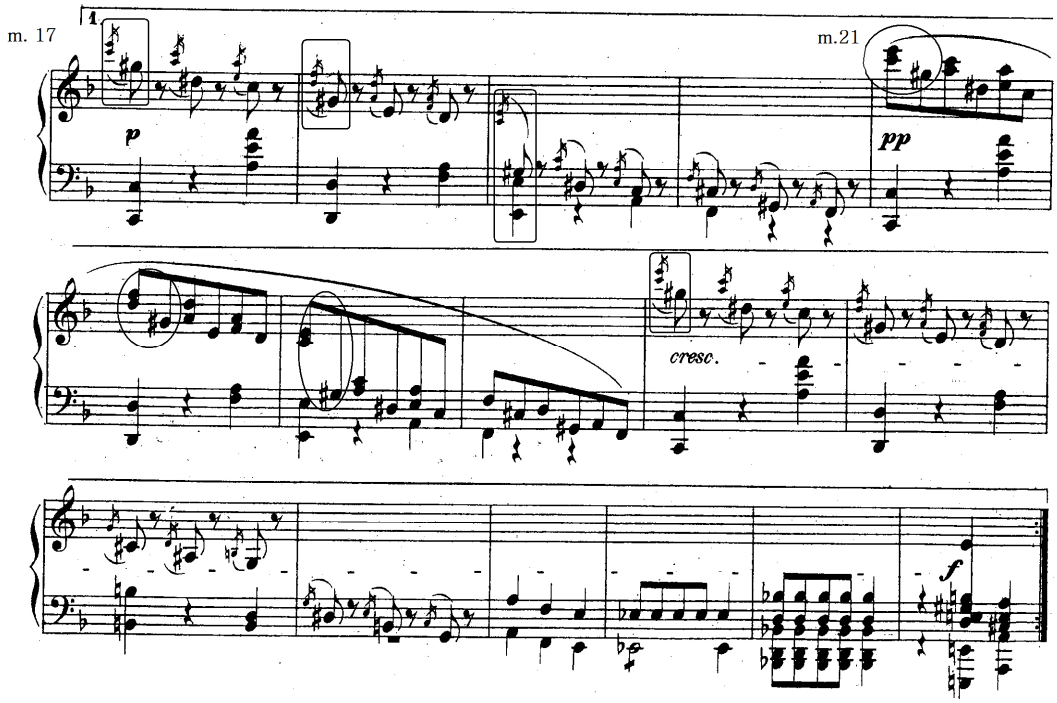


Ex. 4.16 measures 29-68: first part of second section in scherzo



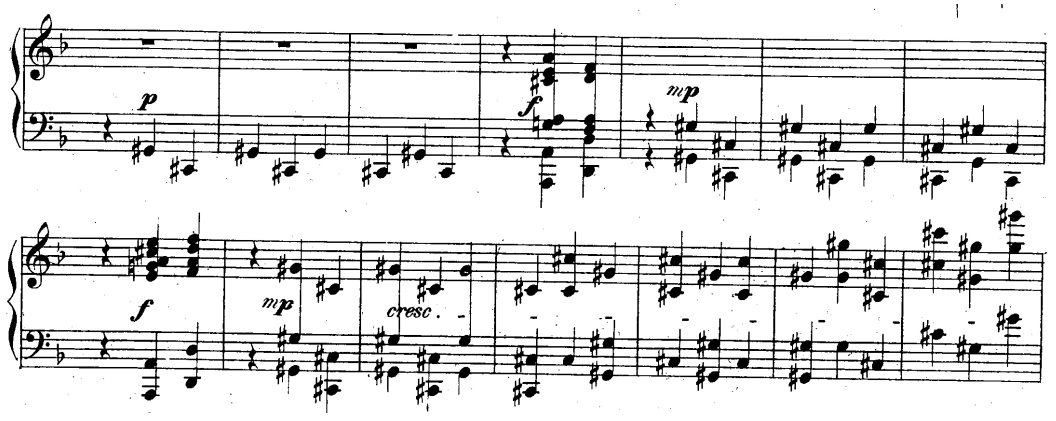
Ex. 4.17 measures 75-90: return to D minor after German 6th chord

A striking feature of the scherzo is the use of non-harmonic tones in prominent places. In measures 17-19, G-sharp and D-sharp occur on the downbeats and second beats of a passage otherwise based on the dominant or tonic of D minor. Only after stating these two non-harmonic tones in this way are they treated in a more conventional way (Example 4.18, mm. 21-23).



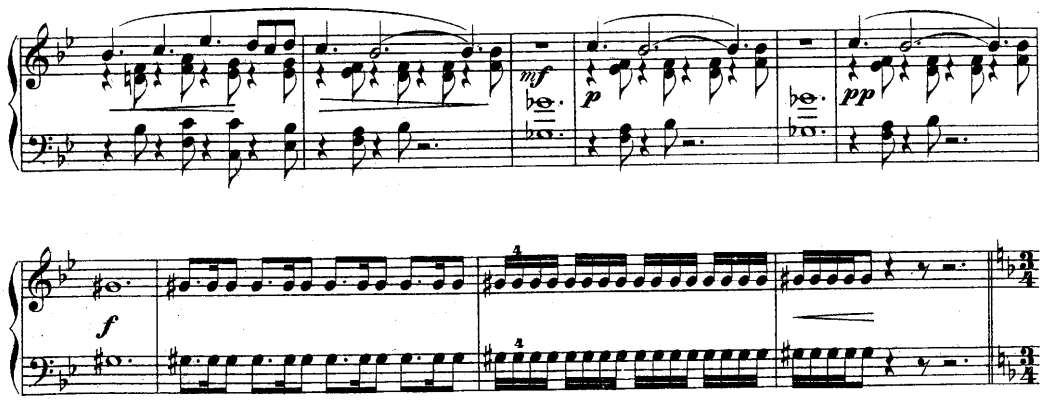
Ex. 4.18 measure 17-32: G-sharps on down beats

The especially prominent G-sharp reappears in the codetta and in the last part of the trio section. In the codetta, the G-sharp is paired with a C-sharp, and extended for 16 measures, implying the dominant of the raised III chord in D minor (Example 4.19-1).



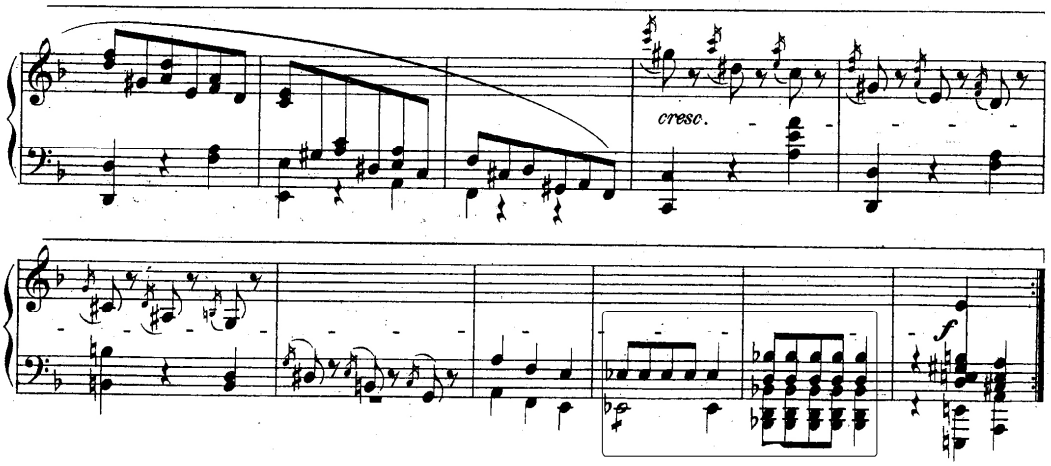
Ex. 4.19-1 measures 97-116: G-sharps and C-sharps in codetta

G-sharp, here functioning as the mediant of the secondary dominant in D minor, is used to prepare the return to the tonic key at the end of the trio in a way that is particularly emphatic (Example 4.19-2).

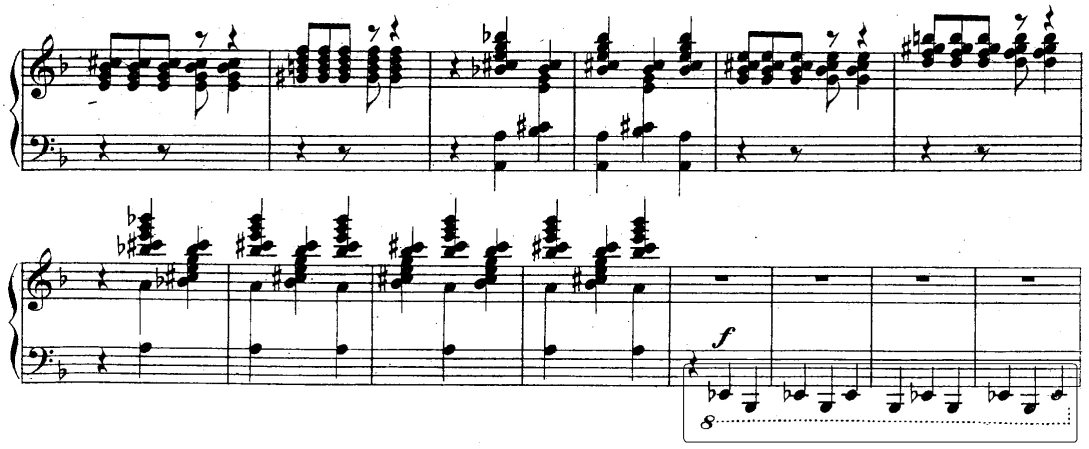


Ex. 4.19-2 measures 175-84: G-sharps at the end of trio section

Unexpected E-flats and B-flats also appear in the otherwise D minor first section of the scherzo (Example 4.20-1), then reappear in its second section (Example 4.20-2).



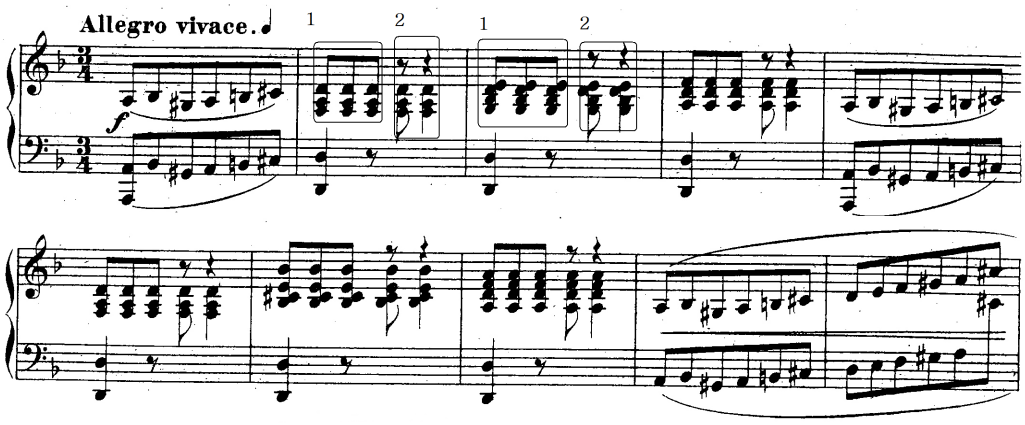
Ex. 4.20-1 measures 22-32: E-flats and B-flats in first section of scherzo



Ex. 4.20-2 measures 43-56: E-flats and B-flats in second section of scherzo

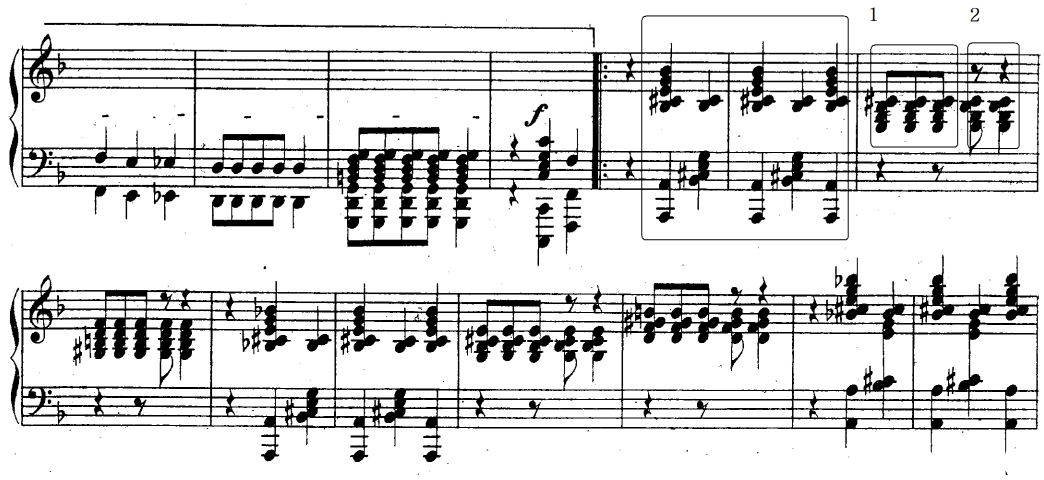
These E-flats and B-flats are not as surprising, however, as the G-sharp and D-sharp, for they imply the Neapolitan chord in D minor. Unlike the G-sharp and D-sharp, E-flat and B-flat have an obvious goal, which is to foreshadow the key of the trio section, B-flat major.

Another significant aspect of the scherzo is its rhythmic ambiguity. Frequent use of hemiola and passages in 6/8 meter undermine the written time signature (Example 4.21).

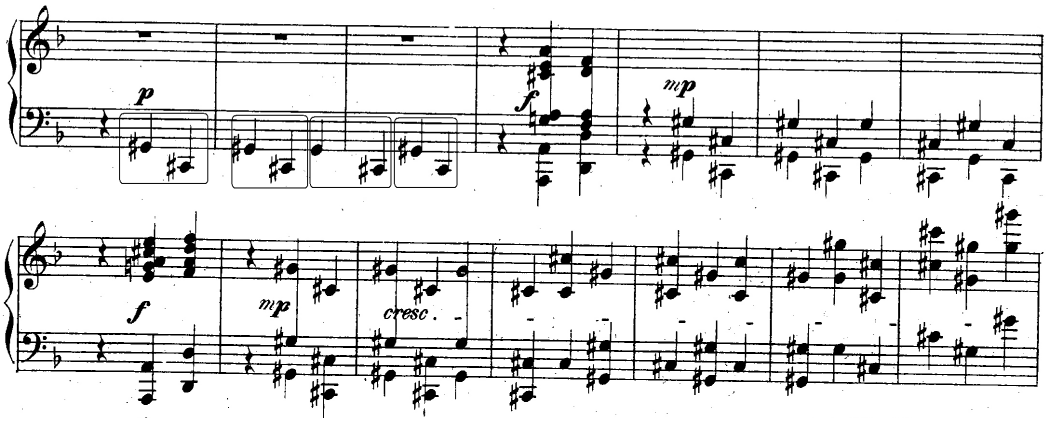


Ex. 4.21 measures 1-10: alternation between 3/4 and 6/8

The feeling of 6/8 is present throughout the scherzo, while the hemiola appears mainly in the first part of the second section (mm. 33-55, example 4.22-1) and in the codetta (mm. 97-112, example 4.22-2).



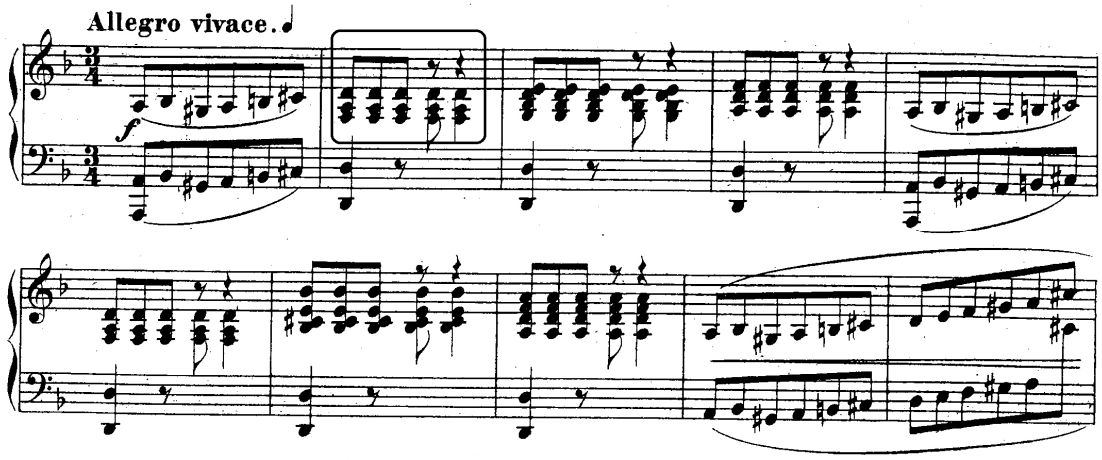
Ex. 4.22-1 measures 29-42: alternation between hemiola and 6/8



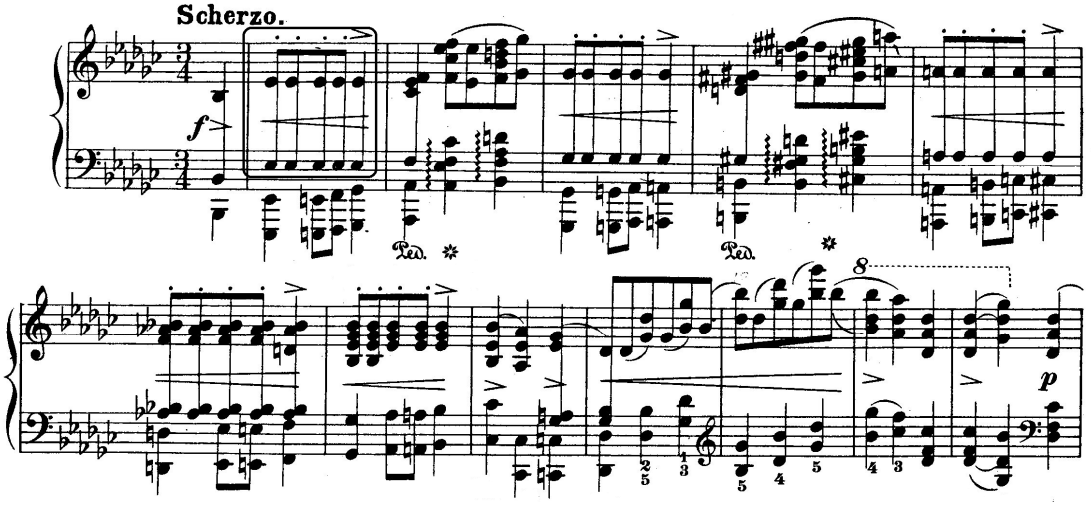
Ex. 4.22-2 measures 97-110: hemiolas in codetta

However, all the rhythmic alternation between two meters does not seem apparent in performance practice. Since this scherzo movement is in fast tempo, noticeable is only the accent on the first beat of each measure. That is, it is more reasonable to consider

each measure as a unit rather than counting one two three in every measure. This beginning part of the movement bears another resemblance to the scherzo movement of Chopin sonata No. 2 (Example 4.23-1&2). The both use a similar rhythmic motive here. The resemblance between the finales of Rubinstein sonata No. 1 and Chopin sonata No. 2 was already mentioned in the first chapter.

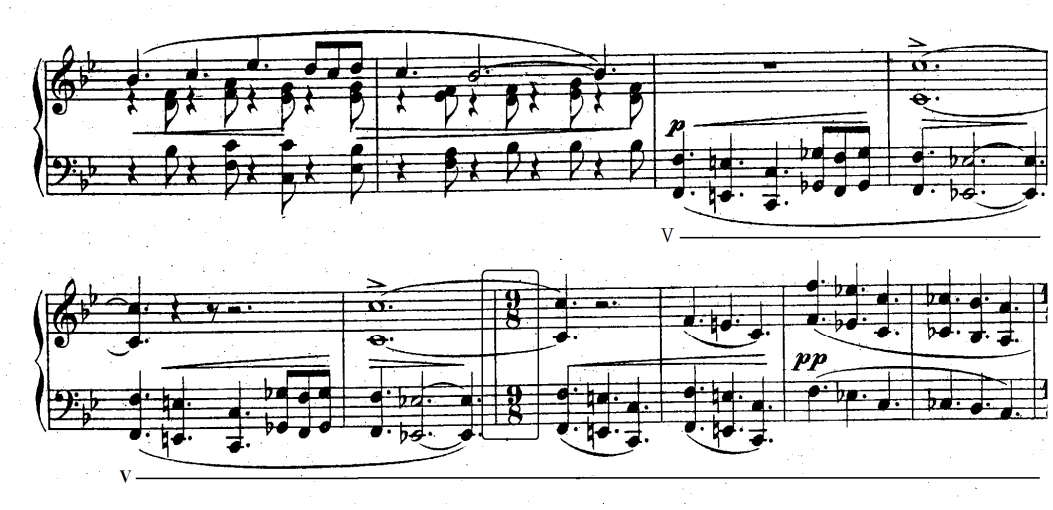


Ex. 4.23-1 Scherzo in Rubinstein's sonata



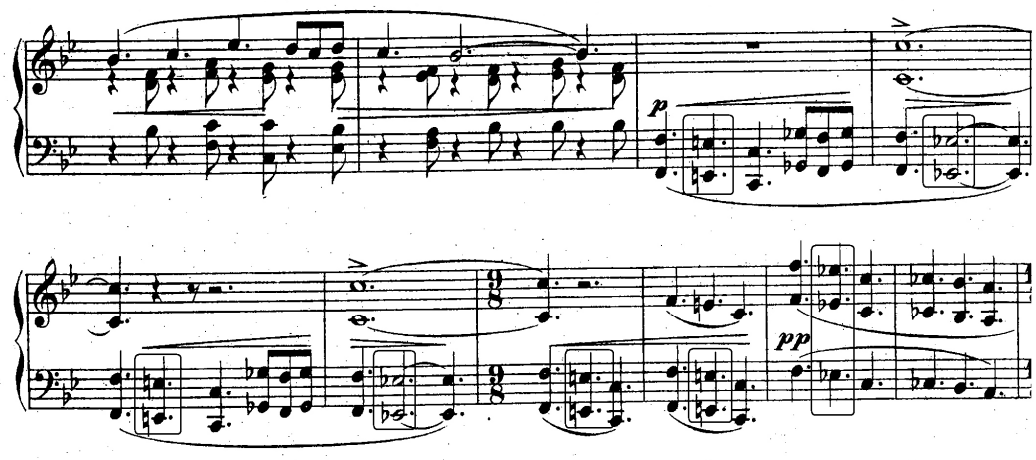
Ex. 4.23-2 Scherzo in Chopin's sonata

The trio section (mm. 129-84) differs from the scherzo in nearly every possible way: key, meter, tempo, texture, dynamics—all are different. Only in its beginning on the dominant is the trio like the scherzo. The trio is in the relatively unexpected key of B-flat major, the submediant of the scherzo, and remains in this key throughout. At times, the music embraces prolonged V-chord passages, and in these passages the meter changes from 12/8 to 9/8 (Example 4.24).

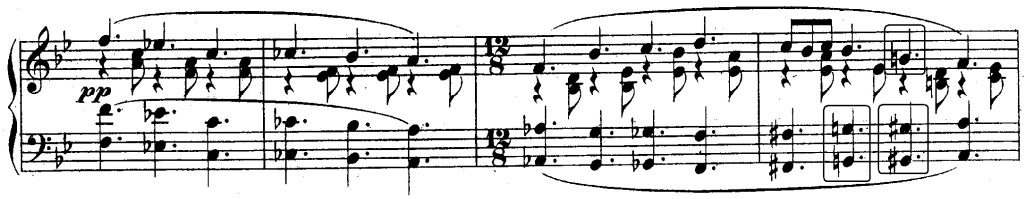


Ex. 4.24 measures 143-52: meter change in trio section

The most surprising feature of the trio is the return of the non-harmonic tones E-flat (or D-sharp) and G-sharp. Here these notes conflict chromatically with their neighbors: the conflicting E-flat occurs in measures 145-51; the G-sharp, in measure 170 (Examples 4.25-1&2).

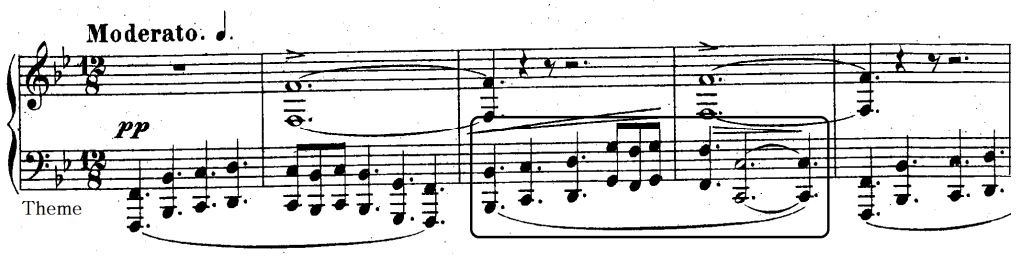


Ex. 4.25-1 measures 143-52: conflict between E and E-flat

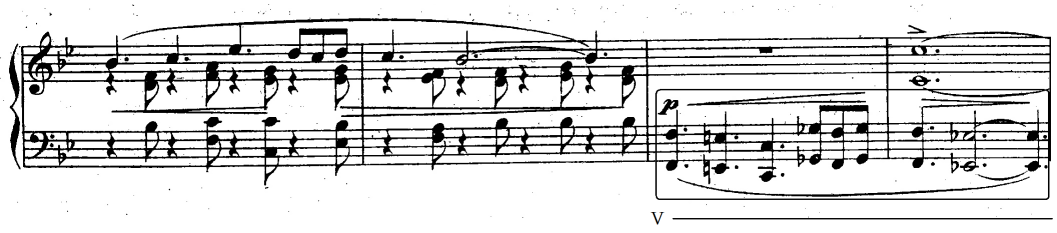


Ex. 4.25-2 measures 167-70: conflict between G and G-sharp

Another distinct difference between scherzo and trio are their textures: whereas the scherzo is homophonic, the trio is canonic. A single theme is passed between treble and bass registers. When this theme appears in the prolonged V-chord passages, the melody is slightly changed (Example 4.26-1&2).



Ex. 4.26-1 measures 129-33: theme in trio section

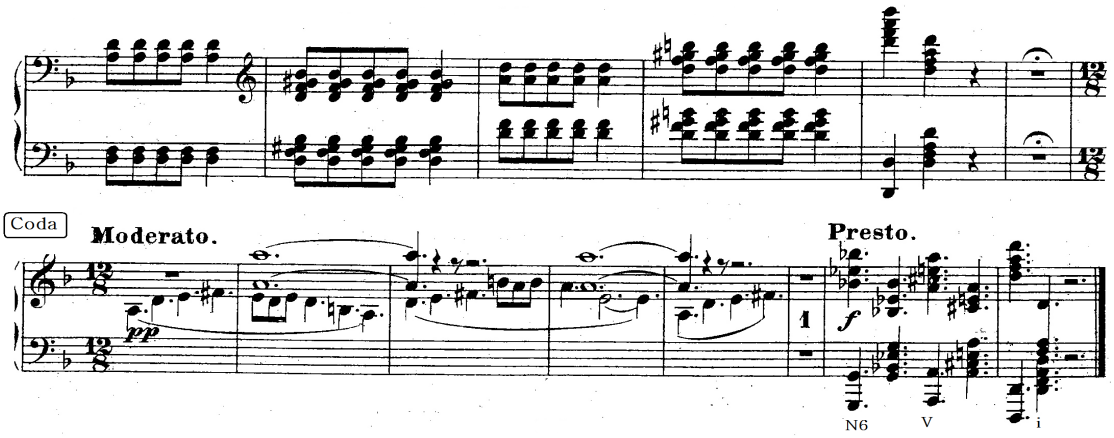


Ex. 4.26-2 measures 143-46: variant of theme

The tempo of the trio is slower than that of the scherzo: while the former is *allegro vivace*, the latter is *moderato*. And whereas the scherzo varies from *pianissimo* to *forte*, the trio section remains soft throughout.

When the scherzo returns, the repeats are omitted; otherwise the repetition is identical. This is followed by a short coda, which is reminiscent of the trio section, now in D major. Both theme and tempo markings return here.

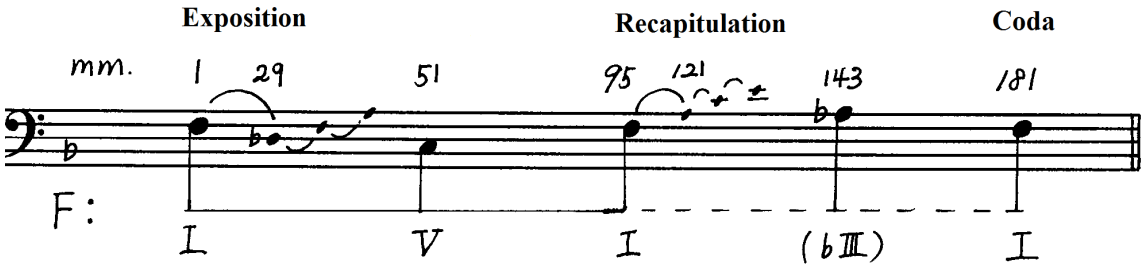
The movement closes with a short chordal passage in *presto*, which consists of a strong perfect authentic cadence to the tonic. Here, the unexpected E-flat and B-flat, first announced in the scherzo, return, this time as a Neapolitan chord that helps prepare the final cadence (Example 4.27).



Ex. 4.27 measures 307-20: coda

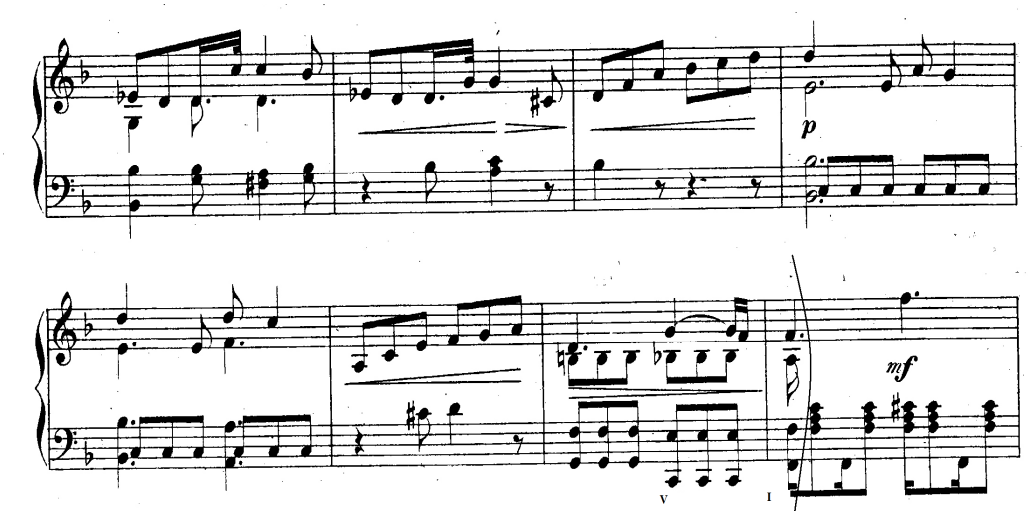
III. Third movement, *Andante*

Of the four movements of this sonata, it is the third that most departs from traditional forms. Given its tonal scheme, it stands closest to sonata form without a development, yet it may be argued that its layout resembles that of a five-part rondo as well. Its most striking features are the proportions of each section and its tonal scheme, in which third relationships predominate:

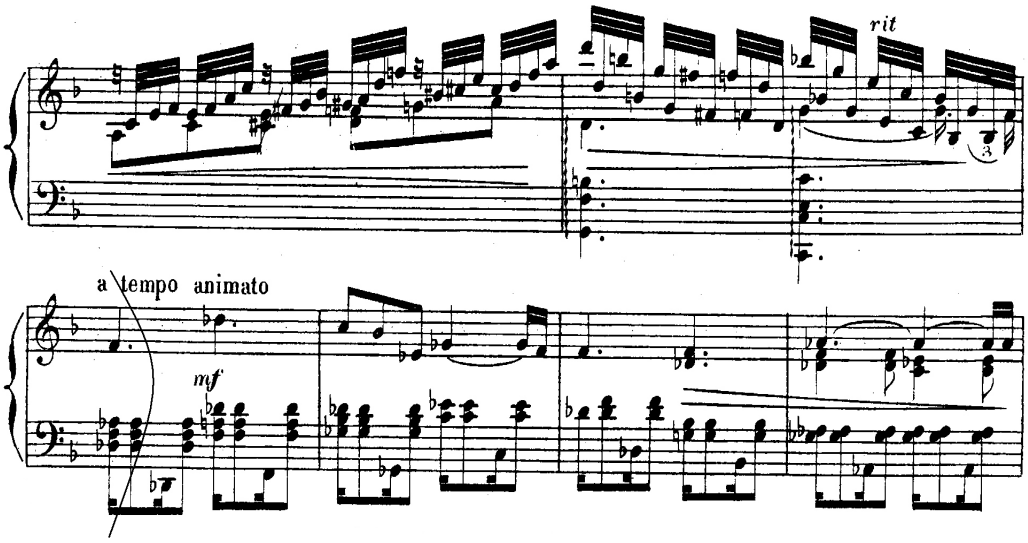


Ex. 4.28 Tonal scheme of third movement

The beginnings of the exposition and the recapitulation are based on the principal theme in F major: they differ in key; interaction between melody and accompaniment; and dynamics. The melodious principal theme remains in F major throughout the exposition, ending upon a perfect authentic cadence; the transition, therefore, starts in the same key (Example 4.29-1). In the recapitulation, the principal theme starts in F major but ends in D-flat major, bVI of F major. Thus the transition of the recapitulation starts in D-flat major (Example 4.29-2).

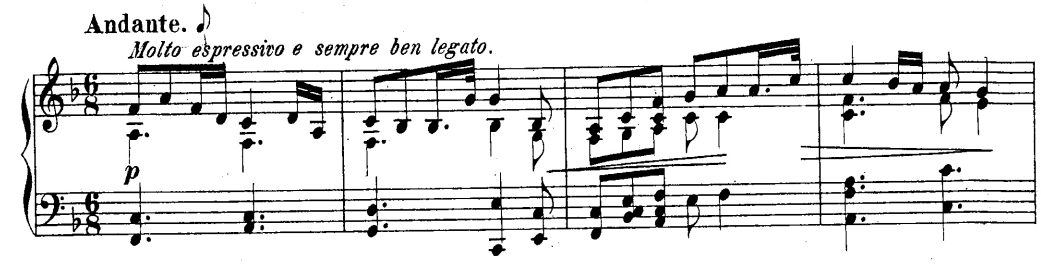


Ex. 4.29-1 measures 10-17: end of principal theme in exposition

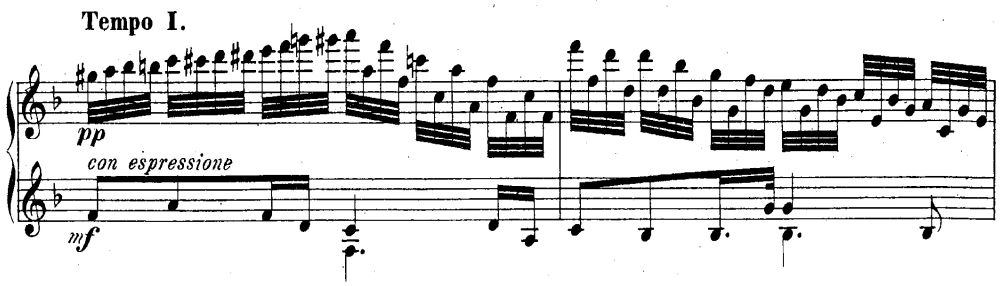


Ex.4.29-2 measures 109-14: end of principal theme in recapitulation

The interaction between melody and accompaniment in the recapitulation also differs from that of the exposition. In the recapitulation, the melody is in the bass; in the exposition, the melody is in the soprano. The accompaniment in the exposition is comprised of simple chords (Example 4.30-1); in the recapitulation, chromatic scalar and tremolo thirty-second notes predominate (Example 4.30-2).



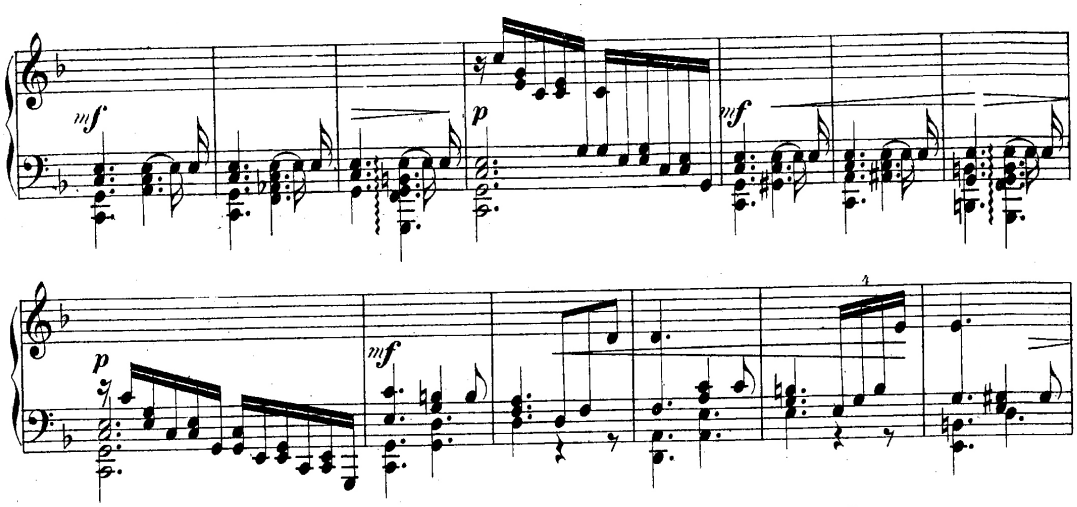
Ex. 4.30-1 measures 1-4: accompaniment of principal theme in exposition



Ex. 4.30-2 measures 95-96: accompaniment of principal theme in recapitulation

The dynamic marking of the principal theme throughout the exposition is soft; in the recapitulation, however, the theme is *mezzo forte* and its accompaniment, *pianissimo*. There is a *ritardando* marking at the end of this section in the recapitulation that does not appear in the exposition.

The secondary theme is more static in melodic contour and harmony than the principal theme (Example 4.31).



Ex. 4.31 measures 51-63: secondary theme

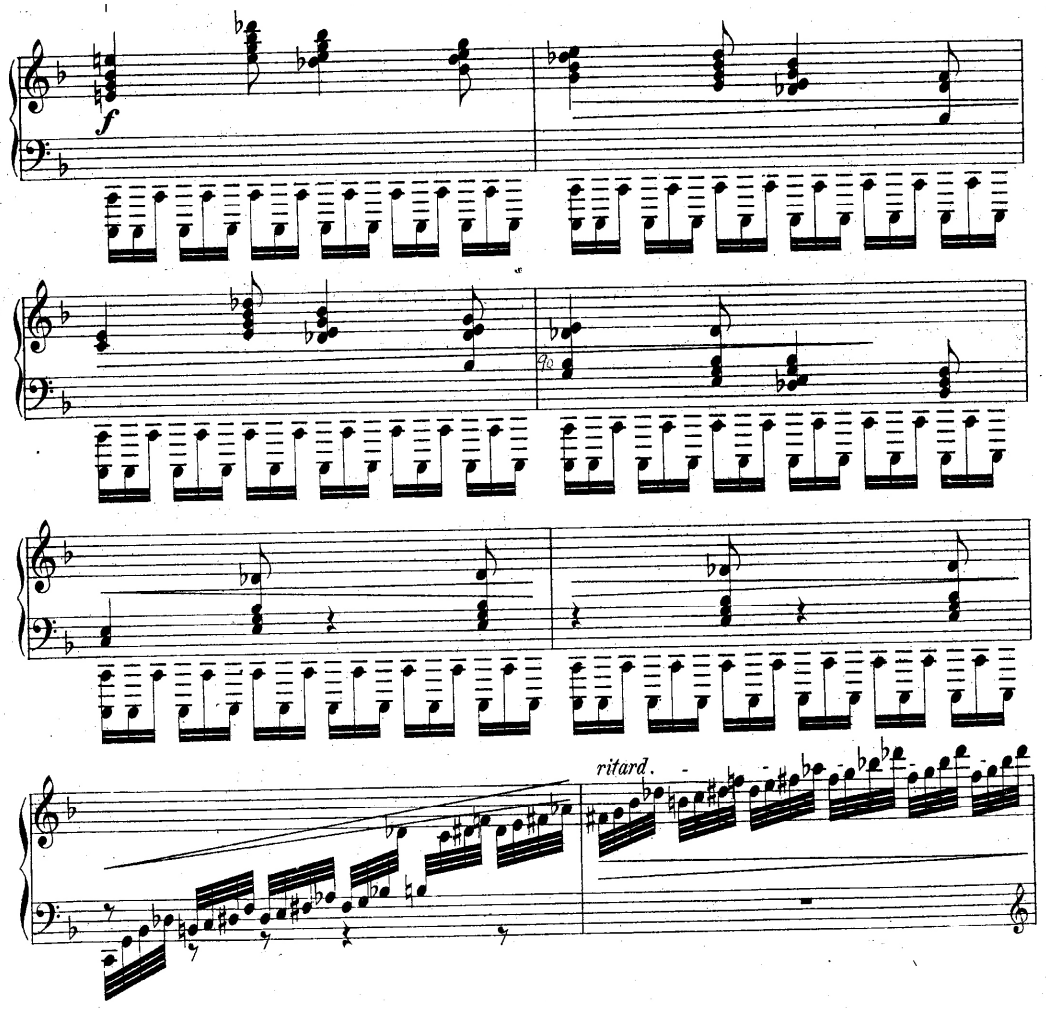
The secondary theme is unchanged from exposition to recapitulation, save for its tonality. In the exposition, it is in the dominant key of C major. In the recapitulation, it returns, not in the tonic, as would be expected, but in A-flat major—or, flat-III of F major.

Of particular interest is what happens in the extension sections that immediately follow the secondary theme. These extensions vary in length, key, and character. Table 4.5 below illustrates:

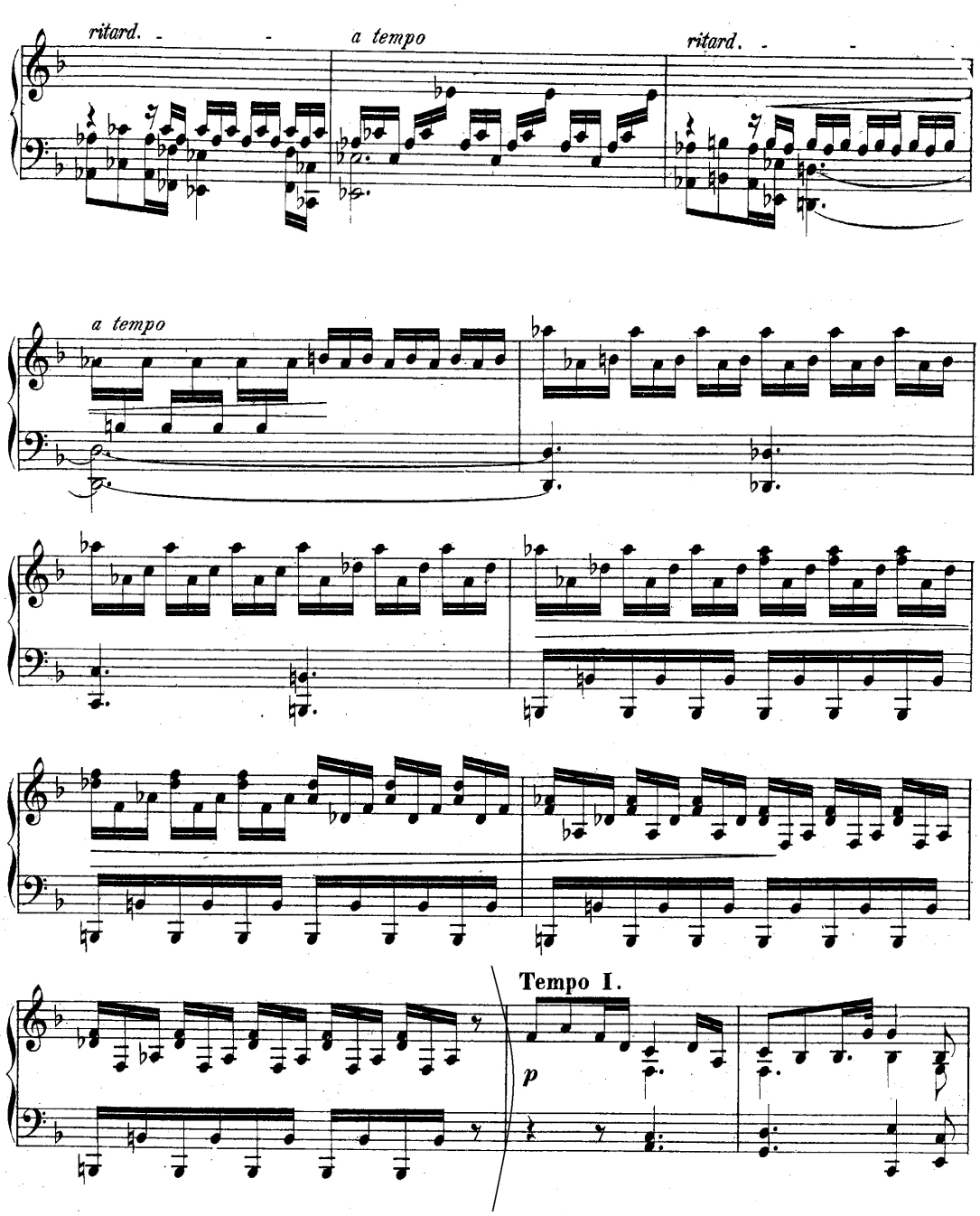
	Extension in exposition	Extension in recapitulation
Measures	76-94 (19 measures)	168-80 (13 measures)
Keys	C –Ab-V7/F	Ab-vii7/C-German 6^{th} in F
Characters	PT reminiscence + V7/F with chordal melody on top	PT reminiscence + tremolos in German 6^{th} chord

Table 4.5 Comparison of extensions between exposition and recapitulation

The extension in the exposition is longer than its counterpart in the recapitulation. Both extensions follow their secondary themes, starting with a fragment of the principal theme and then spending the remaining half of the section exploring a specific chord. In the exposition, this chord is the dominant of F major; its function is to prepare the return to the principal theme at the beginning of the recapitulation (Example 4.32-1). In the recapitulation, the extension is based upon the German sixth chord in F major. The resolution of this chord is delayed in the beginning of the coda (Example 4.32-2).



Ex. 4.32-1 measures 87-94: extension in exposition



Ex. 4.32-2 measures 174-82: extension in recapitulation

The extension of the exposition starts in C major but remains in this key for just three measures; an eight-measure tonicization of A-flat major follows, foreshadowing the key of the secondary theme in the recapitulation. The remainder of this section is filled

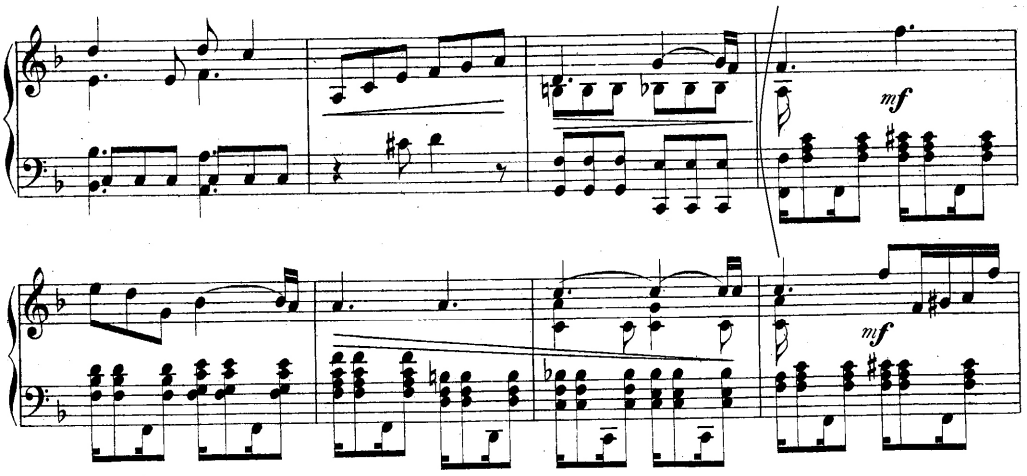
with a prolonged dominant seventh chord in F major. The extension in the recapitulation starts in A-flat major and lasts for five measures. It is followed by a passage based upon the German sixth chord in F major, following a two-measure secondary diminished seventh chord in C (see Example 4.32-2 above).

The transition is complex. While the two major themes comprise a single section and stay—mostly—in the same key, the transition is comprised of three subsections, each having a different key, melody, and meter. The first subsection is a theme and variations; the second, a set of sequences; the last, a preparation of the secondary theme emphasizing the dominant of the key of the secondary theme. The primary difference between the transition of the exposition and that of the recapitulation is their tonal paths (see Table 4.6).

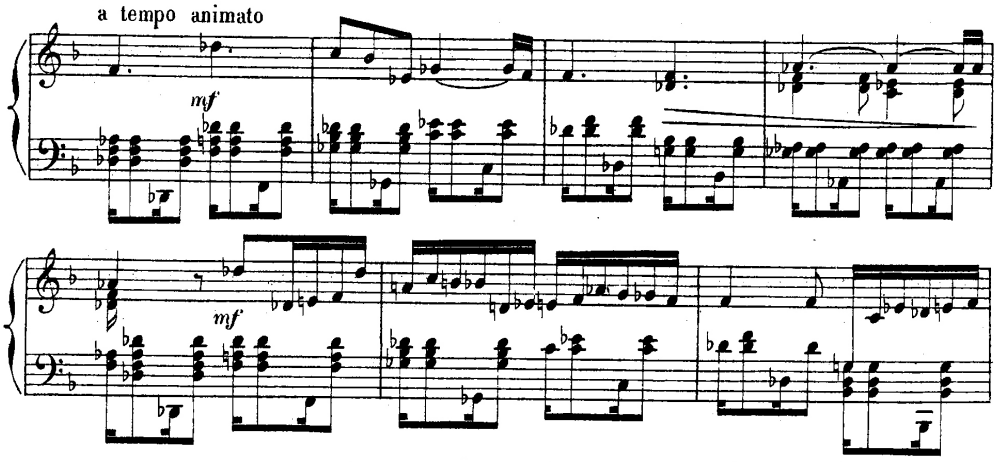
	Exposition			Recapitulation		
Section	1	2	3	1	2	3
Measures	17-29	29-40	40-50	111-120	121-32	132-42
Key(s)	F-Db	Db	V of C	Db-A	A	V of Ab
Meter	6/8	5/8	6/8	6/8	5/8	6/8

Table 4.6 Comparison of transitions between exposition and recapitulation

Although the first subsection of the transition is based on a short version of the theme and variations in both exposition and recapitulation, there are differences between these sections. Firstly, while the exposition has only one variation, the recapitulation has two. Secondly, whereas the first section of the transition begins in F major and modulates to D-flat major in the exposition, in the recapitulation this same section begins in D-flat major (Examples 4.33-1&2).

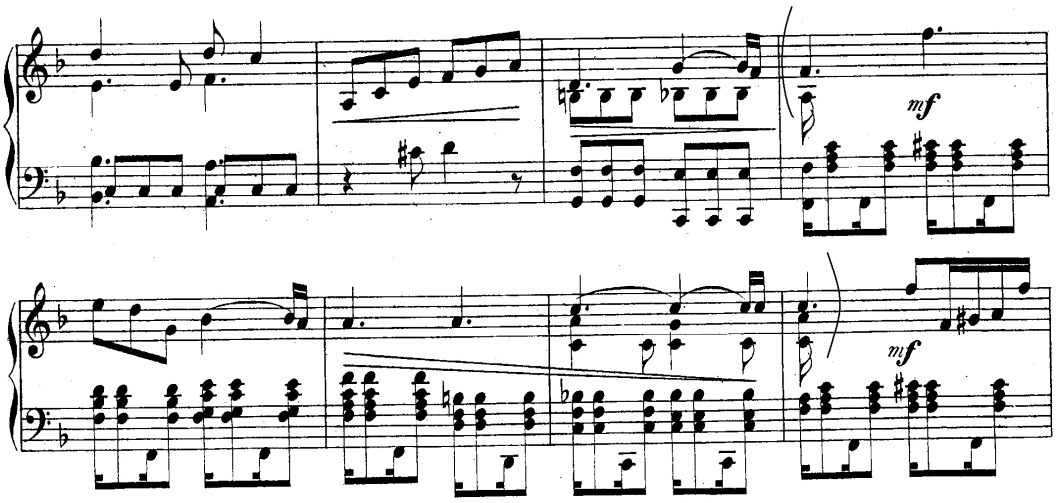


Ex. 4.33-1 measures 14-21: first subsection of transition in exposition

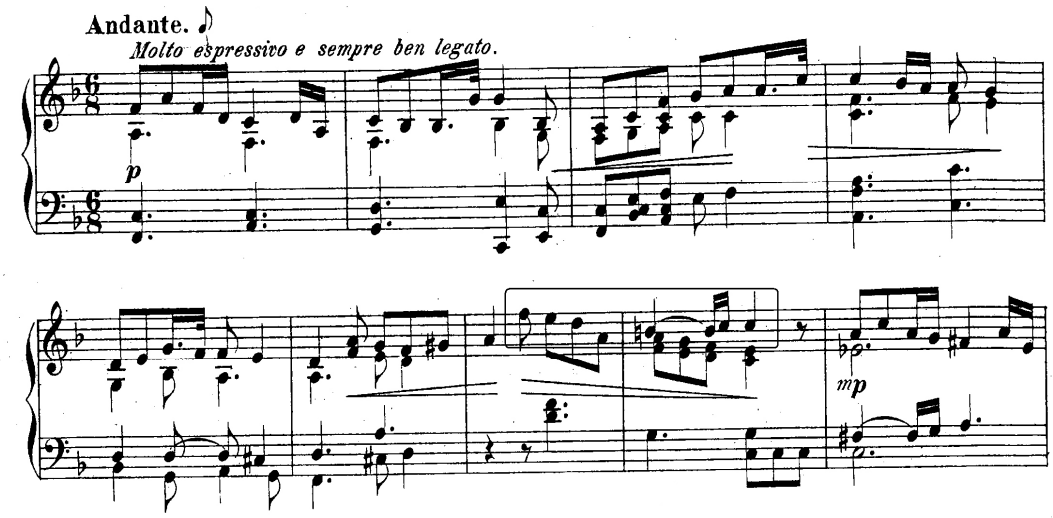


Ex. 4.33-2 measures 111-17: first subsection of transition in recapitulation

The theme of the first subsection in exposition draws its rhythmic idea from the principal theme (Examples 4.34-1&2).



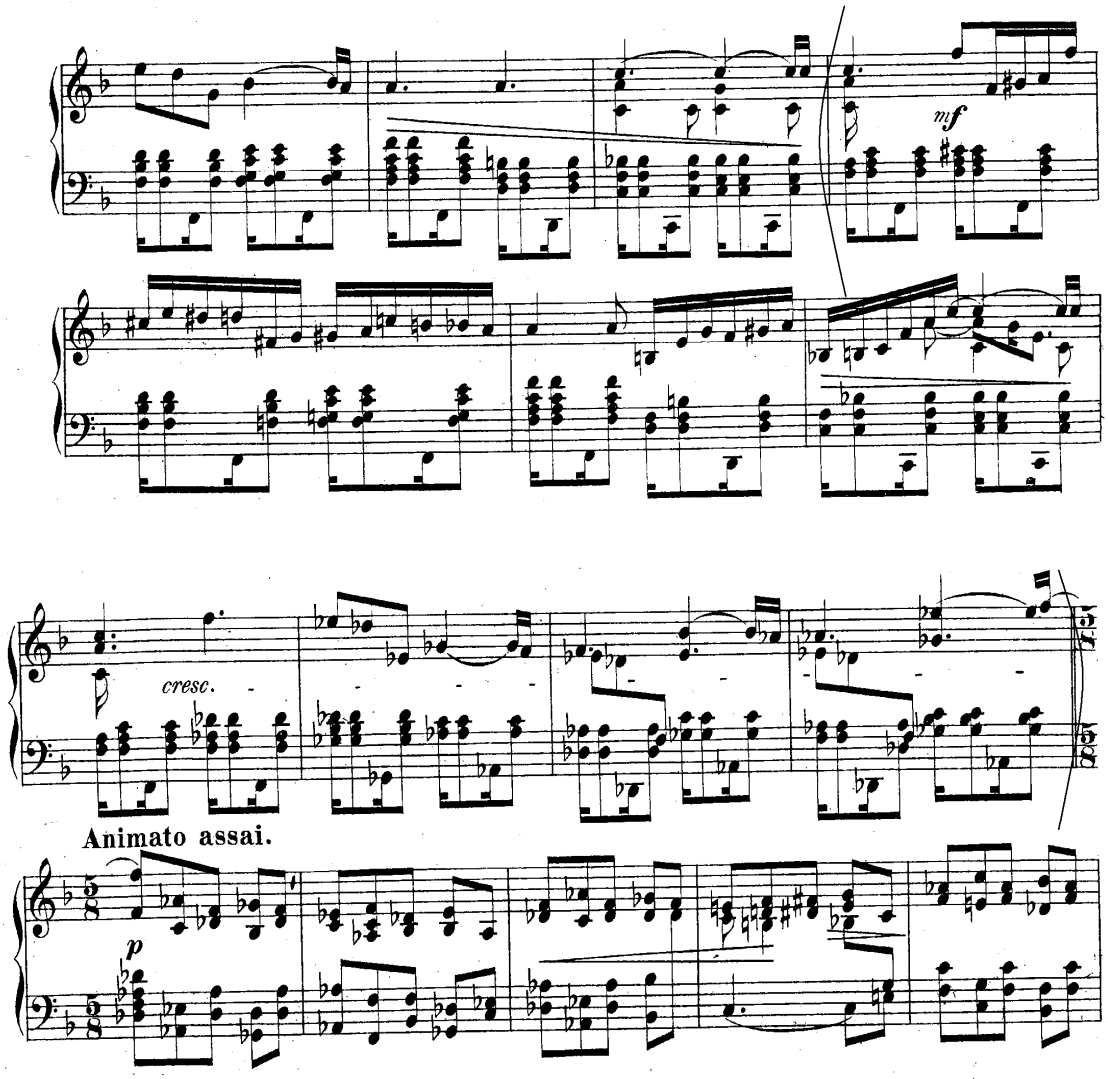
Ex. 4.34-1 measures 14-21: theme of first subsection in exposition



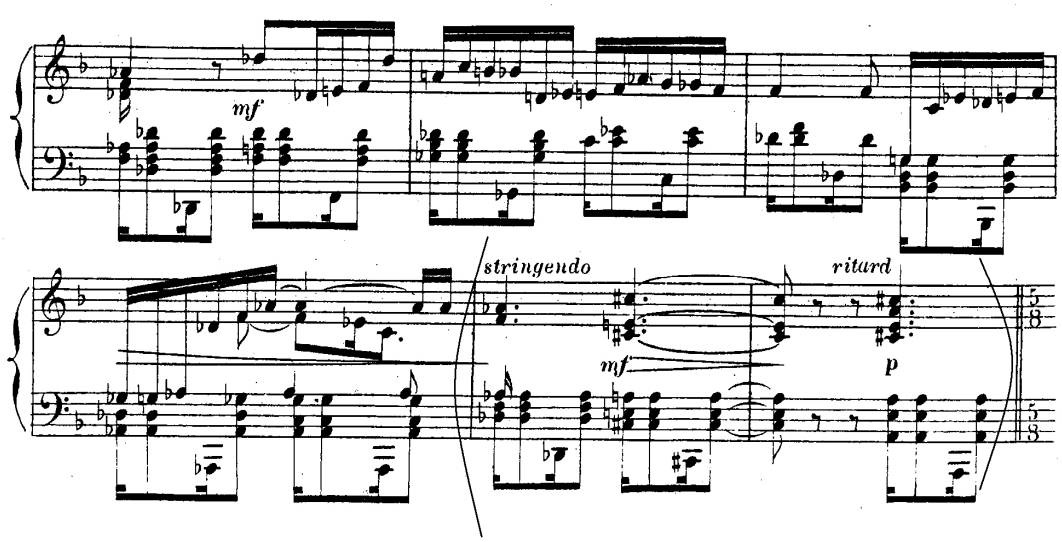
Ex. 4.34-2 measures 1-9: rhythm of principal theme taken for first subsection

In the first variation of the exposition, the theme remains in the same key; in the second variation, the theme modulates from F major to D-flat major; in the corresponding

variation of the recapitulation, it modulates from D-flat major to A major in a short extension following the first variation; there is no second variation in the recapitulation (Example 4.35-1&2). A syncopated *basso ostinato* underpins the whole section.

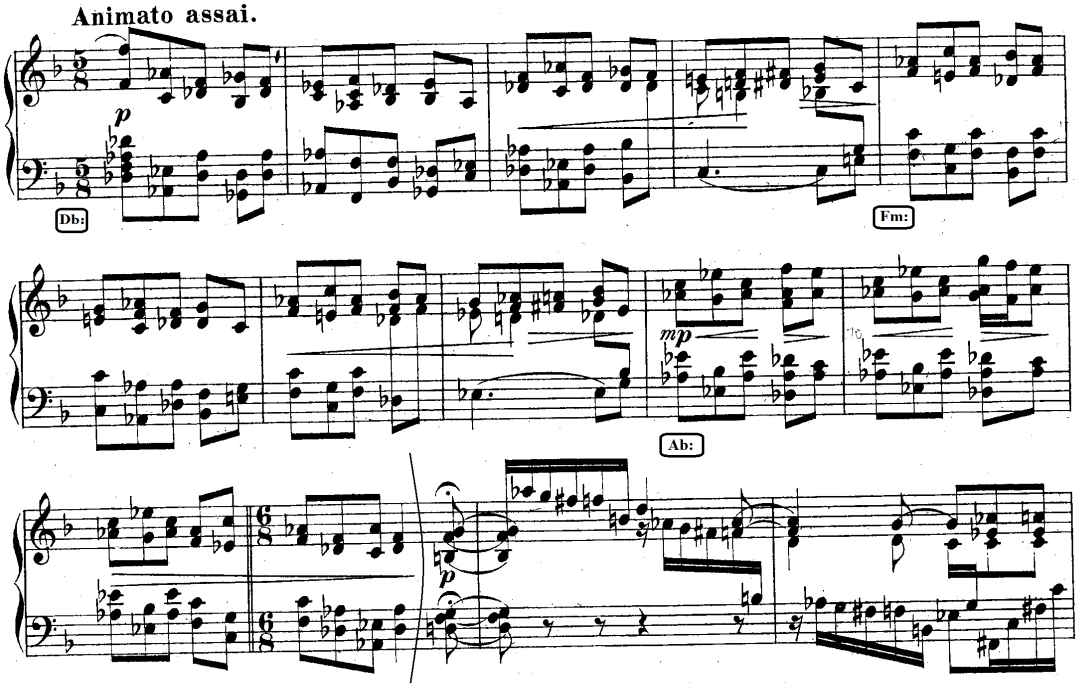


Ex. 4.35-1 measures 18-33: modulation in second subsection of exposition

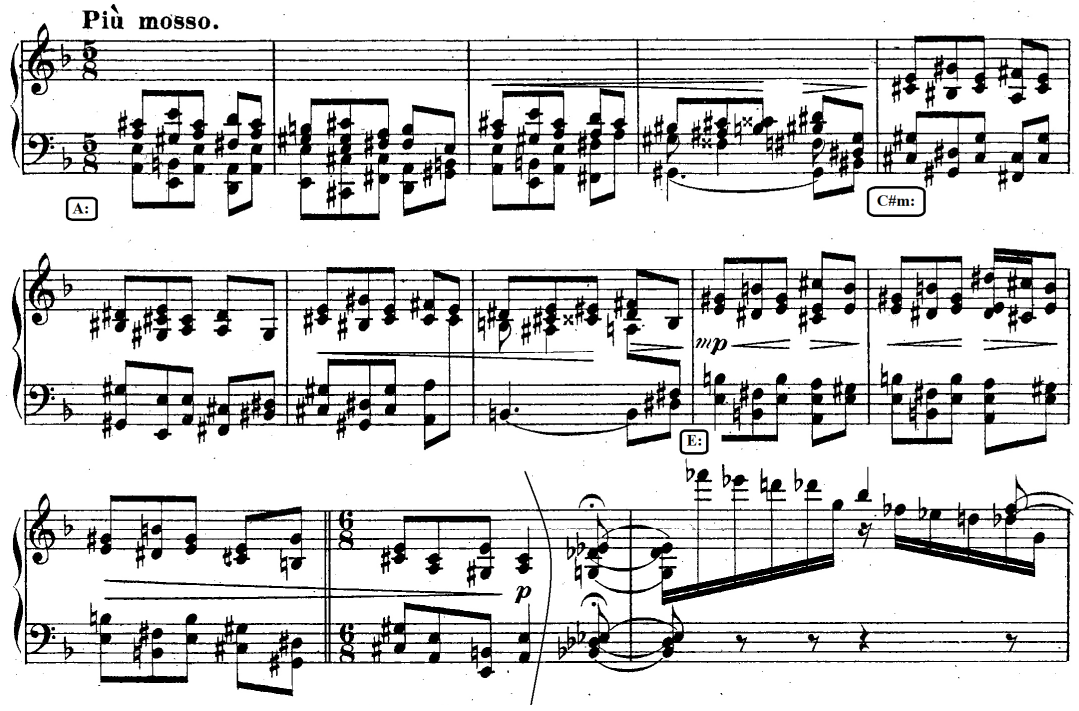


Ex. 4.35-2 measures 115-20: modulation in extension of transition in recapitulation

The second subsection of the transition features different meters, tempos, and structures. While the movement as a whole is in 6/8, this subsection is metered in 5/8; the tempo marking of *Animato assai* contrasts with the surrounding *Andante*. Before this 5/8 moment comes, the music is gentle and warm. These changes of meter and tempo create a feeling of urgency and uneasiness. This subsection is comprised of three short phrases, each four measures long. The keys of these three phrases form a D-flat major chord in the exposition, and an A major in the recapitulation (Example 4.36-1&2).

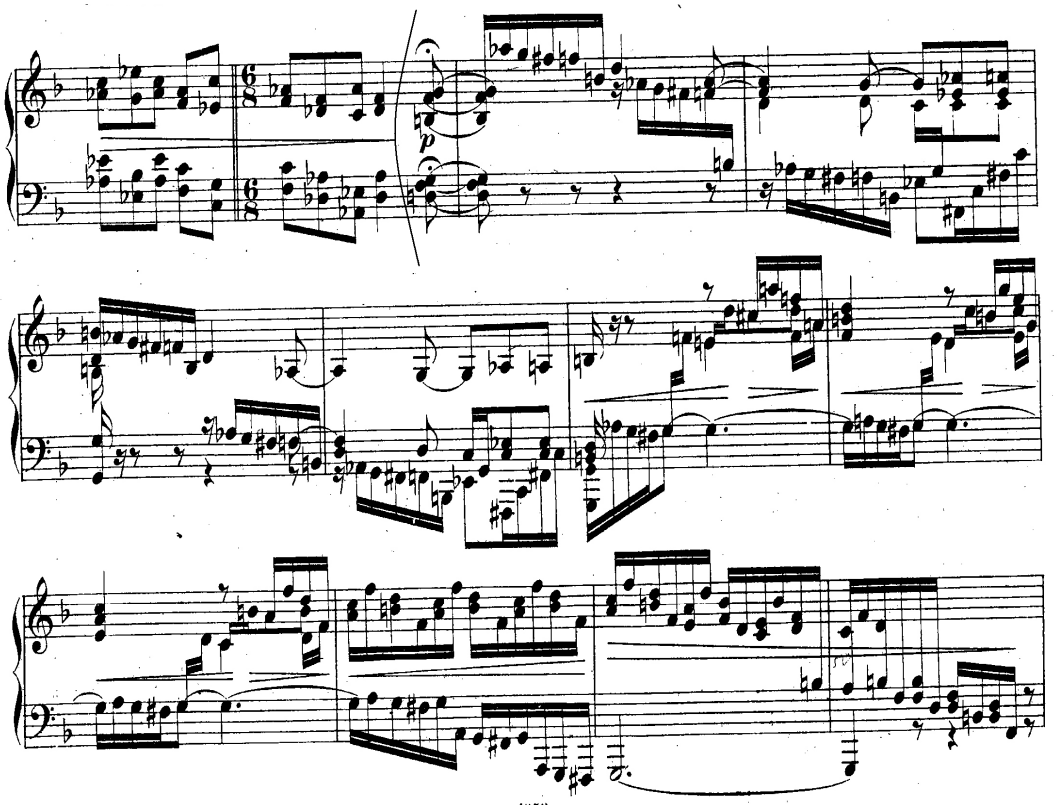


Ex. 4.36-1 measures 29-42: second subsection of transition in exposition

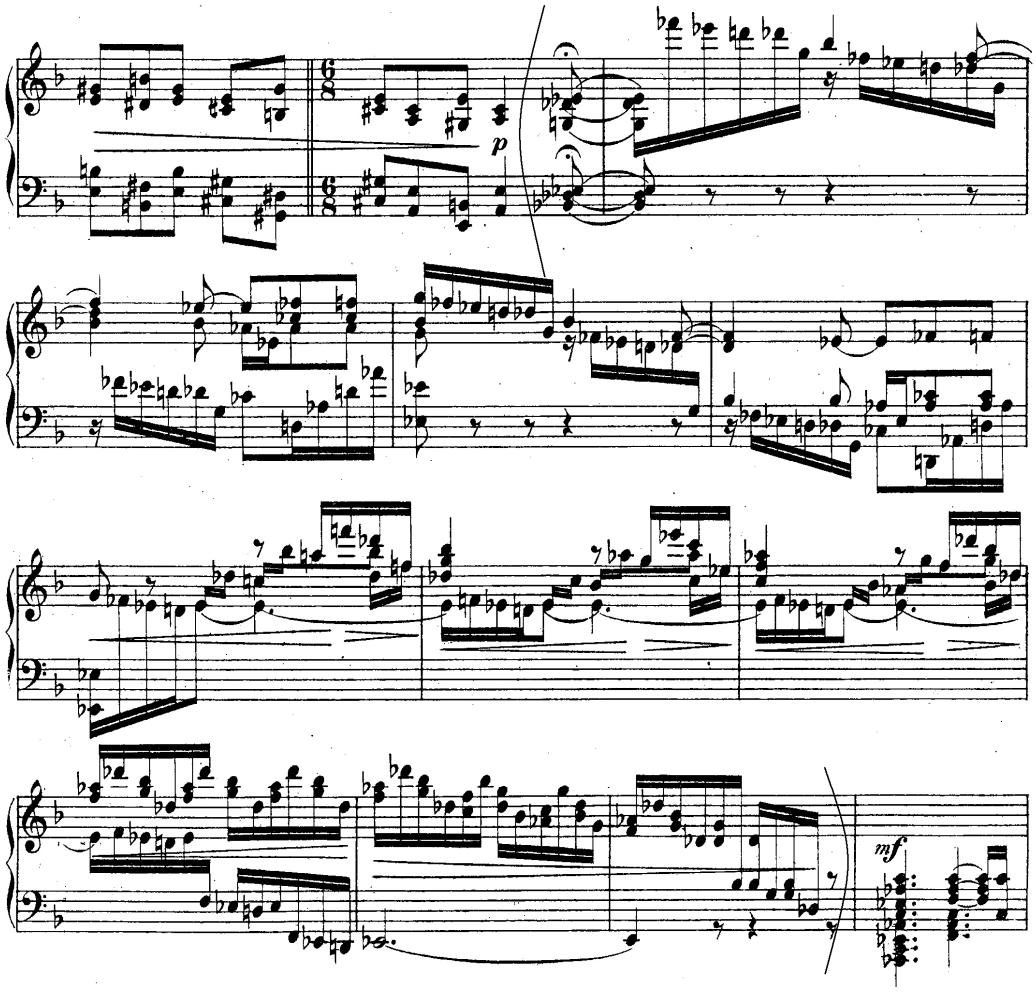


Ex. 4.36-2 measures 121-33: second subsection of transition in recapitulation

The last subsection of the transition extends the dominant of the secondary theme key, and prepares the entrance of the secondary theme, which, in the exposition, is in the dominant of C but in the recapitulation, is in the dominant of A-flat (Example 4.37-1&2). The chromatic notes and fast running scales impart a brilliant sound to this section, yet the dynamic remains soft.



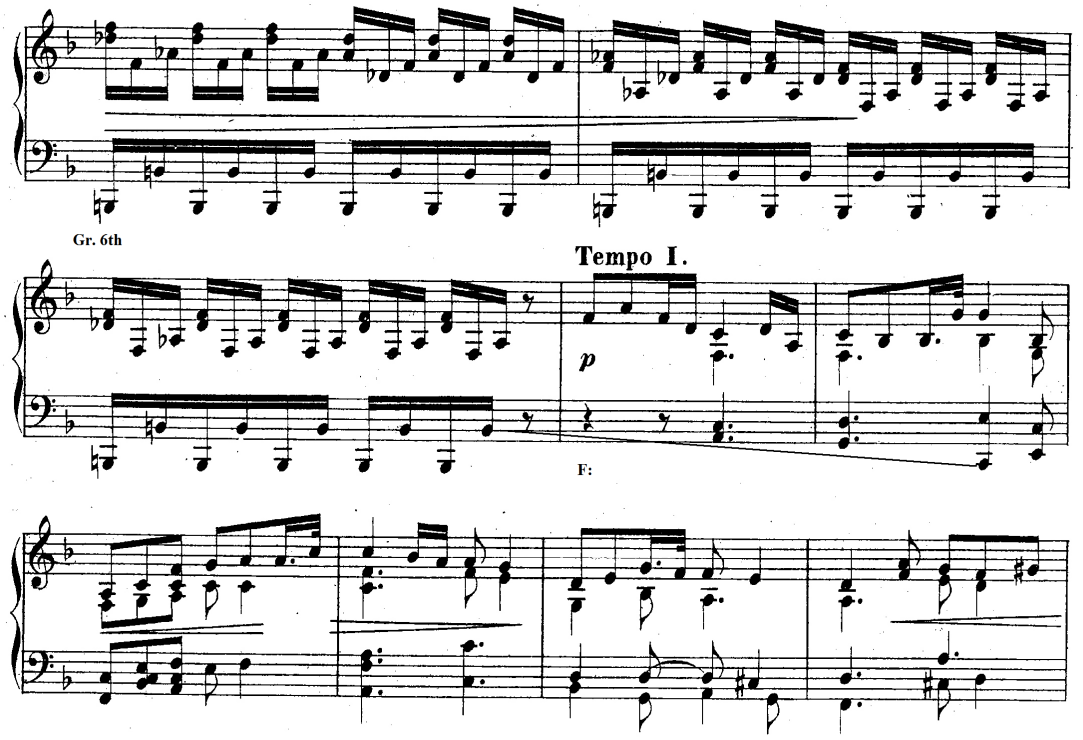
Ex. 4.37-1 measures 39-50: third subsection in exposition



Ex. 4.37-2 measures 131-43: third subsection in recapitulation

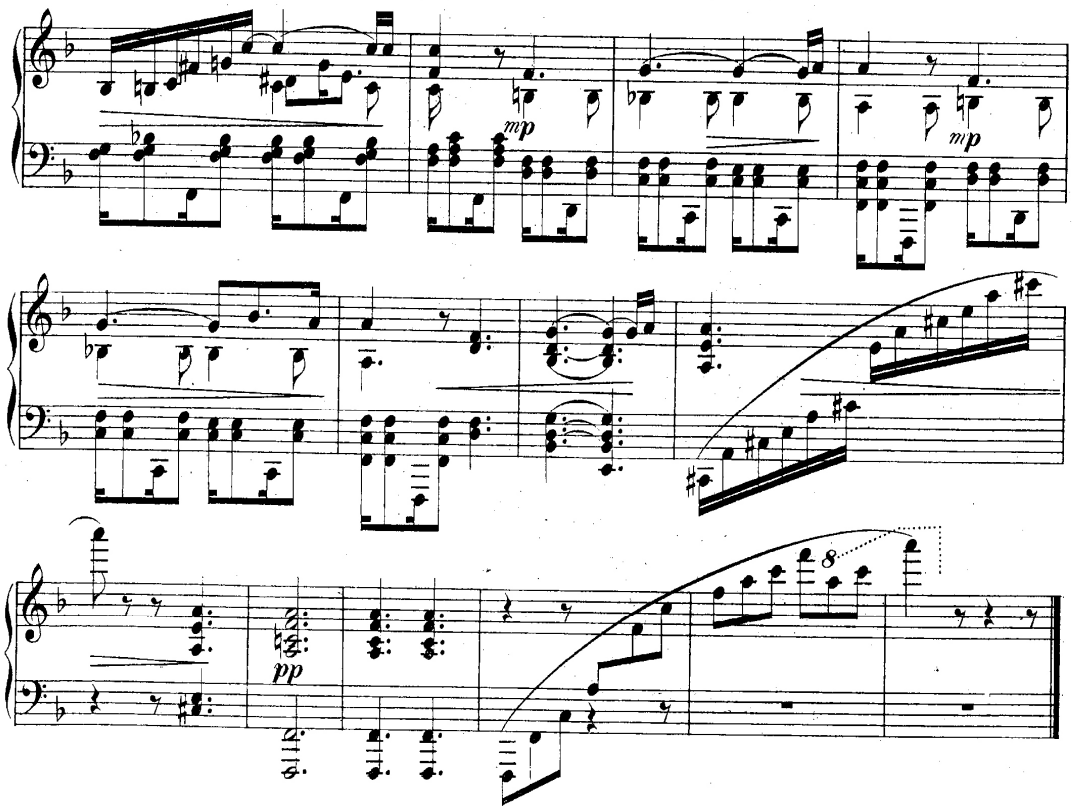
The coda of this movement has two very specific functions: the first is to resolve the German sixth chord that ended the prior section; the second is to secure the tonic of the movement as a whole, since, as noted earlier, the secondary theme in the recapitulation was in bIII of the tonic.

The coda does not modulate away from F major. The German sixth chord is resolved, though not immediately, and thus there is no strong feeling of a “return home” on account of the disjuncture between outer and inner form (Example 4.38).



Ex. 4.38 measures 178-86: resolution of German sixth chord in beginning of coda

Seven measures before the close of this movement, there is an unexpected A major arpeggio. The key of A-major has played an important role in the previous sections: it was the main key of the second subsection of the transition in the recapitulation; in the secondary theme section of the exposition, a prominent A-major passage appeared suddenly as the secondary dominant of ii in C major. What's more, the mediant of A major is enharmonic with D-flat, an important key in the transitions, and thus frequently used. In the coda, A major appears as a secondary dominant of vi in F major. Most striking is that here, the secondary dominant is never resolved: the very last note of this movement is not F, but A (Example 4.39).



Ex. 4.39 measures 204-17: last part of coda

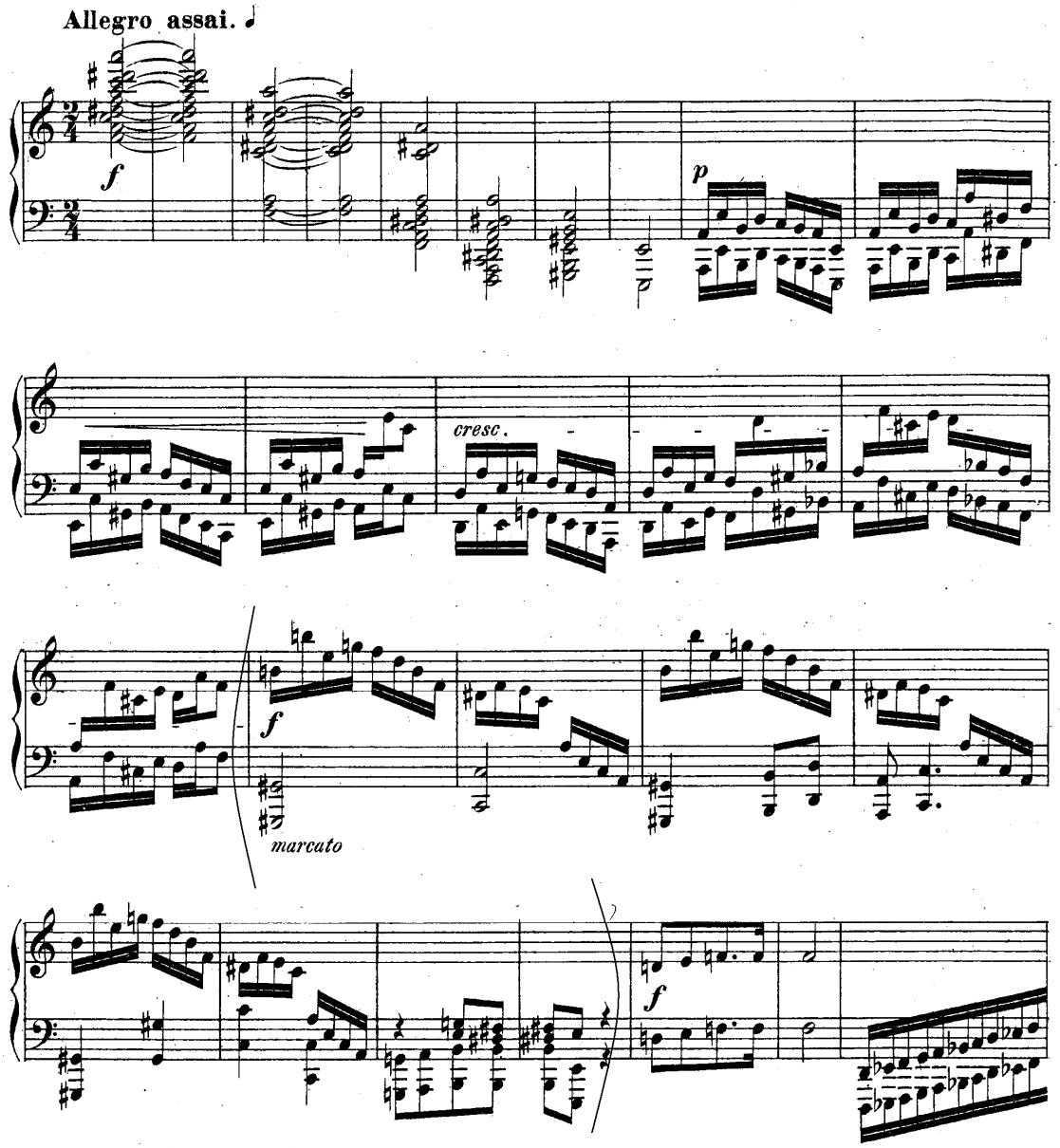
IV. Finale, *Allegro assai*

The last movement of Rubinstein's Op. 100, no. 4 is in sonata form, just as were the finales of his other sonatas. No movement in any sonata is in rondo form. The finale of this last sonata is based on a three-rotational section-structure. There is no closing theme, and thus the secondary theme section in the exposition leads directly to the development section.

The most daring large-scale feature in this movement is its four-key exposition. Strikingly, none of the keys in the secondary theme area are secured by an authentic cadence, and this results in a failed exposition. There is, however, an essential structural closure in the recapitulation, though it does not appear until the secondary development section that follows the secondary theme section. As such, the keys of the secondary theme are likewise not secured within the main part of the recapitulation. Moreover, there is no clear cadence at the end of the finale. Thus, at the point we most desire a real sense of closure, we are left only with ambiguity.

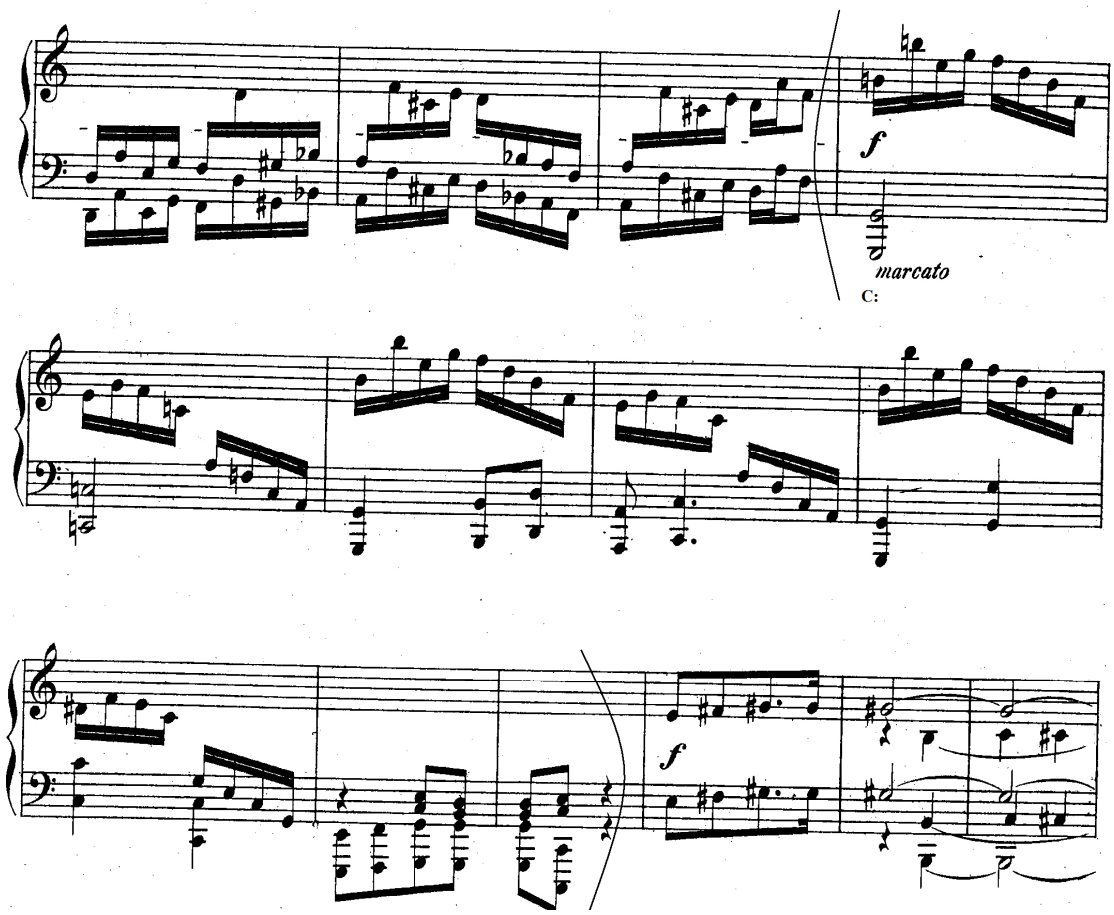
The exposition (mm. 1-152) starts as though this movement is a continuation of the previous movement. Although the third movement was in F major, it ended with an A in the melody. Not surprisingly, the final movement starts with a German sixth chord in A minor over an F in the bass. After an eight-measure introduction that consists of the German sixth and dominant chords, the core of the exposition starts.

The principal theme section (mm. 9-32) is made of three eight-measure phrases. Only the second phrase contains a tuneful melody, which appears in the bass (Example 4.40).



Ex. 4.40 measures 1-27: tuneful melody in second phrase of principal theme

The transition (mm. 33-48) is the consequent of the principal theme, albeit with the third part omitted. A modulation to C major arises in the second phrase (Example 4.41). Table 4.7 below provides the correspondence between the principal theme and transition:

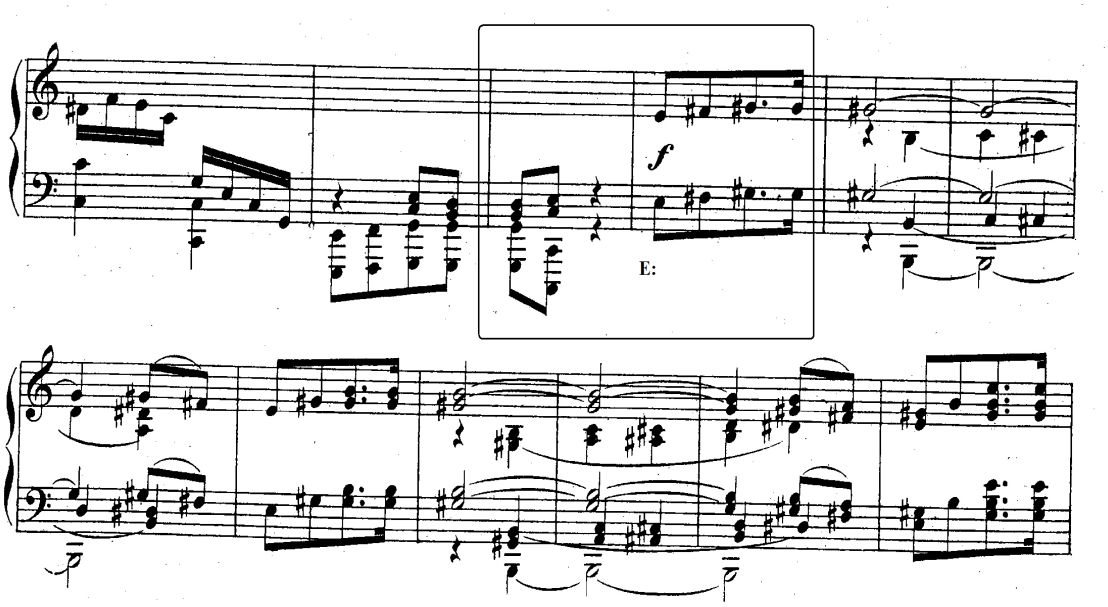


Ex. 4.41 measures 38-51: modulation to C major in transition

	Phrase 1	Phrase 2	Phrase 3
Principal theme (mm. 9-32)	mm. 9-16 tonal ambiguity	mm. 17-24 A minor	mm. 25-32 half cadence in Am
Transition (mm. 33-48)	mm. 33-40 tonal ambiguity	mm. 41-48 C major	omitted

Table 4.7 Correspondence between principal theme and transition

The secondary theme section of the exposition (mm. 49-152) passes through a number of keys. There is a modulation to C major (the key of natural III) by the end of the transition, but the secondary theme section starts in E major. This unusual shift seems to be inspired by the E in the melody of the previous measure (m. 48), a C major imperfect authentic cadence that ends the transition. The modulation from C major to E major, therefore, is via a common melodic tone, and not a pivot chord (Example 4.42).



Ex. 4.42 measures 46-57: sudden modulation to E major

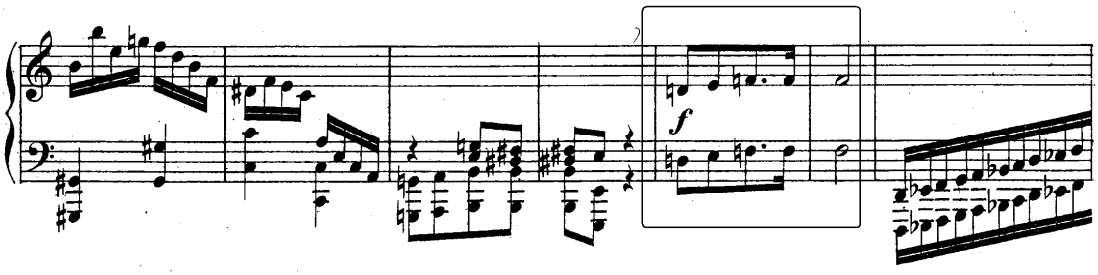
It is ironic that the transition ends with an authentic cadence, but the secondary theme, which starts in E major, then tonicizes C major, and finally F major, does not (see table 4.8).

Sections	1	2	3
Measures	49-80	81-104	105-52
Keys	E major	C major	F major

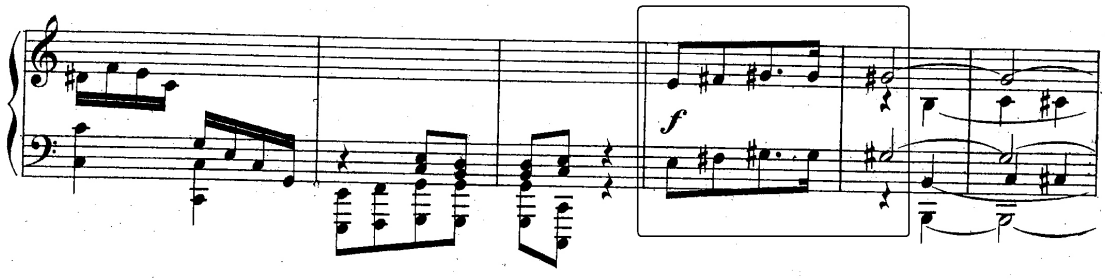
Table 4.8 Secondary theme sections in exposition

As I noted earlier, none of these keys are confirmed with an authentic cadence, and the result is a failed exposition.

The first subsection of the secondary theme (mm. 49-80) is based on the tonic chord in E major. The rhythm of this subsection relates to that of measures 25-26 in the principal theme section (Example 4.43-1&2).

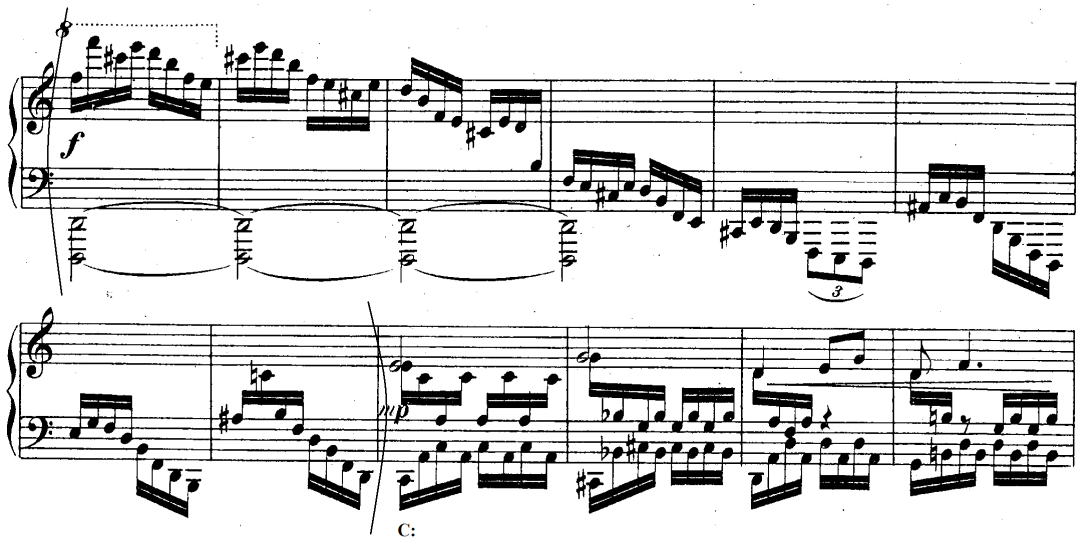


Ex. 4.43-1 measures 21-27: rhythm in principal theme



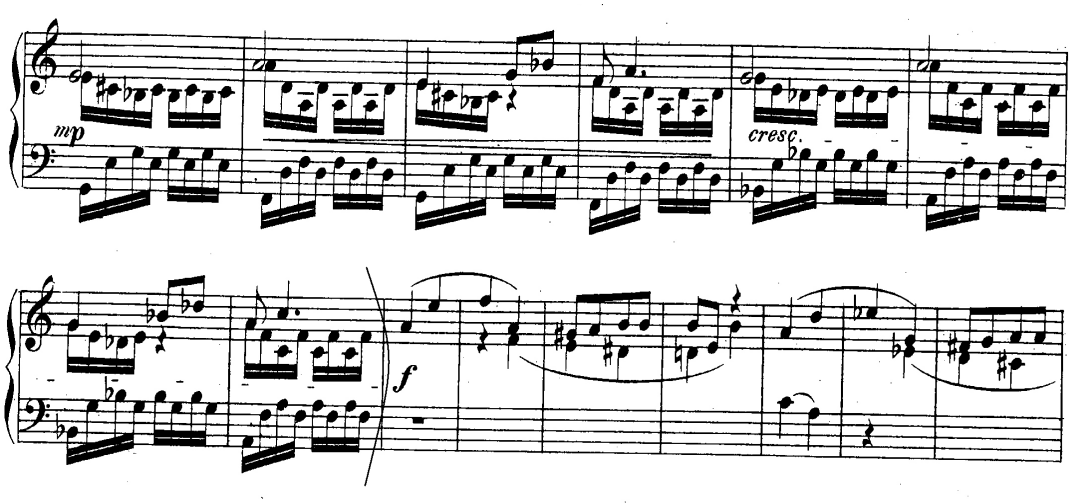
Ex. 4.43-2 measures 46-51: rhythm in secondary theme

The last eight measures emphasize the diminished vii chord of C major, and this leads smoothly to that key at the outset of the next subsection (Example 4.44).



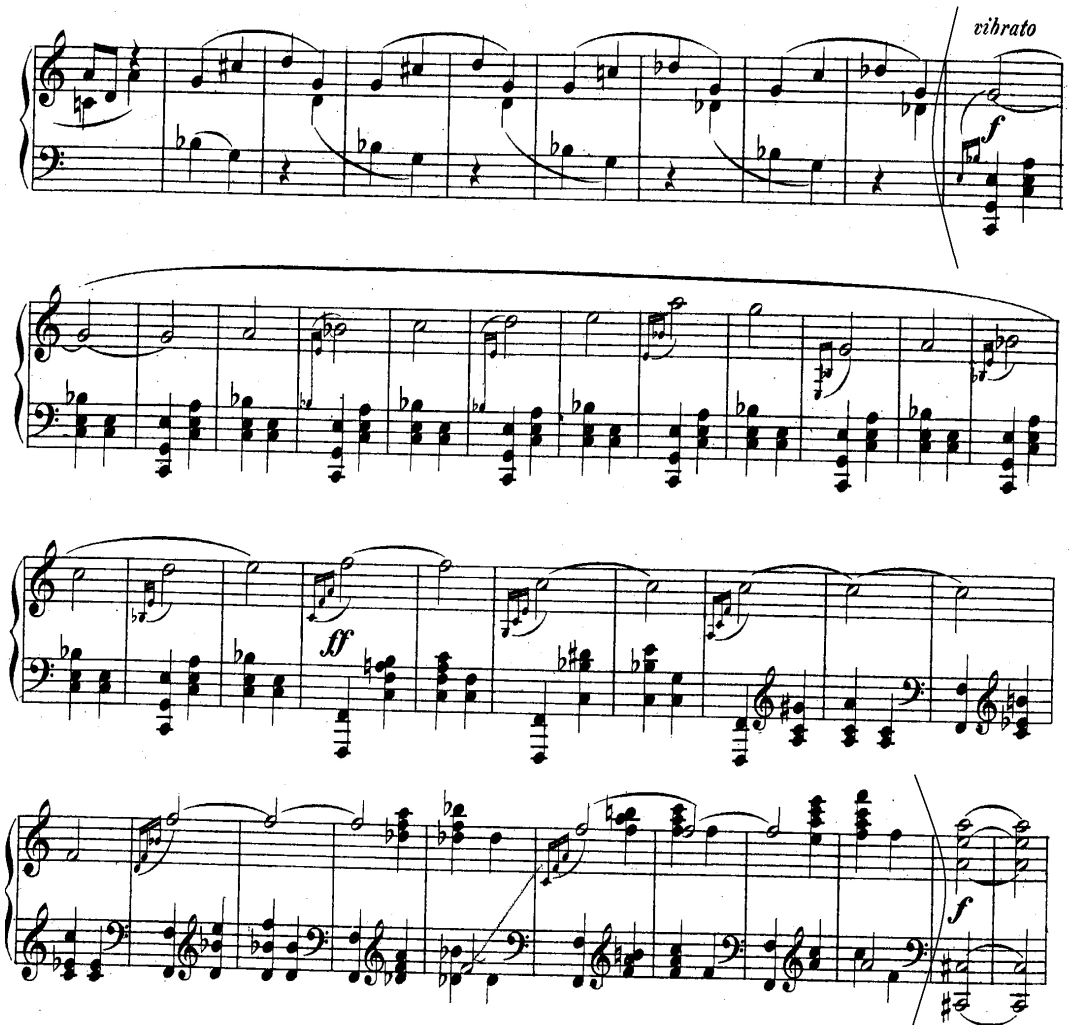
Ex. 4.44 measures 73-84: extended vii chord at the end of first subsection

The tuneful melody that appeared in the second phrase of the principal theme is evoked in the second subsection of the secondary theme (mm. 81-104). This subsection consists of three phrases, each of which combines the melody of the principal theme with an accompaniment comprised mostly of tremolos. The first two phrases are quite similar overall, though their harmonies differ slightly. As the last phrase of this subsection moves towards F major, it becomes more varied (Example 4.45).



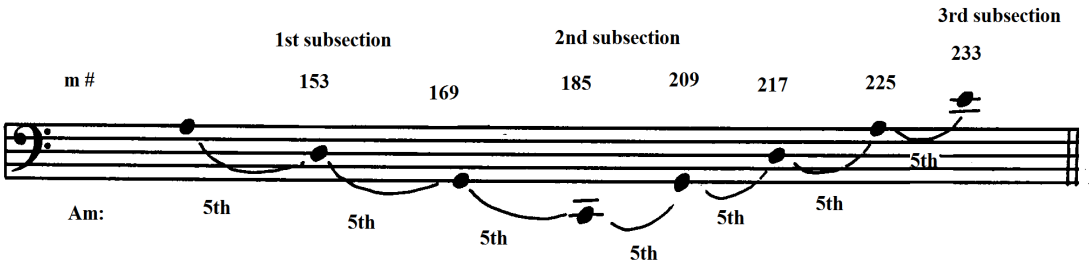
Ex. 4.45 measures 97-111: moving towards F major

Although F major was prepared in the previous subsection, the tonality of the final subsection of the secondary theme (mm. 105-52) starts ambiguously. After two phrases (mm. 105-20) of a bridge-like passage, a new melody appears in F major. This new melody is slow-paced, and filled with half and quarter notes. The final part of this subsection focuses on the tonic and dominant of F major (Example 4.46).



Ex. 4.46 measures 113-54: last subsection of secondary theme

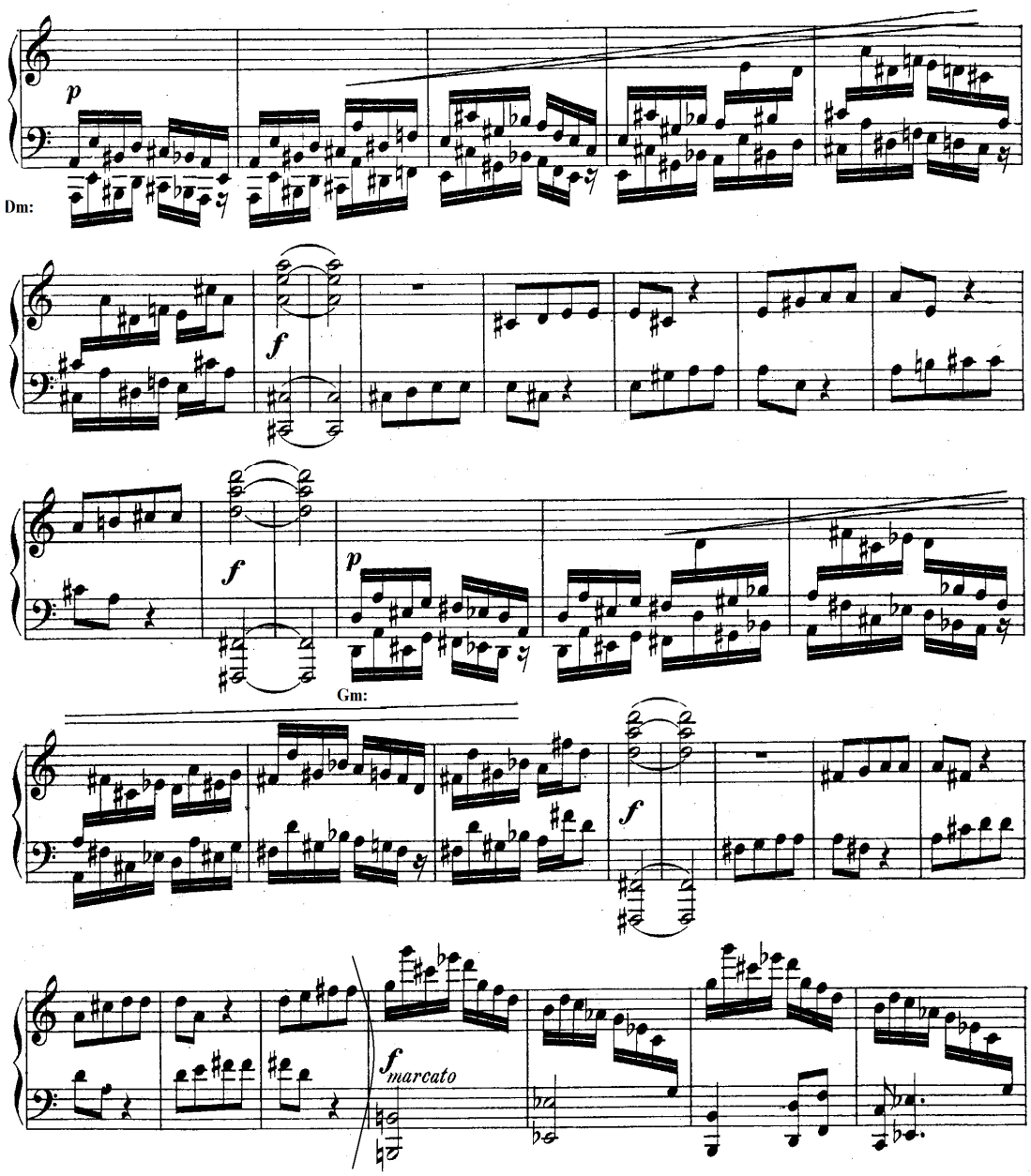
The development section (mm. 153-320) immediately follows the secondary theme. This development section is slightly longer than the exposition, and is primarily based on motives of the principal theme. This section consists of three subsections and a retransition with a slower tempo marking. Since there are a number of tonicizations in this section, I shall provide an overview of them, before analyzing each in greater detail (Example 4.47).



Ex. 4.47 Tonicizations in development

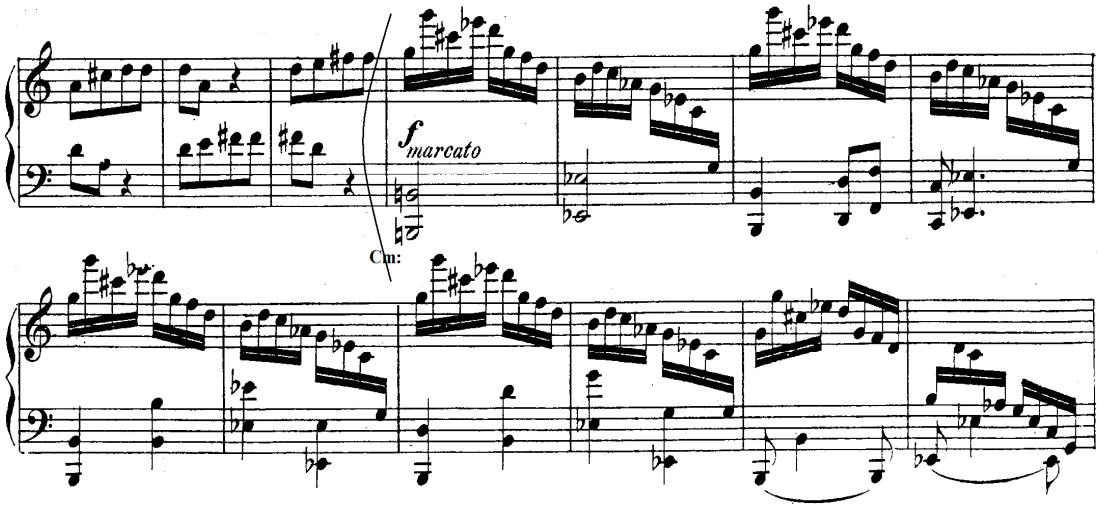
The subsections form an inverted arc. Between the first and second, the arc moves through three falling fifths; between the second and third, the arc ascends through four rising fifths. Notable here is that every key between the first and second subsections starts with the local dominant chord of the key.

The motives of the first two subsections of the development correspond to those of the first two phrases of the principal theme; the third subsection introduces a new motive. The first subsection of the development (mm. 153-184) takes its motive from the first phrase of the principal theme, and is comprised of four eight-measure phrases. The first two phrases and the second two have similar music, but are in different keys: D minor for the first two phrases; G minor for the second two (Example 4.48).



Ex. 4.48 measures 155-88: first subsection of development

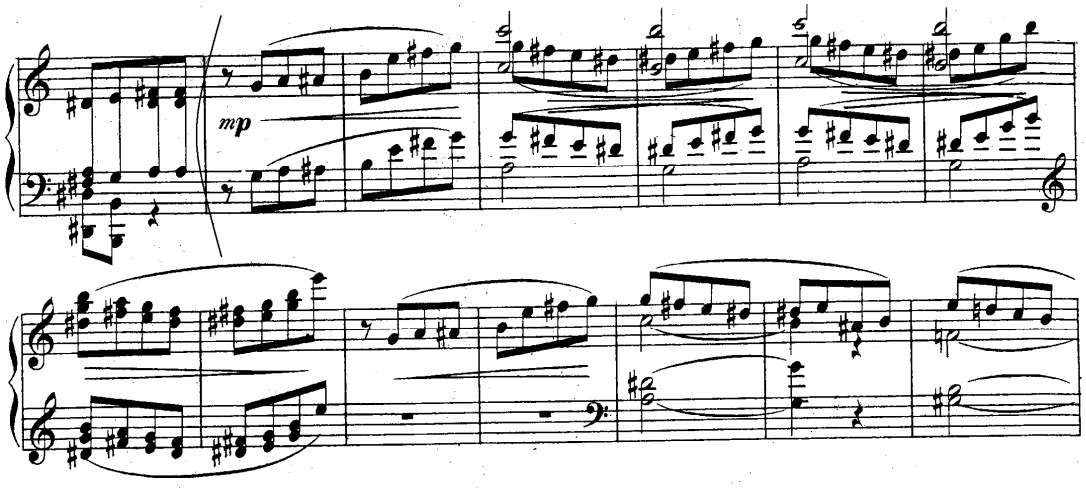
The second subsection (mm. 185-232) of the development modulates more often than the first. Of the three subsections, only the second has a clear melody. The articulation and dynamic markings *marcato* and *forte* are in effect throughout (Example 4.49).



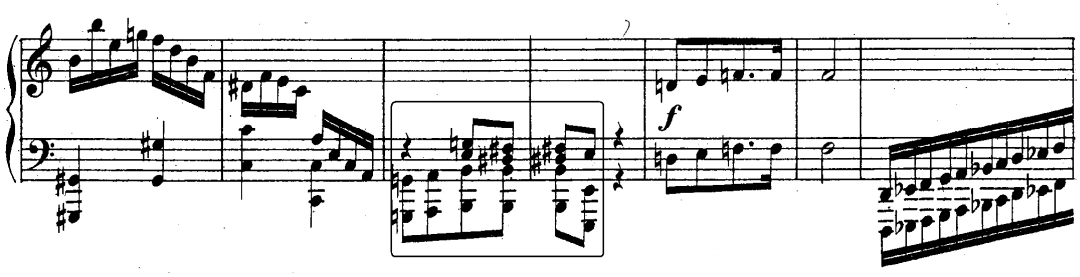
Ex. 4.49 measures 182-88*: marcato* and *forte* in second subsection of development

This distinctive melody appears five times; three in the bass and twice in the soprano. The first two appearances are in C minor; thereafter, each remaining appearance involves a tonicization to a key a fourth down, G minor, D minor, and A minor.

The third section seems to introduce a new theme, though it may be argued that a similar motive occurs in measures 23-24 of the principal theme (Example 4.50-1&2).



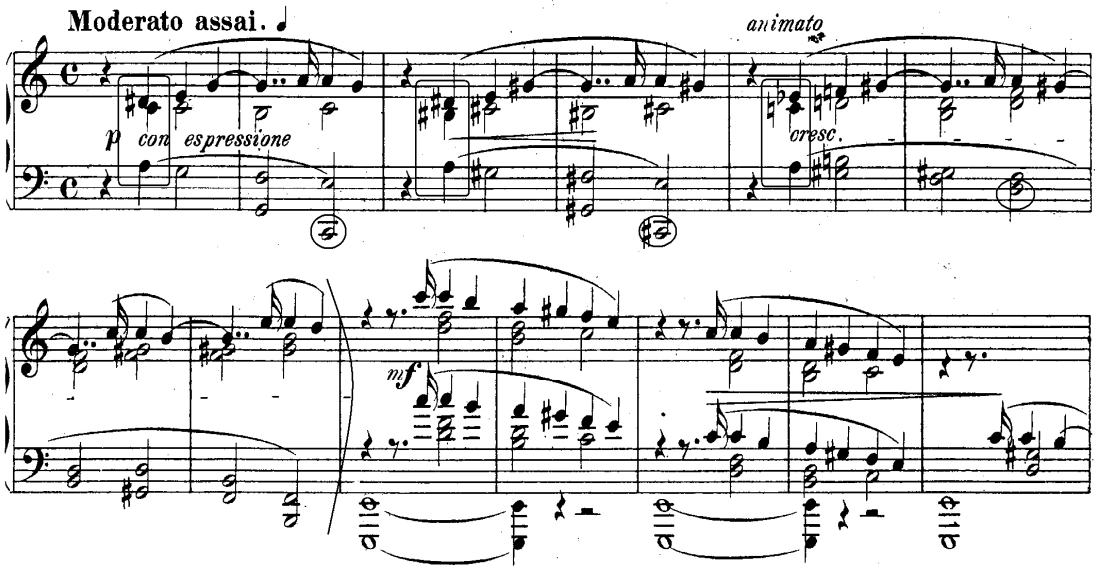
Ex. 4.50-1 measures 232-45: third subsection of development



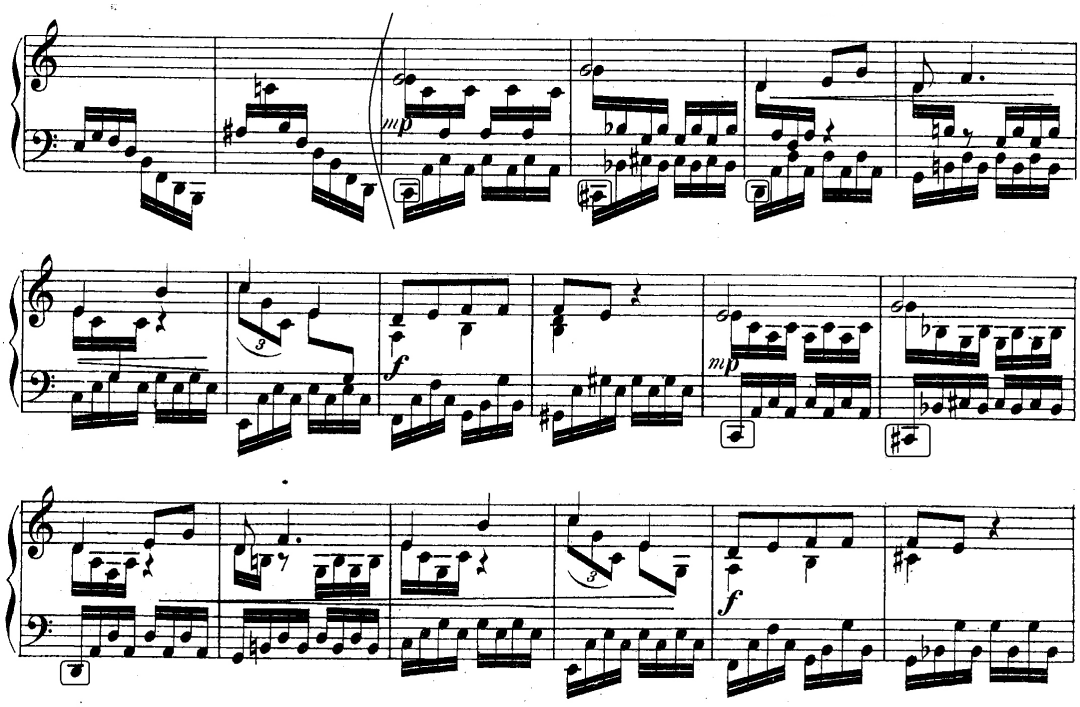
Ex. 4.50-2 measures 21-27: rhythmic motive of principal theme

In the middle, there is a shift to D minor; for most of it, however, the key is E minor. The intent of this subsection seems to be to prepare for the retransition, and perhaps even for the return of the recapitulation in A minor.

The phrases of the retransition (mm. 301-20) are typical of sentence structure (2+2+4 phrasing). There are two sets of this structure, followed by a four-measure extension. The first sentence-structure phrase consists of three different local keys; the second prepares for the return of the principal theme in A minor, and focuses on its dominant. Although each key area of the first phrase appears to start with a different chord, the three chords are enharmonically identical: the first chord is comprised of D-sharp, C, and A; the second, D-sharp, B-sharp, and A; the third, E-flat, C, and A. At the same time, the chromatic bass of the second subsection of the secondary theme in the exposition returns (Example 4.51-1&2).



Ex. 4.51-1 measures 301-13: enharmonic chords and chromatic bass in retransition



Ex. 4.51-2 measures 79-96: chromatic bass in second subsection of secondary theme

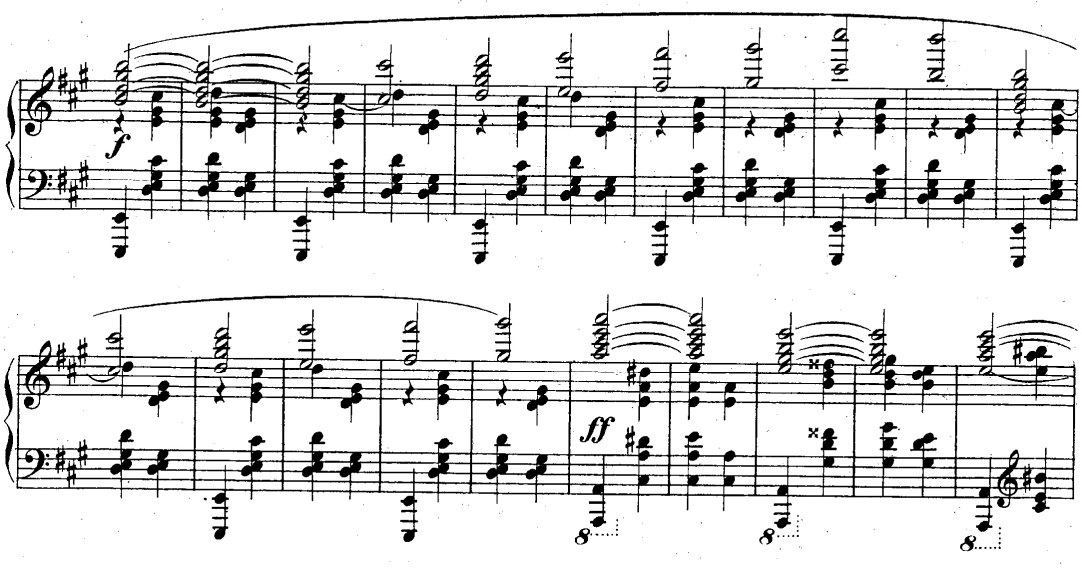
The principal theme and the transition of the exposition return unchanged in the recapitulation. It is in its secondary theme section that the recapitulation (mm. 321-568) begins to break away from the prototype of the exposition. This section of the recapitulation contains more tonicizations than does the exposition, and is followed by a secondary development, within which an essential structural closure is achieved. As in the exposition, none of the keys of the secondary theme are secured with a cadence in the recapitulation.

Of three subsections, only the first subsection of the secondary theme (mm. 361-92) returns in the recapitulation unchanged. Whereas each of the subsections remains in its own key throughout the exposition, the second and third subsections pass through different keys in the recapitulation. Table 4.9 below compares the secondary themes of the exposition and recapitulation.

Section	1	2	3
Exposition	E major	C major	F major
Recapitulation	E major	F major-C minor	E-flat-major- C major

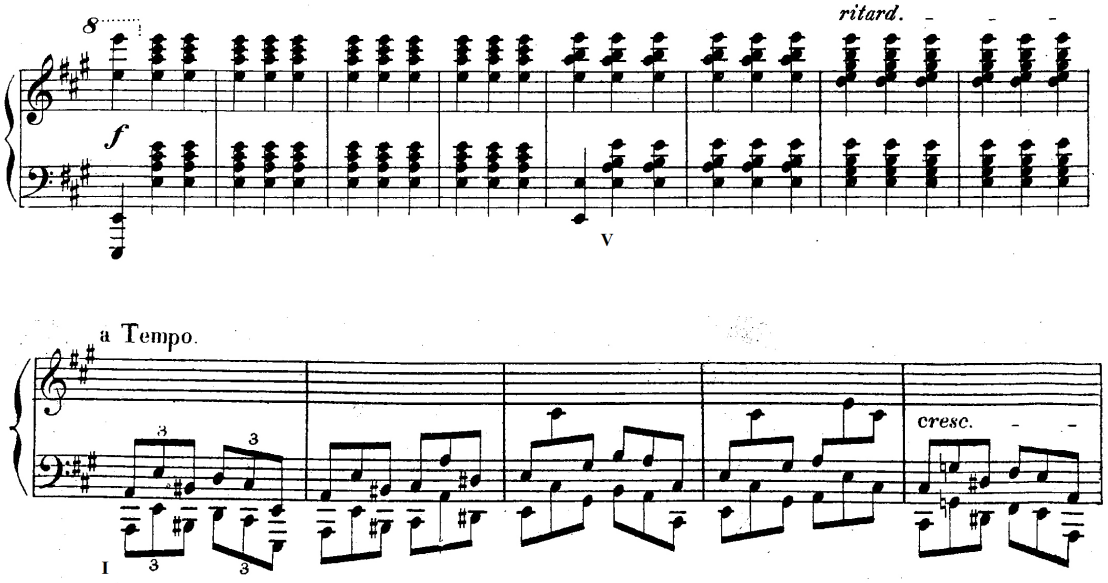
Table 4.9 Secondary theme of exposition and recapitulation

The secondary development (mm. 473-568) is based on the third subsection of the secondary theme in A major. Because of the tonal closure at the end of the preceding section, I will not call this section a coda. This secondary development section is more forceful and dramatic than the neighboring sections. It encompasses wider ranges, thicker chords, and louder dynamics than the secondary theme section (Example 4.52).



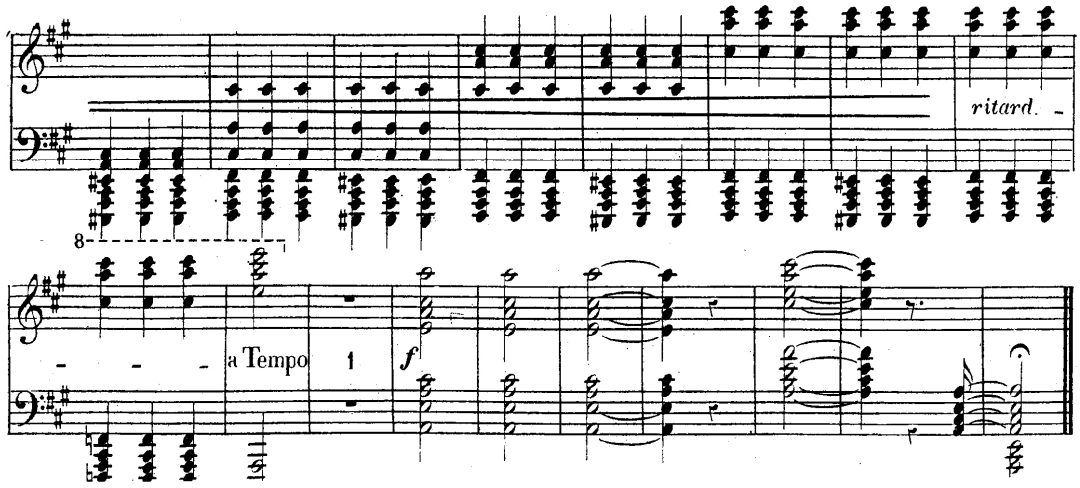
Ex. 4.52 measures 473-93: secondary development

This dramatic secondary development is followed by a long extension which starts with an ambiguous key leaning towards F-sharp minor. The key of A major begins to emerge in the second half of this section, eventually ending on a perfect authentic cadence and thereby accomplishing the essential structural closure (Example 4.53).



Ex. 4.53 measures 561-73: essential structural closure in A major

Thus secured, A major remains the key of the coda (mm. 569-641), even being reinforced by pedal points on A. But a surprising vi chord—decorated by its neighbors—appears repeatedly at the end of the finale. In the end, the music ends abruptly ends on an A major chord; there is no concluding authentic cadence (Example 4.54).



Ex. 4.54 measures 624-41: no cadence at the close of finale

Although uncommon and daring, it is neither the four-key exposition, nor the absence of the essential exposition closure, nor the lack of a final cadence that I find to be the boldest feature of the finale. Rather, it is the composer's way of juxtaposing the melodies of each theme-section. This feature is not immediately apparent, since the melodies are all fluid. Yet I would argue this movement has too many melodies. In the secondary theme, for instance, the composer presents a different tune with each change of key. What's more, these melodies are not well connected to each other. The melodies of the middle part of the principal theme and the last subsection of the secondary theme are notably stodgy, and do not harmonize well with the other tunes.

In conclusion, Rubenstein's adherence to sonata form provides the necessary coherence to hold this finale together, and perhaps even forms a convincing piece of music. Nevertheless, I find the poor juxtaposition of melodies make this movement less than satisfying to play, and, I don't doubt, to listen to.

CONCLUSION

The study of Rubinstein's four sonatas shows not only the musical tendencies in his compositions but also changes in his compositional style through different periods. Also, these sonatas help one understand Rubinstein's pianistic style. Although his music is closer to that of Beethoven than Liszt, some of brilliant passages evoke challenging techniques that Liszt displays often in his music.

The form and tonal language of Rubinstein's sonatas are arguably even more conservative than that of works by composers such as Mendelssohn, Robert Schumann, or Beethoven. To be sure, Rubinstein uses more innovative techniques in his later sonatas. Whereas the first sonata, for instance, strictly follows the common features of a traditional sonata form, the last is much freer in form, harmony, and structure, containing many unexpected features. But even so, there is a general conservatism in all of Rubinstein's sonatas. That distinguishes his from those of other Russian composers such as Mussorgsky, or Rimsky-Korsakov. This is manifested in these sonatas.

The tonality of the first and second sonatas emphasizes the tonic and dominant. The third and fourth sonatas, on the other hand, employ more in third-relationship in their modulations. Even between the first and second sonatas, one sees some differences. For instance, the second is more chromatic than the first in melody and harmony, and uses modulations to the Neapolitan. What makes the third sonata a real break from the first two is not only its third-relationship but also its more ambiguous form. Its third movement, for instance, provides three possibilities for the interpretation of its form. Such ambiguity of form appears in even a greater extent in the last sonata, which likewise

contains many unexpected and unconventional features in form and harmony. Exemplary is that the last movement of this final sonata contains a four-key exposition and is devoid of an essential expositional closure and the final cadence at the end of the movement. Yet, all of these sonatas are clearly in dialogue with classical sonata form and traditional tonality. This is one of the reasons that Rubinstein's sonatas are considered to be closer to those of the Classical period than the Romantic.

It is perhaps significant that the fourth of his sonatas which is the most adventuresome was the least successful. In trying to break away from traditional forms and tonality, which he did so only partly, he probably created more challenges than he was up to. As a result of his fourth sonata, it seems an unfortunate mixture of innovative and yet controlled forms, and daring and yet traditional harmonies in a matter that is not quite convincing.

As these sonatas make clear, Cui and Serov were quite justified in declaring that Rubinstein's art lies very much under the stylistic umbrella of composers such as Mendelssohn. And they were also quite fair in claiming that he was not Russian in his music. Rubinstein noted that he did not believe in folkiness in music and prefers standing more in the Western-European tradition, "owing to his cosmopolitan character."[56] Thus, in none of his sonatas does one find Russian folk elements that were common among other composers in Russia at that time. However, he was not the only Russian composer who preferred the Western-European style. Tchaikovsky and Rachmaninoff, for instance,

[56] Philip Ewell, "Anton Rubinstein, Alexander Serov, and Vladimir Stasov: The Struggle for a National Musical Identity in Nineteenth-Century Russia," *A Canadian Journal of Germanic and Slavic Comparative and Interdisciplinary Studies,* Vol. XVI (2007): 53.

had similar inclinations, although, to be sure, Rubinstein's music is more conservative and more in style of Western-Europe.

Some of Rubinstein's works still survive in the repertoire. As noted earlier, his *Melody in F* and piano concerto no. 4 are still often played with much success. But for the most part, he is considered as a historical figure and a footnote in music history often used as a counter example to more "Russian" composers such as Mussorgsky. That is in discussions of Russian national composers such as Mussorgsky, Borodin, and Rimsky-Korsakov, who are contrasted with those composers who adopted more conservative style, Rubinstein being the prime in much less known example. Through the examination of these sonatas, I hope to shed light on what this "alternative" Russian style entailed, thus shedding light on Russian music of the nineteenth century in general.

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