

Abstract  
Schubert's Recapitulation Scripts  
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2015

In recent years, much energy has been expended theorizing and analyzing eighteenth- and nineteenth-century musical forms. Despite meaningful differences in alignment, studies of sonata-like structures tend to share at least one feature in common: they devote the least amount of time to recapitulations (and reprises), preferring to focus instead on 1) the thematic similarity of these to the referential exposition, and 2) the “obligatory” tonal alterations housed therein. The current study seeks to redress this lack of attention by painting a more complete picture of the complexities of recapitulatory practice. By examining in close detail the tonal and thematic alterations that occur in recapitulations it seeks to instate the recapitulation as a subject of inquiry and to articulate a set of regulative principles for its treatment in the eighteenth and nineteenth centuries.

The study's driving thesis is that *formal* alterations made in a sonata's recapitulation impact its narrative, generic, and art-historical *content*. Through their subtle transformations of presented temporality, recapitulatory alterations influence a movement's narrative by staging its cadential goal-points as “too early” or “too late.” They correlate with generic classification to the extent that musical genres may have been associated in the eighteenth and nineteenth centuries with certain patterns of recapitulatory alterations. (The *buffa* overture, for instance, is known for making recapitulatory deletions.) And they bear on our understanding of art history since, by pointing to a new aspect of compositional praxis, they lead to new discussions of instruction, influence, and conscious modelings.

In defense of these claims, this study systematizes the types of tonal and thematic alterations that composers around the turn of the nineteenth century used. Part I (Chapter 1) lays out the issues in a small, controlled, and in many ways familiar context. Its central conceit is that composers of instrumental forms that feature “built-in” repeats—such as sonata and rounded binary forms—make recapitulatory alterations in the same ways as do poets who work in textual forms with refrains, and often to the same dramatic ends. By performing close readings of three poetic texts by Goethe and Müller, as well as Schubert’s musical settings of them, I show how the *types* of interpretive claims that can be made in the poetic realm can be imported into the abstract instrumental one.

Once the main argument for moving from the texted to the abstract instrumental realm is laid out, Part II (Chapters 2-5) systematically confronts the possibilities for making recapitulatory alterations in instrumental music. Chapter 2 houses a short methodological introduction and lays the groundwork for the division of recapitulations into three categories based on the number of “time-alterations” they contain. Category 1 recapitulations are exactly the same size, but not always the same shape, as their referential expositions. Category 2 recapitulations make one thematic alteration that, by adding or deleting some number of measures, “takes time.” Category 3 recapitulations make more than one of these “time-alterations.” Chapters 3 through 5 theorize the three categories of recapitulation, one chapter per category. They are concerned both with the “technical-formal” deployments of alteration strategies and the narrative or hermeneutic scenarios these suggest. Central to my enterprise is the conviction that recapitulation strategies are suggestive of particular narratives.

Part III (Chapter 6) builds upon the taxonomy to show directions for further research. It is an investigation into one peculiar formal structure for which Schubert had a penchant, and to which he developed an individualized response. Analysis of a handful of late finales shows that Schubert often approached certain sonata-form structures—in this case what Sonata Theory calls the “expanded Type 1 sonata”—with a particular recapitulation script in mind. Analysis of his Overture *im Italienischen Stil*, D. 590, shows precedents for the approach and raises questions about genre, provenance, aesthetics, and compositional instruction.



Schubert's Recapitulation Scripts

A Dissertation  
Presented to the Faculty of the Graduate School  
of  
Yale University  
in Candidacy for the Degree of  
Doctor of Philosophy

by  
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May 2015

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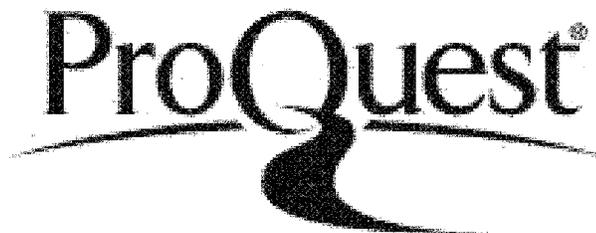


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## ACKNOWLEDGMENTS

If the completion of this dissertation took a little longer than it should have, its central claims are stronger for it. For during the years in which its theses gestated and began to take outward form, I had the good fortune to find myself in a community of staggeringly good scholars, high-caliber artists and musicians, and precocious and accomplished students (both graduate and under). I have benefited so much from these groups of people that it would seem a fool's errand to catalog them here. Nevertheless, a handful of people who enriched the final product, made the motion toward it less arduous, or both, deserve individual mention.

Patrick McCreless is my primary co-adviser, although in the last half-decade he has held a great many other titles for me, among them co-teacher, confessor, and friend. As a sounding board for my ideas, a catalyst for forward momentum, and a steady source of emotional support, he has been more than merely what "co-adviser" can connote. James Hepokoski, my secondary co-adviser, is the reason this project exists in the first place, because of his discourse-founding work in the study of musical form and because of his early interest in my being a part of that discourse. I thank him for his extensive help in assembling a coherent version of my central theses. Richard Cohn did more than his status as "third reader" suggests. The final version of this project—as well as my writing and thinking in general—have benefited enormously from his demand for clarity and his help constructing a complex argument. I would also like to thank Frank Samarotto and Brian Kane, two scholars who have strongly influenced the way I hear, think about, and write about music.

A group of fellow graduate students at Yale enriched this dissertation, as much through informal conversations over food, drinks, tennis, crosswords, and movies as in

formal discussion and critique. I'd like to single out in particular rewarding relationships with Andrew Jones, James Park, Matt Schullman, Monica Rosenberg, Peter Selinsky, Kamala Schelling, André Redwood, John Muniz, Chris Brody, and Joe Salem. From these and other friends I learned more than I ever thought there was to know about cinema, literature, philosophy, wine, theater, aesthetics, and how to hit a proper two-handed backhand.

Most importantly of all, I would like to thank my family, who nurtured me through a time that was, for all its positive aspects, also exceedingly grueling. I cannot imagine making it to the end of this project without the support of my mother, Jean, and father, Charles, who offered emotional and logistical counsel in times when I felt that earning a Ph.D. was surely the worst decision I had ever made. My brother and sister and their (growing) families continue to provide horizon-expanding instruction about that part of human existence referred to by non-academics as "real life." Without Ben's groundedness and levity many of the setbacks that accompanied this project on the way to its final form would have been, or seemed, larger than they were. The discussions of poetry and critical theory that appear in the following pages would lack lifeblood—if they existed at all—if it were not for Julia, whose artistic and intellectual achievements have always been inspirational to me. My grandfather, Art, was a model of scholarly achievement; I wish he were here to see the completion of this project and the beginning of my academic journey.

I sometimes say that it took me so long to write the dissertation because during the time of writing I was busy getting an education. I hope the reader will find the finished product the richer for it.

# INTRODUCTION

- I.1. A General Introduction
- I.2. The Necessary Background: Point of Departure and Central Questions
- I.3. Trajectory, Benefits, and Goals

The [fifteen-foot-long] picture concludes at the beginning of the recapitulation, which Schenker annotates as a mere “Wiederholung.”<sup>1</sup>

Most frustrating of all is the frequency with which Schenker dismisses the recapitulation altogether in his voice-leading sketches: his sketch of Beethoven’s Sixth Symphony ... is a good case in point. [His example] shows the background descent for the recapitulation at level (a), but the details of the interpretation are replaced by the phrase “*und so weiter*” at level (b). ... Schenker’s incomplete analyses have been tacitly accepted by generations of analysts, who seem to assume that we all know how the recapitulation works.<sup>2</sup>

Lack of attention to the details of the recapitulation is symptomatic of the scholarly habit of considering recapitulations the “*et cetera*” of musical form, whose outcome is more or less formulaic.<sup>3</sup>

## *I.1. A General Introduction*

What do the opening movements of Beethoven’s “Pastoral” Piano Sonata, Op. 28 and Schubert’s Grand Duo, D. 812 have in common? They are separated by some twenty-three years; they share no theme, program, or set of topics; affectively, they are worlds apart; and it seems clear that Schubert did not explicitly model his piece on Beethoven’s.<sup>4</sup>

One feature that the two movements share is a certain extreme approach to the deployment of their recapitulatory thematic alterations: the recapitulations of both

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<sup>1</sup> Hyer (1996, 83 n. 8).

<sup>2</sup> Marvin (2012-2013, 224). See Schenker (1979, Figure 154/5).

<sup>3</sup> Clark (2011, 156).

<sup>4</sup> For a listener that did hear echoes of Beethoven in the Grand Duo, see Schumann ([1838] 1965, 141-142). Remember, however, that in Germany “almost every review of Schubert’s ... instrumental music mentions Beethoven. ... The Leipzig journal did so repeatedly, beginning with its first notice of Schubert in 1820” (Gibbs 2000, 145).

movements feature multiple sites of thematic alterations, and each of these deviations from the expositional plan results in an enlargement of the size of the recapitulation, relative to that of the exposition.<sup>5</sup>

In what follows, I argue that the *formal* alterations made in these and other recapitulations have meaningful effects on the narrative, generic, and art-historical *content* of the sonata. They influence the narrative trajectories of individual movements through their subtle alterations of recapitulatory “temporality”—by their staging of a movement’s cadential goal-points as “too early” or “too late.” They correlate with generic classification to the extent that genres may have been associated in the eighteenth and nineteenth centuries with certain patterns of recapitulatory alterations. (In order to create a mood of festivity, the *buffa* Overture, for instance, seems to have encouraged the practice of making recapitulatory deletions.) And they bear on our understanding of history insofar as, by illuminating a new aspect of compositional praxis, they lead to new discussions of instruction, influence, and conscious modelings.

The peculiar approach to recapitulation found in the “Pastoral” Sonata and the Grand Duo is a case in point. Both recapitulations make a series of recapitulatory alterations in addition to their “obligatory” tonal one, and many of these recompositions result in temporal *expansions* (decelerations)—as heard against their referential expositions. Both thus present situations in which the achievements of the sonata’s cadential goals—whether construed as cadences, time-points, or narrative accomplishments—are pushed back, or delayed. This observation invites us, in turn, to move from “form” to connotations of “content.” Because of the decelerations, every

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<sup>5</sup> “Thematic alterations,” “referential layout,” and “rotation” (which I use below) are central terms in Hepokoski and Darcy’s Sonata Theory, the reigning methodology in this dissertation. See Hepokoski and Darcy (2006, hereafter *Elements*, 12, 16-23, and 611-614).

goal-point of these recapitulations—every onset of a new theme, every cadence—arrives “too late,” as it were, as heard against the original, referential thematic material.

Late arrivals, of course, do not always suggest precisely the same narrative situations, but they nevertheless provide a set of regulative principles within which interpretation can proceed in tandem with the consideration of other musical features.<sup>6</sup> Coupled with its pastoral musical surface, for instance, Beethoven’s recapitulatory alterations suggest an unhurried, premodern conception of time—a leisurely approach to the dictates of musical form. In this case, the “built-in,” “teleological” trajectory of the Sonata Form amounts to a stage on which multiple recapitulatory decelerations act as so many signifiers of the folkloric peasant. The recapitulation of the first movement of Schubert’s Grand Duo, however, deploys these types of recapitulatory alterations in service of a more troubled dramatic scenario. Schubert’s exposition—rife with modal collapse, violent backings-up, and missed opportunities for cadential closures—had already staged the achievements of each of its goal points as arduous and precarious. The multiple recapitulatory decelerations in this case suggest not pastoral tranquility, but *effort*, perhaps in the face of an inhospitable sonata landscape. Each set of thematic alterations pushes the recapitulatory goals further back in time, as much as in virtual “space.” Coupled with the score-as-landscape metaphor, so prevalent in Schubert reception, these *formal* goal points—now construed as visual markers perceived by a virtual wanderer—recede ever further into the distance.

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<sup>6</sup> The assertion that form “bears on” the content that it “contains” or “houses” will be given attention in Chapter 1. Compare Adorno (1969, 164-165): “Even that which is going on underneath [the formal schema] is not simply a second and quite different thing, but is in fact mediated by the formal schemata, and is partly, at any given moment, *postulated* by the formal schemata.”

Although in what follows I will draw support for these observations from many different domains (foremost among them the analogy between poetic alterations and recapitulatory ones), it bears mentioning early on that these characterizations of Beethoven's "Pastoral" and Schubert's Grand Duo play directly in to these pieces' reception histories. The two movements are not alone in this: the peculiar and individualized strategies of formal alterations made in sonata forms often give force to the analytical and interpretive writings that have surrounded them in the last century. Focusing on a piece's recapitulatory alteration strategy seems to give voice to the intuitions of earlier analysts, even where they do not draw upon the same data.

### **I.2. The Necessary Background: Point of Departure and Central Questions**

This study begins from the observation that even though recapitulatory alterations illuminate important aspects of sonata practice, they have gone relatively unremarked upon in the literature. As I will discuss at length in Chapter 1, despite their very obvious differences, what most writers on sonatas, from Schenker to Caplin, from Rosen to Hepokoski and Darcy, have in common is that they expend more energy theorizing expositions than they do recapitulations. This stems, I argue, quite naturally from an (over-)eagerness to present the recapitulation in terms of its *similarities* to its referential exposition. But it tends to result in an incomplete picture of the complexities of recapitulatory practice. My primary critique and my point of departure are easily summarized: by focusing on the similarities of recapitulation to exposition, one risks leveling out the meaningful differences that transpire therein.

The project began as a study of the "interface" between the recapitulatory TR zone and the S theme that follows. I wanted to know how the interface is negotiated, and

if any differences in its treatment might be governed by historical practice, by tacit generic requirements, or by individual composers' preference. The question that governed my first inquiries was simple: How is the recapitulation (tonally, thematically) different from the exposition? In theory, of course, one quick tonal alteration is all that is necessary to bring most sonata recapitulations back to their tonic keys and thus satisfy their main tonal "task." But is it really that simple in practice? What types of events might complicate this principle, and for what reasons?

It soon became clear that the inherited wisdom regarding "obligatory tonal alterations" does not tell the whole story. The act of going through piece after piece labeling "correspondence measures" (recapitulatory measures that mirror expositional models<sup>7</sup>), made it clear that—as most performers and theorists likely already knew—many recapitulations do not in fact trace their referential thematic material bar-for-bar; the recapitulation does not simply "recapitulate" the exposition as it was first played, ... with the bridge passage *suitably altered* so that it no longer leads to the dominant but prepares what follows in the tonic."<sup>8</sup> On the contrary, both tonal and thematic alterations are made in enormously varied, and interpretively suggestive, ways.

My initial questions thus led to other, larger ones, some empirically verifiable, others more theoretical: what are the techniques by which composers navigate the crucial interface between the onset of P in the recapitulation and the new S theme (usually just

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<sup>7</sup> *Elements* (241-242).

<sup>8</sup> Rosen (1988, 2), emphasis added. The thesis exists in a strong form in Adorno ([1971] 1996, 62-63), a passage to which I return in my conclusions: "In Beethoven the static symmetry of the recapitulations threatened to disown the dynamic Intent... Beethoven's mightiest symphonic movements pronounce a celebratory 'That is it' in repeating what has already existed in any case, present what is merely a regained identity as the Other, assert it as significant. ... In the recapitulation, music, as a ritual of bourgeois freedom, remained, like the society in which it is and which is in it, enslaved to mythical unfreedom."

before the moment of medial caesura (MC)<sup>9</sup>)? Is this the only place alterations are made? Can the different patterns of additions and deletions made in recapitulations be reduced to a finite number of types? If so, how would these play into a piece's narrative or its generic classification? What is the relationship between thematic and tonal processes here (and elsewhere) in the sonata design? What might govern the expansions or compressions that occur in recapitulations? How do these impact the performer's or listener's perception of time? Finally, if these alterations may suggest dramatic plots, how do such plots interact with the ways that we have tended to hear well-known sonata movements?

These questions implicate the history of music theory and analysis: for while it is clear that in practice, deviations from the referential exposition have been meaningful to some listeners and analysts, they seem never to have been formally theorized. The questions also implicate music history more broadly: for comparative scrutiny of recapitulations provides a way of investigating influence. Do sonata-form pieces that Schubert apparently modeled on earlier works—the Octet on Beethoven's Septet, among so many others—duplicate those earlier works' individualized alteration strategies? Is it possible that in composition lessons an instructor would advise his pupil to compose the recapitulatory alterations that correlated with a particular genre? (“This is an Italian Overture; you must therefore make a series of recapitulatory deletions in order to create a mood of festivity before the curtain goes up.”) And if so, how to negotiate the theoretical “saltation” from a compositional strategy to a mood or effect?

These questions have gone largely unasked in theories of musical form. The focus on recapitulatory similarity has led to a refusal to treat what is meaningful in

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<sup>9</sup> *Elements* (16-18; 23-50).

recapitulations, namely, their *differences* from the referential material: ellipses and expansions, backings-up and skppings-forward; in short, any of those “superfluous” tonal and thematic alterations that do not fall under the (overly positivistic) category of “obligatory alterations.” In complexifying the received view—in arguing that deviations from (as much as a strict adherence to) the referential exposition are meaningful from historical, interpretive, and generic perspectives—I advocate an approach to recapitulations that focuses on difference.

Much of my approach might be whimsically captured by a quotation from a 1931 essay by Bertolt Brecht, in which he writes that “footnotes, and the habit of turning back in order to check a point, need to be introduced in play writing too. Some exercise in complex seeing is needed.”<sup>10</sup> Brecht is of course attempting to transform a literary, not a musical, medium, but nevertheless the remark captures in a single gesture the compositional approach to making a recapitulation, my approach to analysis, and the new hearing that is attendant upon it. Regarding the first, we need only remember that Beethoven famously “turned back in order to check a point” when composing the *Eroica* Symphony.<sup>11</sup> Other composers must have behaved similarly, especially if speed was of the essence.<sup>12</sup> Analysts quite literally “turn back in order to check a point,” especially

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<sup>10</sup> Brecht ([1931a] 1992, 44). See also Brecht ([1931b] 1992, 56): “An attitude is here required of the spectator which roughly corresponds to the reader’s habit of turning back to check a point.”

<sup>11</sup> Lockwood and Gosman (2013, 16-19) investigate the strategic folds in the *Eroica* sketchbook that allowed Beethoven to—in his own words—“keep the whole in view.” The same type of “turning back” is suggested by some of Mozart’s manuscripts (e.g., the first movement of the “Prague” Symphony, K. 504), in which the pages of the recapitulation are isographic to those of the exposition.

<sup>12</sup> In 1814 the young Schubert bragged about his speed of composition when he penciled into the manuscript of the first movement of the String Quartet in B $\flat$  Major, D. 112 “*In 4 ½ Stunden fertig.*”

when considering recapitulations against their referential expositions. But so do passive listeners: as I will theorize in Chapter 1, we hear recapitulatory deviations *against a ground*. The elisions and expansions that occur in recapitulations afford perceptions of acceleration and deceleration, for listeners as much as for anthropomorphized musical protagonists who navigate the score qua landscape. Since it means to make us hyperaware of these sometimes minute changes, the study that follows constitutes, in Brecht's words, "some exercise in complex hearing."

### **1.3. Trajectory, Benefits, and Goals**

In order to flesh out these claims, Parts I and II of this study approach the questions posed above by analyzing and systematizing the types of tonal and thematic alterations that composers around the turn of the nineteenth century use. Part I (Chapter 1) is an attempt to lay out the issues in a small and in many ways familiar context. Its central idea is that composers of instrumental forms featuring "built-in" repeats—such as sonata and rounded binary forms—make recapitulatory alterations in the same ways as do poets who work in textual forms with refrains, and often to the same dramatic ends. By performing close readings of three texts by Goethe and Müller, as well as Schubert's musical settings of these, I intend to show how the types of interpretive claims that can be made in the poetic realm can be imported into the abstract instrumental one. The remainder of Chapter 1 introduces the new and necessary terminology and offers a sample analysis designed to show the types of music-analytic and interpretive claims I will make when I broach instrumental music formally in Part II.

Once the main argument for moving from the texted to the abstract instrumental realm is laid out, Part II systematically confronts the different possibilities for making

recapitulatory alterations. Chapter 2 provides a short methodological introduction and lays the groundwork for the division of all recapitulations into three categories based on the number of “time-alterations” they contain. Chapters 3 through 5 then offer theoretical accounts of each of the three categories, emphasizing both technical-formal deployments of alteration strategies and the narrative or hermeneutic suggestions of these. Each of these chapters is also concerned with theoretical implications of the proposed alignment: in situations where earlier analytic categories—such as “referential measures,” “cruxes,” and the like—are implicated or called in to question, I pause to reflect on this. As a conclusion to Part II, Section 5.5 comes full circle by offering detailed analyses of the first movements of Beethoven’s “Pastoral” Sonata and Schubert’s Grand Duo.

Part III (Chapter 6) builds upon the taxonomy created in Part II in order to show directions for further research. It is an investigation into one peculiar formal structure that Schubert showed a penchant for, and to which he seems to have developed an individualized response. Analyses of the finales of DD. 960, 956, and 804 show that Schubert often approached certain sonata-situations with a particular recapitulation script in mind. In these three finales, Schubert “responds” to early recapitulatory expansions with balancing deletions. Analysis of an inverse example, Schubert’s Overture *im Italienischen Stil*, D. 590, shows precedents for the approach from early in his career and raises questions about genre, provenance, and where he may have learned to emphasize “process” and “proportion.”

Some benefits of the approach include, first, a focus on underrepresented aspects of sonata composition. As mentioned, recapitulations are understudied in comparison to the other sections of sonatas, including developments and codas. Similarly, thematic

alterations—a main focus of my attention—have tended to be downplayed in relation to their “obligatory” tonal counterparts. Part III emphasizes a marginalized *repertory*—the finale—that is understudied relative to the first movement. A second benefit arises from my injunction to hear Schubert’s recapitulations in particular (so often criticized as mechanical) against the recapitulation conventions of his compositional forebears and successors, who from time to time play a notable role in what is to follow. By keeping his thematic alterations (or lack thereof) logically and conceptually distinct from that *outré tonal* category, the subdominant recapitulation, perhaps we will begin to right the inaccurate and lasting myth of Schubert’s recapitulatory laziness, his “*wie oben*.”<sup>13</sup> A third benefit follows from the second: because we can put pieces that deploy similar recapitulation scripts in a class with one another, we may also better understand Schubert’s apparent compositional modelings on formats deployed by Mozart, Beethoven, Cherubini, and others.<sup>14</sup>

Fourth, concentrated study of recapitulations may put us as critics in a better position to understand subtle similarities and differences of subgenre. Part III confronts this possibility head-on, by asking what it means when Schubert appropriates deletions,

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<sup>13</sup> The enduring myth, battled since at least Boyd (1968), dies hard. See also Coren (1974); Denny (1988); and Hur (1992). Schubert sometimes wrote “*wie oben*” in his manuscripts, at the moment of recapitulation, even when—as for instance in the first movement of D. 960—that recapitulation was not thematically or tonally identical to its exposition; see Marston (2000). Another relevant piece of lore, equally inaccurate, is found in Denny (1988, 356-357): “prior to 1820, recapitulation seemed to have held comparatively little interest for Schubert. One superficial indication of this lies in the many movements in which Schubert broke off composition as soon as he had begun the thematic reprise characteristic of a recapitulation. It is also evident when we observe that recomposition in this section was generally minimal in the early works.”

<sup>14</sup> Schubert’s practice of modeling pieces explicitly on existing pieces by other composers has always played a large role in Schubert studies. See, e.g., Chusid (1962); Cone (1970); Rosen (1988, 356-360); Nettheim (1991); Kessler (1996); Gingerich (1996); Griffel (1997); and Rosen (1998, 381).

those telltale elements of the *buffa* overture, into his instrumental finales, finding ingenious ways of reconciling its customary “festive” or “bustling” accelerations with his own (Austro-German?) concerns with symmetry.<sup>15</sup> A fifth, conceptual, benefit arises from making a rigorous and nonporous distinction between “tonal alterations” and “thematic alterations.” The (overly fuzzy) category “alterations”—along with its concomitant, “crux”<sup>16</sup>—benefits from clarification. In typical use, we do not keep the behaviors separate, and we have tended not to wonder whether they are independent or interdependent behaviors.<sup>17</sup>

Here and below, I emphasize that any “lighting up” of a new aspect of a piece or set of pieces impinges on our listening habits and also raises the possibility of coming into contact with those of earlier artistic communities.<sup>18</sup> When we cultivate a new music theory we are providing an injunction to hear in a particular way.<sup>19</sup> My injunction to the reader—my “description under which”—is paralleled in Brecht’s injunction to his potential *Zuschauer*: in our listening, we need to cultivate the ability to compare

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<sup>15</sup> Schubert composed Overture forms from his earliest efforts; see Chusid (1962). Hur (1992, 46) reminds us that “in the lessons given to Schubert, Salieri did not make a clear distinction between overtures and symphonies, since Salieri himself did not seem to make it, as reflected in his own practice of writing symphonies derived from his opera overtures.” “Expanded Type 1 sonata” is from *Elements* (349 ff.).

<sup>16</sup> For “crux,” see *Elements* (239-241).

<sup>17</sup> Even *Elements*, which seems to solve the problem by using “tonal alterations” to describe the obligatory tonal shift but “precrux” and “postcrux” alterations to denote thematic alterations, is plagued by a certain lack of clarity in this regard. See the sometime conflation of tonal and thematic criteria in their discussion of precrux alterations (240-241), and my discussions in the next two chapters.

<sup>18</sup> For aspectual dawning, see especially Part II of Wittgenstein ([1953] 2009), and any of the phenomenological tradition concerned with *seeing-as* (or *seeing-in*).

<sup>19</sup> For a compelling account of injunctions and perceiving-as, see Danto (1998, 83).

recapitulatory passages with their expositional references; we need to be able to turn back to check a point.

To the extent that this is a “theory of recapitulations,” it is diachronic, suitable in principle for any composer of sonatas or similar forms, writing anywhere in the eighteenth and nineteenth centuries. But my approach is mediated, in the following pages, through the music of Schubert, a composer whose recapitulations have posed now-notorious problems and have prompted reams of theoretical and analytical prose. I thus envision the following pages as much as a contribution to the *New Formenlehre* as they are to Schubert studies, which Susan Wollenberg (2009, 9) has recently written, “constantly move in new directions.”

PART I:  
CHANGES OF FOCUS

# CHAPTER 1

## RECAPITULATORY ALTERATIONS IN THEORY AND PRACTICE

- 1.0. A Zero Module
- 1.1. Studies of Recapitulations do not Address Alterations Formally, But Analysts Do
- 1.2. Alterations are Heard Against a Ground
  - 1.2.1. Goethe's "Erster Verlust"
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- 1.3. Recapitulations are Heard Against the Ground of Their Expositions
  - 1.3.1. Instrumental Music and Repeat Conventions
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  - 1.3.4. "Hearing-Against," "Hearing-Through," and a Sample Analysis, Part II
  - 1.3.5. *Rhythmos*, Meter, and Symmetry
- 1.4. Conclusions, Beginnings

### **1.0. A Zero Module**

*Part I of this dissertation lays the groundwork for investigating recapitulatory tonal and thematic alterations, which as deviations from the referential layout are carriers of meaning. It begins by showing how analysts of sonata form have conscripted recapitulatory alterations, ad hoc, into the service of their interpretive claims and their generic classifications. Building off of analogies to poetry and song, it then paves the way toward a formal study of how recapitulatory alterations are made; what impact they have on the size and shape of the ongoing recapitulatory rotation, relative to its referential exposition; how they might group into classes; what they might suggest to listeners who are sensitive to these norms; and how they may correlate with musical genres. In short, this chapter shows how formal alterations made in reprises and recapitulations—shortenings or lengthenings of thematic material—can have drastic effects on the musical content presented therein.*

### 1.1. Studies of Recapitulations do not Address Alterations Formally, but Analysts Do

In practice we spend the least time on recapitulations, and for fairly obvious reasons: unless there is significant recomposition, the thematic/cadential processes will be identical or similar to those we have already studied in the exposition. That being said, situations where the recomposition is indeed “significant” offer opportunities for rewarding study—both in terms of comparison (identifying which portions of the exposition have been preserved or altered) and of creative justification (speculating *why* the composer deemed such changes necessary). In the case of Mozart’s K. 310 recapitulation, I invite students to articulate how Mozart’s alterations ... might serve to intensify the turbulent and troubled character of his all-minor-mode reprise.<sup>1</sup>

The long quotation from Seth Monahan’s recent study of Sonata Theory pedagogy is a good point of departure because it shows both that recapitulations are typically sidelined in theories of sonata form and that sensitive analysts nevertheless identify recapitulatory alterations as meaningful.<sup>2</sup> This section focuses on the way analysts of different eras and alignments have made ad hoc appeals to recapitulatory alterations, often even basing upon these their intuitions about a piece’s expressive genre, affective content, or generic classification. (Monahan’s epigraph has already shown us one way to understand recapitulatory alterations as agents in a modal drama.) It then addresses the way thematic alterations in specific are dissociable from their tonal counterparts, arguing that even if this independence has not been made very clear in earlier studies of sonata form, nevertheless hermeneutic judgments are often based on the way a piece or set of pieces deploys its recapitulatory thematic alterations.

Before beginning, it is necessary to consider one reason why alterations may have escaped our analytical attention—quite simply because recapitulations, as large-scale,

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<sup>1</sup> Monahan (2011, 18).

<sup>2</sup> *Elements*, for instance, spends seven chapters discussing the exposition and two for the recapitulation. Rosen’s (1988) chapters on the exposition, development, and recapitulation get 33, 22, and 13 pages, respectively; even codas get 56 pages.

built-in repeats, can seem to be *merely* repetitions. When analysts emphasize the similarity of the recapitulation to its referential exposition, which is unsurprisingly the default—think of the way we explain a recapitulation to undergraduates or to non-musician friends—important differences get leveled out. Charles Rosen’s (1988, 2) explanation of the form and function of the recapitulation is paradigmatic:

The *recapitulation* starts with the return of the first theme in the tonic. The rest of this section “recapitulates” the exposition as it was first played, except that the second group and closing theme appear in the tonic, with the bridge passage **suitably altered** so that it no longer leads to the dominant but prepares what follows in the tonic. [Boldface added]

The axiom, which appears in some form in all studies of sonatas, is both true and unobjectionable, as far as it goes.<sup>3</sup> We all hear recapitulations against their (temporally prior and generally thematically parallel) referential expositions. Further, as *Elements* reminds us, we have heard them in such a way “from the start.”<sup>4</sup> The built-in, large-scale reprise of expositional material—which beyond being a musical-formal convention may also exhibit some more fundamental aesthetic desideratum or cognitive constraint (e.g.,

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<sup>3</sup> It would be objectionable if it were describing thematic alterations in particular, since it points to the “bridge passage” as the place in which alterations happen, and thematic alterations can happen anywhere.

For instances of the axiom in other studies, see, e.g., *Elements*, 231-2: “The restatement of the action-zone layout initially set forth in the exposition (P TR ’ S / C)] is usually self-evident and unproblematic in Type 1, 3, 4, and 5 sonatas, in which the modular formats of expositions and recapitulations are kept roughly parallel, albeit with the **obligatory adjustments** to accomplish the tonal resolution in the recapitulation’s second half.”

And Caplin (2000, 161): “The full-movement sonata form... contain[s] a *recapitulation*, a large section that brings back, **usually in modified form**, an earlier exposition. The recapitulation functions to resolve the principal tonal and melodic processes left incomplete in earlier sections and to provide symmetry and balance to the overall form by restating the melodic-motivic material of the exposition.”

And Monahan (2011, 18): “The eighteenth-century recapitulation will tend to reinstate the same basic thematic / cadential trajectories as the exposition, **albeit with adjustments** to ensure that the secondary thematic group is in the home key.”

<sup>4</sup> “A full (or nearly full) revisiting of the expositional modules seems to have been part of the structural concept from the start” (231 n. 1).

symmetry, departure and return)—is as much a part of the organizing principles of composition as it is engrained in our habits of listening.<sup>5</sup>

What these descriptions of the function of the recapitulation have in common is that each emphasizes the ways in which the recapitulation is similar to the exposition, not the ways in which they differ. In order to get at what is *different* in recapitulations, the current project takes as foundational the questions: how much is hiding in Rosen's compound modifier "suitably altered"? How much do these two words (and their equivalents, also rendered in bold above) gloss over, and is it worth excavating them, at length, with the goal of throwing light on one aspect of sonata practice that has been understudied in the past? What myriad complexities, what opportunities for interpretation, what art-historical chains of replication, lie dormant beneath their

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<sup>5</sup> For symmetry as a fundamental (even *a priori*) cognitive and aesthetic category, see e.g., Morgan (1998, 1): "Symmetry, perhaps the most basic of what Hegel calls 'the relations of the abstract understanding,' forms a virtually unavoidable constant against which we can evaluate the inconstancies of art and, indeed, life itself ... The deep-seated human need for design and order tends to favor symmetrical patterns... Symmetry allows us to apprehend objects and events as a synthesis of matching components, coordinating our field of perception and abetting our memory; above all, it invites us to see wholes as the necessary outcome of a joining of complementary parts."

Morgan appeals to the early-twentieth-century mathematician Hermann Weyl for legitimation: "Symmetry, as wide or as narrow as you may define its meaning, is one idea by which man through the ages has tried to comprehend and create order, beauty, and perfection."

For symmetry and listening habits, witness Rosen's constant appeals to "the listener's perception of symmetry," or to "the proportions of the form" as much in *The Classical Style* (49-50, 74) as in *Sonata Forms*. A general statement is issued in the latter (17): "By 1790, sonata style had transformed almost all the established forms of early eighteenth-century music. These started in the tonic, went to the dominant, and returned to the tonic with some attempt at symmetry or balance." For symmetry as a reason to take expositional repeats, see Smyth (1993). For symmetry as the necessary (historical/aesthetic) condition for the "Classical Style" see Ratner (1980, 35-36).

explanatory power?<sup>6</sup> And is there an opportunity here, in focusing on recapitulatory *difference*, for a new approach to the study of recapitulation?

Beginning from the assumption that we oughtn't to take Rosen's compound modifier (or its equivalents), as throwaways, the present chapter makes an effort to see exactly what gets leveled out by that turn of phrase. In order to bring to light the ways in which recapitulations differ from their referential expositions—not the ways in which they are similar—I advocate a shift in emphasis: instead of making the claim *that* recapitulations make alterations we will focus instead on *how* they make them, perhaps even *why* certain alteration types seem to be appropriate to certain sonata situations.<sup>7</sup>

The first thing to do is shift the focus from the “obligatory” tonal alterations, cited in the foregoing, to thematic ones, which are independent and qualitatively different from tonal alterations, and which suggest vastly different kinds of narratives. Thematic alterations may be both easier to account for—since they often change the size and shape of the exposition—and more meaningful—since they are logically unnecessary—no recapitulation *needs* thematic alterations to arrive, for instance, back at the tonic at its ESC.<sup>8</sup> (It seems to me the very fact that they are unnecessary should be a reason for them to be the focus of inquiry.) But—perhaps precisely because they are unnecessary—

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<sup>6</sup> “Chain of replication,” which I adopt from Davis (1996, especially 1-31), is meant to capture those aspects of any art object that are preserved, or *replicated* by later art makers.

<sup>7</sup> As we will see in section 2.3 below, Caplin (2000, e.g., 161) writes about *how* alterations are made; his concerns with *why* are to be found in appeals to formalist (typically Rosenian) notions of compensation and the like.

<sup>8</sup> For ESC, see *Elements* (20 and 232-233). *Elements* is interested in the distinction between those aspects of sonatas which are logically necessary and those which are not, but typically Hepokoski and Darcy are interested in *tonal* necessities (or non-necessities, as the case may be). See, e.g., their description of alterations that drive toward a recapitulatory I:HC MC as “generically superfluous,” (236).

thematic alterations tend either to get neglected in discourse about musical form, or else to be problematically folded in with their tonal counterparts. The conflation is dangerous from theoretical and interpretive perspectives: though recapitulatory tonal and thematic alterations of course work in concert *much of the time*, they demand to be decoupled from one another. Through the dissociation, we nuance our analytic categories—there are *two types* of alterations, there are *two types* of crux, and these are independent of each other. Since interpretation grows from analysis, in so doing we stand to open new hermeneutic windows, to gaze out upon new interpretive vistas.

It will be instructive to consider one on-the-ground instance of the confounding of tonal and thematic alterations. Witness Monahan's assertion, apropos of Mozart's String Quartet in B-flat Major, K. 458 ("The Hunt"), that "other than a brief deflection to the subdominant in m. 167, the recapitulation (like most of Mozart's) holds closely to the expositional model" (3). Note well: Monahan knows that this is the recapitulation's only thematic deviation from its referential model—on the annotated score he writes "insertion: P theme in the subdominant." But this does not prevent him from casting even his identification of thematic alterations in tonal terms.<sup>9</sup>

As is always the case, Monahan's analytic observations come out of the theory he relies upon: for Sonata Theory—in theory, not in practice—seems to make no distinction between precruX tonal alterations and precruX thematic ones. *Elements*, which uses the general compound "tonal alterations" to designate a recapitulation's obligatory changes of pitch level, never uses the corresponding general compound "thematic alterations" to

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<sup>9</sup> The same casting of thematic alterations in tonal terms is more mildly at work in the epigraph to this section, for the antecedent for "situations where the recomposition is indeed 'significant'" is the "thematic/cadential processes," but the alterations he finds meaningful concern Mozart's "all-minor-mode reprise."

I offer an analysis of the "Hunt" Quartet's thematic alterations in Section 3.2 below.

designate changes of thematic size or layout. To refer to thematic alterations they use, instead, the more specific “postcrux alterations” (as at 337, 355, and passim), which delimits location, and sometimes the very general “recapitulatory alterations,” which could cover thematic as well as tonal behaviors. This means that any *precrux* alterations might be tonal or thematic, to be differentiated based on context. (It also strongly suggests that the “crux,” since it is the event after which (“postcrux”) thematic alterations may be made, is to be understood as a tonal phenomenon.) Put simply, “precrux alterations” subsumes both tonal and thematic deviations from the referential plan, while “postcrux alterations” includes only thematic deviations from the referential rotation, now being sounded at the proper pitch level. This means both that “precrux alterations” thus problematically collapses tonal and thematic behaviors into a single category, and that the “crux,” for Hepokoski and Darcy (at least here!) is a tonal phenomenon. An excerpt from *Elements* (241), read in this context, points up the problem:

Precisely because they are generically unnecessary, any substantial changes made in the expositional pattern after the crux are of great interest. These might include omitted repetitions, shortened or slightly recast themes, added bars, and the like. ... *Unlike precrux alterations, they are ruled neither by necessity nor by adherence to a generic norm. Postcrux alterations are self-conscious decisions on the part of the composer, overriding the “easy” mere transposition.* [Emphasis added]

One wants to ask: are precrux *thematic* alterations “ruled by necessity”? Would a precrux thematic alteration not be a self-conscious decision on the part of the composer?

Example 1.1 shows my construal of Sonata Theory’s paradigm and the emendation that arises naturally from of the foregoing. In this model precrux alterations

can be tonal *and/or* thematic; the crux can be tonal *and/or* thematic; and postcrux alterations can be tonal *and/or* thematic.<sup>10</sup>

**SONATA THEORY**, schematic of terms used (to show confusion and overlap)

Precrux Alterations → Tonal? Thematic?	CRUX → <b>Tonal</b>	Postcrux Alterations <b>Thematic</b>
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**SUGGESTED EMENDATION**, for enhanced categorial clarity

Precrux Alterations → Tonal and/or Thematic	CRUX → Tonal and/or Thematic	Postcrux Alterations Tonal and/or Thematic
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**Example 1.1. Terminological Difficulties and a Suggested Emendation**

Sonata Theory’s “theoretical conflation” of the two types of alterations is representative of many approaches to musical form. But the most promising analyses seem to know that the two functions are quite independent, and it will be helpful, in order to drive home the point that the two ought to be uncoupled, to show some analyses that appeal explicitly to thematic alterations, the effects these changes have on our perception of certain features of the musical form, and their potential to contribute to generic classification.

Sonata Theory, despite its sometime conflation of thematic and tonal alterations, is at the forefront of analytic schools that adumbrate the interpretive payoff of comparing the size and shape of the recapitulation to the exposition. *Elements*, always sensitive to the effects of temporal (as well as tonal and modal) alterations on the shaping of a listener’s experience, is peppered with animistic musical observations that appeal both to

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<sup>10</sup> It is true that since the crux is here being rent, the category “postcrux” alterations loses some of its definition: must we then make categories like “post-thematic-crux-tonal alterations” or “post-tonal-crux-but-pre-thematic-crux-thematic alterations” or “post-tonal-crux-gratuitous-tonal-alterations”?

formal musical data and to the effects they have on sensitive listeners or a virtual protagonist.<sup>11</sup> Thematic alterations, in Sonata Theory, shape time in a virtual landscape:

Recapitulations sometimes show signs of eagerness to arrive at the ESC, jettisoning baggage along the way, perhaps by omission of inert material (thematic repetitions or individual thematic modules regarded now as discardable), by altered dynamics, by telescoped P-areas, and the like, as in the first movement of Mozart's Symphony No. 34, K. 338, in which the recapitulation opens with only the first four bars of P—as if merely to mark the beginning of the rotation—before plunging into a recomposed recapitulatory TR.<sup>12</sup>

The opposite effect—that of delaying or dawdling, apprehension, slowing down, or backing up—is also possible, and has come to be seen as something of a hallmark of Schubert's sonata style in particular. *Elements* (519) hears such an effect in Mozart's Piano Concerto K. 466, whose “S<sup>1</sup>:\P<sup>ref</sup>”, a sigh-ridden tonic lament in mm. 77-91, may strike us a delaying tactic, filled with already-weary apprehension (“Must I endure what is surely to follow?”).

*Elements* identifies *thematic* alterations explicitly in interpretively charged speed-terms in a passage on the recapitulatory TR (236):

How this TR-issue is addressed varies from work to work. In some cases TR is shortened, probably with the expressive intention of hastening toward the essential generic moment, S and the ESC. On the other hand—especially in large-scale or ambitious works—the composer might recompose and expand TR (or P-TR) through enhanced *Fortspinnung*, sequential activity, or other “developmental” textures.<sup>13</sup>

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<sup>11</sup> In Monahan's words: “Sonata Theory explicitly encourages a volitional and psychodramatic conception of musical form, inviting us at times to imagine individual sonatas or their themes as striving, sentient agents. ... a narrative catalyst, encouraging us to rationalize its events as stages within a dramatic musical plot” (7-8).

<sup>12</sup> *Elements* (232). For more on “telescoping,” this time in relation to the first movement of Schubert's String Quartet, D. 810, see page 258: “Still, the idea that a shortened or telescoped recapitulation can suggest and eagerness to rush toward the central moment, the ESC might be both relevant and viable.” Compare Caplin's fusion of P and TR (2000, 165).

<sup>13</sup> Notice that even here there is a tendency to conflate the necessary tonal alterations with the “superfluous” thematic ones; for from a strictly thematic perspective there is no “TR-issue.”

Hepokoski and Darcy then write (237) that whatever the circumstances, “one need only observe that in some cases the recapitulatory TR is given an intense, expanded treatment on its way to the MC. The hermeneutic obligation is to explain why.” The quotation is enabling, and might in some respects be seen as the foundation for my entire project. Generalized, for the sake of wider applicability, it would read: “in many cases the lengths of some recapitulatory action zones are altered. The hermeneutic obligation is to explain why.”

Astute listeners have heard exactly these types of temporal manipulations as meaningful regardless of whether they are invested in sonata-form analysis *per se*, and regardless of their analytic affiliations. Richard Taruskin, for instance, has observed the impact formal accelerations have on the creation of a festive mood in *opera buffa* overtures (2005, iii 16):

What Paisiello actually supplies [in his overture to *Il Barbiere di Siviglia*] is a streamlined or compacted version of the usual procedure, one regularly employed in *opera buffa* overtures. ... Now compare the overture to Rossini's *Barbiere*. It is at once fancier and more streamlined. ... In fact, the way the recapitulation is abbreviated to speed its arrival makes the repetition of the rollicking crescendo seem like the overture's very *raison d'être* [sic]. Its point and purpose has been to create a mood of festivity—or, to put it another way, to mark the occasion of its performance as festive.

Taruskin's elliptical discussion of Paisiello's “streamlined or compacted” sonata structure captures at once its important formal properties (its omission of recapitulatory material), its participation within a subgenre (the *buffa* overture), its influence on Rossini (or else the tapping of a similar chain of replication), the effect the shortenings have on the goal-points of the form, and the effect they have on a listener's emotions (its festivity).<sup>14</sup>

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<sup>14</sup> Adorno, too, writes of the impact of form on content, as when he writes ([1971] (1996), 44-45) that in Mahler “the usual abstract formal categories are overlaid with material ones; sometimes the former become specifically the bearer of meaning.” And (49): “Form itself is to

The first point of this short excursion is simply to draw attention to the fact that analysts with different alignments and commitments make use of affective terms like *delay, apprehension, dawdling, or excitement, eagerness, festivity*, and speed-terms like, *accelerated, hastened, shortened, or broadened, decelerated, expanded*, when describing musical *forms*, and not just musical content. As we will see, not only acceleration-terms and deceleration-terms are possible when evaluating a recapitulation: recapitulations run the gamut between those two extremes as well as affording more detailed or “higher-level” interpretive perceptions. As we will also see, they need not be pursued ad hoc.

The second point is that such affect-words, though they have the air of the subjective, contingent, personal, even whimsical, need be understood as reflecting neither the whims of the analyst, nor some ineffable feature of the music: there are measurable ways in which these effects are created within certain forms. The question we must ask, then, so enabling for Scott Burnham’s *Beethoven Hero*, is not *whether* we hear in sonata forms the effects of these temporal alterations—which I take as self evident—but *what it is* about these sonata forms that grants them such an effect on us. To paraphrase Burnham (even if admittedly his subject—the heroic in Beethoven—is more difficult to pin down than ours): how do these thematic alterations “*control our discourse about music*”; how in particular have they come to shape our perceptions of sonata forms? How, in other words, might we “[take] note of our reactions to the music and [find] out how the music makes such reactions possible, how it nurtures and sustains them even to the point of making them seem inevitable”?<sup>15</sup>

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become characteristic, an event.” See also pp. 78: “Form itself becomes something both fearful and monstrous, the objectification of chaos”; 165; 46; and n. 6 of my Introduction.

<sup>15</sup> Burnham (1995, xvii).

The bottom line is that alterations, whether tonal or thematic, and whether occurring in the “crucial interface” between the onset of the recapitulation and the recapitulatory S theme or not, are carriers of historical, generic, and interpretive meaning. If we have been tempted to gloss over them, attributing to tonal alterations a necessary or obligatory tonal function and nothing more (“the mundane dictates of tonal machinery,” in Deborah Kessler’s unforgettable phrase (1996, 122)), it is only because the vast and fascinating range of “alteration types” and “recapitulation scripts” (as I shall call them) have not been pressed in service of these larger points. If we have overlooked thematic alterations, focusing instead upon those broader and more tractable properties that supervene on them—proportion, symmetry, balance, periodicity, rhythm, etc.—it is perhaps because of the overemphasis placed on the *similarity* of recapitulations to their referential expositions. The study that follows emphasizes difference, thereby throwing light on one understudied aspect of musical form in order to see it work in concert with other, better understood aspects. We begin with the first and most important axiom for hearing temporal alterations, namely that alterations are *heard against* a ground. This axiom will be easier to understand in large instrumental pieces if we broach it gently, in a smaller, texted context. We begin, therefore, with examples from Schubert’s Lieder, where the added parameters of language and poetic form help to lay bare our concerns.

## 1.2. Alterations are Heard Against a Ground

Bergson somewhere asks, how should we be able to know if some agent could double the speed of *all* events in the world?<sup>16</sup>

### 1.2.0.

*An excursion into the territory of Schubert's Lieder will help me to make my points about instrumental music more succinctly. This section shows how altered refrains in poems and altered reprises in Lieder afford perceptions of accelerations and decelerations. These formal alterations, quite distinct from the content that they "house," nevertheless often seem to corroborate, or work in service of, that content. In poetry and song (as in sonatas), my perceptions of acceleration and deceleration are formal ones.*

### 1.2.1. Goethe's "Erster Verlust"

In 1815, the eighteen-year-old Schubert composed a setting of Goethe's short poem "Erster Verlust."<sup>17</sup> Typical of much Goethe and other German Romantics following on the heels of Herder's *Stimmen der Völker in Liedern*, the text is brief, affectedly simple, and direct.<sup>18</sup> Schubert's setting of it, though true to Goethe's affected naiveté, belies a tight control over its textual and musical material, and this concentrated "gem of a song" has invited in-depth analysis in most of the existing themes in Lieder analysis: text/music relationships, affective meaning, modal pairing and deep-level mixture, social inquiry and the construction of subjectivity, psychoanalytic criticism, performance studies, and

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<sup>16</sup> McLuhan (1962, 68). McLuhan also used the thought experiment in (1951, 56).

<sup>17</sup> The song was written the same day as two other Goethe texts, "Wandrer's Nachtlid" and "Der Fischer."

<sup>18</sup> See Taruskin (2005, iii 124): "The rediscovery of the folk and the consequent fever of collecting had an enormous impact on German poetry as well as the music to which it was set. Many poets, led by Goethe (a close friend, as it happens, of Herder's), began writing in a calculatedly *volkstümlich* style so as to capture some of the forgotten wisdom that *das Volk* had conserved through the ages of cosmopolitanism, hyperliteracy, and Enlightenment." Taruskin writes (132) of "the unaffected 'natural' tone without which lieder are not lieder."

so on.<sup>19</sup> Both the poem and Schubert's setting of it invite further analysis from the point of view of the current discussion.

My focus throughout will be on how any alterations of repeated material—in this poem the altered reprise of the first stanza as the third one—are heard in relation to the “ground” provided by their first, referential iteration. Thus, as expressed in the thought experiment proposed in the epigraph to this section, all change is only perceivable against a ground. “Erster Verlust” is the first example of the type of reasoning I will use throughout this study, so we'll spend some time understanding exactly how, as Jonathan Dunsby has written (2009, 132), it is “a model of how poetic time can be adapted to musicopoetic time.”

Goethe's text reads:

[1] Ach! wer bringt die schönen Tage, Jene Tage der ersten Liebe, Ach! wer bringt nur eine Stunde Jener holden Zeit zurück!	Ah! who will bring back the beautiful days, the days of first love? Ah, who will bring back only one hour of that lovely time?
[5] Einsam nähr' ich meine Wunde, Und mit stets erneuter Klage Traur' ich um's verlorne Glück.	Alone I nurse my wounds, and with ever renewed complaints I mourn for my lost happiness.
[8] Ach! wer bringt die schönen Tage, [Wer] Jene holde Zeit zurück!	Ah! who will bring back the beautiful days, that lovely time? <sup>20</sup>

Striking about the form of this poem, and bearing strikingly on its content, is an elision in the final stanza. Goethe's “thematic reprise” begins at line 8, which is equal to line 1, but a temporal compression occurs when line 9 equals not line 2, as might be

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<sup>19</sup> “Gem of a song” is from Newbould (1997, 51). See Kramer (1994; taken over with very slight alterations as chapter one of Kramer (1998)); Dunsby (2009, 126 ff.); Capell (1928, 52, 97, and 102); Reed (1997, 224-225); and Stein and Spillman (1996, 122 ff.).

<sup>20</sup> The translation, very slightly adapted, appears in Philip Lieson Miller (1990). I have rendered “holden” in lines 4 and 9 as “lovely,” instead of Miller's “charming.”

expected, but line 4. Line 1, then, is brought into direct contact with line 4, and the elision in the final stanza (couplet) thus effects an acceleration, in comparison to the initial stanza (quatrain). Though Lawrence Kramer's work on Schubert's setting of this poem is intensely concerned with temporality, he no more than notices this striking compression.<sup>21</sup> Even Dunsby, whose concern is explicitly with "poeticomusical time," which "seems to me to be one of the noumenal quicks—the free-floating substance—of Schubert's Goethe song 'Erster Verlust,'" identifies, and then says no more about, Goethe's elision.<sup>22</sup> Deborah Stein and Robert Spillman, for whom the "slippery" tonal pairing of the song mirrors an explicit concern with a "dichotomy of two different times and two contrasting psychological states," say nothing of the acceleration at all, focusing instead on the problems this poses to a potential performer of the songs.<sup>23</sup> Only Brian Newbould identifies Goethe's peculiar reprise as "potentially problematic," and astutely calls attention to Schubert's solution to it.<sup>24</sup>

What even Newbould does not account for is that the form of Goethe's poem is every bit as potent as its content: the poem *enacts*, through its form, the very content that

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<sup>21</sup> "These lines, an **abbreviated repetition** of the opening statement, constitute both a renewal of lament within the poem and a formal means of achieving poetic closure" (13).

<sup>22</sup> "No penetrating exercise of textual criticism is needed to assert that Goethe is referring from the present to the past in lines 1-4, and to the present and implied future in lines 5-7 before the varied, **contracted repetition** in lines 8-9 of the first quatrain" (126).

<sup>23</sup> "This dichotomy of two different times and two contrasting psychological states poses many challenges to performers, who wander between the two keys and often exist in neither one completely" (122).

<sup>24</sup> "The miracle is that when, at the end of the poem, Goethe restates lines 1 and 4 only, Schubert is able to tack the music of line 1 to the music of line 4 accordingly" (52).

it expresses.<sup>25</sup> In a poem obsessed with time, and explicitly with the question who or what might have the ability to turn it back, any backwards glance—such as a final stanza that equals its first—simply cannot be seen as a throwaway. It is a coincidence neither that the end of the poem as a whole “rhymes” with (or “equals”) the end of the first stanza, nor that both lines 4 and 9 end with the word(s) (*Zeit*) *zurück*—to turn time back. The poem’s ABA form and this “rhyming” end-identity emphasize the backwards gaze every bit as forcefully as does its narrative content. The poem *looks backward* through these *formal features*, just as its manifest content is directed backwards toward the (now lost) days of first love—those “beautiful days” of which the protagonist speaks, or sings, or writes. A’ (line 8) reaches backward to A (line 1) even as the protagonist wills a return of his lost, happier time.

An inverse effect, however—of speeding up—is produced by the elision in the third stanza, as well as by the decrementing length of each stanza, from four lines, to three, to two. These two formal features evince a general preoccupation with acceleration in the poem’s visual and temporal domains. Its final line, we might say, comes *two lines too early*. These *formal* accelerations also have correlates in the poem’s content: they suggest, even afford a perception of, excitement, impatience, even hope—as if the protagonist knew that the passing of time could provide the only possible palliative.

Paradoxically and powerfully, then, both the poem’s form and its content have contradictory impulses: through its reprise of A material the poem’s form suggests a backwards gaze, which mirrors the protagonist’s desire to move backwards in time, to the “beautiful days” before he suffered his wounds. This aspect of its form, at least, is

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<sup>25</sup> Compare Taruskin’s (again elliptical) comments on “Heidenröslein” (147): “formal strategy and poetic meaning have thoroughly interpenetrated, as in only the most “artful” poems and songs. The eighteen-year-old Schubert was already a past master of art-concealing art.”

aligned with those aspects of its content that suggest backing up, deceleration, tarrying, delusion, delay, dream, trance, and the backward gaze. (Kramer: “to cling, on principle, to imaginary bliss, even if only through the wound made by its absence.”) But another aspect of the poem’s form, its elisions and accelerations, suggests an inverse group of affective signifieds, which also have correlates in the poem’s content: acceleration, impatience, perhaps even hope.<sup>26</sup>

These two conflicting impulses (in both form and content)—these ambivalences—get right to the heart of the paradoxes of this short, deceptively simple poem. Can we arbitrate between them? Or must we be content with the paradoxical, and not altogether hermeneutically satisfying claim that the protagonist, profoundly ambivalent, is *impatient to turn back the hands of time*? Indeed it seems that, rather than answer the question: is this poem about the past, and backing up as if to revisit or restore it, or is it about the future, and anticipating or willing it into being?, the solution is to sidestep it altogether. The poem is about the past, which it enacts in both form and content, and it is about the future, which it enacts in both form and content, and it *is* about this conflict between the two poles, which it enacts in both its form and content. (Whether Goethe, in this case, integrates these opposites, as Christopher Middleton

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<sup>26</sup> Against this backdrop, Cerar’s (2009, 74) claim that “once introduced in the instrumental idiom, the oneway and one-time plots from the songs are freed from the constraints of chronology,” seems a bit unfair. Regarding the poem’s temporal paradoxes, Kramer, points out that even the title, *First Loss*, “denotes a moment of pathos [and connotes] a certain distance from that pathos.” Dunsby writes that already in lines 1-4 the “‘present’ tense ... refers to the future, by asking who is going to be able to bring the past back (it is not here now, so our ‘who?’ could only be in some future.” For temporal “poles”—past and present or present and future—see Dunsby (127) and Stein and Spillman (122).

(1994, xxvii) has argued is a theme in his poetry, will ultimately be up to the individual interpreter.<sup>27</sup>)

I am interested, instead, in focusing on the relationship between the two behaviors: the backwards gaze is a function simply of Goethe's choice of a form that features a built-in repeat—an A', as it were. All forms that have a thematic reprise feature such a revisiting of earlier material. The acceleration in the last stanza, on the other hand, is *made possible* by the choice of such a form. It is by virtue of the fact that A' is nominally equivalent to A, that we may hear the deletion it houses *against the ground*, as it were, of its referential first statement. Put another way, it is because of the nominal equivalence of A' to A that the perception of acceleration—of “too early”—is possible at all. An A', or equivalent, is the necessary condition for hearing these types of time-transformations against the grounds of their referential first statements.

### 1.2.2 Schubert's “Erster Verlust”

In order, therefore, to compose a Lied that fully matches the poet's intention, it is necessary for the composer not only to grasp its deeper meaning but rather to become the poet himself. The spark that kindled the Lied within the poet must glow again with renewed vigour within the composer.<sup>28</sup>

Schubert's setting of Goethe's poem shows how this type of formal quirk might be adapted to music. Most importantly for present purposes, Schubert, whose characteristic “pavane” rhythm, tempo indication, and minor mode make clear the tragic expressive genre of his setting, was sensitive to Goethe's temporal alteration. In this setting, at least, Schubert's reprise and acceleration follow from a straightforward setting of Goethe's

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<sup>27</sup> “One of the themes which Goethe modulates, largely or in miniatures, is the integration of opposites, the consorting of Yin and Yang.”

<sup>28</sup> E. T. A. Hoffmann (1814), quoted in Suurpää (2014, 17).

text.<sup>29</sup> The form of his song thus bears on, shapes, “enacts” its content in precisely the way Goethe’s poetic form mirrors its content. Example 1.2 below shows most of the first stanza and all of the last one. The B-section (stanza 2) and piano postlude are omitted.

Example 1.2. Schubert’s “Erster Verlust,” Excerpts with Light Overlay

Both Goethe’s accelerations are preserved: the progressive stanzaic shortening, from four to three to two lines is paralleled in the lengths of Schubert’s three musical stanzas, which have, respectively, nine, seven, and five measures. But how to render, in music, an acceleration by deletion? The “problem,” if I may borrow Newbould’s

<sup>29</sup> Compare Dunsby (2009, 127): “My comments above about time in this poem are undoubtedly ‘spun’ by Schubert’s rather clear ‘reading’ of the text.” And: “in ‘First Loss’ the interplay among tenses and implied tenses is, of course, initially of Goethe’s doing rather than Schubert’s.” If this seems like an unimportant point, consider that many of the other composers who have set this text chose, for whatever reason, not to truncate. Zelter, along with Medtner, set a different, and longer, final stanza: “Wer bringt die holde, süße, liebe Zeit zurück?” Verdi’s translator, Luigi Balestra, normalized Goethe’s idiosyncratic form, perhaps because the Italian song tradition had its own (operatic?) conventions to follow. The young Berg didn’t even set lines 8-9, ending his song after Goethe’s second stanza. Strictly speaking, Mendelssohn’s A’ section does delete measures, but the logic is clouded because of internal repeats of lines. Wolf also set the text, but I have not been able to locate a recording or a score.

locution, is easily articulated: How can Schubert, who manipulates a musical domain along with his textual one, convincingly stitch these ends of the fabric together, once the middle has been cut out? How, in other words, can he combine elements of the first two systems of music within the space of the single, final system? His solution, represented with equals signs between the staves on the last system of the music example, is ingenious: the musical setting of mm. 19-20, the seam between lines 8 and 9, combines and blends salient elements of two earlier musical events, the motion between mm. 3 and 4 (lines 1-2), and the motion between mm. 7 and 8 (lines 3-4). That is: the first two beats of m. 19 clearly equal the first two beats of m. 3, but the downbeat of m. 20 clearly already equals the downbeat of m. 8.

*Pace* Dunsby (130), who is “not saying that Schubert is mapping Goethe’s temporality precisely,” I am arguing that Schubert is mapping Goethe’s temporality precisely. He is enacting in music the exact temporal distortion that was already present in Goethe’s text. It bears emphasizing that this noncoincidence of temporalities is immanent in the song’s (and in this case poem’s) form. It has nothing in common with the sort of “dechronologization” that attends, say, the superposition of two separate passages of a song into an instrumental piece.<sup>30</sup> In other words, this “source text” (the song) does not have to be riven and recombined in a target text (e.g., a quartet) in order to create temporal distortions or foldings. On the contrary, the form of the song (or instrumental piece) suggests a complex temporality all by itself.

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<sup>30</sup> Cerar (2009, 95) notices this phenomenon in the minuet from D. 804: “Schubert dismantles the pertinent passages from his song before reusing the separate elements in the quartet. This allows him not only to do away with the chronology imposed by the text, but also to present in new perspective a more widely disseminated core-constellation, constituting the narrative impulse of the original setting, in an ordering that abides by other principles than logical chronology.”

The image shows a musical score for Schubert's "Erster Verlust". It consists of two systems, A and A', with a vocal line at the top. System A starts at measure 1 and ends at measure 9. System A' starts at measure 17 and ends at measure 20. The vocal line has lyrics: "Ach, wer bringt die schön - nen Th - ge, je - ne Th - ge der er - sten Lie - be, ach, wer bringt nur ei - ne Stun - de je - ner hol - den Zeit zu - rück!". The piano accompaniment in system A has dynamic markings: *pp* (m. 1), *fp* (m. 2), *pp* (m. 3), *fp* (m. 4), *pp* (m. 5), *pp* (m. 6), *pp* (m. 7), *pp* (m. 8), and *pp* (m. 9). System A' has dynamic markings: *pp* = 1 (m. 17), *fp* = 2 (m. 18), *pp* = 3 (m. 19), and *pp* = 4 (m. 20). There are also approximately equals signs:  $\approx 8$  (m. 17),  $\approx 9$  (m. 18), and  $\approx 9$  (m. 20). A box around the piano accompaniment in m. 20 contains the text "= 4 = 8".

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Example 1.3. Comparative Example of Schubert's "Erster Verlust"

Example 1.3 is the first of many musical examples in this study that aligns the two iterations of a repeated passage of music (in this case A and A') vertically, in a manner that facilitates comparison.<sup>31</sup> I will, as above, always label the measure numbers at the top left of each system of music, as well as, in tricky cases, labeling every single measure on the top system. I will show thematic equivalences and near-equivalences—"correspondence measures" and "referential measures"—in the bottom system of music, with equals signs ( $= x, = x + 1, \dots = x + n$ ) and approximately equals signs ( $\approx x, \approx x + 1, \dots \approx x + n$ ), respectively.<sup>32</sup> I will typically box any measure-number equivalences that seem to correspond to two earlier referential measures (as in the " $= 4, = 8$ " equivalence occurring in m. 20 of Example 1.3), or have some other such important function in the musical context. I will sometimes box musical events that receive attention in the explanatory text (in the case above, the pickup to m. 20 = 4). I will always show,

<sup>31</sup> In these comparative graphics I will sometimes vertically align like musical material, in which case one of the systems of music will have a hole in it. Alternatively, in cases in which I wish to emphasize the earliness or lateness of an arrival (e.g., Table 3.1, Example 1.6) I will lay the two passages out as they are, one above the other. In such cases one system of music will finish before the other, and the extra space will follow the end of one of whichever system is shorter. Dashed lines between systems connect thematically equivalent music.

<sup>32</sup> For correspondence measures and referential measures, see *Elements* (241-242) and Section 3.6 of this dissertation.

underneath a bracket below the bottom system, the number of measures that are gained or lost in the transformation.

The layout of Example 1.3 highlights relevant features of Schubert's acceleration, for instance that he has set the vocal line such that F5, the highest pitch in the tessitura, is achieved on the downbeats of both m. 4 and m. 8, making for the possibility that they might be collapsed into a single event, or temporal "now."<sup>33</sup> Further, both achievements of this zenith (at mm. 4 and 8) begin step descents from F, thus participating in the *Urmotiv* that is inextricably tied up with the affective meaning of the piece, and which each of its melodic strands will obsessively trace, with varying degrees of success.<sup>34</sup> I

<sup>33</sup> Indeed, F5 is the highest pitch in the entire piece, save the "painful" G $\flat$  neighbor note in the piano at m. 12; it turns out, then, that Schumann's "*Wund-*", from the first song of *Dichterliebe*, is not the only precursor to Amfortas's *Wunde* and *Klage*. Note the simultaneous or near simultaneous semitonal clash on the fourth eighth-note of m. 12, on the second syllable of *Wunde*, as well as the simultaneous transposition of this semitone on the downbeat of m. 14 on the word *Klage*, between G and A $\flat$ .

<sup>34</sup> The motion from F-down-to-C is a persistent (diatonic, F-minor, descending, "*wehmütig*") reality that undergirds most of the piece's voice leading, an observation that leads to a compelling interpretation: Where the protagonist is disillusioned—where he has false consciousness in the two A sections of the piece (the outer stanzas of the poem)—the tetrachord is always *heard as*  $\hat{6}-\hat{5}-\hat{4}-\hat{3}$  in A-flat major. (Cf. Stein and Spillman: "the vocal line could be considered essentially in A $\flat$  and the accompaniment essentially in the relative minor" (123).) Only where he has a moment of painful clarity—where he confronts his pain head-on in the B-section of the piece (the inner stanza)—is the tetrachord passed to (both hands of) the piano and harmonized by the traditional lament in the tonic key of F minor. The graphic below shows this passing-off of the descending motive, as well as the weight it bears—the downward pressure of all three lines sinking ever lower, in fractured imitation, each coming to the fatalist conclusion—the motion from F down to C—in its own way. Brackets show occurrences of the semitonal *Wundemotiv* within strands; lines connect them across strands.

The image shows a musical score for three staves, labeled 'B' in a box at the top left. The first staff is the vocal line, the second is the piano right hand, and the third is the piano left hand. The score begins at measure 10. Brackets above the vocal line and piano right hand indicate intervals of a fourth and a 'plus fifth!'. Brackets below the piano left hand indicate intervals of a fourth. Lines connect these intervals across the staves, illustrating the 'Wundemotiv' (F-down-to-C) in different parts of the music.

harp on the F5 zenith that occurs in mm. 4 and 8 because it is by virtue of this musical similarity that the compression is possible at all in the last stanza of the song. In the last stanza, the music that = m. 3 moves directly to the music that = m. 8, through the “buffering” or “mediating” fact  $m. 8 \approx m. 4$ . It is as if all the “missing” music from mm. 5, 6, and 7 were combined into the single quarter note beat that precedes the onset of m. 20 = 8. It is by virtue of the fact that *both* m. 8 *and* m. 4 begin with an ascent to, and a step descent from, F5, that m. 20 can be seen to combine, in its first quarter-note beat, elements from both of them.

The deletion is masterful; its effect is subtle, smooth, but not imperceptible. For one, the truncation is tied up with a musical cadence which, as a goal-point we’ve heard once before, seems to arrive four bars “too early.” Notice, too, that the slow and steady ascent to the zenith F of the A section—one step per bar—is in A’ removed. In A’, F5 is achieved as if by a sudden leap up from C, instead of a methodical and premeditated step ascent. Is it a surprise even to the virtual protagonist of the song? Or does this sudden outburst perhaps show a peremptory, even imperious side of his personality—as if to attempt to force the cessation of pain through moving time forwards? Either way, it is important to notice that the acceleration was already there in Goethe’s poem. It is only being made stronger by these specifically musical details.

In m. 19, the setting of the last line of Goethe’s poem, Schubert added a word, “wer” (in brackets in the text given in section 1.3.1 above). Schubert didn’t often alter his poetic texts, and this instance has prompted analysts to ask why he would do so in this setting. Lawrence Kramer has written that the addition of “*who*” proves that “in clinging to the *person* of the beloved, the song compounds its refusal to accept the psychosocial

mandate of bourgeois masculinity.” But in the current context we might ask whether the added word isn’t there to make the connection between the music that = m. 3 and the music that = m. 8 smoother. The pickup C at m. 19—the note that sets the extra word—acts as a highway of interchange between the first set of correspondences (mm. 1 through 4) and the second one (mm. 8 and 9).<sup>35</sup>

In a gesture of Richardsian feedforward, Kramer anticipates what he calls the “formalist objection to placing undue interpretive weight on the extra ‘wer’”: “the repetition, it might be said, is just a means of giving the voice an entry on the upbeat.”<sup>36</sup> A formalist, it seems, would as soon reduce out the extra upbeat from experience as from analytic scrutiny. But it turns out to be Kramer’s deflationary treatment of his “formalist objection”—his refusal to countenance the possibility that a formal detail might show the path toward narrative or dramatic (or social or psychological) interpretation—that obscures the most important, and ironically, “formal” question regarding Schubert’s textual change, namely: *why* might an upbeat be desirable here, if not for the fact that it connects more strongly to the upbeat to m. 4? We are beginning to see, then, how a *formal* observation—in this case the smooth acceleration that is made possible by the musical similarity—might lead to robust dramatic and narrative interpretations.

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<sup>35</sup> An “associational” reading would point out that this C5, given support by an F-minor triad, harks back to the opening of the piece. In addition to pointing up the equivalence of m. 8 and 4, it reaches back to the opening pitch, the C5 *Ach!* of m. 1, over the same harmony, enacting a kind of temporal backing-up even as it is tied up with a temporal acceleration.

<sup>36</sup> Perhaps he is responding to Capell’s claim, however flawed, that Schubert “feels the need of an ‘anacrusis’ for the sake of expressive variation at the end of a song in which the principal phrases have begun on a down-beat” (52). I say “flawed” because this upbeat “wer” clearly harks back to the upbeat to m. 4 and proceeds to the very same music. If the music beginning on the upbeat to m. 4 is not a “principal phrase” then neither is this one.

Two final details regarding Schubert's musical setting of Goethe's text point up important differences between Goethe's and Schubert's media and will be important when we come to translate this analytic method to instrumental music. The first concerns the motion toward goals, a property Schubert's medium seems to have but Goethe's seems to lack. Schubert's protagonist pushes excitedly *toward* an event, the A $\flat$ -major cadence he knows is coming at = m. 9. This cadence, by virtue of its key and mode, seems to express the unachievable or impossible as represented by the delusional mindset of a protagonist who refuses to face reality (= diatony). (This much is confirmed by the song's postlude, "brusque if not brutal" (Dunsby).) Since, because the cadence "should" not occur until m. 25 but happens four bars early, we are presented with a situation in which the protagonist *accelerates, desires, wills* the achievement of A $\flat$ -major, a key that, as if responding to his agency, does indeed arrive early, even if it will not stay. By coupling the "happier times" with a major-mode tonic, Schubert's setting captures something about this impatience that Goethe's poem could not: namely an impatience *toward* some (heard) event or goal which is *anticipated*, as much by the listener as by the protagonist. Could it be that Schubert sets the *initial* A-flat major cadence (m. 9) in order to be able to create this feeling of impatience in the reprise? Might the desire to create this acceleration in A' have influenced the way Schubert organized it's A-material?

The second detail concerns the relationship of Schubert's postlude to the "poem proper." Schubert follows the terminal A-flat major cadence with a postlude, which may be the most affectively charged moment in the entire song but, strictly speaking, is not part of the poem.<sup>37</sup> As has been noticed by many, and as is painfully clear even upon first

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<sup>37</sup> The postlude, in that it pertains only to Schubert's protagonist, and not to Goethe's—in that it is "outside the space of the poem"—fulfills the same function as a coda in an instrumental

listening, it takes only a single bar, a melodic reiteration of the  $A\flat$ -cadence in F minor, to disembarass *Schubert's* protagonist of any willful action or agency he thought he may have possessed.<sup>38</sup> This “extra,” minor-mode echo—the accompaniment-as-chorus—is another property that is unique to Schubert’s medium. It is “commentary,” as a coda is commentary. Its contribution to the effect of the poem—especially in light of the recapitulatory elision—is signal: how much richer is my perception of the tragic ending, heard in the context of a hopeful acceleration in the second half of the song? How much more profound the “tonal loss” after the momentary achievement, *too early*, of the major mode?

However else Schubert’s musical and Goethe’s poetic protagonists differ in the ways they wish to suffer, dream, and sublimate their pain, and however different the two media these protagonists inhabit, they share a preoccupation with time, and especially an ambivalence about whether it should *back* up or *speed* up—whether they should *go back* or *go on*. In both cases form and content work hand in hand to create a rich and ambivalent temporal fabric that looks both backwards and forwards. My analysis of “Erster Verlust” is designed to lay the groundwork for the claim that Schubert is

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work. (Caplin’s locution—that a coda has “after-the-end” function, is apt (e.g., 186).) In Chapter 2 I discuss how a coda might color our reception of a sonata form; like the postlude here, it may be the most important piece of affective evidence in our interpretation, but strictly speaking it does not affect (though it may erase, correct, compensate for, rewrite, reverse, comment upon) the recapitulation. (Incidentally, a coda also does not participate in the abstract binary symmetry of exposition and recapitulation, an oversight that in my view hobbles Charles Rosen’s approach to proportion in sonata forms: “the appearance of a coda always disturbs the binary symmetry of a sonata form” (1988, 297). Simply put, Rosen has no concept of the paragenetic.)

For a near-contemporary instrumental piece with several similarities to “Erster Verlust” (an obsession with backing up, a coda that reverses a (faulty, delusional, unearned) major-mode ESC), see the first movement of the Piano Sonata D. 537 (1817), which I examine in Chapter 3.

<sup>38</sup> A “monotonal” return to the original key and mode may be projected by a listener familiar with the classical style, but it is not, in Schubert’s early Lieder, or in Lieder generally for that matter, a foregone conclusion; Schubert’s protagonist is not “foredoomed.”

interested in shaping dramatic or narrative temporality in a way strikingly similar to Goethe—through conscious thematic manipulations of (musical) material that occurs in reprises. In a way the entire remainder of this study is a fleshing out of the singular thesis that Schubert and his near and distant contemporaries are interested in crafting dramatic presentations, or “stagings,” of temporality through precisely these means in both their texted and instrumental compositions.

The next step on the way toward instrumental music, however, will be to show Schubert *introducing* the types of “time-transformations” just seen into two poems whose stanzaic forms do not already contain them. This ought to show that his “Erster Verlust” is not some unreflective or epigonal setting of Goethe’s text, as much as it points to an interest, on Schubert’s part, in making precisely these types of temporal manipulations—regardless of the form of the poem he was setting—where he thought the dramatic situation called for it.

### 1.2.3. Youens, “Täuschung,” and “Die Nebensonnen”

It often happened, too, that [Schubert] felt more deeply and more powerfully than the poet himself and rendered the meaning of the words not entirely without exaggeration.<sup>39</sup>

Like analysts of instrumental music, analysts of Lieder seem intuitively to appeal to the type of reasoning that I have laid out in my study of “Erster Verlust.” Also like analysts of instrumental music, few have put their analytical stance, and the attendant possibilities for interpretation, in explicit terms. Susan Youens stands out as an exception.

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<sup>39</sup> From an 1829 review of *Winterreise*, quoted in Suurpää (2014, 18).



In her book on *Winterreise*, Youens notices precisely this type of acceleration in “Täuschung” and “Die Nebensonnen,” attributing to this formal behavior the staging of an inability on the part of the Winter Wanderer to face his bleak reality. (Example 1.4 shows A/A’ comparisons of both songs.) She writes (1991, 79):

“Täuschung” and “Die Nebensonnen,” both “dance songs” and both about illusions of light, also share one structural similarity, although within a different context and differently elaborated. In each, the recurring initial music is abbreviated for the same reason: the wanderer can no longer bear to think or speak of the matter at hand and brings the song to an abrupt close. The composer’s artfulness is evident in the completion of the musical form despite the seeming proportional imbalance.

Compelling in Youens’s account is the possibility that any musical deletions may be due to the protagonist’s inability to “think or speak of the matter at hand”; the view that the protagonist may have some agency in bringing about these types of accelerations; and the mention that the abbreviation creates a “seeming proportional imbalance” that might be central to the ongoing textual/musical narrative. Still there remain at least two analytic points to be made in regard to these songs. First, it is important to note that unlike “Erster Verlust,” neither of Müller’s poems features a “thematic reprise”; in both cases Schubert’s musical setting *creates* one by cutting across the layout of the stanzas.<sup>40</sup>

See, for instance, the text of “Täuschung”:

[1] Ein Licht tanzt freundlich vor mir her, Ich folg’ ihm nach die Kreuz und Quer; Ich folg’ ihm gern und seh’s ihm an, Daß es verlockt den Wandersmann.	A friendly light dances before me, I follow it this way and that; I follow it eagerly and watch its course As it lures the wanderer onward.
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[5] Ach! wer wie ich so elend ist, Gibt gern sich hin der bunten List,	Ah! one that is wretched as I Yields himself gladly to such cunning,
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<sup>40</sup> This obscuring of the visual layout of the poems seems to be precisely the reason that Goethe disliked Schubert’s settings, but it is “just the thing,” as Taruskin (151) puts it with regard to Schubert’s “Erlkönig,” “we post-romantics tend to value most highly in the song today.” (There is a remarkably similar sentence in Sontag’s essay on Simone Weil ([1963] 1966, 50): “What revolted the mature Goethe in the young Kleist ... is just what we value today.”)

Die hinter Eis und Nacht und Graus  
Ihm weist ein helles, warmes Haus.  
Und eine liebe Seele drin. —  
Nur Täuschung ist für mich Gewinn!

That portrays, beyond ice, night, and horror,  
A bright warm house.  
And inside, a loving soul. —  
Ah, my only victory is in delusion!<sup>41</sup>

The “recurring initial music,” then, as Youens calls it, does not exist in Müller’s poem, but is brought out for expressive purposes by Schubert. It is clear even at a glance that there simply is no poetic “reprise”—none of these lines is equal to line 1.

But Schubert, who knows that an acceleration made in a musical reprise has the capacity to provide any number of temporal—or even spatial—effects, seizes upon the possibility of truncated return. Through these deletions, he shows us that accelerations made in musical reprises are plenty strong enough—even in the absence of a truncated textual return—to stage the sense deceptions he (as much as his wanderer) seeks. In this case his accelerations mark the (mis)perception of a virtual physical object (a seductive “friendly light,” a “bright warm house”)—as much as a formal musical goal (a cadence projected at a certain time point)—as “too fast,” “too soon,” “too large,” “too near.”<sup>42</sup>

Only here, when we perceive an acceleration that exists against a referential rotation, are we justified in borrowing the term “foreshortening” from the visual arts. Our virtual motion to some event, which we project at a certain time point, is *perspectively* distorted in a manner analogous to that artistic phenomenon: the goal seems unnaturally large, or unnaturally close, or unnaturally early *against the ground* of the referential rotation. (I will sometimes also appeal to a particular cognitive/visual distortion, characterized by the perception of an object as closer than I know it is, or

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<sup>41</sup> I have very slightly modified the translation made by Arthur Rishi at REC music: [http://www.recmusic.org/lieder/get\\_text.html?TextId=11893](http://www.recmusic.org/lieder/get_text.html?TextId=11893). Compare Youens (1991, 267); and Suurpää (2014, 112).

<sup>42</sup> Youens (267): “The wanderer follows another illusory light without caring where it leads him. ... He knows its promises are only deception.”

should be. This phenomenon is called *macropsia*; its opposite is *micropsia*; together, these are referred to as “Alice in Wonderland Syndrome.”)

The second analytic point to be made is that both these songs are *about* distortions, hallucinations, mirages, “illusions of light,” as Youens puts it—“Täuschung” is literally a beguilement, a delusion, or an illusion, and “Die Nebensonnen” is a specific type of atmospheric illusion, a mirage. Thus, again, these formal accelerations—these hiccups, these skips in the groove—“embody,” as well as “enact auditorily,” the sense deceptions that confront the Wanderer in the form of visual hallucinations. The interpretations attendant upon them go farther than Youens’s claim that the lines are cut because their content is too painful for the Wanderer to face, even if that be one powerful source of interpretive grist. We as listeners are put in the first-person position of the Wanderer; we hear the curious acceleration even as he begins to see the ground move as if beneath his feet. Our goal, as well as his, occurs *too early*.

Coupled with the score-as-landscape metaphor, so prevalent in Schubert scholarship,<sup>43</sup> our approach to these formal quirks provides new interpretations. The virtual wanderer—in “Täuschung” he is called *der Wandersmann*—as he circumnavigates the song-as-landscape, is confronted by *auditory* illusions every bit as

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<sup>43</sup> The notion of the score-as-landscape is at least as old as Adorno’s 1928 essay “Schubert.” Before its translation (by Livingstone (2003) and then by Dunsby and Perrey (2005, 5), this essay went “virtually without mention and certainly without sustained discussion in the vast secondary literature on the composer.” Molnar and Molnar (2014, 54) point out that Adorno scholars, too, have “until recently showed almost no interest in what he had to say about Schubert at all.” Thus the metaphor seems to have crept in to English-language scholarship via some Adornians in the musicological community, especially Carl Dahlhaus (e.g., 1986) and Scott Burnham (e.g., 2005). Cf. Taylor (2014, 78).

powerful as the titular visual ones.<sup>44</sup> The current analytical alignment, which tries to be as sensitive as possible to the synapse connecting formal musical data to interpretive meaning, draws this connection: the objects that are the goal of the wanderer's wandering, whether they be taken as a cadence, a measure number, a textual cue, or its referent—whether they be a seductive, inviting luminescence; the will-o-the-wisp (*Irrlicht*) that seduces the wanderer from his path, a beneficent spirit, or Death itself—these objects, brilliantly in “Täuschung” and “Die Nebensonnen,” are presented as if too close, or too soon, or too large. Formal alterations—here accelerations, foreshortenings—depict not only the swerves and yaws of the wanderer as he traverses his musical landscape but his own perception and misperception of virtual objects in a visual field.

Absent the textual cues that Goethe so helpfully composed into his “Erster Verlust,” in the case of the two *Müllerlieder*, the cross-modal, or cross-sensory analysis—from visual to auditory illusion—may seem like a reach. And yet I am not making a textual observation and then noticing its similarity to a musical transformation. Quite the contrary, I am making a *musical formal* observation, and noticing that it may exist in order to convey a *dramatic* point. In defense of this assertion, which serves as the linchpin for carrying our method into the analysis of instrumental music, I point out that formally speaking, the deletions in these two songs are made in exactly the same way, and exactly as they were in “Erster Verlust.” (They result in a loss of the same number of measures.) In “Täuschung,” the temporal (perceptual) distortion occurs *on the*

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<sup>44</sup> See again Dunsby (2009, 125, n. 28): “Schubert seems drawn again and again to elaborations on temporality of one form and another. ‘First Loss’ does seem rather special in this respect, although one might with justification say that temporality on such a huge canvas as that of Schubert’s *Winterreise* song cycle is somehow even more special.”

word “Täuschung”—“illusion.” In “Die Nebensonnen” it occurs in a change of mood and modality: the last sun—the one that is emphatically not an illusion—remains on the horizon after the first two have set; the Wanderer, in his only use of the subjunctive mood, wishes: “if only the third would also set!, I would feel better in the dark.”

#### 1.2.4. Nabokov, Kinbote, Shade, and Goethe

A final textual example comes to us as another “setting” of a familiar Goethe text, this time by the fictional poet John Shade, in Nabokov’s postmodern novel *Pale Fire*. In the Third Canto of his 999-line poem, Shade writes:

Who rides so late in the night and the wind?  
It is the writer’s grief. It is the wild  
March wind. It is the father with his child.<sup>45</sup>

This Goethe quotation provides an inverse example of the behavior we have been tracing in “Erster Verlust,” “Täuschung,” and “Die Nebensonnen.” For here, instead of a deletion, we are faced with an expansion, an *interpolation*, as against the original text, though that text be distant in time and place.

It is of course reductive bordering on the point of ludicrous to assume some continuous, forward-moving time, here—as if this interpolation were in some sense to be heard against a ground, to which it is proximate in time, as was the case in all our earlier examples. But the point of this example is rather to illustrate something like the opposite: that even here, where Goethe’s famous text precedes Nabokov’s/Shade’s/Kinbote’s borrowing of it by 180 years, exists in a different genre, and was composed in a different language—even here, in an example in which there is no possibility that we are retending

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<sup>45</sup> Nabokov (1962, 57; lines 662-664).

an original or referential example—we hear in Nabokov’s poem an expansion, an interpolation, a deceleration, and so on.<sup>46</sup>

### 1.3. Recapitulations are Heard Against the Ground of Their Expositions

For [Friedrich] Schlegel, music “has more affinity to philosophy than to poetry”; it is imbued with a “sensual logic” whose guiding principle is neither melody nor harmony, but rhythm: not rhythm on the small scale, but rhythm generated by large-scale symmetries, by “gigantic repetitions and refrains.”<sup>47</sup>

Musical form, as I conceive it, is basically rhythmic. It is not, as conventional analysis would have it, thematic, nor *pace* Schenker, harmonic. Both of these aspects are important, but rhythm is basic.<sup>48</sup>

Everything is rhythm; the entire destiny of humans is a single celestial rhythm, just as the work of art is a unique rhythm.<sup>49</sup>

“What each and every aesthetic object imposes upon us, in appropriate rhythms, is a unique and singular formula for the flow of our energy. ... Every work of art embodies a principle of proceeding, of stopping, of scanning; an image of energy or relaxation, the imprint of a caressing or destroying hand which is [the artist’s] alone.” We can call this the physiognomy of the work, or its rhythm, or, as I would rather do, its style.<sup>50</sup>

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<sup>46</sup> Charles Kinbote, Nabokov’s narrator and Shade’s glossator, hears the interpolation, which he represents with a long ellipsis, in precisely this way (239):

**602 Who rides so late in the night and the wind**  
**603** .....  
**604** . . . . **It is the father with his child**

<sup>47</sup> Daverio (1993, 10). The quoted text is from Friedrich Schlegel (1799 and 1796-1806).

<sup>48</sup> Cone (1968, 25). Ng (2012) takes this passage as foundational for a study of the relationship of phrase rhythm to the different action zones of a sonata.

<sup>49</sup> Hölderlin, as reported by Bettina von Arnim; see Miller (1999, 1).

<sup>50</sup> Sontag ([1965] 1966, 28) identifies Raymond Bayer as the author of this quotation, but does not cite a source.

### 1.3.0.

*Recapitulations are heard in relation to a ground—the referential rotation—against which they may enact accelerations or decelerations, contractions or expansions, foreshortenings or forestallings. The ways they enact these “time-transformations” have narrative consequences, exactly as they had in poetry and Lieder. Due to strong repeat conventions, deviations in the large-scale “rhythm” of the recapitulation in instrumental compositions can strongly suggest dramatic scenarios even in the absence of text.*

### 1.3.1. Instrumental Music and Repeat Conventions

It is possible for the form of an abstract instrumental movement, say, a sonata, to bear on its content in precisely the way the form of Goethe’s “Erster Verlust,” or the form of Schubert’s “Täuschung” or “Die Nebensonnen” bore on their content.<sup>51</sup> Note that this is an assertion *that* as well as an assertion *how*. In the following, I begin to educe from the foregoing texted examples a method for interpreting recapitulatory alterations in terms of “the time they take,” as perceived against their referential ground.

Before proceeding, however, we must come to terms with the proposition that the form of instrumental compositions impinges upon their (implied or interpreted) “content” in the same way as in the texted examples above, even in the absence of text. The proposition is true even if the “content” of an abstract instrumental work is “freer,” so to speak, than that of a poem. For if the content of an abstract instrumental movement is freer than its texted counterpart, its form is drastically less free, and for this reason the perception of these accelerations and decelerations in instrumental works can be even more salient than in the texted works just examined. The value of this point hinges on the fact that, in contrast to the poems we’ve just looked at—in contrast even to their musical settings by Schubert—the instrumental music we will consider below has strong

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<sup>51</sup> To say that the form of a movement bears on its content is to say neither that it uniquely determines that content, nor that it exhausts it. My use of “bears on” or “impinges upon” is similar to Adorno’s use of “postulates,” as in (1969, 165): “that which is going on underneath [the formal schemata] ... is partly, at any given moment, *postulated* by [it].”

conventions regarding repetition(s).<sup>52</sup> The old trope of the influence of a text or program on musical composition—that they *motivate* certain behaviors (harmonic, melodic, formal) that would not otherwise be permitted in abstract, instrumental composition—is of help to us here. For it points up the fact that the abstract formal designs of Western European instrumental music carry with them strict conventional layouts, with certain rules about large-scale repeats—for instance where they happen, and where any alterations typically take place within them.<sup>53</sup> The recapitulation of a sonata form—like the reprise of the rounded binary structure from which it evolved—suggests (or “limits”) treatments for repeats and alterations according to strong conventions, even rules.<sup>54</sup>

How much greater, then, can our perception be of any pushes and pulls, stresses and fractures, *too early*s and *too late*s, that occur in a sonata recapitulation, which “as a rule” repeats the thematic material of its exposition in large part? In these rule-based (or quasi rule-based) repetitions, reprises are both proximate and bound by a generic contract—namely the cultural or art-historical practice of sonata recapitulation. The

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<sup>52</sup> Of course some poetic forms have built-in repetitions—think of the villanelle—but neither Goethe’s nor Müller’s poems are based on such a form. For an example of a villanelle with changes in its refrain, see Elizabeth Bishop’s “One Art,” whose first refrain reads: “though it may look like (*Write it!*) like disaster.” Since each altered refrain—“to be lost that their loss is no disaster”; “to travel. None of these will bring disaster”; “I miss them, but it wasn’t a disaster”—has the same scansion and number of syllables as its prototype, these are alterations “that take the same amount of time” as their referential ground.

<sup>53</sup> See, *Elements* (e.g., 236): “The [recapitulatory transition] was the freest available spot for compositional craft and modification within a recapitulation that, for the most part (though usually not in Haydn), was founded upon much literal repetition of the rotational layout.”

<sup>54</sup> For the idea that rounded binary form evolves into Sonata Form, see, e.g., *Elements* (16). For alternate evolutions see Marx (1997), Salzer (1928), and Rosen (1988), who cautions (vii): “it is a mistake to view the history of sonata forms as the development of a single form from a single binary pattern”; and (17): “Any genealogy of sonata form that attempts to derive it from one kind of binary form will only hide the true development.”

repetition is *built in* to the form, as well as projected (even protended) by the listener, two properties that the poems and songs we have examined do not possess.

Instrumental music, then, far more than poetry or song, sets up expectations for rule-based repeats.<sup>55</sup> Because of this fact it creates the potential for robust analytic and interpretive claims regarding recapitulatory alterations, specifically the effects they have on the *size* and *shape* of the rotation in which they occur, as heard against the referential one. In what follows, I show how much we as analysts stand to gain by being every bit as sensitive to these recapitulatory alterations as we were in excavating the meaning attendant on Goethe's textual acceleration, or the imposition of Schubert's "instrumental" accelerations onto Müller's poetry.

### **1.3.2. Rhythmos and Rotation**

The nucleus undergoes a treatment similar to that of a narrative element in oral tradition; at each telling it becomes slightly different. The principle of the variant arises in the strophic song with variations, insofar as its stanzas too cannot be radically varied. ... Like refrains they recur as formulas and yet are as free of rigidity as Homeric formulas. ... The most usual deviations occur at the critical joins, descendants of the ends of stanzas. The relations between these deviations, the degree of proximity or distance between them, their proportions and syntactic connections, make up the concrete logic ... of Mahler's epic manner of composing.<sup>56</sup>

Rotational structures are those that extend through musical space by recycling one or more times—with appropriate alterations and adjustments—a referential thematic pattern established as an ordered succession at the piece's outset. In each case the implication is that once we have arrived at the end of the thematic pattern, the next step will bring us back to its opening, or to a variant thereof, in order to initiate another (often modified) move through the configuration. The end leads into the next beginning. This produces the impression of circularity or cycling in

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<sup>55</sup> This is the condition for the possibility of claims such as Cerar's (2009, 74), that: "the plot, fragmentarily placed within variation form, sonata form, minuet form, becomes a recurring one, appearing in a cyclical structure. The substance of the plot is allowed ... to be looked at from several perspectives, some of them distant."

<sup>56</sup> Adorno ([1971] 1996, 88).

all formal types that we regard as rotational. One metaphorical image that might be invoked here is that of a clock-hand sweeping through multiple hours. ... Similarly, the regeneration of day upon day, calendar year upon calendar year, suggests how strongly this perception of circular recurrence has been impressed upon our experience.<sup>57</sup>

The notion of rotation as ‘an archetypal principle of musical structure’ is asserted without any real explanation other than the drawing of unconvincing analogies with clocks, spirals, the daily and yearly cycles and suchlike. Signing up to the rotational way of thinking is thus essentially an act of quasi-religious faith, as implied by the authors’ at times highly metaphysical rhetoric.<sup>58</sup>

Section 1.1 showed that theorists of sonata form tend to regard the recapitulation as a large-scale reprise of the expositional material, “suitably altered.” Hepokoski and Darcy’s notion of rotation strongly emphasizes the thematic component of this reprise: an ordered distribution of themes is plotted in an initial space (the exposition) and then retraced in later ones (the development, the recapitulation, the coda).<sup>59</sup> The concept of rotation is foundational for the current study because it is explicitly comparative: In Sonata Theory, rotation 1 (the expositional rotation), “provide[s] a referential arrangement or layout of specialized themes and textures *against which* the events of the two subsequent spaces—development and recapitulation—are to be measured and understood” (16, my emphasis).<sup>60</sup>

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<sup>57</sup> *Elements* (611).

<sup>58</sup> Wingfield (2008, 149).

<sup>59</sup> “Within a sonata, tonality is irrelevant to the task of identifying the rotational principle” (612).

<sup>60</sup> They continue: “Because the exposition’s succession of events serves, especially in its second half, to predict the plan and purpose of the entire third space—the recapitulation, which finally resolves the work—its layout may be understood as articulating a *structure of promise* (indicating how it proposes that ‘things work out’ in the recapitulatory rotation-to-come). Because the arrangement of rhetorical modules in rotation 1 provides the ordered set of events that articulates the uniqueness and specific personality of that piece, it should be kept in mind when assessing all of the later events in the movement.”

Because of these two emphases—on comparative hearing and thematic material—the concept of rotation would seem to offer all we need in order to hear any thematic (thus temporal) alterations against a (referential) ground. And yet rotational form, like the theories of recapitulation addressed in section 1.1, tends not to emphasize the temporal differences that obtain between two instances of a rotation, but rather emphasizes their similarities: how different a later rotation is from an earlier one does not affect its status as rotation: “any form that emphasizes return and rebeginning is in dialogue with the rotational principle” (612).

Rotational form is explicitly permissive of changing sizes—a later rotation that is half or twice as long as its referential one is still a rotation. It also permits reorderings of thematic material: its logic is “implicated in every sonata, even when it is apparently absent or deeply obscured in developments” (613). (One reason for Paul Wingfield’s reaction against the notion is certainly to be located in the elevation of its status to an “underlying assumption” (612).) In Sonata Theory, rotation is in a sense inalienable—it is simply not a parameter of a sonata form that can be changed. An exposition or development or recapitulation, or coda, you might say, is *always already* rotational.

In order to open the doors to the current project, in which the greatest emphasis is placed on the subtle (and in some cases not so subtle) differences that obtain between the *lengths* or *sizes* of altered later rotations, I will introduce a new term, *rhythmos* (Greek ῥυθμός), to capture the complex relationship between the absolute length of a rotation—calculated by the number of measures it contains—and its particular manner of unfolding.<sup>61</sup> Understood as denoting explicitly the length of a rotation, *rhythmos* captures

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<sup>61</sup> A note on orthography: *rhythmos*, as I will use it below, is rendered in italics with no diacritics. Its plural is *rhythmoi*. Its adjective form is *rhythmic*, always rendered in italics. My

important insights about any stresses and fractures that transpire within a later rotation that deploys the same thematic material as an earlier, referential one in different ways.

Insofar as *rhythmos* denotes the length of a rotation, it is a property of rotation: every rotation *has* a *rhythmos*—an “amount of time.” By naming it, I am making the amount of time a rotation takes my primary subject of inquiry. But *rhythmos*, as I mean to use it—as the Greeks seemed to have used it—is also meant to capture the manner in which these alterations are made.<sup>62</sup> By demanding focus on the disposition of musical elements within a fixed span—their length and manner of unfolding—*rhythmos* invites us to examine in detail the relationship of recapitulation to exposition.

To give an idea of the felicity of the term *rhythmos* to the current project, I will briefly describe relevant parts of its historical use and connotations. As it is typically translated, the term denotes “‘any regular recurring motion,’ or ‘measured motion or time’,” no matter the size.<sup>63</sup> Note the difference between these two definitions: the first of them emphasizes cyclicity and periodicity (which suggests applicability to *pairs* or sets of rotations); the second emphasizes measurement *tout court* (which suggests applicability to single rotations). In addition to these emphases, which tie in to our

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highlighting of the duration of rotations in terms of their numbers of measures resonates sympathetically with Smyth (1990 and 1993), which I discuss below.

<sup>62</sup> The term *rhythmos* is shot through with connotations applicable to “rotation” and to Hepokoski and Darcy’s hermeneutic-analytic project at large. For one, it is explicitly comparative: in addition to designating the (temporal) size, shape, length, and form, of a single rotation, it also implicates the relationship between multiple rotations through its connotations of symmetry, cyclicity, periodicity, fluidity, proportion, variability within bounds, and especially the narrative or metaphorically human aspects of temporal motion. The reader may notice the overlap of many of these with Hepokoski and Darcy’s definitions of rotation and “cycle” in Appendix 2.

<sup>63</sup> These definitions are from Hawhee (2002, 147). Other sources (e.g., Montgomery (1978, 78) and Rowell (1979, 99)) give identical or near-identical definitions. See also Karvouni (1997), Ross (1976), and Liddell and Scott (1996).

understanding of recapitulations as rule-based repetitions, *rhythmos* also connotes a vast network of other valuable concepts. As Debra Hawhee explains (2002, 147-148):

The motion-time complex of meanings then folds into disposition, as *rhythmos* may also mean “symmetry,” “state or condition, temper, disposition,” “form, shape of a thing,” “manner.” In the range of meanings alone we can see the way in which **regulated repetition** produces disposition. For Plato, rhythm was tightly bound with order (*taxis*), as he claims that the realm of the bodily order of motion is known as *rhythmos*. [Boldface added]

These definitions are self-evidently important to a project that conceives the sizes and shapes of recapitulations in terms of their referential rotations. Furthermore, the emphases on *disposition* and manner suggest *movement*—the in-time *making* of properties like symmetry and form, not the final-state awareness of these. As Frits Noske once put it, playing on Spinoza, *rhythmos* suggests *forma formans*, as opposed to *forma formata* (the form forming itself, as opposed to the formed form).<sup>64</sup>

Other connotata of the term *rhythmos* also resonate with a project that means to engage differences of length between recapitulations and their referential expositions. For one, *rhythmos* carries with it the idea that “periodic” repetitions nevertheless possess, even emphasize their own individuality.<sup>65</sup> Thus in addition to capturing the deep-level rhythms, cyclicity or periodicity of experience, and the *in-time making* of form, *rhythmos* also captures the variability of these, their fluidity within certain fixed bounds. *Rhythmos* is “the form as improvised, momentary, changeable... the particular manner of flowing, the most proper term for describing “dispositions” or “configurations” without fixity or

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<sup>64</sup> Noske (1976, 45); cited in Monelle (2000, 96). Compare the distinction between *rhythmos* and *skhema*, the Greek for “form” or “shape.” As Rowell (1979, 99) notes, *rhythmos*, though it contains within it ideas of *form*, is emphatically not the same as *skhema*, a Greek word that also denotes “form” or “shape.”

<sup>65</sup> See Warry (1962, 115) and Hawhee (148).

natural necessity and arising from an arrangement which is always subject to change.”<sup>66</sup> Recapitulations respond to their referential expositions in many different ways, but they are all both instances of and deviations from those expositions.

For another, *rhythmos* connotes human movement and action. It “unites the notion of movement with that of form, and the two together with a feeling of structure in human life and character” (Karvouni, 1997).<sup>67</sup> This essentially human connotation of *rhythmos* resonates sympathetically with recent approaches to the analysis of form, of late conceived in often strikingly anthropomorphized terms.<sup>68</sup> As mentioned in section 1.2.3, in the case of Schubert specifically, musical forms have for some time been conceived in terms of a landscape navigated by a virtual protagonist or wanderer. It is easy to see that if we are to understand an unfolding sonata form as a metaphor for human action—if, in other words, we want to posit a wanderer circumnavigating a virtual sonata-space-cum-landscape—distance-terms and time-terms (how far, how long, too early, too close) can be instrumental to articulating our interpretive intuitions.

What is the relationship of *rhythmos* to Hepokoksi and Darcy’s notion of rotation, understood as an ordered distribution of themes? First of all, *rhythmos*, as I will use it, only applies to two rotations: the exposition and the recapitulation. This is because those two rotations, different from the development and coda, are conventionally locked in to one another: the exposition traces a referential path through its thematic material; and the

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<sup>66</sup> Benveniste (1971), cited in Miller (1999, 5).

<sup>67</sup> Rowell (99) makes the relationship clear: “the older uses of *rhythmós* included the “ups and downs” of human life and the temper or character of a person.... Its fully developed range of meanings is even wider: to shape a cake, direct one’s mind, the pulse beat, the motion of a battle line, the harmonic motion of the cosmos, and the scansion of a line of poetry.”

<sup>68</sup> See, e.g., *Elements* (251-252): “A sonata is a linear journey ... onto which might be mapped any number of concrete metaphors of human experience.” See also Appendix 2.

recapitulation retraces that path, with no, slight, or significant changes. The exposition may be, as *Elements* writes, a “contract” or a “structure of promise” for later rotations, but only the recapitulation is typically understood to track along its themes in lock step. In what follows, the development and coda do not participate in judgments of speed and time, because there is no rule-based (conventional) relationship of them to the exposition: they do not repeat most of the exposition’s themes “as a rule”; they are not heard as being large-scale, rule-based repeats of the exposition.<sup>69</sup>

Also different from rotation, *rhythmos* is explicitly concerned with *length*. By encouraging a comparative view, *rhythmos* invites us to take note of the larger symmetrical, near-symmetrical, or far-from-symmetrical relationship that obtains between the exposition and the recapitulation. Since the word *rhythmos*, as I will use it, is meant to capture the length of each of these two rotations individually, I will use the term *composite rhythmos* to capture this larger, symmetrical relationship, this broader, “composite shape.” Hearing sonatas in this way opens up a discourse with many earlier formal analysts, since it invites a sensitivity to the differing treatments of symmetry in sonata forms, from its staunch preservations (so often maligned in Schubert), to its minimal perturbations (often heard as tasteful or artistic), to its radical Sunderings such as seem to be quite at odds with aesthetic tenets of “Classical balance.”<sup>70</sup> It also creates the

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<sup>69</sup> It follows from this that *rhythmos* is only applicable in cases that feature definitive recapitulations. It is explicitly not applicable in the Baroque binary forms (and the sonata forms that grow out of them) whose “recapitulatory rotations” do not begin with referential thematic material, and choose instead to dovetail onto that material at some later point. (See *Elements* (especially 353-355).) Hepokoski and Darcy refuse to call the second rotations of these types of sonatas “recapitulations,” preferring instead the term “recapitulatory rotation.” *Rhythmos* holds, then, only where a recapitulation is present.

<sup>70</sup> On symmetry in Classical form see again Morgan (1998), Smyth (1990, 1993), and Ratner (1980). A great many others, e.g., Rosen (1988 and 1998), Hepokoski and Darcy (2006),

possibility to conscript symmetry into our hearing of sonatas as “quest narratives” and to ask questions about its participation in the enacting of genres.

At this early stage, what is important is to note that by isolating the length and the manner of unfolding of these two rotations, we lay the foundations for a project that means explicitly to engage the comparison of recapitulations to their referential expositions. One recapitulation is slower, longer, more problematic than its referential exposition; another is faster, shorter, more hurried or energetic than its referential exposition; a third seems to respond to an overhasty expansion by enacting a series of calculated deletions. The notion of *rhythmos*, which, because it is tied up with rule-based repetition is more explicitly comparative than rotation, encourages us to hear each of the two participating rotations, as well as their combination into a composite shape, as metaphors for human movement and action and behavior. The notion of *composite rhythmos* thus serves as the foundation for a new approach to studying sonata forms, in line with my study of Schubert’s Lieder above. The baseline assumption is: because the notion of a large-scale, built-in musical repetition suggests, in the absence of any composerly intervention, a perfect symmetry of halves, a perfect periodicity, any deviations from this symmetry—whether governed by dramatic acumen or generic convention—is pregnant with interpretive meaning.

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Rothstein (1989), Grave (2010) presuppose symmetry (or one of its siblings—balance, proportion, concinnity) as a basic aesthetic category, if not an *a priori* cognitive constraint. “A common tendency toward symmetrical balance” (Smyth) was already theorized in the eighteenth and nineteenth centuries by Koch, Czerny, Reicha, Mattheson, Riepel, Marpurg and others (Ratner 1980).

### 1.3.3. Outlining the Approach and a Sample Analysis (Part I)

The addition of this temporal marker to the concept of rotation opens the doors to suggestive musical analyses. For alterations made to the inner workings of recapitulatory rotations often work hand in hand with the presented “content” of the instrumental work, exactly as in the case of the Lieder analyzed above. Oftentimes, as seen in our analyses of Lieder, “time-transformations”—recapitulatory deviations from the expositional *rhythmos*—seem to be pregnant with meaning. Other times, it is the stalwart preservation of *rhythmos*—a commitment to what Morgan (1998) calls “time symmetry”—that seems to be the focal point.<sup>71</sup> In other words, a recapitulation may alter the *rhythmos* of its referential exposition while preserving the specific order and layout of its themes. In fact many recapitulations do exactly this. But other recapitulations alter the thematic layout of its referential exposition while preserving its *rhythmos*.

In the interest of making perspicuous the way our analyses will proceed, I will briefly sketch examples of both possibilities. For an example of a *rhythmos* remaining unaltered amidst changes (however slight) in thematic material, we need only find a piece whose themes are changed or redistributed, but whose recapitulation (or the relevant portion thereof) takes the same amount of time to reach its goal as did its exposition.<sup>72</sup> Mild examples may be found in any piece whose recapitulatory TR is thematically recomposed, but manages to map back on to its MC and S *right on time*, as, for example, in the *Sturm und Drang* recompositions of Beethoven’s Overture to *The Creatures of*

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<sup>71</sup> Time-symmetry is not always achieved through unreflective repetition. Composers sometimes radically manipulate the inner workings of a recapitulatory rotation—shortening this module, lengthening that one—while being careful to preserve the total amount of time taken.

<sup>72</sup> This will grow into a script below, as the last strategy of Category 1. For a literary example, see again Bishop’s “One Art,” cited in n. 52 above.

*Prometheus*.<sup>73</sup> A more robust example can be found in the first movement of Beethoven's Septet, Op. 20, which features a substantially recomposed TR that does not even hark back to the earlier TR's violin theme, and yet reaches its crux, just before the recapitulatory MC, at exactly the projected time.<sup>74</sup> Schubert certainly knew both these pieces intimately. A more difficult example is found in Schubert's String Quartet in G Minor, D. 173, in which all of TR is quite radically and disorientingly recomposed, all the way up to and including the curious PAC MC, which nevertheless occurs *right on time*.<sup>75</sup> In each of these cases, the recapitulatory S could be a clock, a robot, an automaton, scheduled to appear *at a given time point*, not, as is more typically the case, *after a given event*. In other words, it matters little what precedes or prepares S; after a drastically recomposed recapitulatory TR and/or MC, it nevertheless enters right on time.

The converse situation would obtain in any recapitulation that made a *rhythmos-* alteration while preserving the ordered layout of its exposition's thematic material.

Examples of this phenomenon are easily adduced, since many sonatas make thematic

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<sup>73</sup> In the exposition of this piece, TR is a dissolving restatement; it begins at m. 29 and moves to a dominant lock at m. 41. The I:HC MC is articulated, with hammer blows, at m. 48, and S enters, *piano*, at m. 49. In its recapitulation, the onset of TR at m. 141 = 25 is coupled with an intense *Sturm und Drang* passage. The tonicization of  $\flat$ III, made possible by the collapse to the minor mode, moves around a grotesque, chromatic circle of fifths, from  $E\flat$  to  $B\flat$  minor to F minor, to C minor, ultimately locking onto the global dominant at m. 157 = 41, *right on time*. Although the  $\sharp$  alterations made to the dominant after the lock are to C minor, nevertheless they track the expositional layout *thematically*, and the MC, with hammer blows, is articulated at m. 164 = 48; S enters in C major at m. 165 = 49.

<sup>74</sup> The argument that TR is thematically recomposed here because it was sounded in the development (mm. 125 ff.) is available to analysts who want to make it; it removes none of the force of the current argument.

<sup>75</sup> It is possible to hear this movement as a Type 2 sonata, in which case the first half of the recapitulatory rotation would be under no obligation to track the measures of its referential exposition. However, it is just as possible that this is a Type 3 sonata with a short development and an off-tonic recapitulation, in which case these observations again have purchase. Other, even more difficult, cases arise, as the discussion of the wonderfully complex slow movement from Schubert's Piano Sonata in B Major, D. 575 in chapter 5 will attest.

changes in the recapitulatory TR, and since these changes often affect the recapitulation's *rhythmos*. To be clear, a *rhythmos*-alteration can be constituted by the addition or deletion of even a single measure.

A complex but nevertheless tractable example of a recapitulation's preservations and alterations of its exposition's referential *rhythmos* grounds these observations in some real music. The finale of Schubert's Second Symphony, a passage I refer to here and again in section 1.3.4, is maniacally committed to experimenting with hypermetrical alterations. Because of its many time-alterations, which seem to present a drama in which symmetry plays a central role, it serves as a good sample analysis. In the following, I use the movement to illustrate the types of analytic and hermeneutic claims attendant on adopting the new vocabulary and alignment.

In total, this recapitulation houses no less than five sets of recapitulatory alterations, four of which enact time-transformations of some variety. Its second half, beginning with the thematic alterations at m. 556, cuts material relentlessly, imparting a certain impatience or scuttle to the finish.<sup>76</sup> By the momentary resumption of thematic material at m. 601 = 186, four bars have been deleted; four more bars will be deleted between mm. 674 and 675 (= 259 and 264)), and a third four-measure chunk gets excised between mm. 702 and 703 (= 291 and 296).

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<sup>76</sup> These deletions lend to the movement the bustling verve of an overture, even if Hur (1992) and Einstein (1951) have heard its *first* movement in those terms; Hur (64) writes: "Schubert's practice in the symphonic works of this period reflects a treatment similar to that of the overtures. The first movement of Symphony No. 2 is a case in point. This movement is loosely constructed and written in the spirit of an overture, so that Einstein speculates 'whether it was intended originally as an overture and was only later expanded into a symphony'." Because they occur in C space—which is to say after the recapitulatory TR and onset of S (or the TMB, as Graham Hunt (2009, 86-87) would have it)—these are "postcrux thematic alterations."

HYPERBENT 1

1

2

3

Expo

Recap

m. 272

m. 273

m. 274

m. 275

m. 276

m. 277

m. 278

m. 279

m. 280

m. 281

m. 282

m. 283

m. 284

m. 285

m. 286 ..

m. 683

= 272

= 273

= 274

= 275

= 276

= 277

= 278

= 279

≈ 280

≈ 281

≈ 282

≈ 283

= 284

= 285

= 286 ..

$p_4$

$vii^{\circ} IV$

$V_4^6$

+6

3

Example 1.5. Comparative Example of Schubert, Second Symphony, Finale

Each of these deletions lops off four bars of what in the exposition were asymmetrical, 12-bar, triple hypermeasures, thereby enacting in an explicitly formal manner the hurried, bustling verve of the musical surface. But in a sea of deletions, all of which seem to want to normalize or duplize the piece's expositional triple hypermeasures, one single triple hypermeasure at mm. 683-694 = mm. 272-283 is *preserved*, even though its thematic material is slightly altered.

The thematic alterations shown in Example 1.5, which take the same amount of time as the referential expositional bars from which they deviate, are easy to describe: what were silences in the exposition are here barreled over by *fz* winds, brass, timpani (not shown), and the strings' frenetic tremoli, and what was in the exposition an augmented-sixth chord is intensified through a chromatic voice exchange. Through these chromatic and "phenomenal" intensifications, this 12-bar triple hypermeasure—the only one to be preserved amidst the recapitulation's intense acceleration regimen—nevertheless works in service of the bustling, energetic affect of the piece.

Harmonic and instrumental changes are not the only ones that occur in this passage of *rhythmos*-preserving thematic alterations. Notice the differing contours of the expositional and recapitulatory melody: the exposition's inverted arch gets turned upside down for its recapitulatory statement. (This type of melodic difference is common, even in recapitulations that make no *rhythmos* alterations.) Another, subtler difference should not escape notice: the "punched" quarter notes that occur on the downbeats of mm. 280 and 281 in the exposition as part of the augmented-sixth chord occur, not as part of the music that is equivalent to mm. 280 and 281, but later, as members of the cadential  $\frac{4}{4}$  chord, at mm. 695-696 = 284-285. Although this change does not disrupt the deeper

hypermeter, these two quarter note punches, which occur four bars *too late*, may afford an *illusion of expansion*, as if this passage might actually provide a quadruple hypermeter. Such a behavior would “equalize” one of the many four-bar deletions, and making the recapitulation follow the exposition more closely from this point forward.

But these observations say nothing in regards to *why* this single triple hypermeasure is preserved, all the more remarkable since both the phrase before and the phrase after lop off one of their hypermeasures (normalizing them?, duplizing them?, stripping them of their individuality?).<sup>77</sup> From the point of view of this passage alone—we will have reason to revise this hypothesis in a moment—we might understand the maintenance of this asymmetrical individuality amidst the sea of deletions as some stalwart or dogged preservation of identity. On this preliminary reading, there is something “other” about this tripleness that the recapitulation is trying to subdue, silence, or normalize out by deleting any unseemly asymmetries.<sup>78</sup> This single 12-bar excerpt, though it is constituted by different melodic and tonal material, refuses to be *rhythmically* altered in the face of the peremptory deleting or accelerating force of this recapitulation; should it therefore be championed for its solidity, for its refusal to conform?

The picture I’ve just painted, of the steadfast preservation of one triple hypermeasure in a recapitulation concerned with rushing toward its goal—of a single

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<sup>77</sup> The phrase before this one (mm. 667-683 = mm. 252-272), thematically equivalent to it, save its deletion of a hypermeasure at m. 675 = 264, serves as a nice foil: it points to the inner workings of the compression that might have, but did not, beset mm. 683-694. The phrase which occurs immediately after mm. 683-694, which I examine in more detail presently, lops off one of its hypermeasures by excising the exposition’s four-measure *Stillstand auf der Penultima* (mm. 292-295; shown below in example 1.6. For “*Stillstand*”—a Riemannian turn of phrase—see Rothstein (1989, 67).

<sup>78</sup> *Elements* tends to hear any “gratuitous” (my word; they use “superfluous”) postcrux (thematic) alteration in terms of a script of *normalization*, a position I problematize in Part II.

triple hypermeter as a heroine of sorts, refusing to give up her identity in the face of a homogenizing or normalizing force—does not tell the whole story of this finale. I will plug the passage back in to its surrounding context now in order to begin to show what “time-transformations” look like and how these might be understood to “stage” a dramatic scenario or narrative. A more synoptic view shows that each of the three four-bar deletions in the recapitulation, which I have characterized as imposing a capricious or over-excited will upon it, is in actuality *responding* to an earlier and opposite time-alteration. The thoroughly recomposed recapitulatory TR, which had transpired between m. 453 = 54 and m. 510 = 91, had added twenty measures to the ongoing *rhythmos*. In this new light, each of these four-bar deletions—rather than imposing some whimsical or maleficent will on the sonata’s symmetry—can be interpreted as trying to *restore* an originally projected but sundered balance. Their newfound hypermetrical symmetries in fact contribute to a restoration of the large-scale symmetry of the *composite rhythmos*. They give up some of their thematic identity in order to put the recapitulation into closer *rhythmic* relation with its referential exposition.

On this reading, an initial expansion—the addition of 20 measures—*inspires* these later deletions, which then try, piecemeal, to restore the sundered symmetry of halves. Heard in this larger context, the preservation of the triple hypermeter at mm. 683-694 = 272-283 seems to be a hitch or an inability—a crucial missed opportunity—instead of a staunch refusal to comply, a championing of individuality, a fidelity to oneself. If it had indeed succeeded in deleting its “extra” hyperbeat, the recapitulation as a whole would have resembled the exposition much more closely in size. This recapitulation, whose alterations can be represented as (+20, -4, -4, (-0,) -4), tries but fails to restore an

initially lost symmetry. In addition to the local “Overture-effects” created by its recapitulatory deletions, then, its larger recapitulatory behavior might also suggest any number of other narratives, including “effort and inability.”

#### 1.3.4. “Hearing-Against,” “Hearing-Through,” and a Sample Analysis (Part II)

In the foregoing I have used the term “hearing-against” freely, in characterizing my approach to recapitulations, but I have not defined it. This section, by providing a definition of hearing-against as well as sketching its theoretical and epistemological underpinnings, is prerequisite to more advanced analysis.

The notion of “hearing against a ground” hinges, of course, on what that ground is. For it is one thing to make the general and self-evidently true observation that in order to perceive difference I require something to perceive it against. It is another thing entirely to identify, explicitly, what may constitute that backdrop. It is likely clear from the foregoing that in this study, the notion of hearing-against is designed to capture hearing recapitulations *against* the thematic and tonal paths plotted by their referential expositions. The “ground” is thus always to be understood as an actual, “literal prototype” (Rothstein, 1981, 152) that has been heard before: the exposition. Hearing recapitulations against the referential, expositional ground is an exercise in perceiving the alterations that transpire in the recapitulation; it is an injunction to the listener and analyst to measure those deviations in the recapitulation explicitly against the expositional backdrop—in Brecht’s words, to “turn back to check a point.”

This listening habit and analytic behavior may seem straightforward—witness the similar language in *Elements*’s discussions of recapitulations—but it constitutes an important difference from those methods of analysis—often but not always

Schenkerian—that tend to *hear-through* to an “ideal” or “hypothetical” or “normative” ground.<sup>79</sup> The theoretical distinction between “hearing-against” and “hearing-through” points to major differences in the presuppositions of different schools of analysis as well as pointing to major differences in ways of hearing. As such, it demands attention.

William Rothstein (1989, 102), in a passage designed to show “the consequences that the study of phrase rhythm may have for the study of form,” advocates for “hearing-through” to a hypothetical, or ideal prototype—the classically symmetrical 8-bar phrase—whether it exists in the music or not.<sup>80</sup> The bias leads to an emphasis on expositions, because, as he puts it, “they [vary] less than the other two sections, making generalizations easier” (113).<sup>81</sup> And it influences many of his central concepts, such as the notion of basic length, “the total length of all the basic phrases in the piece—that is, the length of the piece once all of its expansions are omitted, its contractions are filled out, and any measures lost to metric reinterpretation are restored.”<sup>82</sup>

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<sup>79</sup> The distinction between “hearing-against” and “hearing-through” is captured in Oster’s footnote to §297 of Schenker (1979). Rothstein (1981, 152 ff.) glosses Oster (glossing Schenker) thus (162): “A metric prototype may occur literally in the composition, such that ‘prototype and derivation follow one another in direct succession’; or it may be implicit, determinable only from an earlier structural level. These two classes of metric prototypes will hereafter be referred to as foreground and middleground prototypes respectively. ... The middleground prototype is a purely ideal metrical construct, based primarily on the tonally-determined rhythmic norm of a middleground progression.” My notion of “hearing-against” thus emphatically instantiates Rothstein’s (Oster’s) foreground prototype.

<sup>80</sup> Hearing-through to an ideal ground, metrically, tonally, harmonically, has a long history. Rothstein’s appropriation of the 8-bar phrase model owes a debt to Riemann, of course, but earlier theorists, too, heard-against a hypothetical phrase-norm. Kirnberger’s notion of echo-expansion, for instance, already presupposes a hypothetical 4-bar phrase: for him, if a passage echoes the last bar of an *existing* 4-bar phrase it is *extra*, or outside the piece’s phrase rhythm, (4 bars + echo). But, if it echoes the last bar of an existing 3-bar phrase it counts as the missing fourth bar (3 bars + “necessary” 4<sup>th</sup> bar). In one case, the expansion is an embellishment; in the other case it is necessary to the structure. See also Rothstein (1981, 75 ff.).

<sup>81</sup> Rothstein’s book only considers expositions, for this reason.

The Schenkerian tradition tends to “hear-through” to both 8-bar phrases and normative middleground voice-leading paradigms.<sup>83</sup> Indeed, Rothstein (1989, 65) used exactly this locution in order to capture the hearing of asymmetrical hypermeters in terms of their hypothetical 8-bar counterparts: “in many instances we can ‘hear through’ the expansion to the underlying hypermeter without much difficulty. At other times greater effort is required.” Frank Samarotto (1999, 225), in an article on two Trios from Beethoven’s piano sonatas, offers something of a credo for the approach: “the expansion in [the Trio of Op. 27/2] *does not derive from a prior model given earlier in the piece, a model of the sort that Rothstein has called a foreground prototype; one must assume an unexpanded model in the middleground.*”<sup>84</sup>

Crucially important here is the ideality of the duple background, which is lurking behind any number of possible middle- and foreground irregularities. Samarotto (229-231) writes in terms of two separate “realms”:

The equalization that results in level x represents the element of equilibrium, derived in principle from the ideal world of species counterpoint, the realm of

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<sup>82</sup> “Basic phrase” is defined on page 64; “basic length” (and the quotation above) appears on page 106. Rothstein’s concepts get somewhat muddled when he hears-through to constructs other than the normative 8-bar phrase. One difficulty arises in separating what is actually heard from what is expected, a construct to which he appeals *passim*. A more serious one crops up when he appeals to the notion of the Schenkerian voice-leading background, e.g., p. 64:

If a transformation is to be perceived, the original and transformed versions of the phrase must be heard as different representations *of the same thing*. That “thing,” in Schenkerian terms, is the structural skeleton common to both phrases (including a rhythmic pacing of events that is closely similar in some corresponding parts of the two phrases).

<sup>83</sup> This is not surprising: hearing-through is the inverse action of Schenker’s “retardation of the background progression through the voice leading transformations of the middleground and foreground” (§30) and his concept of *Inhaltsmehrung* (§297). See Rothstein (1981, 150).

<sup>84</sup> Emphasis added. The Rothstein he mentions is (1981, 150-180).

logical relation. The G $\flat$  expansion represents the element of disequilibrium, from the unmeasured world of free improvisation, the arena of performative action.<sup>85</sup>

But most telling for the difference between hearing-through and hearing-against in Samarotto's account is the fact that neither of his analysands—the Trios from Beethoven's Op. 27/2 and Op. 110—features a thematic reprise. Hearing-against, as I have defined it, is therefore not even a possibility here. There is no “literally expressed” “foreground prototype.”

One way to define hearing-against, then, is negatively, in contradistinction to the notion of hearing-through. Framed in Schenkerian terms, hearing-against is quite simply hearing a passage of music against a foreground-, rather than a middleground- or background prototype. Attending the difference is an enfranchising, so to speak, of the surface dissimilarities that accompany these large-scale repeats. Out of the difference between hearing-through and hearing-against arises the possibility to make the subtle differences in length between recapitulations and their referential expositions the central component in a theory of form.

The difference in the two alignments is also crucial for the ways of hearing they encourage, and the types of interpretive claims they engender. Where Rothstein and others have been interested in cutting expansions, filling out contractions, all in service of the hypothetical 8-bar norm, I am interested in understanding the deviations, in later rotations, from the “literal,” stated “norm” as dictated by the exposition. Where he is interested in hearing any deviations from the 8-bar norm in initial rotations, I am interested in hearing any deviations from the exposition in the recapitulation. Where he

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<sup>85</sup> Rothstein (1981, 62) appeals to “psychological time”: “The relationship of a middleground prototype to its expansion is a relationship in depth, or in purely psychological time; one must hear through the surface rhythm to the underlying norm, without the benefit of a literally expressed prototype.” [His emphasis.]

is interested in considering only those passages in expositions that reduce to tonally stable, hypermetrically duple prototypes, I am interested in hearing all the parts of a later rotation against all the parts of its referential rotation.<sup>86</sup> Rothstein's *norm/deviation* model works at the level of a corpus or larger, while mine works—for the moment at least—at the level of the individual work.<sup>87</sup>

A passage from the recapitulation of the finale of Schubert's Second Symphony sheds light on the interpretive and "epistemological" differences between hearing-through and hearing-against.

The image shows two musical staves, 'Expo' (m. 284) and 'Recap' (m. 695), both in 2/4 time. Above the Expo staff, three hypermeasures are marked: 'HYPERMEASURE 1' (measures 284-291), '2' (measures 292-299), and '3' (measures 300-307). The Expo staff begins with a chord labeled '= V'. A bracket under measures 292-307 is labeled 'Stillstand auf der Penultima (+4)'. A box labeled 'I' with 'V:PAC' and 'EEC' below it is connected to the end of the Expo staff by a dashed line. The Recap staff begins with a chord labeled 'V'. A bracket under measures 695-702 is labeled 'Stillstand auf der Penultima (-4)'. A box labeled 'I' with 'I:PAC' and 'EEC' below it is connected to the end of the Recap staff by a dashed line.

Example 1.6. Comparative Example of Schubert, Second Symphony, Finale

<sup>86</sup> Regarding this last, see Rothstein's (1989, 99-100) borrowing of Riemann's distinction between "theme" and "non-theme" passages.

<sup>87</sup> Later, we will be interested in how recapitulation scripts might be deployed according to conventions within corpora. For an interesting example of hearing a song by Schubert against a ground that is neither the expositional layout nor an ideal musical norm, see Clark (2011, 61), who hears Schubert's *Ganymed* against a previous setting by Reichardt:

Rather than the background structure being some theoretical model or principle of monotonicity, I argue that the proper background structure" of Schubert's harmonic structure is Reichardt's. ... It is by comparing Schubert's song to his predecessor's, rather than to established theoretical models, that we catch a glimpse of what must have sounded fresh and novel about Schubert's harmony to his first listeners—and disconcerting to his first critics.

Example 1.6 shows the immediate continuation of the music represented in Example 1.5. (Note the representational differences: here, I have not aligned the recapitulatory cadence with its expositional counterpart; instead it is notated exactly as it appears in the score, in order to call visual attention to its occurrence *early*, relative to the exposition.) Example 1.6 shows one instance of what I called the “normalizing” transformation—the duplizing, in the recapitulation, of what was in the exposition a triple hypermeasure. For Rothstein, who is interested in any phrase-rhythmic deviations from the 8-bar norm in the exposition only, the twelve-bar, triple hypermeasure at mm. 284-295 would be an expansion of an underlying 8-bar, duple hypermeter. He would certainly hear the *Stillstand auf der Penultima* that makes up the third hyperbeat as at bottom an “expansion by composed-out deceleration or fermata.”<sup>88</sup> The passage as a whole is thus easily reckoned a structural enlargement of Riemann’s concept of “‘Takttriole’ or ‘triplet of measures,’ in which three measures take the place of two.”<sup>89</sup> Rothstein would hear-through the deceleration in the exposition to the underlying duple hypermeter.

There is much to praise in this analysis, which has something to say, too, about the recapitulatory treatment of the same bars: the limping, asymmetrical, or off-kilter triple hypermeasure of the exposition is normalized in the corresponding recapitulatory measures. On this powerful interpretation, which has much in common with *Elements*

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<sup>88</sup> Rothstein (1989, 80) writes that such decelerations were “discussed in some form by almost all of our rhythmic theorists from Kirnberger on.”

<sup>89</sup> Schenker, too, used the word *Takttriole*, although not, apparently, to capture the same phenomenon; see Samarotto (1999, 231-2 n. 18).

preferred script of recapitulation-as-normalization,<sup>90</sup> Schubert is “showing us” the prototype, the unexpanded phrase, in the later rotation, just as in the exposition he is showing us how to expand it through Riemann’s (and others’) concept of the *Stillstand*.

The current project, rather than hear the expositional layout as a “deformation” from the ideal duple (or 8-bar) norm, hears the recapitulatory iteration of this thematic material “against” its longer, expositional prototype. *Ex hypothesi*, this portion of the recapitulatory rotation *is shorter than* its referential ground, *stages an acceleration*, achieves the EEC “too early,” and so on, despite the fact that it features perfectly duple hypermeter, and this has not a thing to do with whether the exposition contains “expanded” phrases.

There are meaningful differences in attendant interpretations: On Rothstein’s reading, the recapitulation moves toward enhanced normativity—the fact that these hypermetrically “extra” or “lopsided” bars are deleted in the recapitulation is not tremendously important, because even in the exposition we recognized them as somehow superfluous. Schubert’s recapitulation, on this reading, shows us how to make normative what was in the exposition an expanded phrase, but he needn’t have: an analyst of hypermeter could easily have shown the underlying 8-bar norm. Hearing-against works differently: in that approach, the lopsided, liting, or asymmetrical bars *are taken as the norm* for this piece, since they occur first, and since they provide the unique referential ground against which I hear any later deviations. Schubert here stages not a normalization, but an *acceleration*; he does not show the ideal, underlying norm or ground, he *disturbs it*.

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<sup>90</sup> *Elements* (238): “The recapitulation should be construed as a planned response ... to generic structural issues that had cropped up in the exposition, with the aim of moving the recap in the direction of an enhanced normativity, improvement, or clarification.”

In my theory, then, the exposition is crucial because in plotting a broadly *rhythmic* layout it provides a “ground” for the recapitulation to be *heard-against*. It leaves a trace, or residue, on the recapitulation; it provides an injunction to hear any recapitulatory deviations from its *rhythmos* as meaningful. Its actual—not “basic”—length is the ground against which we (are to) hear the recapitulation. The exposition serves as the “norm” for the individual work. It creates, thematizes, and passes on to the recapitulation a set of particular compositional problems, which the recapitulation can then respond to in a number of individual ways (not only by normalizing, correcting, or clarifying). But the recapitulation, as the site of the deviations from this length and layout, is the focus of inquiry. It is privileged because of all the rotations in a sonata, it is the only one that is explicitly modeled upon, and heard-against, the expositional rotation.

#### 1.3.5. Rhythmos, Meter, and Symmetry

A final stipulation about the notion of *rhythmos* brings the end of this long excursus, and that is that it should not be taken as metrical. In introducing it I do not claim that we entrain to spans as large as entire sonatas metrically, in the sense given that term by the cognitive empirical theorists.<sup>91</sup> I only claim that we may discover in these very large spans a meaningful treatment of time-alterations (or preservations), a deliberate and reasoned approach to recapitulatory proportions. My claim is that sensitivity to subtle alterations, even in very large spans, carries with it the possibility for new analytical, historical, and interpretive claims.

The notion that even very large spans can be understood in terms of “rhythm” (not meter) is neither new nor radical. The term “rhythm,” descendent of *rhythmos*, has long

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<sup>91</sup> E.g., London (2004), Krumhansl (2001), Huron (2006).

been used in similar ways.<sup>92</sup> David Smyth, for instance, reacting against a position taken by Dahlhaus, refers to what he calls “deep-level rhythms” in the following way:

Surely our delight in musical architecture springs in large part from an appreciation for the patterned recurrence of proportionally related formal segments, both small and large. To invoke (as architects and visual artists do) the notion of “rhythms of repetition” when dealing with musical forms does not seem unduly fanciful or at all misguided. While there may be good reasons to question theories of large-scale rhythm, proportional relations, and hypermeter, to renounce utterly the possibility that *some* principle of rhythmic correspondence may extend beyond the scope of the period—may, indeed, encompass entire movements—could lead to an impoverished understanding of form and to seriously mistaken notions concerning the importance of repetition.<sup>93</sup>

Smyth, who is interested in identifying large-scale grouping structures à la Lerdahl and Jackendoff, and their deployment in the service of symmetry, explicitly distances his project from the metrical and hypermetrical analysts, noting (1990, 246) that “exact proportional schemes and perfect symmetries in formal designs project deep rhythms of another variety.” Even though I require neither exact proportional schemes nor perfect symmetries—if Smyth’s is lacking it is precisely because it limits itself to these exact “time-symmetries”—it is exactly this “other variety” of “deep-level rhythm” that my concept of *rhythmos* means to engage: “the deep, slow rhythms ... that while not necessarily metrical, can be highly coherent” (1990, 246).

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<sup>92</sup> For a historical theorist, see e.g., Kollmann’s (1796) claim regarding “compound rhythm, which is the connecting of 2, 3, 4, or more measures into a rhythmical period. ... From the above compound rhythm there now arises double compound rhythm, when two or more periods are united into a section or principal part of a piece. And two or more sections, united, create triple compound rhythm, or a whole piece.” Cited in Ratner (1949, 165).

Adorno ([1971] 28) uses “overall rhythm of form” to describe “the movement of the whole”; he compares Mahler to Schubert in the same passage.

<sup>93</sup> Smyth (1993, 76). “Rhythmic correspondence” is from Dahlhaus (1989b, 249). Dahlhaus’s prohibition against any theory of form that hears rhythmic correspondence “beyond the scope of the period,” as he puts it, is sidelined here 1) because it seems he is reacting against *meter* only, and not the types of large-scale grouping structures Smyth and I hear; and 2) because the notion of *rhythmos* is not a theory of form, only a theory of one neglected aspect of it.

Other aspects of *rhythmos* resonate with other precedents, recent and distant.

Rothstein (1989) reminds us that “length-altering transformations,” no matter the level of structure, are “among the most fascinating and challenging rhythmic phenomena in tonal music. They have been recognized by theorists since at least the eighteenth century and have been exploited by all of the great tonal composers.” But *rhythmos* has precedents anywhere the pervasive “classical” aesthetic notions of symmetry, balance, proportion, or concinnity are identified as hallmarks of the music under consideration.<sup>94</sup> As Smyth puts it, “the very epithet ‘Classical’ rings with implications of balance and symmetry.”<sup>95</sup>

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<sup>94</sup> See again n. 70. Rosen commonly appeals to the abstract notions of symmetry, balance, and proportion in order to capture the deepest “rhythms” of a piece of music. He hears, for instance, the enormous, 52-bar periodicity of sequence blocks in the development of the first movement of Schubert’s E-flat Piano Trio, D. 929 in explicitly *rhythmic* terms: “This large-scale rhythmical organization is related to the eight-bar period so often imposed on the musical flow throughout the nineteenth century like a slow beat that controls the flow” (1988, 276). As mentioned, Rosen’s appeals to proportion are often permissive and applied ad hoc; see, e.g., (1988, 295-296). Without discounting Rosen’s hearing, my notion of *rhythmos* nuances his appeals to proportion and balance by limiting them to the exposition and the recapitulation.

<sup>95</sup> “Symmetry,” as an abstract aesthetic desideratum, is an extremely important concept; it “appears in classic music on every level of structure, from paired motives, phrases, periods, to larger sections of a movement” (Ratner 1980, 36). The aesthetic foundations of symmetry and its history in music criticism lie outside the scope of this project. Still, consider that Rothstein (1989, 100 ff.) calls symmetry “one of the foundations of the Classic style,” and an “inherent quality,” and “a psychological predisposition. Morgan (1) writes that “formal analysts ... while not inclined to submit symmetry itself to serious scrutiny, have always attended to symmetrical correspondences,” and calls symmetry a “deep-seated human need for design and order.” Rosen invokes “proportion” and “balance”—both manifest and concealed—more frequently than any other aesthetic tenet or compositional resource. Grave (2010, 148) reminds us that “the Mozart we know best is the master of concinnity, congruence, and sublime equilibrium.”

Hepokoski and Darcy invoke balance and proportion frequently, at different levels and in regards to different formal locations; see, e.g., (180): “C might have been of a certain length to make *the rough balance* between part 1 and part 2 of the exposition.” And (15) “considered generally, [sonata form] could be understood as an abstract metaphor for disciplined, *balanced* action in the world.” And (252) “[a sonata] is ‘perfect’ because (unless artificially blocked from achieving the goal) it typically accomplishes the task elegantly, *proportionally*, and completely.” And (15) “sonata form emphasized short-range topical flexibility, grace, and forward-driving dynamism combined—in both the short and long range—with balance, symmetry, closure, and the rational resolution of tensions.”

Adorno ([1971] 1996 52) cautions against the notion of symmetry in music: “Musical time, unlike architecture, permits no simple relationships of symmetry.... What happens must

The notion of the *composite rhythmos*, in comparing the size of recapitulations to their referential expositions, encourages engagement with notions of proportion, symmetry, and balance, and I will invoke those notions in later chapters to show their intersection with my taxonomy of recapitulations. But though it may highlight a piece's (or set of pieces') interactions with symmetry, *composite rhythmos* does not presuppose exact symmetry as desirable, or perfect. Rather, it demands a critical engagement with symmetry; it invites us as analysts and listeners to give dramatic, generic, and historical criteria as much for any perturbations of symmetry as for its staunch preservation.

#### 1.4. Conclusions, Beginnings

In what follows I will be interested in putting to work, in the context of eighteenth- and nineteenth-century instrumental music, the ideas developed in this chapter. By molding these musings into a taxonomy of recapitulations and by focusing on the interpretations that get kicked up by that act, Part II constitutes the main, theory-building part of this study.

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always take specific account of what happened before.” Cf. however pp. 62-63 of the same text, quoted above in the Introduction, n. 8.

# PART II:

## SCHUBERT'S RECAPITULATION SCRIPTS

## CHAPTER 2

### INTRODUCTION TO RECAPITULATION SCRIPTS

- 2.0. A Zero Module
- 2.1. A General Introduction
- 2.2. Recapitulatory TR: The Crucial Interface?
- 2.3. A Narrative Emphasis
- 2.4. Scripts, Plots, and *Mythoi*
- 2.5. Introduction to Part II
- 2.6. A Note on Parageneric Zones and “CRI”
- 2.7. A Note on Repertory Chosen

In the master composers we accept as axiomatic the idea that ... altered recapitulations cannot be arbitrary or meaningless. Instead, the recapitulation should be construed as a planned response—the devising of a new strategy—to generic structural issues that had cropped up in the exposition, with the aim of moving the recap in the direction of an enhanced normativity, improvement, or clarification.<sup>1</sup>

Since the expression [in sonata forms] lay to a great extent in the structure itself, it did not need to be enhanced by ornamentation or by a contrast of solo and tutti: it could be dramatic without the accompaniment of words and without instrumental or vocal virtuosity.<sup>2</sup>

Awareness of form does two things simultaneously: it gives a sensuous pleasure independent of the “content,” and it invites the use of intelligence. ... Ultimately, the greatest source of emotional power in art lies not in any particular subject-matter, however passionate, however universal. It lies in form. The detachment and retarding of the emotions, through the consciousness of form, makes them far stronger and more intense in the end.<sup>3</sup>

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<sup>1</sup> *Elements* (238).

<sup>2</sup> Rosen (1988, 12).

<sup>3</sup> Sontag ([1964] 1966, 179 and 181).

## **2.0. A Zero Module**

*Chapter 1 showed that some analysts make claims about the size and shape of individual rotations and also, specifically, of recapitulations heard against their expositional ground—here a P theme is a bloated lyric binary form; there S happens twice; here a repetition is cut out of the recapitulation, making it “streamlined”; there, alterations make for a recapitulation larger than its exposition. But the approach remains ad hoc: we have not asked how tonal and thematic alterations affect the recapitulation per se. What are the norms for the locations and types of thematic and tonal alterations made in a reprise or recapitulation? What impact do alterations have on my perception of the movement as it unfolds in time? How do they influence its expressive or dramatic narrative? How do they interact with different instrumental genres? This chapter, an introduction to the notion of “recapitulation script” and to Part II as a whole, divides recapitulations into three categories, based on the number of *rhythmos*-alterations they contain. Each of the next three chapters then examines one of these categories. Emphasis is given to the interaction between form, genre, and meaning. By pointing to (or “naming”) recapitulatory alterations as a source of (interpretive, generic) meaning, we for the first time “bring them into word and to appearance.”<sup>4</sup>*

### **2.1. A General Introduction**

Building from the discussions of *rhythmos* and hearing-against put forth in Part I, Part II of this study takes off from the observation that all recapitulations participate, to a greater or lesser degree, in a large-scale, “binary” symmetry with their referential expositions. Some recapitulations stand in an exact symmetrical relation with their expositions—they make not a single thematic alteration that “takes time,” or alters the projected *rhythmos*. As we saw in the finale of Schubert’s Second Symphony (as well as in his “Erster Verlust” and two of the *Müllerlieder*), other recapitulations do feature one or some thematic alterations that take time, that alter the recapitulatory *rhythmos*. These *rhythmos*-alterations or their lack will be the main focus here.

In what follows, recapitulations are divided into three discrete categories. These categories are based on the number of time-alterations that they contain, from none

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<sup>4</sup> Heidegger (1971, 71): “Only this naming nominates beings to their being *from out of* their being. ... This projective announcement forthwith becomes a renunciation of all the dim confusion in which what is veils and withdraws itself.”

(Category 1), to one (Category 2), to more than one (Category 3). By calling attention to the different ways that recapitulations enact their time-alterations, the broad tripartite division is designed to capture the different possibilities for the staging of dramatic and temporal narratives. Each category is then subdivided into a number of “recapitulation scripts,” or individualized strategies for making thematic alterations. Central to my enterprise is the conviction that each recapitulation script—each formal-structural strategy of making time-alterations—carries with it hermeneutic, historical, and generic baggage. Each compositional strategy is suggestive of particular narratives and genres.

Figure 2.1 is a chart of the possible recapitulation scripts. It is divided into three columnar categories which map the three possibilities for time-alterations (zero, one, more than one). Each of the three categories is then subdivided into the more specific “scripts,” which are designed to model the particulars of individual approaches to recapitulatory alterations. The first script in the Category 1 recapitulation is the much-noted “lazy” version of the subdominant recapitulation—for instance the famous case of the finale of the “Trout” Quintet, D. 667—in which no pitch is altered, and the recapitulation looks exactly like the exposition, down to the details of its tonal form. The first script under the “cut” column of Category 2, by contrast, captures the single acceleration that characterize the recapitulations of “Erster Verlust” and the two *Müllerlieder* examined in the last chapter. And the first script in the final, more involved, Category 3 creates a narrative of “compensation,” as when a later alteration seems to try to “make up for” an earlier one by pushing the recapitulatory *rhythmos* in the opposite direction.

CATEGORY 1 RECAPITULATIONS		CATEGORY 2 RECAPITULATIONS		CATEGORY 3 RECAPITULATIONS	
TAKE NO TIME (surface changes (ornaments, contour changes, instrumentation, etc.) are always possible; referential measures may replace correspondence measures)		ADD	CUT	MORE INVOLVED SCRIPTS	
<p>Three <i>Transpositionsreprise</i>: Same size, same shape</p> <ol style="list-style-type: none"> <li>1. Subdominant Recapitulation (or equivalent)</li> <li>2. Tonic Recapitulation; Alterations in Silence</li> <li>3. Tonic Recapitulation; tonal alterations in Recapitulatory P or TR, but preserves correspondence or referential measures</li> </ol>	a. bifocal close strategy	<ol style="list-style-type: none"> <li>1. One alteration only, + x               <ol style="list-style-type: none"> <li>a. Minimally different, + 1</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. One alteration only, - x               <ol style="list-style-type: none"> <li>a. Minimally different, - 1</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. <i>Compensation</i> (later thematic alterations reverse the effect of an initial alteration)               <ol style="list-style-type: none"> <li>a. <i>Two-alteration recapitulations</i>: one single response ((+, -), or (-, +))</li> <li>b. <i>Three-or-more-alteration recapitulations</i>: a series of responses ((+, -, ...)) or (-, +, ...))</li> <li>i. restores symmetry perfectly, ((+x, -x), or (-x, +x))</li> <li>ii. too-little-too-late ((+x, -(x - n)), or (-x, +(x - n)), where <math>x &gt; n &gt; 0</math>)</li> <li>iii. eclipses symmetry ((+x, -(x + n)), or (-x, +(x + n)), where <math>n &gt; 0</math>)</li> </ol> </li> </ol>	
<p>Thematic Alterations: Same size, different shape</p> <ol style="list-style-type: none"> <li>4. Thematically recomposed P or TR, but nevertheless tracks <i>temporally</i>—abandons <i>correspondence</i> and <i>referential</i> measures</li> </ol>		<p><b>STRATEGY</b></p> <ol style="list-style-type: none"> <li>1. by repetition (at the same pitch level)</li> <li>2. by sequence (repetition at a different pitch level)               <ol style="list-style-type: none"> <li>a. by repetition of multiple referential measures, <i>en bloc</i> (backing up)</li> <li>b. by repetition of a single referential measure (stasis)</li> </ol> </li> <li>3. by composing new material</li> </ol>	<ol style="list-style-type: none"> <li>1. deletion of originally repeated material</li> <li>2. deletion of non-repeated material</li> </ol>	<ol style="list-style-type: none"> <li>2. The mono-operational recapitulation (only + or only -)</li> </ol>	

Figure 2.1. Chart of Recapitulation Scripts.

These more involved “compensation-scripts” cast time-alterations as agents in a drive towards symmetry, giving new meaning to the trope of the “sonata as quest narrative.”<sup>5</sup>

Figure 2.1 is also, in essence, the map of the entirety of Part II of this study, since its three columns correspond to the subjects of the next three chapters, and since those chapters proceed downwards through the different scripts, theorizing and providing examples of each in turn. At the heads of the next three chapters, I will include (as Figures 3.1, 4.1, and 5.1) a detailed chart of the relevant portion of Figure 2.1, so that readers may orient themselves to the shapes of the recapitulations that are to come in those chapters.

The course of the entirety of Part II is easy to chart: in each of the following three chapters, I isolate and examine each of the categories in turn, building the entire figure, column by column, recapitulation script by recapitulation script. Before casting off, however, there are some important preconditions to consider. First, we need to establish that *thematic* alterations, different from their tonal counterparts, can happen anywhere, not just in the recapitulatory TR. For this we will revisit some of our observations about “obligatory” versus “superfluous” recapitulatory alterations and the categorial issues surrounding alterations and the crux. Second, we need to establish more precisely the relationship between the formal claims I tend to make and the expressive and generic meanings they suggest. Third, I will clarify my use of the term “script.” Fourth, I will discuss formally the role of paragenetic zones—such as slow introductions, codas, and

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<sup>5</sup> See *Elements* (251-252). For three pieces illustrative of the differing degrees of success in restoring an originally sundered symmetry, see the first movements of Schubert’s Fifth Symphony, D. 485, his “Rosamunde” Quartet, D. 804, and his “Death and the Maiden” Quartet, D. 810, all analyzed in Chapter 5.

CRI—*as potential candidates for *rhythmos*-alterations.*<sup>6</sup> Finally, I include a note on the logic governing my choice of repertory.

## 2.2. Recapitulatory TR: The Crucial Interface?

Since this is a project concerned with size and shape, with *rhythmos*, as defined in the last chapter, *thematic* alterations—especially time-altering ones—take center stage. Indeed, these are the criteria on which membership in my three categories is based. Insofar as *rhythmos* is a thematic concept, unaffected by a sonata's tonal behaviors, this study is thematically biased.<sup>7</sup> This is not at all to say that tonal alterations are unimportant, either for understanding how (a) sonata works from a formal perspective, or for affording suggestive interpretations. But it is to identify that tonal alterations seem to have been the focus of most studies of form, perhaps because (unlike thematic ones) they are obligatory, except in extreme cases, and (also unlike thematic alterations) because they conventionally take place within one particular action space—the recapitulatory TR.<sup>8</sup>

Because of my self-professed thematic bias, it is important to note the extent to which tonal concerns will factor into the analyses given in the next three chapters. For to say that tonal alterations are typically “obligatory” is not at all to say that they are for that reason deployed by composers *pro forma*. They are not the same in every case, and the way they are used in an ongoing sonata narrative is often sophisticated, meaningful, and

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<sup>6</sup> The term “parageneric” and the initialism “CRI” are from *Elements* (281 and 288-292).

<sup>7</sup> In its thematic bias *rhythmos* is again like Sonata Theory's concept of rotation. Although it can sometimes seem like tonality is somehow “built in” to the concept of rotation—if not initial ones, through the idea of tonal norms, then at least later ones, as they respond to the tonal moves of earlier ones—*Elements* reminds us (612) that “within a sonata, tonality is irrelevant to the task of identifying the rotational principle.”

<sup>8</sup> The extreme cases are those in which the recapitulation begins the same distance below the tonic as the exposition ended above it. Tonal alterations do not *always* transpire in the recapitulatory TR; however, they overwhelmingly tend to precede S.

individualized, tailor-made. Tonal alterations, since they are tied up with such rigorously limited norms of tonal form—almost all musical forms in any genre trace a very small number of tonal paths (*ecce* Schenkerian theory)—have properties that thematic alterations simply cannot have. They can, for only one instance, cause the need for later tonal alterations down the line, thus seeming gratuitous, inutile, or impotent. Just think of how often we invoke the notion of the “wrong key,” and how meaningful that notion seems to have been to composers with wit or a taste for the dramatic. Many of these properties—again, think of the “wrong key”—have enormous hermeneutic potential. Tonal alteration strategies play a big role in my early theorizing—an interlude in Chapter 3 addresses the relevant points—and they continue to play a role in the analyses that follow. Still, my main focus will be on the way that tonal alterations work in service of the ongoing recapitulatory *thematic* discourse of cuts and additions, backings-up and leapings forward—in short, how they contribute to the preservations and alterations of *rhythmos*.

Different from their tonal counterparts, thematic alterations are not “obligatory.” They may happen anywhere in the recapitulation, and they may not happen at all. Because of the focus on thematic alterations, the recapitulatory TR no longer occupies the privileged position that it does when tonal alterations are the focus of inquiry; it becomes only one of many loci of interest. To put it axiomatically: while thematic alterations (whether they preserve or alter the referential *rhythmos*) may be governed by generic convention or narrative impulse, they are certainly not governed by *formal* necessity.

It is worth (re-)emphasizing that, as we saw in the last chapter, *Elements* is thus less clear than it could be when it writes (241) that:

precisely because they are generically unnecessary, any substantial changes made in the expositional pattern after the crux are of great interest. These might include omitted repetitions, shortened or slightly recast themes, added bars, and the like. ... Unlike precrux alterations, they are ruled neither by necessity nor by adherence to a generic norm. Postcrux alterations are self-conscious decisions on the part of the composer, overriding the “easy” mere transposition.”

For one, this use of “postcrux” implies a strictly thematic category, while “precrux” subsumes both tonal and thematic alterations. For two, this means that the crux is perforce a tonal phenomenon. (See again Chapter 1.) At the risk of belaboring the point, the relevant parts of this excerpted passage might be emended: “no *thematic* alteration—pre- or post-crux—is necessary in the way that a tonal one is; *every* thematic alteration is the result of a self-conscious decision on the part of the composer.”

To put it another way, tonal alterations can take place *in silence*, as numerous examples (from Category 1.2) below attest; they demand absolutely no *rhythmic* deviation from the referential layout, in the sense given that adjective in the last chapter.<sup>9</sup> And even where tonal alterations are thematized—as they often are (e.g., Category 1.3)—melodic contour, rhythm, instrumentation, and length can all be preserved underneath them. There is thus no reason to assume that they are the motivating factor for any thematic change that “takes time.”

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<sup>9</sup> Caplin’s assertion that “If the original transition is nonmodulatory, a tonal adjustment is not necessary, and the transition may even retain its original structure” (1998, 163) seems misguided to me. For it overlooks the tonal adjustment that takes place in the space between the I:HC and the I:S-theme. The “tonal adjustment,” to use his locution, takes place in the silence of the MC gap.

### 2.3. A Narrative Emphasis

Of course, scholars are aware of the differences in kind and location between tonal and thematic alterations, and many have observed that the types of thematic alterations that tend to happen in the recapitulatory TR are the same as those that happen elsewhere in the form. A good way to clarify my approach is to glance at the work of one scholar who has been sensitive to these differences from a formal—but not narrative or generic—perspective, and to frame my work in relation to his.

William Caplin's *Classical Form* offers a short formal(ist) consideration of the *types* of thematic alterations that might occur in the recapitulation, even if he does not explore why, expressively speaking, these changes might be made. He reminds us (163) that thematic alterations that “are regularly encountered [in the recapitulatory TR] are similar to those discussed for the main theme.”<sup>10</sup> These include deletions—of (“redundant” or “unnecessary”) thematic restatements and other material—and expansions—especially through “model-sequence” technique.<sup>11</sup> Still, Caplin is largely unconcerned with the expressive or connotative effect such alterations may have on a

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<sup>10</sup> See also page 165: “This form-functional fusion [between P and TR] is often accompanied by the same alteration techniques used for both main themes and transitions, such as deleting unnecessary repetitions, adding new model-sequence technique, and emphasizing the ‘flat’ tonal regions.”

<sup>11</sup> The categories “redundant” and “unnecessary” (as well as *Elements*'s “superfluous”) seem to me to be flawed, based as they are on approaches to music analysis that are historically contingent (at any rate), and probably anachronistic as well. I will never use the word “unnecessary” to discuss repetitions, or “redundant,” to discuss deletions, whether in initial or later rotations. My sentiment is captured in *Elements* (258): “One supposes that the composer's goal was to avoid the redundancy of double-stated P-modules in the recapitulation, even though that had not been considered a problem in the exposition.... This is cogent reasoning, but it is uncertain whether composers around 1800 would have shared the later-nineteenth and twentieth-century high modernist aversion to repetition.” Compare Adorno ([1971] 1996, 87).

listener's perception of the movement.<sup>12</sup> For instance, recapitulatory deletions are typically explained (away) in terms of the "abundant tonic emphasis" of the upcoming S theme (163-165):

The transition in the recapitulation often deletes or compresses a substantial portion of material used in the exposition.... The deleted passages are usually taken from the beginning of the transition, where they generally function to prolong home-key tonic. Extensive tonic prolongation is needed in the exposition in order to reinforce the home key before modulating. Conversely, such a prolongation can easily be omitted in the recapitulation because the upcoming subordinate theme provides abundant tonic emphasis.<sup>13</sup>

Similarly, expansions are understood as being deployed in compensation for some lack of motives in the development (165):

The transition in the recapitulation often includes passages that do not correspond directly to the exposition. These passages ... normally employ model-sequence technique.... Indeed, motives not prominently featured in the development section proper are frequently given special treatment here.

Now it is self-evident that our basic categories for time-altering transformations are *expansions*, through model-sequence, literal repetition, or recomposition, and

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<sup>12</sup> The closest he comes to an expressive motivation for alterations seems to be this profoundly ambivalent pair of sentences that occurs in the context of major changes to the recapitulatory S theme (169): "sometimes the changes are made for expressive and dramatic goals unique to the individual work. But some compositional situations arising in the exposition regularly lead to major alterations in the recapitulation."

<sup>13</sup> Compare Salzer: "Within each subsection scale degree 1 is constantly reiterated; this creates a decided overemphasis on the tonic. In my view, such an excessive employment of scale degree 1 leads to an inhibition of tonal animation, which relies upon the invocation and composing-out of remote scale degrees" (1928, 104). And (106) "It is now clear what I mean by an overburdening or excessive strain on the tonic in this passage. ... Mozart began to compose-out distant scale steps so as to avoid overburdening the tonic." And (107) "in Schubert, I repeat, we find an overemphasis on the tonic." And (121): "It is entirely understandable that in these cases the master was not able to comply with the fundamental purpose of the recapitulation: It would have been impossible to express all the material of the exposition in discourse that is couched in a single key, for the simple reason that an excessive burden on that tonality would have resulted." And (123): "Schubert, not wanting to leave out any section, obviously needs to change the tonal relationships so that the home key does not become overburdened."

In this and the following chapter I have benefited enormously from a complete unpublished translation of Salzer's essay by Su-Yin Mak.

*contractions*, through accelerations or deletions of earlier material. (A third thematic-alteration type may alter earlier material but result in no gain or loss, as compared to the expositional ground.) What we need is a way of confronting the question *why* any time-altering transformation might be deployed in a given context (expressive, generic, etc.). Simply posed: how can we theorize the relationship between these musical data (formal observations) and any “higher-level,” aesthetic, interpretive, or generic facts—for instance the perceptual effects they afford, the expressive or dramatic effects they seem to stage, for us or for a virtual wanderer, and their impact on sonata type, generic classification, and social connotation?<sup>14</sup>

Such questions are relevant to a project that seeks to make formalist and taxonomic observations, but seeks, also, to make more than these. From a strictly “syntactic” perspective, we stand to gain much from understanding the types of expansions and contractions that occur (anywhere) in sonata recapitulations and in the reprises of smaller forms. This is the axiom that drives my formalist, or typologizing impulse. But recapitulatory alterations also contribute significantly to our understanding of the ongoing musical narrative, musical genre, the historical dialogue in which the sonata participates, and so on.<sup>15</sup> In exploring the types of recapitulatory thematic alterations found in a sonata form movement, I take as my guiding dictum Sonata Theory’s conviction that (mere) formalism will not do: thematic alterations (to paraphrase a passage from *Elements* (73)), “cannot be regarded as an expressively neutral choice.” Like Hepokoski and Darcy, I “accept as axiomatic the idea that altered

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<sup>14</sup> On the distinction between datum and fact, see, e.g., Dahlhaus ([1977] 1999, 33-40).

<sup>15</sup> Clark (2011, 159) puts it axiomatically: “As we can see, analytical nomenclature is a potent force in hermeneutics.”

recapitulations cannot be arbitrary or meaningless.” It is against this backdrop that I broach the concept of recapitulation scripts formally.

#### 2.4. Terminology: Scripts, Plots, and Mythoi

Though musicians have long been interested in couching the linear structures of musical works in dramatic or narrative terms—for where there is *telos* there is narrative—we might still identify a “narrative turn” in musicology, in which writers have become interested in understanding music in the explicit language of narratology, drama, archetype, and plot.<sup>16</sup> But along with the profusion of interest in narrative structures has come a profusion of terms meant to capture the behaviors of pieces—plot, type, archetype, script, narrative, story, program, expressive genre (!), and so forth.<sup>17</sup> It will thus be helpful for me to discuss the term “script” and the ways I will use it in the remainder of this project.

I use the term “recapitulation script” (or simply “script”) to capture the number, type, size, and deployment sequence of a recapitulation’s time-alterations.<sup>18</sup> Every

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<sup>16</sup> For a good introduction to the issues, see Byron Almén (1996, 2003, and 2008) and Carolyn Abbate (1991). Compare the treatments in Agawu (2009), *Elements*’s Appendix 1, and Monahan (2013). For a well-known early-twentieth-century example that demonstrates that structures in music were narrativized long before the importation of literary theory into music theory, see Schenker’s assertion (1935, 5) that “in the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds.”

<sup>17</sup> Of these, “plot” may be singled out for special emphasis, not only since it is so often the term chosen by Hepokoski and Darcy, but also because Monahan (2011, 30 ff.) formalizes a series of formal “plot twists.” In *Elements*, see pages 23; 141 (“an unexpected complication within the musical plot...”); and (251): “A sonata dramatizes a purely musical plot.” See also Maus (1997), Karl (1997), and Robinson (1997, 9-17).

<sup>18</sup> My use of the term has points of contact with Cohn’s (2012, 111 ff.) and Galand’s (2008) recent uses of it as well as with many of the other terms mentioned in the preceding paragraph in the main text. It overlaps, too, with some of the uses in Latour (1992), for instance that a script is a “scene or scenario, played by human or nonhuman actants, which may be

reprise has a script, from the four-measure small-binary reprises of early Minuets to the sprawling recapitulations of Schubertian finales, from those that make not a single tonal or thematic alteration to those with several involved tonal alterations and *rhythmos-*transformations. The term has the benefits of suggesting the explicitly dramatic, as well as capturing the hortatory or injunctive, as if it were an abstract set of directions to be given to the anthropomorphized musical fabric: “first enact this alteration, then this one,” and so on.<sup>19</sup>

The term “script,” as I mean to use it, overlaps in many ways with Northrop Frye’s notion of *mythos* ([1957] 2000).<sup>20</sup> For Frye, *mythos* denotes a structuralist formal outline, unpopulated (as yet) by content. It is a basic “plot formula,” meant to capture the form of storytelling, the “*shape of the story*” (140). *Mythos* is not concerned with content, genre, medium, or ambition; it is meant to capture a manner of telling the story, not its details of plot. There may be (theoretically) an infinite number of stories to tell, just as there are (theoretically) an infinite number of sonatas to write, but there are only so many *manners of telling*: there is a finite number of *mythoi*.<sup>21</sup>

Like *mythos*, a recapitulation script is meant to capture not the content of the story but the manner of its telling—the principles governing its unfolding in time. The notion of recapitulation script, as I conceive it, is strictly formal; it is the manner of enacting (or

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figurative or nonfigurative.” Keeping with Latour’s language, Part II of this study consists of a series of *de-descriptions*, or a “retrieval of the scripts from the situation.”

<sup>19</sup> Adorno ([1971] 1996, 25): “in music, as in a theater, something objective is enacted, the identifiable face of which has been obliterated.”

<sup>20</sup> Frye’s notion of *mythos* is given treatment in a music-theoretical context by Almén (2003 and 2008), who also draws upon semiotic borrowings of Frye’s work.

<sup>21</sup> See Almén (2008, 64; and 2003, 15).

choosing not to enact) thematic alterations. It is explicitly not predicated on content, even if, as theorized in the last chapter, it can *bear on* the content presented within the recapitulation.<sup>22</sup> In a way, every entry designated on Figure 2.1 by an Arabic numeral, every possible “recapitulation script,” can be said, too, to be a *mythos*—a broad-strokes plot formula, or a way of telling the story.

Frye’s concept is also helpful to us insofar as it scrupulously keeps *mythoi*, or formal shapes, distinct from genres: *mythoi* are pre-generic, and await classification into lower modes of fiction. “There are narrative categories of literature broader than, or logically prior to, the ordinary literary genres. ... [*Mythoi* are thus] pregeneric elements of literature” (162). My subsequent discussion of recapitulation scripts also decouples genre and form: the identification of recapitulation scripts may contribute to a theory of musical genre if it turns out that some scripts are more at home in certain genres than others.

### **2.5. Introduction to Part II**

Before proceeding into a close examination of recapitulation scripts, it may be helpful to highlight the formal and narrative possibilities of each of the categories of recapitulation, focusing on how each interacts with Sonata Theory’s concept of crux and how each can be read as bearing narrative connotations. As noted in Figure 2.1, Category 1 recapitulations are the same size, and often the same shape, as their referential

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<sup>22</sup> Almén (2008, 140 ff.), too, makes a distinction between form and content—*mythos and topos*, as he would have it. His Chapter 7, on Schubert’s B-flat Sonata, attempts “to decouple the apparently impermeable correlation between tragic narrative dynamics and tragic topical environments” (161). Adorno ([1971] 1996, 33) reminds us that form is “a cipher of the content, which is reciprocally influenced by the form.” On the relationship of the two elements he writes (76): “Vulgar as the distinction between form and content is in face of a work of art, just as feeble is the abstract assertion of their identity; only when both elements are held apart are they identifiable as one and the same.”

expositions. For those recapitulations that are exactly the same size and shape as their referential expositions I will resuscitate the term *Transpositionsreprise* (transposition-recapitulation) from Felix Salzer's *Schubertjahr* dissertation. *Transpositionsreprise*n, since they have the same thematic layout as their referential expositions, make only *tonal* and not thematic alterations. The only exceptions to this are in recapitulations that begin the same distance below the tonic as the exposition ended above it.<sup>23</sup> (These extreme cases have neither tonal nor thematic alterations.) Since *Transpositionsreprise*n trace their referential thematic material exactly, they feature only a *tonal* crux.

Category 2 recapitulations are different from their expositions. In addition to their obligatory tonal alteration (assuming an on-tonic reprise) they enact a single *rhythmos*-altering thematic transformation, of any size. The thematic alteration need not coincide with the tonal one; the two domains work independently. If they are coincident, the movement features a single crux; if they are non-coincident, the tonal and thematic cruxes are again decoupled, as in the *Transpositionsreprise*. Category 2 recapitulations, which distort the abstract or "ideal" symmetry of the exposition-recapitulation pair, thus highlight time-terms, like *acceleration* and *decelerations (too early and too late)*. In addition to time-terms, brought out in our analysis of Schubert's (Category 2) setting of Goethe's "Erster Verlust," they also suggest foreshortenings and forestallings, misperceptions of virtual objects, and a wanderer's experience of macropsia or micropsia, *too large or too small*. (Remember Schubert's two *Müllerlieder*). Category 2

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<sup>23</sup> The most common of these is the "Schubertian" subdominant recapitulation, about which more in Chapter 3. However, a piece in the minor mode that modulates to its mediant may have a recapitulation beginning in the key of the raised submediant (#vi; see the first movement of D. 845), and a piece that modulates to its subdominant may have a recapitulation that begins on its dominant (see the finale of the "Trout" Quintet).

recapitulations can also thematize, even seem to enact, the labor it takes to make tonal alterations or the grace that seems to accompany the lack of such labor performed.

Category 3 recapitulations are more involved. In addition to their obligatory tonal alteration, they deploy more than one thematic alteration that takes time. As shown in Figure 2.1 these “compound” recapitulation scripts, through their multiple time-transformations, can recover the symmetry lost in the Category 2 recapitulation, or distort it even further. As will be shown in chapter 5, especially in its two final analyses, their complex recapitulatory behaviors invite detailed hermeneutic interpretations.

### 2.6. A Note on Paragenetic Zones and “CRI”

Since so much of what follows deals explicitly with proportion and balance—even going so far as to identify these as characters in an ongoing quest narrative—the boundaries between what is and what is not able to participate in a sonata’s “bi-rotational symmetry” need to be drawn clearly. Specifically, we need to make a distinction between any “proportional balancing” or “compensation” that occurs inside the recapitulatory rotation—i.e., in sonata space—and any that occurs outside that rotation—i.e., in a “paragenetic zone.”<sup>24</sup> Paragenetic zones—slow introductions, codas, and the like—since they are not located in sonata space proper, therefore cannot be charged with the task of reestablishing a symmetry that was lost earlier on in the exposition.<sup>25</sup>

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<sup>24</sup> For sonata space and paragenetic zones (or “spaces”), see *Elements* (281 ff.).

<sup>25</sup> Straightforward examples of pieces whose codas “compensate” in some way for deletions in the recapitulatory rotation are found in any Category 2 (-) recapitulation that features a coda of any size. See the first movement of Beethoven’s Piano Sonata Op. 7, in which an eight-bar cut (mm. 201 ff.) is the only recapitulatory alteration, but a 50-bar coda far overbalances it. The finale of Op. 27/2 is similar: after a six-bar cut between mm. 115 and 116 the recapitulation tracks its exposition bar-for-bar. A 42-measure coda closes the form.

That a coda, for instance, can “compensate” for events left unfulfilled in the recapitulation is beyond doubt, as a look at either the musical or the scholarly literature shows.<sup>26</sup> Codas compensate for events that did not materialize earlier in a sonata form by including thematic modules that were deleted from recapitulations (e.g., in the finale of Mozart’s Piano Sonata K. 332), by tonal or modal resolutions that occur late in failed sonatas (e.g., Beethoven’s Overture to “Egmont”), or by responding to issues that had cropped up in a sonata’s developmental space. And codas obviously also factor in the abstract proportions of a movement as a whole. Broadly or abstractly, they can make up for some sense of imbalance perceived in everything that precedes them (slow introduction, exposition, development, recapitulation).<sup>27</sup>

But that this is true from some abstract or total perspective does not mean that the coda can recoup any losses (of themes, of keys, of measures) that a recapitulation has so deliberately staged as such. The *rhythmic*, or proportional situation is explicitly analogous to the well-known tonal one: it is problematic to assume that codas unequivocally resolve some tonal or *rhythmic* or proportional issue left undone earlier in the piece. On the contrary, these “resolving” codas point to the inability of the sonata “proper” to accomplish its task (whether thematic, tonal, modal, proportional, or what have you). That these codas sometimes present some feature of the music that had been

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<sup>26</sup> See, for a short list, the different discussions of coda-as-compensation (proportional, voice-leading, rhythmic, narrative, thematic/motivic) in Rosen (1998, 187, 293-297; 1988, 324), Kerman (1982, 151), Morgan (1994), Burnham (1995, 53), and Caplin (1998, 186-191).

<sup>27</sup> See, e.g., Rosen ([1998] 1997, 296): “in the case of an unusually lengthy development, therefore, an extension of the recapitulation by excursions into the subdominant or by a coda is inevitable in the work of any composer with sensibility, and a feeling for the expressive values of the style.” When he writes, though, on the following page that “the appearance of a coda always disturbs the binary symmetry of a sonata form,” one is tempted to add the proviso: unless it *achieves* that symmetry. Smyth (1993, 85) discusses this double potentiality of the coda.

cut out of the recapitulatory rotation emphasizes its compensatory function while at the same time pointing to the fact that its appearance in the paragenetic zone can do nothing to fix its absence in the recapitulation.

A coda can do any number of things, a great many of them compensatory in some sense. It can *comment* upon some state of affairs left open in the recapitulation; it can stage the achievement of grace (too late!) or revolution; it can be “the igniter of utopian consequences” (Hepokoski 2002, 133). It can serve as a cipher to something that “went wrong” in the recapitulation (or sometimes in the exposition) by re-treating issues or reenacting problems that may have arisen in those zones. But it emphatically cannot participate in what I have called a piece’s *composite rhythmos*—its exposition-recapitulation symmetry. Even in cases in which the very material cut out of a recapitulation appears, *notatim*, in its coda (see again the finale of K. 332 and the discussion in Chapter 5), the fact that it is conjured outside sonata space is crucial. Hepokoski is helpful here, although for our concerns, we need to substitute a “proportional” task for his tonal one:

Confronting the historical state of the genre ‘sonata form,’ for instance—how its component spaces emerged historically—means confronting the distinction between closure accomplished inside the rhetorical recapitulation (always a generically obligatory space within a sonata, one whose express task was to deliver that closure) and closer deferred to a rhetorical coda (an optional, not-sonata accretion that had arisen to serve a variety of grounding functions, though not this one of functional resolution). In terms of its generic history a coda existed to interact on its own terms with the completed essential action of the preceding sonata form—extending, confirming, celebrating, reacting, and so on. Although codas were increasingly placed in provocative juxtapositions with the sonata, as rhetorically extra spaces they were paragenetic surpluses not to be mistaken for the essential action itself.<sup>28</sup>

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<sup>28</sup> Hepokoski (2002, 134); compare *Elements* (245): “merely to claim that all turns out well because a resolution is eventually secured in the coda is to miss the point.”

More suggestive, from the present analytical perspective, is Sonata Theory's notion of "coda-rhetoric interpolation" (CRI), a category designed to accommodate those passages of "coda-rhetoric material" that are "interpolated" into the ongoing recapitulation "before all of the finale recapitulatory modules have been sounded" (288). *Elements* goes on to distinguish between two types of CRI—CRI proper and the mid-phrase CRI-effect—but both of these pose the same problem to the current alignment: is this "parageneric," or "coda," or "extra," music? Or does it belong to the sonata proper, in which space it occurs?

At bottom this ontological question hinges on the status of the interpolated measures—are they simply parenthetical, to be cut out of (my perception of) the size of the recapitulation? Or are they integral to the ongoing argument? (We will see a formally analogous situation when we confront the problem of crux in Category 2 sonatas.) No easy solution is forthcoming. I lean toward considering them part of the rotation, since they do factor in (my perception of) the size of the recapitulation, relative to its referential exposition. Their status as interpolated does nothing to cancel the effect they have on the referential *ground*, as that term was defined in the last chapter, and they contribute enormously to the types of sonata-dramas *rhythmos* is so good at capturing. Nevertheless, the topic is difficult, and should be treated on a case-by-case basis.

### 2.7. A Note on the Repertory Chosen

Since every recapitulation has a recapitulation script, there is no way to be comprehensive in the choice of repertory. Instead, the goal will be to look at a spread of pieces from different genres, in different instrumentations, and at different levels of ambition or "grandeur," as well as to focus on pieces that have either been under-

analyzed (so that we may learn something about them), or “over”-analyzed (so that we participate in a dialogue with other scholars).

Striking to the reader may be the number of examples by composers other than Schubert, most typically Mozart and Beethoven, but occasionally Haydn, Rossini, and Brahms. There are several reasons for my inclusion of these earlier and later examples. One is to show that Schubert is not alone in his procedures, even those most outré, rogue, or peculiar ones. He actively participated in a living art-historical tradition that stretches from before Haydn to after Brahms. The concept of recapitulation script, as one aspect of this tradition, highlights one little-examined aspect of those dialogues.

A second reason for including examples by other composers concerns their size or simplicity, relative to the pieces by Schubert that we will examine. Where an earlier piece is clearer, or smaller, or in some other way more manageable for a first pass through a new concept, I present it before showing the same behavior at work on a larger scale in Schubert. Schubert’s predecessors are thus seen as deploying strategies that he would be enlarging, intensifying, or appropriating to his own ends.

A third reason for the inclusion of examples composed by Schubert’s predecessors and successors results from my desire to ask questions regarding genre, and not only form. To claim that a certain recapitulation script might be particularly applicable to a certain genre (as, for instance, the “mono-operational” Overture) should not be grounded only on the works of one composer.<sup>29</sup>

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<sup>29</sup> Cf. Frye ([1957] 2000, 96): “once we think of a poem in relation to other poems, as a unit of poetry, we can see that the study of genres has to be founded on the study of convention.” See also page 97: “Literature may have life, reality, experience, nature, imaginative truth, social conditions, or what you will for its *content*; but literature itself is not made out of these things. Poetry can only be made out of other poems; novels out of other novels. Literature shapes itself,

A final reason concerns the range of applicability of my ideas of recapitulation script, both to music by composers other than Schubert as well as to earlier scholarship on musical form. The recapitulation-script concept implicates any composer who engages a musical form that features a built-in repeat (of any size). I thus hope to open a dialogue with musical-form theorists who do not specifically engage Schubert's music. That said, Part III focuses on Schubert alone. My short exploration of the expanded Type I sonata is a case study, expressly limited to Schubert's oeuvre and designed to show how he made that form his own. Before getting there, however, the next three chapters will engage in detail each of the three categories of recapitulation scripts.

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and is not shaped externally: the *forms* of literature can no more exist outside literature than the forms of sonata and fugue and rondo can exist outside music.”

# CHAPTER 3

## CATEGORY 1 RECAPITULATIONS

- 3.1. Prelude: Resuscitation of Salzer's *Transpositionsreprise*
- 3.2. The Three Types of *Transpositionsreprise*
  - .1. The "Lazy Recapitulation"
  - .2. Alterations in Silence
  - .3. The Third *Transpositionsreprise*
- 3.3. Interlude: A Study in Tonal-Alteration Types
  - .1. Immediate Alterations
  - .2. Two types of Thickness
  - .3. A Common Strategy Necessitating Thick Tonal Alterations
  - .4. Impotent and Self-Effacing Tonal Alterations
  - .5. Tonal Alterations in the Three-Key *Transpositionsreprise*
- 3.4. The *Transpositionsreprise* First Movement of D. 537
- 3.5. Tonal Crux/Thematic Crux
- 3.6. Referential Measures and the *Transpositionsreprise*
- 3.7. The *Rhythmos*-preserving Non-*Transpositionsreprise*
- 3.8. Postlude: Conclusions

TAKE NO TIME (surface changes (ornaments, contour changes, instrumentation, etc.) are always possible; referential measures may replace correspondence measures)	
Three <i>Transpositionsreprises</i> : Same size, same shape	<ol style="list-style-type: none"> <li>1. Subdominant Recapitulation (or equivalent)</li> <li>2. Tonic Recapitulation; Alterations in Silence (a. bifocal close strategy)</li> <li>3. Tonic Recapitulation; tonal alterations in Recapitulatory P or TR, but preserves <b>correspondence</b> or <b>referential</b> measures</li> </ol>
Thematic Alterations: Same size, different shape	<ol style="list-style-type: none"> <li>4. Thematically recomposed P or TR, but nevertheless tracks <i>temporally</i>—abandons <b>correspondence</b> and <b>referential</b> measures</li> </ol>

Figure 3. 1. Category 1 Strategies

To end our discussion of Schubert's approach to the recapitulation, we come to the conclusion that on the whole his recapitulations displayed no drastic differences from their expositions.<sup>1</sup>

The structures of most of Schubert's large forms are mechanical in a way that is absolutely foreign to his models.<sup>2</sup>

Now there is a distinctly mechanical—or, if you will, inorganic—aspect to the kind of large-scale repetition we find in Schubert. Once we admit this, we see that there are similar mechanical/inorganic aspects at other levels of his music.... The markedly high level of mechanical repetition in this music helps gather and focus subjectivity: phatic repetition becomes the modality of self-communication.... Put in rather melodramatic terms, in Schubert's music there is a continuous interface of the mechanical, inorganic world of Death and the human, organic world of Life and Beauty.<sup>3</sup>

Words can express the logic of this synchronization of tonal and textural parameters, but not the feelings of crystallization, of finely adjusted machinery clicking gently into place.<sup>4</sup>

### **3.1. Prelude: Resuscitation of Salzer's Transpositionsreprise**

In his *Schubertjahr* dissertation, Felix Salzer created a category he called the *Transpositionsreprise* (transpositional recapitulation) in an attempt to capture his intuitions about Schubert's idiosyncratic approach to recapitulation. As suggested by its name, the category was created to indict Schubert, whose putative mechanical approach to recapitulation was contrary to the Spirit of the Sonata as he saw it.<sup>5</sup> But Salzer's *hapax*

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<sup>1</sup> Salzer (1928, 124).

<sup>2</sup> Rosen (1998, 518).

<sup>3</sup> Burnham (1999, part 2, paragraph 9)

<sup>4</sup> Coren (1974, 582).

<sup>5</sup> Not only the recapitulation was criticized: On the exposition, see especially page 99; on the development see pages 120-121. It would have been difficult for a composer like Schubert to escape criticism from a theorist who wrote (89) that "the nature of sonata form depends, therefore, on the elimination of the lyrical condition." The idea that lyricism is a fundamental "infringement upon the Spirit of sonata form" is a trope that both antedates and survives Salzer; see, e.g., this passage from Dahlhaus ([1980] 1989): "The rigor and consistency of Beethoven's

*legomenon* does not need to carry the negative connotations he meant it to, and I will argue that it bears resuscitation in the current context, not to describe the “lazy” subdominant (and equivalent) recapitulations of Schubert—a weak, not to mention tired claim—but as a meaningful category for one viable recapitulation type in general.

The way I will use it, *Transpositionsreprise* captures any recapitulation whose size (*rhythmos*) and shape (thematic layout) are the same or nearly the same as those of its referential exposition. (Note: I will use the term both to describe a recapitulation and to describe a recapitulation script; this movement *has a Transpositionsreprise*, this movement *is a Transpositionsreprise*.) Before appropriating the term, however, it is important to do justice to the complexity of Salzer’s category, a complexity that he seems not to have seen all the way through. Our first step is to look closely at a few passages of his essay in order to understand why the *Transpositionsreprise* is preeminently a *thematic* and not a tonal category.

The background is that Salzer is highly concerned with recapitulations that do not make substantial tonal and thematic alterations, since these stifle the “improvisatory impulse” that is the hallmark of sonata form. As the following excerpted passage attests (121), Salzer does not think highly even of Schubert’s *on-tonic* recapitulations which make only a single tonal alteration, after which point they recopy their expositions at the

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thematic and motivic manipulation relaxed, as it were, to make room for a *lyricism that infringed against the spirit of sonata form* by permeating whole movements rather than remaining confined to their second themes. Cantabile, a mere enclave in classical sonata form, became an underlying structural principle,” emphasis added. It should be noted that according to Kessler (1996, 47 n. 58), Salzer evidently “came to regret his article’s anti-Schubertian position.”

proper tonic pitch. For these uninspired—worse, “mechanistic”—recopyings are a monkey’s work.<sup>6</sup>

In [the] recapitulation [of the first movement of the Octet, D. 803] there is a [wholesale taking-over] of [the exposition’s] thematic material, which begins with the placement of the consequent phrase on B $\flat$  and also goes hand in hand with the [later] harmonic transpositions. The recapitulations from the first movement of the four-hand Sonata in B-flat major [D. 617] and the last movement of the Violin Sonata in A major [D. 574] employ a similar scheme.... In these examples the wholesale taking-over of the [exposition’s] thematic material is also at work, and the harmonic progression is changed only at one place, so as to enable the exact transposition of everything that follows.

Cast in my language, the recapitulations that Salzer is addressing have *rhythmoi* that are identical to their expositions; they are exactly the same size and shape, and they feature perfect birotational symmetry; they feature tonal alterations that “take no time.”

For Salzer, the only thing worse than a recapitulation that begins on-tonic and makes only the most minimal (obligatory) tonal change is the off-tonic (typically subdominant) recapitulation. By insuring that not even any *tonal* alterations need be made, the off-tonic recapitulation is the “limiting case” of thematic equivalence.<sup>7</sup> The following passage, in which Salzer coins the term *Transpositionsreprise*, proves that

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<sup>6</sup> “Mechanical,” the most damning criticism available to an idealist/organicist of the Schenkerian tradition, is used by Salzer to describe Schubert’s developments. Compare Schenker (1935, xxiii-xxiv): “How different is today’s idol, the machine! It simulates the organic, yet ... its totality is only an aggregate which has nothing in common with the human soul.” See also “mechanical” on pages 112, 136, and 162, always pejorative. Cf. Korsyn (1993): “Organicist discourse establishes a polar opposition between organicism and mechanism, in which organicism is the valorized term.” And Ruth A. Solie (1980, 150): “This self-contained unitary quality [of the organism] stands in direct opposition to the nature of machines or of inorganic matter.”

Composers sometimes asperse other composers on these grounds: Schubert evidently called Beethoven’s revisions to *Fidelio* “robotry,” according to Anton Schindler (Deutsch 1958, 315). Mozart dismissed Clementi as a “*mechanicus*”: “Clementi plays well, so far as execution with the right hand goes.... Apart from this, he has not a kreuzer’s worth of taste or feeling—in short he is simply a *mechanicus*.” See Anderson ([1938] 1989, 792) and Richards (1999).

<sup>7</sup> That I say “limiting case of thematic equivalence” here does not make for any blurring of tonal/thematic categories. The limiting case of thematic identity is simply one in which the relation of every note to every other note is preserved exactly.

indeed he means for it to capture the subdominant recapitulations Schubert was (and continues to be) so famous for (122)<sup>8</sup>:

We do find a recapitulation that retains the three-key scheme in the first movement of the Piano Sonata in B major, [D. 575] (1817). Yet Schubert must be reproached for this treatment of the recapitulation, because the entire recapitulation is an exact transposition of the exposition! In the exposition, we can find the following tonal scheme: B major – E major – F# major; an exact transposition of these keys (to end with the tonic) must therefore read: E major – A major – B major. This is in fact the very modulatory scheme that Schubert used in the recapitulation, *by which means the [exposition's] thematic material is exactly retained*. While in works such as the Octet and the Violin Sonata [cited in the last quotation] a transposition already makes up by far the largest part [of the recapitulation], this is the most blatant example of the *Transpositionsreprise*, as I would call this solution to the problem of the recapitulation. This type of recapitulation violates the spirit of sonata form, since because of the exact transposition of the exposition in the recapitulation these formal sections do not undergo an artistic structural process. It owes its existence only to the drudgery of copying and transposition. [Emphasis added.]

As Salzer notes, the first movement of D. 575 not only has a subdominant recapitulation but tracks the thematic layout of its exposition bar for bar. Likewise the finale of the “Trout” Quintet, D. 667, which he cites two paragraphs later, famously has a subdominant recapitulation and tracks its exposition exactly.<sup>9</sup>

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<sup>8</sup> The literature on these is too large to cite here. “Lazy” and “effrontery” are from Tovey (1927); for “degenerate,” see Rosen (1988, 288), who had taken a more temperate stance in (1971, 215), perhaps because his subject there was Mozart. Cf. Coren (1974), Hur (1992), Denny (1988), Sly (2001), Marston (2000), and Boyd (1968), who writes (14): “It is precisely because of its potentialities as a kind of labour-saving device that Schubert’s ‘short cut’ method has fallen into such disrepute among connoisseurs of his music. William Mann, for instance, reflects a general attitude when he complains of what he calls ‘the lazy man’s recapitulation,’ adding that it ‘looks very like cheating’. And there is perhaps a trace of chauvinism in Alfred Einstein’s more trenchant condemnation of a ‘practice which is admissible in *Italian Overtures* and similar works, but which is an unpardonable piece of laziness in a sonata.”

<sup>9</sup> Even as sympathetic a listener as Malcolm Boyd writes of the finale of the “Trout” that it “must be counted among the weakest of all Schubert’s better-known instrumental movements. ... It takes a really superb performance to persuade the listener that its 236 bars of music are worth playing three times over with nothing more than a change of tonality for the last section” (13). A footnote to the latter sentence asks: “Did Schubert seriously expect his players to repeat the first half of this movement?”

It seems clear from these two quotations that the *Transpositionsreprise*, as an intensification of the already objectionable strategy described in regards to the Octet, Four-Hands-Sonata, and Violin-Sonata movements, is meant to represent the limiting case of recapitulatory equivalence. Salzer designs it to capture those situations in which an off-tonic recapitulation makes possible not only the exact restatement of themes, but also brings about a tonic conclusion.<sup>10</sup> Both strategies may have been less than ideal solutions to the problem of recapitulation, as Salzer saw it. But the essence of the *Transpositionsreprise*, for him, seems to have lain not in thematic equivalence but in the lack of tonal alterations. After all, he coins the term to account for the first movement of D. 575—which features a recapitulation that is both thematically identical to its referential exposition and strategically begins off-tonic, in order to avoid making tonal alterations—and not the pieces with on-tonic recapitulations.

Two pieces of evidence show that the *Transpositionsreprise* is not as clear-cut a category as Salzer thought it was, and that in fact its identity is more thematic than tonal. The first piece of evidence is that for Salzer, not all subdominant recapitulations qualify as *Transpositionsreprise*: the first movement of Mozart's Piano Sonata K. 545, for instance, which features a subdominant recapitulation, is not a member of the set, even though it "present[s] an exact transposition of the keys in the exposition." Why not? Salzer makes clear that it is because in K. 545 there is a difference in the *rhythmos* of the recapitulation: there is a 4-bar expansion in its recapitulatory TR (122)<sup>11</sup>:

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<sup>10</sup> For Salzer, a recapitulation, by definition, needs a tonic launching: "The task of the Recapitulation lies in reconciling, if possible, both themes of the exposition into the home key. This obviously requires changes in the transition" (97).

<sup>11</sup> A musical example of the alterations in K. 545 is included in section 4.2, below.

This recapitulation begins in F major and the secondary theme is in C major, thus presenting an exact transposition of the keys in the exposition, C major and G major. We can see that there is a difference from Schubert's technique: that here, in spite of the otherwise concise formal design, the transition is extended by four bars, resulting in an alteration of the exposition. Thus, it is not an exact transposition of the thematic material. Only works from Schubert's early creative period show an approach similar to Mozart's; I am thinking, for example, of the first movements of the String Quartet in G minor and the Fifth Symphony in B $\flat$  major, where alterations of the transition are also made.<sup>12</sup>

The first stage in understanding the *Transpositionsreprise* as a thematic (and not a tonal) category is thus complete: if thematic alterations in a recapitulatory TR can remove a piece from membership in the category *Transpositionsreprise*, even if it exhibits the same modulations as its exposition, then the category is emphatically not a tonal one.

Perhaps, then, the category is meant to capture those recapitulations that are *both* thematically exact *and* begin at the (off-tonic) pitch level required to arrive back at tonic at their ends. But a second piece of evidence, which comes in a discussion of *Transpositionsreprise*n in two-key expositions, proves this modified hypothesis wrong. Salzer points out (122) "that the *Transpositionsreprise* is also found in two [other] cases, the last movement of the Piano Sonata in A major, Op. 120 [D. 664], and the first movement of the Piano Quintet in A major ["Trout," D. 667]."

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<sup>12</sup> Note that Salzer's final sentence explicitly contradicts Denny's assertion (1988, 357) that "although [Boyd] and [Coren] have thoroughly discredited the notion that Schubert's early recapitulations were uniformly mechanical, there can still be no argument that in the works written after 1820, and especially in those written between 1820 and 1825, his handling of the return was noticeably more flexible and creative than in the pre-1820 works." (Hur (51) agrees with Salzer on this point.)

It is instructive to compare Salzer's (and Rosen's) distinction between Mozart's and Schubert's subdominant recapitulations to later scholarship, e.g., *Elements* (264-265, but compare 236!): "Within major-mode works there is a self-evident logic behind the choice of a subdominant recapitulation. Since the exposition had moved from I to V..., one could always produce a perfectly parallel recapitulation, by-for bar [sic], that moves from IV to I..., thereby producing the necessary tonal resolution for the S and C zones. This is precisely the solution, for example, found ... in several of Schubert's works. And yet this easier transpositional route was not always taken: Mozart, for instance, did not provide any such slavishly parallel recapitulation in the first movement of K 545."

Tellingly, one of these exemplars of the putatively tonal category undercuts him. The finale of the “Little” A-Major Sonata, though it tracks its exposition *thematically*, measure for measure, nevertheless features two sets of tonal alterations.<sup>13</sup> The first set, at m. 145 = 24, knocks the recapitulation off track, tonally speaking, as well as creates the need for more tonal alterations down the line. The music continues in the “wrong” F major, until a second set of tonal alterations at m. 154 = 32, corrects it such that S can appear in the proper key, the tonic A major. The exposition’s tonal layout A-E is thus answered not simply with the “rhyming,” transposed subdominant version D-A, but with the tonally reconceived D-F-A.<sup>14</sup>

These two pieces of evidence—the first showing that exact tonal transpositions do not constitute a *Transpositionsreprise* where thematic alterations happen, and the second showing that cases of exact thematic repetitions with changing tonal layouts *do* constitute one—show that Salzer, in spite of himself, has created a preeminently thematic category. The *Transpositionsreprise* seems, despite his intentions, to refer to recapitulations whose *rhythmoi* are the same as that of their referential expositions—recapitulations that have the same *size and shape* as their referential grounds.

It may be that the confusion in category building is one reason Salzer’s term (not to mention its denotatum) has not stuck. But Salzer’s own lack of clarity should not stop us from importing it into our discourse, where it is helpful to designate, without value judgments, exactly what we now see it designated all along chez Salzer: any recapitulation that is the same size and shape as its referential exposition, whether it

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<sup>13</sup> Compare the treatment of this movement in Boyd (1968, 16-17).

<sup>14</sup> It must be noted that the other piece, the first movement of Schubert’s “Trout” Quintet, also undercuts Salzer in a different way—for this movement, which I will examine briefly below, features two large thematic deletions!

begins in the tonic or in any other key, and no matter how many sets of tonal alterations it may make. The term has the benefits of having wider applicability, having more tightly delineated extensions, and being more connotationally neutral than Tovey's "effrontery" and Rosen's "lazy" or "degenerate" recapitulation, or Salzer's "drudgery." It is also unknown and therefore unsullied in our field. ("A new word is like a fresh seed [sown] on the ground of the discussion."<sup>15</sup>)

### **3.2.0. The Three Types of Transpositionsreprise**

The *Transpositionsreprise* designates any thematically identical reprise. Nevertheless, *Transpositionsreprise*n can be divided into three varieties, depending on their tonal presentations. (See Figure 3.1.) First, they may be the "lazy" subdominant recapitulation (or equivalent; any recapitulation that begins the same distance below the tonic as the exposition ended above it)—what I have called the limiting case of thematic identity. Second, they may have on-tonic recapitulations, and make their tonal alterations in the silence of the MC gap, thus preserving their referential thematic identity precisely while also housing a set of (silent) tonal alterations. (By "silent" I do not mean that there is no audible difference between recapitulatory and expositional treatments, only that the option chooses not to thematize or showcase—by making audible—the obligatory tonal alterations; it chooses rather to conceal them.) Finally, they may make their obligatory tonal alterations audible (in a number of ways), but nevertheless never depart from their referential, expositional thematic layout. Each of these is suggestive of different narratives, and each may have been deployed in specific generic contexts. The next three sections proceed through these three possibilities, addressing tonal, narrative, and generic considerations along the way.

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<sup>15</sup> Wittgenstein ([1977] 1980, 2e)

Two points should be borne in mind during what follows. The first is that the necessary and sufficient condition for the *Transpositionsreprise* is that it be thematically identical to its exposition—that it preserve both its size and its “thematic shape.” All three types of *Transpositionsreprise* share this in common: none of them ever distorts its referential thematic layout beyond what is possible within the bounds of correspondence and referential measures. The *Transpositionsreprise* is a thematically biased category; its essence is that it makes no thematic alterations, though it may make any number (including zero) of tonal alterations. By coupling the strategy of an exactly identical thematic recapitulation with three different possibilities for tonal behaviors, we sketch the outlines of a continuum running from non-existent to subtle to intricate. The three *Transpositionsreprises* run this gamut, sometimes making no tonal alterations, sometimes making inaudible ones (“in silence”), finally making alterations that seem to be the central focus of the movement.

The second point concerns the distinction between recapitulation scripts—the *mythoi* or plots they enact as a whole—and the “atomic” alteration types upon which they supervene. Because this is our first pass through recapitulations, there will be times (especially in Section 3.3) where it becomes necessary to depart momentarily from Category 1 recapitulations in order to make a point about alteration types generally. It will be clear from context where I am making assertions about Category 1 recapitulations and where I am making assertions about tonal- or thematic-alteration-types that might be deployed in other recapitulatory situations. The prolepses, rather than obfuscating my points, both clarify the relationship between alteration types and recapitulation scripts and give a taste of where later chapters are headed.

### 3.2.1. The First Type of Transpositionsreprise: the "Lazy Recapitulation"

For Schubert a subdominant restatement was much more than a matter of simple expediency. In all his works there are but three or four movements where a subdominant recapitulation repeats the material of the exposition with no significant structural reorganization. ... The answers to the questions which these and similar works raise surely stem from the fact that Schubert, for one reason or another, valued the subdominant restatement quite apart from its usefulness as a short cut.<sup>16</sup>

Examples of subdominant (or equivalent) *Transpositionsreprise*n in Schubert are well-known. "Among the many innovations by which Schubert sought to modify traditional sonata structures," Malcolm Boyd writes, "none has elicited more comment and criticism than his method of recapitulating in the subdominant and then restating the material of the exposition with little or no change beyond that of tonality" (12).<sup>17</sup> John Gingerich (1996, 91) put it axiomatically when he wrote that "the case against Schubert has never been so much a quarrel with his expositions *per se*, as with the lack of recomposition in other regions of the form."

Because this strategy of recapitulation is so familiar, I will not dwell on examples that deploy it. Instead, the goals of the discussion that follows are, first, to show the importance of teasing apart the differences between thematic and tonal criteria, and second, to illustrate the breadth of the *Transpositionsreprise* as a category, of which only

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<sup>16</sup> Boyd (1968, 16). Why does he then write, in his conclusion, that "it has been made evident that whatever the demerits of Schubert's methods, at least one work (the Fifth Symphony) shows them capable of sustaining a satisfying and coherent musical structure"?

<sup>17</sup> Boyd is aware that this type of recapitulation is not always subdominant; it need only to be the same distance below the tonic that the exposition ended above it; on page 19 he cites as an instance of a non-subdominant but nevertheless "lazy" recapitulation the finale of Fourth Symphony, but notes that it has an on-tonic recapitulation which then moves to A minor before tracking. It seems to me a better example would have been the Piano Sonata in A Minor, D. 845, whose radically recomposed recapitulation begins in F# minor.

one of its possible subtypes is to be found in the “insolence” of the thematically exact, subdominant recapitulation.

It will be easy to understand the important differences between tonal and thematic behaviors if we begin by looking at the tonally focused treatment of Schubert’s recapitulations given in Malcolm Boyd’s “Schubert’s Short Cuts.”<sup>18</sup> Boyd, the first scholar to attempt to revise the traditional view of Schubert’s lazy recapitulations, is interested only in what we might call “tonally lazy” recapitulations, not in *Transpositionsreprise*. For in addition to two “true” *Transpositionsreprise*n adduced by Salzer—D. 575 and the “Trout” finale—Boyd also mentions the *first* movement of the “Trout” Quintet and the rondo finale of the Quartet in E major, D. 353.

The first movement of the subdominant-recapitulating “Trout” is not a *Transpositionsreprise* since its recapitulation features two large cuts. The first occurs when the first measure of the recapitulation equals m. 25—not m. 1—resulting in a 24-bar deletion, right from the start. This elimination may make us, retrospectively, figure the music in mm. 1-24 as somehow “pre-P”—an introduction, perhaps (although P-based and marked *Allegro vivace*). On this reading, the “real” P was the material beginning at m. 25 all along, and the music from mm. 1-24 is simply an introduction to it.<sup>19</sup>

Regarding the first 24 measures of this piece as inchoate or introductory does allow for the possibility (however stretched) that the piece could be a *Transpositionsreprise*, or at least be working in dialogue with that strategy, for, as we

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<sup>18</sup> To say that Boyd’s article is tonally biased is not to say that he was unaware of that bias. As he puts it (14), “what is surely implicit in the remarks of Mann, Einstein, and others is that Schubert’s unorthodox methods failed to achieve a balanced sonata structure, and particularly a balanced *tonal* structure.”

<sup>19</sup> In this regard compare the very similar, but more challenging, first movement of D. 810, which I consider in section 5.3.2 below.

recall (from Section 2.6 above), an introduction does not figure in the *composite rhythmos* of the piece. However, another cut of 14 bars occurs later in the movement, when what I call  $C^2$  (the second closing module) does not materialize, and  $C^1$  moves directly to  $C^3$ , unmediated by  $C^2$ .<sup>20</sup> That this is post-EEC does not make the piece eligible for inclusion in the category *Transpositionsreprise*; the entire recapitulatory rotation is implicated. The *tonal plan* of the first movement of the “Trout,” then, may be lazy in the manner of its finale (compare Salzer’s discussion of K. 545). But its thematic deletions remove it from the category *Transpositionsreprise*. Figure 3.2 shows how these two deletions—captured by the non-alignment of recapitulatory and expositional action zones—suggest a hurried or even maniacally directed approach to the end.<sup>21</sup> There are seven action zones (“events”) in the exposition; five in the recapitulation.

	<b>EVENT</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>
Expo:	Measure	m. 1	25	38	64	84	100	114
	Zone	$P^1$	$P^2$	TR	S	$C^1$	$C^2$	$C^3$
Recap:	Measure	210	223	249	269	285		
	Zone	$P^2$	TR	S	$C^1$	$C^3$		
	<b>EFFECT</b>	<b>-24</b>				<b>-14</b>		<b>(-38)</b>

Figure 3. 2. Thematic Deletions in the First Movement of the “Trout.”

What this might suggest is that the tonal uncertainty involving  $\flat VI$ , staged in both the piece’s  $P^1$  and  $C^2$  modules, has somehow become a bore: “we know how this goes—let’s get on with it!” What it does not suggest is that this tonal motion is somehow “superfluous” or “gratuitous.” On the contrary, because the tonal motion is not at all superfluous, its deletion seems to stage a hurriedness or an acceleration. (Because of its

<sup>20</sup> For superscript numbers, which designate thematic modules, see *Elements* (71-72).

<sup>21</sup> In Figure 3.2, because of the deletion of recapitulatory  $P^1$  and  $C^2$ , subsequent thematic modules slide to the left and are non-aligned with their presentations in the exposition; it could as easily have been designed to align like thematic modules, and would then feature “holes” underneath the expositional modules that are omitted in the recapitulation.

two unanswered cuts, the piece falls under the category of mono-operational (-) recapitulations, to be discussed in Chapter 5. Does it thereby acquire something of the feel of an Overture?)

The recapitulation of the rondo-form finale of the Quartet in E major, D. 353, the other piece discussed by Boyd, features a subdominant recapitulation and near-identical tonal plan, but it also features a 3-bar extension at the very end of its second rotation (m. 209 = 103; m. 213 = 104). Its rondo structure and curious tonal behaviors (the first rotation, which moves from E to B to G, is answered by a recapitulation that moves from A to E to C) should not obscure the fact that the tonal alterations that begin at m. 210 in order to move the piece back to the global tonic “take time.”

Boyd’s article is an important early analytic source contributing to the historical revision of the figure of Schubert. But while his thesis—that many of Schubert’s subdominant recapitulations are not *Transpositionsreprise*—does give analytic support to the impulse to rescue Schubert from his negative reception, it also sidelines two questions concerning the true first type of *Transpositionsreprise*, so often thought to be a peculiarly Schubertian fault. First, from a narrative standpoint, what might sonatas that feature a true “first *Transpositionsreprise*” suggest? What is their peculiar dramatic motivation? And second, in what compositional situations were such recapitulations used? These questions are implicitly critical of the term “lazy recapitulation,” which goes too far into the realm of the *poietic*. (Apropos of this “poietic fallacy,” it bears mentioning that a string quartet movement the young Schubert cockily wrote “in four and a half hours” in 1814 is not a *Transpositionsreprise*: the first movement of D. 112 has a set of thematic alterations that result in a gain of two measures.)

As preliminary answers to these, we might posit that the true first *Transpositionsreprise* suggests the (explicitly) mechanical, as if a finely tuned machine, once set up to enter at the proper time and pitch level, could repeat its exposition measure-for-measure, without having to make any alterations at all. It should not escape notice that the critique of the *Transpositionsreprise* as a strategy emerges at the same historical moment as a critique of the machine, so much a part of the early nineteenth-century Viennese's social reality, both in his leisure time (the automaton and the panharmonicon) and his factory job.<sup>22</sup> Below, we will consider the possibility that this contemporary emergence might be suggestive of—even perhaps critical of?—what Marxist historians of the period have called *reification*, of the sonata-argument as well as of the increasingly commodified human relationship.<sup>23</sup>

What cannot be overlooked are the peculiar musical and dramatic trajectories of the strategy. The first *Transpositionsreprise* stages a deliberate delay, even if foreseen, of the tonal crux and ESC.<sup>24</sup> This observation brings us more firmly into the realm of the musically hermeneutic by suggesting a dramatic scenario. Is it not possible that the late arrival of the tonic is deliberate—even desirable—precisely in order to stage a particular narrative situation—in Boyd's words, to “thrust the tonal equilibrium backwards”? The choice of the first type of *Transpositionsreprise* for a movement—in which the recapitulatory P theme is tonally alienated but its S theme does indeed achieve a tonic

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<sup>22</sup> See again n. 6 and the epigraphs to this chapter. On Schubert's Vienna, see Hanson (1985), Erickson (1997), Denora (1997), and Hunter (1999).

<sup>23</sup> Like Adorno's Mahler, perhaps the “non-spontaneous element” in Schubert “for its part mocks the reifications of the theory of form” (89).

<sup>24</sup> Boyd already put his finger on this phenomenon when he wrote that (14) “to delay the return of the home key until the reappearance of the second, and usually less assertive, theme is to thrust the tonal equilibrium backwards.”

cadence at the crucial moment—perhaps comments on the inertness of the sonata’s P theme, which cannot bring about the EEC (or ESC). Or maybe the strategy is meant to portray the (deterministic) dawning of Grace, since it by definition brings that most important tonal goal without any burdensome alterations. Perhaps it conveys the foreseen inability, on the part of a protagonist, to have the strength to carry out such alterations after the onset of the recapitulation. Another suggestion is that we are to understand the strategy as calling particular narrative attention to the *development*, whose move to the wrong dominant might be read as meddling in the plot of the sonata’s outer action spaces.

### **3.2.2. The Second Type of Transpositionsreprise: Alterations in Silence**

Furthermore, it is also unusual that in the transition, the changes necessary (to preserve the tonal relationships) would often be completely trivial, in that only those changes crucial to the preservation of thematic and metrical structure would be undertaken.<sup>25</sup>

The second *Transpositionsreprise*n begin in the tonic and enact their tonal alterations “in silence.” This common approach to recapitulation is exemplified in pieces like the first movement of Mozart’s Piano Sonata in B $\flat$ , K. 281. In these recapitulations every musical parameter, thematic and tonal, is preserved from the onset of P to the MC, and again from the onset of S to the end of the recapitulation. The set of obligatory tonal alterations—obligatory because of the on-tonic recapitulation—happens *in the silence* of the MC gap.

The Finale of Schubert’s Piano Sonata in A $\flat$ , D. 557, is a textbook example of the behavior (Example 3.1). Its I:HC MC (or is it a V:PAC MC?) occurs at m. 20, and three hammer blows leave room for one eighth-note’s worth of silence before the entrance of

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<sup>25</sup> Salzer (1928, 124).

S. In the exposition,  $S^{1.0}$  enters on the downbeat of the following measure, with  $S^{1.1}$  following quickly on its heels. Both are firmly in the key of the dominant,  $B\flat$ . In the recapitulation, the same TR music, at the same tonal level, leads up to and articulates the same MC at m. 105 = 20—there have as yet been no tonal or thematic alterations. But in the silence that constitutes the recapitulatory MC gap the tonal cog is quickly thrown, and  $S^{1.0}$  enters a fifth below its presentation in exposition.<sup>26</sup>

The image shows two systems of musical notation for Schubert's Piano Sonata, D. 557. The top system, labeled 'Expo', covers measures 19 to 22. It begins with a half cadence (I:HC MC) in B-flat major, followed by the S theme in B-flat major, with sub-themes S<sup>1.0</sup> and S<sup>1.1</sup> indicated. The bottom system, labeled 'Recap', covers measures 104 to 107. It also begins with a half cadence (I:HC MC) in E-flat major, followed by the S theme in E-flat major. The recapitulatory MC gap is marked with measures = 19, = 20, = 21, and = 22. The key signature changes from B-flat major in the exposition to E-flat major in the recapitulation.

Example 3. 1. Tonal Alterations in the MC Gap in the Finale of Schubert's Piano Sonata, D. 557.

Examples of the second type of *Transpositionsreprise*, as captured by parentheses on the right of Figure 3.1, have much in common with Robert Winter's (1989) concept of the bifocal close—that is, situations in which a I:HC MC leads to an S theme in the dominant in the exposition, but an S theme in the tonic in the recapitulation.<sup>27</sup> Since the

<sup>26</sup> I emphasize the difference in this point of view from, e.g., Caplin (1998, 163), who writes "If the original transition is nonmodulatory, a tonal adjustment is not necessary, and the transition may even retain its original structure." In my view it is emphatically not the case that a tonal adjustment *is not necessary*; it is only that it takes place in the space between the I:HC and the I:S-theme. The "tonal adjustment," takes place *in the silence of the MC gap*.

<sup>27</sup> In his words, "the ... half cadence ... projects a harmonic neutrality that readily permits the immediate tonicization of the fifth degree in the [exposition]. In the recapitulation, this neutrality is deflected back to the tonic" (275). *Elements* explicitly avoids the term "bifocal" (236): "If the exposition had contained a I:HC MC any recapitulatory shift toward the subdominant in the P-TR zones—along with any general obligation toward recomposition—was

bifocal close is a tonal category, however, it says nothing of the *time* any transition takes to achieve its HC MC, only that the HC MC achieved works (tonally) in two ways. A good way to drive the point home is to look at the first movement of Mozart's Piano Sonata in G, K. 283, incidentally the first example in Winter's article. For this paragon of the bifocal close strategy is perforce not a *Transpositionsreprise*: its exposition's sentential P theme (2+2+6(+6)) is recomposed in the recapitulation (becoming 4+4+4, mm. 72-83), resulting ultimately in a loss of four measures.<sup>28</sup>

Thus the "second *Transpositionsreprise*" has a "bifocal medial caesura" (a tonal attribute/strategy), but adds a further, thematic condition: the recapitulatory thematic plan must be identical to the expositional one. These *Transpositionsreprise*n track their expositional thematic layouts bar for bar—the necessary condition of all three types of *Transpositionsreprise*. But their tonal wheel is thrown, immediately, in the MC silence that separates the recapitulatory TR from S. The tonal cog re-aligned, the recapitulation then tracks its exposition measure for measure; the obligatory tonal alterations are (made) inaudible. By insisting on enacting its obligatory tonal alterations *in silence*, it conceals the one piece of tonal labor that every on-tonic recapitulation must make.

The hallmark of the second type of *Transpositionsreprise*, then, is that it is a script that conceals the action of making its obligatory tonal alterations; they are hidden

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technically unnecessary. Since the recapitulation was also to drive to a I:HC MC, there was no need to alter anything in part 1. (In fact, one sometimes comes across this simple, merely mechanical solution, as in the first movement of Mozart's Quartet in E-flat, K. 160, whose recapitulatory P-TR displays only one or two almost negligible figurational variants.)"

<sup>28</sup> Because of the sequence (the material repeated up a step) the presentation phrase of Mozart's recapitulatory P is twice the size of the presentation phrase of its exposition. Caplin says nothing of this enlargement (deceleration), only noting that "the initial presentation phrase is sequenced up a step and is then followed by a new continuation. The appearance of a sequential passage is particularly appropriate here, since it compensates for the lack of a core in the preceding development section" (163; example on 162).

from view by prestidigitation, composerly guile, or the logic of commodity form. They (deliberately and by design) stage no crisis; they erase the traces of their manufacture; they refuse to show their hand (or the hand of the composer). For these reasons, second *Transpositionsreprise* have sometimes suggested to earlier analysts a lack of compositional effort or imagination—at least when they are composed by Schubert.<sup>29</sup>

An interpretation in positive terms is also possible. For instance, Category 1 recapitulations (of all types) may also suggest wit or playfulness (on the part of the composer, perhaps, although such an alignment is of course not necessary), as if to call attention less to the change that occurs *in silence*—the recapitulatory MC gap itself—than to the expositional architecture that made it possible. This as easily suggests wry cleverness as it does laziness and encourages us to consider the recapitulation less a “response” to the exposition—as if that first rotation had been composed without any regard for what might happen later on in the form—and more as having been conceived in tandem with it, perhaps by analogy to an antecedent/consequent phrase pair. “If I want to stage the bifocal strategy as the solution to a problem—if I want to conceal the actual making of my obligatory alterations, as if to hide them from view—then I ought to write *this* type of expositional transition and MC.” The bifocal *Transpositionsreprise* points to the internalization (on the part of the composer) of the norms of sonata composition and a purposeful deployment of one particularly distinctive strategy.

The rigorously drawn bounds of the thematically equivalent *Transpositionsreprise* nevertheless permit of a great deal of tonal and modal play. Indeed, it often seems that a *Transpositionsreprise* is being used in order to call attention to tonal or modal changes

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<sup>29</sup> Against this backdrop we see the relevance of Adorno’s ([1952] 2009, 79) mention of Schubert’s “chthonic S themes” as early instances of the phantasmagoric in music.

that occur against a thematically identical (thus unobtrusive) backdrop: for in a recapitulation in which every bar is precisely equal to one bar of the referential exposition, the perceptual emphasis of alterations is perforce shifted to the tonal or modal. The *Transpositionsreprise* is by definition the most neutral possible stage on which to play out a tonal drama.

An example from Beethoven illustrates the types of interpretations that can attend the second *Transpositionsreprise*. The finale of his Piano Sonata in C Minor, Op. 10/1 holds strictly to this layout, since its recapitulatory tonal alterations (which make for a C-major S theme in place of the exposition's E $\flat$ ), occur in the MC silence and constitute the movement's relatively minimal "obligatory" tonal alteration. It nevertheless suggests a robust tonal/modal narrative, as heard against the unchanging referential thematic layout. The expositional trajectory, from C minor to E $\flat$  major, culminates in an E $\flat$ :PAC EEC, but the C-major S theme that enters after the recapitulatory i:HC MC gap will not be so lucky. At m. 82 = 25, the pitch A $\flat$  *inflects* the white-note collection as much as it *infects* the ongoing narrative. The mixture continues, with E $\flat$  introduced in m. 83 = 26, and the ESC, at m. 85 = 28, is fully in C minor. Thus, if mode be an indicator of mood, this sonata's narrative is clinched—the protagonist's dreams of transcending his C-minor mood quashed—and all this without a single thematic alteration.<sup>30</sup> Against this, the D $\flat$ -major S theme that opens coda space seems somehow too-little too-late—its unalloyed major mode cannot make up for the collapse of C major that occurred in sonata space proper. And the chromatic ascent to the cadential  $\frac{6}{4}$  chord in C minor at m. 114,

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<sup>30</sup> Taruskin (2005, ii 694): "To describe the distinctive Beethovenian tone simply as the "C-minor mood" is woefully inadequate.... For the "C-minor mood" is really not a mood at all. A mood is static. What Beethoven offers, as always, is a trajectory. Most of the works we shall examine begin in C minor and end in C major; and the ones that do not make a point of the fact."

*fortissimo*, is enough to make the C-major chord that ends the piece sound as delusional, as unearned, as anything in Schubert.

### 3.2.3. The Third Transpositionsreprise

The third type of *Transpositionsreprise* is different from the second type by virtue of the fact that it makes its obligatory tonal alterations “audible,” to a greater or lesser degree. Before giving examples of a handful of third *Transpositionsreprises*, it will likely be helpful for the reader to see a few examples of the “audible” tonal alterations that characterize it. The first movement of Schubert’s Piano Sonata in D major, D. 850 is not a *Transpositionsreprise* of any type, but it nevertheless elegantly shows the difference between the alterations-in-silence strategy of the bifocal close and the audible tonal alterations that characterize the third *Transpositionsreprise* strategy.

The image displays two systems of musical notation for Schubert's Piano Sonata in D Major, D. 850. The top system, labeled 'm. 37', shows a piano (p) section with a caesura fill leading to a section marked 'S'. The bottom system, labeled 'm. 188', shows a piano (p) section with a caesura fill leading to a section marked 'S', with measures 37, 38, 39, and 40 indicated.

Example 3. 2. “Audible” Tonal Alterations in the CF of Schubert’s Piano Sonata in D Major, D. 850.

Here, the tonal alterations are made in the bifocal caesura fill, as if in the nether space between the MC and the onset of S (Example 3.2).<sup>31</sup> The approach, clearly in dialogue with the bifocal close strategy, *makes audible* the changes that more often occur in

<sup>31</sup> The Sonata is not a *Transpositionsreprise* because of an 11-bar cut at m. 167, which = both m. 5 and m. 16. For nether space, see the ontology of caesura fill given in *Elements* (40): “Caesura-fill is part of neither TR nor S: it represents the sonic articulation of the gap separating the two zones.”

silence in bifocal situations.<sup>32</sup> For it is easy to imagine a situation in which neither the exposition nor the corresponding recapitulation features any fill, and the I:PAC MC moves directly to S, in two different keys, after a bar of rest.

Schubert's treatment of this CF is different from the cases of modulating CF adduced in *Elements* as well as those identified more recently by Graham Hunt (2009). In all those cases the modulating CF is the same in the exposition and recapitulation; in the recapitulation it always occurs *after* the tonal crux, and is governed by exactly the tonal logic of the exposition.<sup>33</sup> In other words, in these cases the CF may be the site of a *modulation*, but is not the site of the *tonal alterations*. The expositional and recapitulatory MCs are different. In the D-Major Sonata (and the first movement of the First Symphony), the MCs are the same; the labor necessary for making the obligatory tonal changes in the MC gap is in these cases made audible to the listener: "*This* is how you get to the proper pitch level for S." And this showing of cards—a situation in which the means of production are deliberately unconcealed from view (hearing)—points up the

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<sup>32</sup> A helpful comparandum is found in the (non-*Transpositionsreprise*) first movement of Schubert's First Symphony, D. 82, which also features a bifocal strategy with modulating fill in the exposition (mm. 73-77) and non-modulating fill in the recapitulation (mm. 411-415 = 73-77). See section 3.3.4 below.

<sup>33</sup> The pieces include Cherubini's Overture to *Les deux journées*, which according to both *Elements* and Hunt was inspirational for Schubert's three-key expositions and modulating caesura fill. The alterations and tonal crux in this overture occur at m. 163 = 55, *before* the modulating fill. According to Hunt, the first movement of Schubert's Second Symphony "is also in dialogue with expanded modulatory CF," which is "called upon to accomplish a modulation to the generically proper key (IV in this case) following a deformationally 'wrong-key' MC." But in this case, too, the two MCs are different, and the long modulating caesura fill (if fill this be) is governed by the same tonal logic as in the exposition.

In addition to the Cherubini Overture *Elements* (29 ff.) cites as touchstone examples the first movement of Schubert's "Unfinished" Symphony, D. 759, and the first movement of the Piano Sonata, D. 279. Like the Cherubini D. 279 has two different MCs, so the same modulation takes place in both CFs (from E-G, then from A-C). And the CF in the first movement of the "Unfinished" moves from b-G, and then from f#-D. In these pieces the *alterations* don't happen in the modulation, they happen before.

difference between the alterations typically found in the second type of *Transpositionsreprise* (the bifocal close) and the third (audible alterations).

For an easy example of minimal, but audible, thematic alterations in service of the tonal adjustment in the context of a clear third *Transpositionsreprise*, consider Schubert's Overture in D Major, D. 556 (Example 3.3). The Overture makes its alterations immediately, as if the tonal wheel gets thrown in the middle of the ongoing discourse. The change of pitch does nothing to alter the *size or the shape* of the recapitulatory rotation, and we can assert here without problem that the recapitulation is *thematically equivalent* to the exposition, although it does have one single, "immediate" tonal alteration. The alteration makes for a MC in the tonic at m. 214 or 215, which balances (tonally) the MC in the dominant at m. 71 or m. 72 (not shown).

The image shows a musical score for Schubert's Overture in D Major, D. 556. It is divided into two sections: Exposition (Expo) and Recapitulation (Recap). The Exposition starts at measure 58 (m. 58) and features horns, strings, and horns. The Recapitulation starts at measure 201 (m. 201) and features horns, strings, and flutes. A vertical line marks the 'TONAL ALTERATION' at the beginning of the Recapitulation, which is also labeled as the 'TONAL CRUX'. The recapitulation includes measures 58 through 65, with measure numbers 58-65 written above the staff.

Example 3. 3. "Immediate" Tonal Alterations in Schubert's Overture in D Major, D. 556.

A similar example is found in the Scherzo from the *Fünf Klavierstücke*, D. 459 (Example 3.4). Again we have a recapitulatory rotation identical to its referential expositional one in all primary parameters save its single, "immediate" tonal adjustment. The tonal wheel

is thrown between the last eighth-note beat of m. 187 = 45 and the onset of m. 188 = 46, in order to achieve a tonic PAC on the downbeat of m. 192 = 50.

Example 3. 4. “Immediate” Tonal Alterations in the Scherzo of Schubert’s *Fünf Klavierstücke*, D. 459.

Yet another instance is found in the tonal alterations made in the *Transpositionsreprise* of the first movement of the “Little” Piano Sonata in A Major, D. 664 (Example 3.5)<sup>34</sup>:

Example 3. 5. “Immediate” Tonal Alterations in the First Movement of Schubert’s Piano Sonata D. 664.

These three pieces all qualify as third *Transpositionsreprise*n, since they make their tonal alterations audible while nevertheless preserving their expositions’ thematic layout exactly. Because of the continuum that characterizes the three

<sup>34</sup> Note the octave line created by the bass here. The situation is identical to the alterations made in the finale of Mozart’s Piano Sonata K. 280, mm. 132-139, although Mozart’s recapitulation is, technically, not a *Transpositionsreprise* since there are two measures of CRI (mm. 187 and 188.) Compare, too, the behavior of the first set of *tonal* alterations in the first movement of Beethoven’s Pastoral Sonata (mm. 312-327 = 40-55), to be examined in Chapter 5.

*Transpositionsreprise*, running from absolutely no work necessary, to silent tonal alterations, to audible tonal alterations, one might be tempted to assert a corresponding *poietic* continuum, from absolute laziness, to the merely dilatory—the tricky save or composerly guile—to some more involved (= advanced) approach. But such a method seems wrong-headed, not least because it says nothing about the composerly effort necessary to make a development *move* toward a subdominant launch; why should that be any easier than making it move towards tonic? The current project asks instead what each of these compositional strategies might suggest, from a narrative standpoint, and in what compositional situations each of them might be desirable.

Heard thematic and tonal alterations in the context of a *Transpositionsreprise* can suggest free play within rigorous bounds, flourishes, da capo improvisations, and a performer in the spotlight. They may go so far as to suggest intermixtures with a vocal *genre*, as if some part of the essence of the da capo aria reprise is meant to be captured and held fast in an instrumental context. The third *Transpositionsreprise* also suggests a thematizing of labor (perhaps in an effort to derail the recopying strategy), or an effort at enfranchisement, a narrative possibility best heard against the affordances of any *Transpositionsreprise* that explicitly conceals, suppresses, or *represses* its alterations. In short, as a strict approach to recapitulation, the expressive *tinta* of the *Transpositionsreprise* colors any thematic freedom perceived therein.

### **3.3.1-5 Interlude: A Study in Tonal-Alteration Types**

#### **3.3.1. Immediate Alterations**

It will be helpful to pause and consider the *tonal-alteration type* that characterizes the three last examples as well as some other strategies for negotiating tonal alterations. The innocuous (not to say anodyne) alterations made in the preceding examples—

characterized by their immediacy—happen frequently in all types of recapitulations and might suggest either a refusal to engage in more detailed or involved work, or a desire to displace the focal point from (the obligatory) tonal alterations to some other formal location or musical parameter. (We should keep this in perspective; since these alterations are audible they still suggest more composerly or narrative action than those that tend to characterize the first and second *Transpositionsreprise*.) A well-known non-*Transpositionsreprise*, the finale of Schubert’s Piano Sonata, D. 959, houses a familiar example of these time-preserving, “immediate” tonal alterations.<sup>35</sup>

The image shows a musical score for Schubert's Piano Sonata in A Major, D. 959. It is divided into two systems: 'Expo' (Exposition) and 'Recap' (Recapitulation). The Exposition starts at measure 33 (m. 33) and ends at measure 37. The Recapitulation starts at measure 245 (m. 245) and ends at measure 37. A vertical line is drawn between the end of the Exposition and the beginning of the Recapitulation, labeled 'TONAL CRUX'. The score includes dynamic markings such as 'f' (forte) and 'p' (piano). Harmonic annotations include 'V<sub>2</sub><sup>4</sup>; to V:HC MC...' and 'V<sub>2</sub><sup>4</sup>/IV; to I:HC MC...'. The recapitulation section is marked with measure numbers = 33, = 34, = 35, = 36, and = 37.

Example 3. 6. Tonal Alterations in Schubert’s Piano Sonata in A Major, D. 959.

As shown in Example 3.6, in the Piano Sonata (as in the preceding examples), the tonal alterations happen quite immediately. The tonal wheel is “thrown” between the termination of the high E7 in the right hand at m. 34 (and m. 246) and the onset of the A5 on the downbeat of m. 247 (boxed). The bar line thus seems to act as a transformer in

<sup>35</sup> The recapitulation features one time-alteration, a thematic deletion before the arrival of the thematic crux. It also features what *Elements* would call a “false start” (260): the recapitulatory rotation seems to begin in F# at m. 212. The argument I put forth in the main text regarding the tonal alterations of D. 959 holds even if the analyst is inclined to view this music as part of the recapitulation proper.

this case—for, as in the example from the *Fünf Klavierstücke*, everything that passes through it must move up by perfect fourth.<sup>36</sup> Even in the context of a non-*Transpositionsreprise*, these immediate tonal alterations suggest something like they did in the *Transpositionsreprise*n in which they were housed above: a quickness or uninvolvement, an easy solution (on the part of the composer) or an easy traversal of musical space (on the part of the virtual protagonist or wanderer). The mechanics are easy to understand: they do not suggest labor or difficulty, and they do not suggest composerly invention or intervention.

### **3.3.2. Two types of Thickness**

Other instances of immediate tonal-alterations abound, in the sonata movements of Schubert and other composers, and in *Transpositionsreprise*n as well as non. But this is not the only way to make tonal alterations. Indeed, some tonal alterations are not characterized by immediacy; they have temporal *thickness*. Take for instance the tonal alterations made in the (non-*Transpositionsreprise*) finale of Schubert's Octet, D. 803 (Example 3.7). These alterations (boxed) take place nearly, but not quite, immediately, all the while preserving the rhythmic onsets, affect, articulation and dynamics, and instrumentation, of the exposition. The bass, indeed, might be said to alter only a single quarter-note beat: it is in place, a fourth above the expositional tonal level, already on beat 2 of m. 277 (= 70).<sup>37</sup> The first violin seems to enact an immediate tonal alteration against the bass (from a pitch class perspective), although its pitches are altered

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<sup>36</sup> Note that in this case the downbeat of m. 247 is the *tonal* crux; the thematic crux happened at m. 237 = 25.

<sup>37</sup> Beat 3 of m. 277 = 70 is thus the tonal crux of the movement.

sometimes upwards sometimes downwards.<sup>38</sup> The example boxes three quarter notes' worth of different pitches to compensate for these registral shifts, although in principle the passage might be said to have only one quarter-note alteration (the A on the downbeat of m. 277).

The image shows a musical score for Schubert's Octet, D. 803, divided into two systems: Exposition (Expo) and Recapitulation (Recap). The Expo system starts at measure 68 (m. 68) and the Recap system starts at measure 275 (m. 275). The Expo system features a treble clef staff with a melodic line and a bass clef staff with a bass line. The Recap system also features a treble clef staff with a melodic line and a bass clef staff with a bass line. The Recap system includes measure numbers = 68, = 69, = 70, = 71, = 72, and = 73. The score includes dynamic markings such as *ff* and *C:PAC*. There are also annotations for 'TONAL ALTERATIONS' and 'TONAL CRUX' in the Recap system.

Example 3. 7. Tonal Alterations in the Finale of Schubert's Octet, D. 803.

Another example can be found in the modulating CF of D. 850, cited above in Example 3.2. There, the first change in pitch occurs on the third beat of m. 189 (G# becomes G $\flat$ ), but subtle alterations continue to be made until the onset of S, at the downbeat of m. 191 = 40. These examples are exceedingly mild; in order to come to terms with tonal alterations that have more thickness than simply a few beats, we will have to theorize how they are made.

In theory there are two ways of accounting for thickness in tonal alterations, which correspond to the quantitative distinction between magnitude and multitude. What I mean by the first—"magnitude" (continuity)—can be understood by imagining the procedure at work in the finale of D. 803 and the CF of the first movement of D. 850 blown up to larger and larger proportions. In these cases, the tonal alterations would

<sup>38</sup> For a study of register in recapitulations see Cavett-Dunsby (1988).

exhibit temporal thickness by being tonally mobile where the exposition was static, static where the exposition was mobile, or otherwise different than the exposition's tonal layout for some amount of time, while nevertheless tracking its thematic layout measure for measure. An excellent example of this is to be found in what is actually the second set of tonal alterations in the "third *Transpositionsreprise*" first movement of Schubert's first Piano Sonata in E Major, D. 157.<sup>39</sup> (Example 3.8 shows the passage, whose recapitulatory measures begin, curiously, in the dominant, B major.)

Example 3. 8. "Thick" Tonal Alterations in the First Movement of Schubert's Piano Sonata, D. 157.

This recapitulation, instead of moving from its initial (and curious) B-as-tonic chord at m. 170 down by diatonic thirds (to vi and then IV, as had the exposition), spends time finding its bearings, as if in reconnaissance or else in groping towards the proper tonic. It first moves from its local tonic, B, to the dominant of D major at m. 174 (replacing root motion down by third by root motion down by step), next to a D<sup>6</sup> chord (replacing root motion down by third with root motion down by fifth), and only finally to the root-position D major chord(-as-IV) that serves as the tonal crux of the movement. (The movement, being a *Transpositionsreprise*, has no thematic crux.) The involved and

<sup>39</sup> For another easy case, see the tonal alterations at mm. 485-488 = 158-161 of the first movement of Schubert's Second Symphony, D. 125.

temporally thick tonal alterations in this movement function, in effect, as its generically normative “subdominant tilt.”

What is felicitous about D. 157 is that in addition to being an exemplar of this first type of thick tonal alterations, it can also teach us about the second type. This second type of thickness, corresponding to “multitude” (discontinuity), seems to have gone unremarked upon in the discourse on sonata form. As mentioned, the passage shown in Example 3.8 is actually the second set of tonal alterations in D. 157. Simply put, it is by virtue of this fact that the movement exhibits the second type of thickness (multitude): for any tonal alteration that does not bring about the tonal crux calls for another. The practice of enacting multiple, discrete, sets of tonal alterations, no matter their size, expresses thickness every bit as much as one large set does; it calls attention to itself as part of an ongoing process. The first of these sets does not accomplish the sonata’s tonal task, thereby needing to be supplemented down the line by further sets of alterations. In paired sets of tonal alterations, I will call the first set “gratuitous,” meaning that though it moves to a new pitch level it will not bring about a tonal resolution.<sup>40</sup> Once having moved to a new, but not the final, pitch level, the music can track for any amount of time, from a measure to several pages. But the listener/analyst should be aware that this first tonal adjustment is not the one that will bring about the tonal resolution of the form; more tonal alterations will be necessary in order to bring about a tonic resolution (if tonic resolution there will be).

These paired (sometimes tripled or more) tonal alterations defer their duty, calling on later sets of alterations to help them out in accomplishing their (obligatory) task. If

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<sup>40</sup> My use of this term has nothing in common with “gratuitous,” as used to denote themes or keys that seem *superfluous* or *extra*, from some higher aesthetic perspective.

later sets of tonal alterations move closer to tonic, the effect can be one of chipping away, piecemeal, at a task, of teamwork, of capriciousness, of correction, or even of the lack of a plan or the ability to carry it out. Often, later sets of tonal alterations accrue a sense of the correctional or even salvational if they succeed in carrying out what the sonata is thematizing as a difficult task.

A look back at D. 157, this time from a more synoptic perspective, gives the foregoing some analytic support. For its second set of tonal alterations, which we have already seen exhibits thickness in the first sense (magnitude), is best construed as *responding* to its first set. As shown in Example 3.9, it follows upon the heels of a very curious set of tonal alterations, *in P* (!), that moves what “should” be an all-E-major recapitulation temporarily into the orbit of B major. This first tonal alteration, then, rather than insuring the proper tonal goal of the recapitulation, undermines it. Perhaps it is overeager—since its jumping the gun results in a tonal shift that will not ultimately bring about the tonal resolution—perhaps it is sinister, or placed by design, with the desired effect being to push the tonal level of the exposition off track. Or perhaps it is simply—though purposefully—mistaken; indeed, by moving the tonality to B major, it behaves as if this were an exposition!

The image shows a musical score for the first movement of D. 157, divided into two systems: Exposition (Expo) and Recapitulation (Recap). The Exposition system starts at measure 15 (m. 15) and ends with a 'P-based TR' label. The Recapitulation system starts at measure 162 (m. 162) and includes measures 15 through 23. Below the Recapitulation system, there are labels for 'E:PAC' and 'B:PAC'. A dashed line labeled 'TONAL ALTERATIONS, 1' spans from measure 15 to measure 23, with a '???' at the end. The score is written in treble and bass clefs with a key signature of two sharps (F# and C#).

Example 3.9. An Early Tonal Alteration in the First Movement of D. 157.

What is important about this first set of alterations in D. 157 is that it demands correction by later music. This (“too-early”) tonal alteration made in recapitulatory P-space introduces the need for further tonal alterations.

The second set of tonal alterations now appears in a different light: TR *responds* to the premature, or inadequate, gratuitous, over-zealous, or otherwise mistaken throwing of the thematic wheel by enacting a series of harmonic changes that only gradually lock onto the proper tonal level. By dissociating these two sets of tonal alterations and treating them as being different in kind, the current analysis brings out something new and suggestive: it is only fitting that the second set of tonal alterations exhibit temporal thickness in the first sense (magnitude), since those measures are the site of a struggle; they are *working against* the (generically misguided and) curiously tonally mobile recapitulatory P-theme; they are correcting its mistake. After the tonal crux occurs at the root-position D-major-as-IV chord on the last quarter-note beat of m. 180 = 33—this movement has no thematic crux—the recapitulation tracks its exposition exactly.

I have reckoned this passage by considering its two sets of tonal alterations as separate (discrete, several, discontinuous), and *paired*. On this reading the first happens immediately (rashly, impetuously), and the second—which responds to this improper treatment—takes time, or effort, to fix it. It seems to me a more traditional approach would reckon the entire passage stretching from the end of P (the curiously tonally mobile cadential repetition) all the way through TR and the tonal crux at m. 180 as one long set of tonal alterations that has thickness. Ultimately, both suggest a certain tonal over-eagerness (too early!) which leads to a mistaken tonal level and is then *corrected* by a TR that has to expend a certain amount of energy to fix the mistake. The identification

of two discrete sets of tonal alterations helps the analyst to understand two different functions here: the second set reacts, or responds to the first.

The important point that arises, in any case, is this: differences in the amount of time it takes for a piece to carry out its tonal alterations are suggestive of different interpretive (or dramatic) readings. Alterations that happen quickly—like the first set in D. 157—might often suggest insouciance or impetuosity. Those that take more time—like D. 157's second set—can suggest either a struggle to correct or the application of a more reasoned calculus. Obviously, any tonal alteration that throws the music off track, rather than moving it to the proper pitch level, sits uneasily within the notion of *obligatory* tonal alterations. (Could this behavior be explained by any theory of form that allows for one “obligatory” adjustment?)

To drive the point home, let us consider four straightforward examples that illustrate that any tonal alteration that does not bring about the tonal crux calls for a second (or a third, or a fourth) tonal alteration to achieve the recapitulation's obligatory tonal task. The first two examples come from the Minuet and the Trio from the sonata we have been examining, D. 157. In these two cases it will suffice merely to note that each provides a simple example of paired, or “corrective,” “double” tonal alterations. The Minuet's tonal alterations occur at m. 55 and again at m. 59; those of the Trio occur at m. 121 and again at 125. Both forms perform the same recapitulation script as the sonata's first movement—a *Transpositionsreprise* with paired tonal alterations—as if reacting to it, experimenting with it to different ends, or feeling out the possibilities for its narrative implications. (Coupled with their musical “content”—mode, topic, and so on—

D. 157's three instances of the script have a wide affective range; they run the gamut from *corrective* to *correctional*.)

Example 3. 10. Tonal Alterations in the First Movement of Schubert's Piano Sonata in E Minor, D. 566.

The third example of paired, or “teamwork” tonal alterations is found in the first movement of the Piano Sonata in E Minor, D. 566 (Example 3.10), which makes its two tonal alterations in the space of a few dozen measures. The first (which happens in silence at m. 67) is “gratuitous”: it is not the tonal alteration that would allow the recapitulation to end up with a tonic S theme and ESC. The second (mm. 74-76) is made necessary by the first, whose indolent, apprehensive, or simply unsuccessful nature is at that moment made clear. The first tonal alteration defers the obligatory tonal move.<sup>41</sup>

<sup>41</sup> The first tonal alteration makes for a TR that begins a fifth above its exposition, in B minor. If this TR were to track the tonal behaviors of its exposition, it would end up with an S theme (and subsequent ESC) in D major. The next alteration happens at mm. 75 and 76 (foreshadowed by a change in the triplet upbeat, marked with an arrow on Example 3.10). In m. 75 a C in the bass (this would be a C# if not for the alterations) supports a German augmented sixth, in order to trigger the dominant of E major at m. 76 = 16 (this was the dominant of G major at m. 16). A touch of amazing subtlety concerns the top-voice motion from B $\flat$ /A# to B. In the

Despite these two rounds of tonal changes, the recapitulation still tracks its exposition's thematic layout exactly; D. 566 is thus a paradigm example of the "third *Transpositionsreprise*." Since the exposition makes no further tonal moves after G major is achieved, no further changes are necessary in the recapitulation. It continues to track through the moment of ESC (m. 92 = 32) and beyond.

A near-identical situation obtains in our fourth example, Schubert's *Transpositionsreprise* Overture in B $\flat$ , D. 470. Here, the first tonal alteration (m. 145 = 27) moves the recapitulation to its subdominant; but since the exposition used the V:PAC achieved at 149 as a true dominant, this recapitulation would—if nothing else changed—move from E $\flat$  (IV) to A $\flat$  ( $\flat$ VII) at the corresponding moment (mm. 149-150 = mm. 31-32). Instead (and necessarily), it makes a second, corrective tonal alteration, resulting in the necessary continuation in E $\flat$ . As in the examples above, all this tonal play occurs in a thematically identical reprise.

Paired tonal alterations can suggest any number of narrative behaviors. As we have seen, they fall easily into what we might call a "correction script": the second alteration (or the third or fourth, as the case may be) corrects the inutile, impuissant, playful, curious, overeager, deliberately unconventional, sinister, or otherwise seemingly inadequate first alteration. (Which of these the behavior suggests has to do with other

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exposition, the C $\sharp$ <sup>o7</sup> chord (vii<sup>o7</sup>/V in G major) at m. 15 is properly spelled with B $\flat$ , although the inclusion of a cadential  $\frac{5}{4}$  chord frustrates this tonal will by making the B $\flat$  momentarily go up to B, before falling (conceptually) to the dominant-flavored A. The A is not present, literally, in the exposition, at all (unless it be taken to occur on the last triplet eighth note in the bass). In the parallel bars in the recapitulation (mm. 75 ff.), the same pitch, now spelled as A $\sharp$ , is supported by a German augmented sixth in the global tonic; but the intense upwards-resolving desire of A $\sharp$  is similarly not achieved on the musical surface, unless that resolution be taken to occur in the bass. (This seems even less likely than in the expositional transference since the augmented-sixth chord has a double-resolution onto its dominant.) Does the A $\sharp$  in the German augmented-sixth chord, which resolves to an A, unmediated through B $\flat$ , resolve the B $\flat$  of the exposition? Conversely, does the expositional B $\flat$ , which moves directly to B, resolve the A $\sharp$  of the recapitulation?

musical parameters.) What is to be borne in mind in all such cases, however, is the overriding of the notion of *obligatory* tonal alterations. These first sets of tonal alterations call into question the conventional, one-alteration model, and they invite us to interpret them narratively.

### **3.3.3. A Common Strategy Necessitating Thick Tonal Alterations**

Many movements make a strong, rhetorically charged opening of their recapitulatory TR zone in a non-tonic key, very often *vi* or  $\flat$ VI, typically exchanging an expositional PAC for a recapitulatory DC. Such movements must then correct this off-tonic TR-opening in a second set of alterations designed to move from *vi* or  $\flat$ VI back to the tonic key for the MC, S and the ESC. Once the first change has been made, these recapitulations may exhibit either type of thickness—single and continuous (magnitude), or discrete and paired (multitude).

The strategy is by no means unique to Schubert, as shown by the recapitulations of Rossini's D-major Overture to *Il Signor Bruschino* and the opening movement of Beethoven's Piano Sonata in E Major, Op. 14/1. The Rossini overture opts for the double, paired alteration strategy: V moves to  $\flat$ VI (not I) at m. 170 = 55, and tracks in the new key of B $\flat$  until a second set of temporally thick alterations begins at m. 178  $\neq$  63.<sup>42</sup> The tonal correction occurs when m. 182 = 67 manages to arrive on an A chord for the dominant lock and balancing I:HC MC (m. 194). By contrast, the Beethoven Sonata movement, which also opts for an opening of the recapitulatory TR in  $\flat$ VI (C major), makes a single thick alteration that lasts four bars, ultimately coming to rest on a tonic-

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<sup>42</sup> By using a not-equals sign, I call attention both to the thematic difference and to the *rhythmic* identity. In spans denoted by  $\neq$  signs, each recapitulatory measure is thematically different from, but takes the same amount of time as, an expositional measure.

key augmented-sixth chord in m. 106 (= 16?), as compared with the  $\text{vii}^{\circ 7}/\text{V}$  (in B major) of m. 16.

### **3.3.4. Impotent and Self-Effacing Tonal Alterations**

Tonal alterations—whether they work alone or in pairs—are not always as effective as the ones we have seen thus far, especially in Schubert. It is useful, therefore, to note two other tonal-alteration strategies—which again hinge on the difference between the two types of thickness theorized above—and which can suggest bleaker narratives: the “impotent” (magnitude), and the “self-effacing” (multitude).

Impotent tonal alterations are those that seem to *set out to* achieve the obligatory tonal adjustment and tonal crux but, for whatever reason, cannot, and result, ultimately, in no tonal alteration being made. These inutile alterations suggest inability, as if they *ought* to have brought about the obligatory tonal shift, but somehow couldn't. By definition they have temporal thickness in the first sense described above (magnitude). They might alter the *rhythmos* of the referential exposition, or they might preserve it, as in a *Transpositionsreprise*. Self-effacing tonal alterations, on the other hand, are paired tonal alterations of which the second, instead of correcting the work done by the first—moving forward toward the tonal crux and the ESC—undercuts it by returning to the place before the first tonal alteration happened. By definition, these have temporal thickness in the second sense described above (multitude).

A straightforward example of a passage of impotent tonal alterations can be found in the recapitulation of the first movement of Schubert's Piano Sonata in C minor, D. 958 (Example 3.11).<sup>43</sup> Here the thematic alterations obscure the referential layout while

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<sup>43</sup> The movement is not a Category 1 recapitulation, since a set of tonal alterations after this passage results in a net loss of 10 measures. Because it makes this first set of null alterations,

preserving some of its two-bar-interval right-hand-to-left-hand logic (arrows point out the expositional figure that passes from right hand to left hand). Note that the right hand's figure in m. 168 actually comes from the left hand's *echo* from the exposition, at m. 11. (I've shown this thematic "equivalence" in my stacked labeling of correspondences.)

Example 3. 11. "Impotent" Tonal Alterations in the First Movement of Schubert, D. 958.

In this passage expositional and recapitulatory measures are participating in a colloquy. It is difficult to get your bearings, if bearings are to be constituted by measure-to-measure correspondence (equivalence).

The surface differences, which hinge on moving part of the descending tetrachord figure that occurs in an inner voice in the exposition to the bass, are clear: first, a  $V^7/IV$  (m. 3) is converted into a  $V^4/IV$  (m. 162). The inverted dominant discharges onto a  $IV^6$  chord at m. 163 instead of a " $IV^4$ " chord over a tonic pedal as at m. 4. The (inverted) augmented-sixth chord "built on"  $A^b$  (m. 5) is in the recapitulation moved to root-position, spelled with  $G^b$ , and made to function as an  $A^b$  dominant-seventh chord (m. 164), discharging onto a root-position  $D^b$  at m. 165. The tonal alterations then continue for two more measures, forming a tonal sequence by rising whole tone that answers the

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returning to where it came from, and then enacts a large deletion, it suggests a certain eagerness, stir-craziness, or even an alteration zeal.

move from  $A\flat$  to  $D\flat$  with one from  $B\flat^7$  (m. 166) to  $E\flat$  (m. 167). In the current context, however, what is important about these alterations is that after suggesting modulations to  $D\flat$  and  $E\flat$ , they ultimately latch back on to their referential layout *at pitch*. They abort the tonal mission mid-step, as it were, turning back to C minor at m. 170, which equals m. 11 in all domains, tonal level included. Considered “structurally,” these busy recapitulatory alterations in fact “accomplish” nothing.<sup>44</sup>

Such tonal alterations stage inability—they thematize their impotence. Because of this impotence the movements will have to enact at least one further set of tonal alterations, down the line. Because of this, impotent alterations invariably create situations that have “multitude thickness.” In that they do not bring about the sonata’s requisite change in tonal level, they are like any tonal alterations that seem not to be able to carry out the task they have been charged with. But by not being able to bring about *any* change in tonal level whatever, they add to this a more profound sense of inability.

The related strategy of self-effacing tonal alterations comes ultimately to the same thing as the impotent alteration, but it does so in a different way. In such cases a first tonal alteration seems to accomplish at least part of the tonal task of the recapitulation, by enacting a change of tonal level. The music then exits the alterations and begins to track correspondence measures in a key different from the one that opened the recapitulation

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<sup>44</sup> An instructive non-Schubertian example of impotent tonal alterations that *take time*, thereby suggesting even more work than that found in D. 958, is to be found in the opening movement of Beethoven’s “Waldstein” Sonata, Op. 53. These thematic-tonal alterations begin at m. 168  $\neq$  13, and result, ultimately, in an addition of five bars to the recapitulatory rotation. If they wanted to enact the most economical solution, they would drive toward the subdominant for the reprise of the dissolving sentential  $P^{\text{cons}}$ . And they very nearly do: the alterations move from their C-major context toward first  $D\flat$  (m. 169) and then  $E\flat$  (m. 171; notice the identical key and tonal progression in D. 958). Ultimately the piece aborts the process of tonal adjustment when a  $vii^{\circ 7}/V$  chord in  $E\flat$  major (m. 172) is used as  $vii^{\circ 7}/V$  in the tonic C major.  $P^{\text{cons}}$  thus enters in C major, as if nothing had happened. Different from D. 958, it enters *five bars too late*.

(but typically not the key that will bring about the ESC). A later tonal alteration then erases the tonal work achieved by the first alteration by moving back to the tonic (or to the tonal level that was active before the first alteration). Self-effacing tonal alterations suggest radical corrections. For the erasing of tonal work completed is evocative of a correction of a tonal mistake—as if to check the first alteration, hard: “we will *not* go there!” In so doing it suggests that the partial solution chosen by the first set of tonal alterations is irreparable—that the succeeding music has to erase a misstep before knowing how to proceed. (It might also point to the material involved in making the first change as flawed or as a sinister force to be reckoned with.) Another (Schubertian) narrative seems to hinge on staging the *illusion* of work performed, or the revocation of such work: a protagonist imagines tonal motion towards a goal, only later to discover this motion was illusory, or to have it pulled away by forces outside his or her control. Adding to the notion of work performed is the fact that (presuming an on-tonic recapitulation) any set of self-effacing tonal alterations must by that very fact call for a *third* tonal alteration, down the line.

An instructive case of self-effacing tonal alterations appears in the complex first movement of Schubert’s First Symphony, briefly mentioned above in connection with modulating caesura fill, and examined in detail in Section 5.4.3 below. This non-*Transpositionsreprise* enacts two sets of tonal alterations before the modulation that we have already seen occurs in the caesura fill, suggesting either an effort to transcend the limits of the bifocal close strategy or else a certain eagerness to arrive at its I:HC MC. (The eagerness is made palpable, too, by the two-bar acceleration at mm. 401-402 and the fact that tonal alterations need not happen at all in expositions that deploy a I:HC MC; the

striving after a different MC could only complicate matters!) The first set of tonal alterations, which transpire between mm. 388 and 389, is “erased” (offset) by the piece’s second set, which occur between 396 and 397. By m. 397, then, this recapitulation has reverted to its point of tonal origin. In fact, the CF modulation we saw above is a *third* tonal alteration; it is made necessary by Schubert’s choice of the self-effacing strategy.<sup>45</sup> (Another example can be found in the first movement of the Piano Sonata in B $\flat$  Major, D. 960 (mm. 238-254), to be discussed in the following chapter.)

A quick summary of this interlude will solidify these concepts. In sonatas and other modulating two-reprise forms, it often happens that tonal alterations are not carried out efficiently or economically. (This is no less a symptom of bad composition than it is a sign of compositional adroitness.) Tonal alterations exhibit “thickness” either when a single set takes time to complete, or when two or more discrete sets of tonal alterations occur severally. I call any tonal alterations that move somewhere that is not the pitch level that would insure a tonal resolution “gratuitous.” Gratuitous alterations may be righted by any number of later alterations, in which case a correction script is at hand. This can suggest teamwork: “I can only go this far; can you take us the rest of the way?” But they may also be undercut by later ones, if those move back to tonic, or to a pitch level already articulated. I have emphasized that these “self-effacing” tonal alterations might suggest erasure or a tonal “backing-up”: in situations where a wrong move was made this might seem salvational—“I would rather go back to tonic than continue down that path.” But often, by avoiding the possibility for achieving the sonata’s tonal goal through teamwork, the strategy accrues a more problematic valence. For sets of tonal

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<sup>45</sup> This piece seems to enact something like a pair of “self-effacing *thematic* alterations.” The two bars that are cut out of the recapitulatory rotation between mm. 400 and 401 are then *restored* to it via the addition of two bars between mm. 429 and 437.



in the *Transpositionsreprise* finale of Schubert's Violin Sonata in A Major, D. 574, as Example 3.12, a bass line sketch, shows.<sup>47</sup>

If, however, both the non-tonic keys from the exposition are to be recapitulated in the tonic (in a tonic-recapitulating three-key exposition), two sets of tonal alterations will be required—one to move the first post-MC theme into the tonic; the other to alter the relationship between the first and second post-MC themes.<sup>48</sup> Here, one might compare this situation of double-and-necessary tonal alterations to the situation just laid out above, that of double-and-gratuitous tonal alterations. For it brings to mind a supremely *effective* musical form in which two alterations are necessary, and both are accomplished, whereas in the earlier forms the first alteration *fesait les quatre cents coups*, as it were, demanding correction from later events. Though both recapitulations feature two sets of tonal alterations, the *interpretive* difference is striking. The first case answers a two-key exposition with a three-key recapitulation; the second case answers a three-key exposition with a two-key recapitulation. The first suggests a script of problematization and correction; the second a script of normalization and containment.

Again, we see that even in *Transpositionsreprises*, an enormous amount of tonal freedom is possible. In this context, which shows the immense amount of play possible even in thematically equivalent recapitulations, it bears re-mentioning two essential points. First—and this is Boyd's thesis—a subdominant recapitulation is not by

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<sup>47</sup> A precisely analogous tonal situation obtains on a huge scale, in the first movement of the E♭ Trio, D. 929, although there, a two-bar expansion by sequence removes this from the category of *Transpositionsreprise*.

<sup>48</sup> Webster (33) says exactly this, although he is concerned less with tonal alterations than with larger-scale key relations, still less in the thematic context in which those alterations might be made. He mentions the first movements of Schubert's Grand Duo and Ninth Symphony; and he cites Beethoven's Overture to *Coriolanus* as inspiration.

definition a lazy solution. (If it were, we should assume that the subdominant recapitulation would only happen in pieces that modulated to their dominants.<sup>49</sup>)

Second—which falls out of our observations above—the on-tonic recapitulation does not in any way limit the number or size of tonal alterations that will happen therein.<sup>50</sup>

### **3.4. The Transpositionsreprise First Movement of D. 537**

A close analysis of the first movement of Schubert's Piano Sonata in A Minor, D. 537 shows how much tonal freedom, play, and narrative richness are possible in the *Transpositionsreprise*, which to so many earlier commentators has seemed mechanical, a degenerate recopying. In addition to showing the narrative richness attendant on the *Transpositionsreprise* as one recapitulation-strategy, the analysis may also go some way toward de-maculating Schubert's image as *mechanicus*.

The piece begins with a large-format sentential structure whose continuation phrase, beginning at m. 11, initiates the exposition's TR-phase. TR first latches onto a dominant lock in the curious appellative E $\flat$  major (mm. 16 ff.), but a sequence by ascending second makes for a (corrective) slue toward the dominant of F minor at m. 18. By m. 18, then, the exposition has projected a tonally foreign move to a tritone away from tonic and then corrected it to the less challenging, but still not-at-all-normative, key of F minor. The most curious event in the exposition happens immediately after this tonal waffling: at m. 20 the dominant of F minor (from mm. 18-19) discharges directly to

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<sup>49</sup> For only two foils: The *Transpositionsreprise* first movement of the Violin Sonatina in A Minor, D. 385 has an exposition that goes a-C-F; and a recapitulation that goes d-F-alterations-A. And the non-*Transpositionsreprise* finale of the Violin Sonatina D. 408—to be mentioned below—features three sets of tonal alterations.

<sup>50</sup> The non-*Transpositionsreprise* first movement of Schubert's last Violin Sonatina (D. 408) has *three* sets of tonal alterations: it responds palindromically to an exposition that moves from g-B $\flat$ -E $\flat$  with a recapitulation that moves from g-E $\flat$ -B $\flat$ -g.

an augmented-sixth chord built on F, suggesting motion back to A minor, perhaps in order to sound a i:HC MC. As shown in Example 3.13, however, the two measures of augmented sixth (mm. 20 and 21) are then transposed down by major third (the register is altered) such that they now project the secondary key of F major.

Example 3. 13. A Curious Tonal Behavior during MC Preparation in the First Movement of Schubert's D. 537.

In mm. 23-24, the  $D\flat^{+6}$  chord does indeed discharge onto a C dominant chord (with sometime seventh), *forzando*; it is then prolonged for three measures with exhausted (dying record?) registral descents and a lowering of dynamics. At m. 27 the downward motion is unexpectedly ceased, reducing the effect of an MC and giving the music a moment to regroup before S enters in the submediant F major. The  $D\flat$  chord, even from the perspective of F-as-tonic (as projected as early as m. 18 and crystallized as a reality by m. 28 (if not already m. 24), is a curious, even preemptory force: by grabbing hold of an augmented-sixth chord (mm. 20-21) that would have moved the music back into the orbit of A minor, it shows an initiative that points as much to a new key as it does to Schubert's famous disinclination to leave the tonic behind.<sup>51</sup>

<sup>51</sup> Or perhaps, on the other hand, the music is to be heard in the key of F (major/minor) already by m. 18, with the arrival on the  $F^{+6}$  chord somehow subsumed beneath two bass Cs (mm.

Whatever the status of the  $D\flat$  chord at mm. 22-23, its occurrence there will not be its last word. Indeed, that the motion to  $D\flat$ -as-augmented-sixth has been the most surprising music—the most pressing issue—in the piece so far is given credence by the readdressing of that chord in the middle of the ongoing F-major S theme. S begins unproblematically as a sentence in m. 28, and proceeds, via some upside-down reminiscences of TR occurring at mm. 33 ff., to an efficient PAC at m. 39, elided with a reopening of S (“S<sup>rep</sup>”). As shown in Example 3.14, however, in its TR-reminiscences this repetition of S first moves to a  $G\flat^6$  chord (m. 44)—a Neapolitan chord that nonetheless clearly fulfills the promissory power of the  $D\flat^{+6}/D\flat^7$  chord from m. 22. Its subsequent motion toward a major-minor sonority built on  $D\flat$  at mm. 46-49 calls attention to its duplicitous function, as well as revisiting and reenacting the motion to F major that occurred at mm. 22-24. (Note the identical *forzando* marking, with reverse hairpin, precisely as at m. 24.)

The image shows two staves of musical notation. The top staff is labeled 'm. 44' and shows a piano accompaniment with a treble clef and a bass clef. The music features a series of chords, including a Neapolitan chord (G-flat major) in the bass. A 'cresc.' marking is present. The bottom staff is labeled 'm. 49' and shows a piano accompaniment with a treble clef and a bass clef. The music features a major-minor sonority on D-flat. Dynamic markings include 'ff', 'fz', 'p', and 'pp'. Annotations include 'S-based C' and 'VI:PAC EEC'.

Example 3.14. A Tonal Reminiscence in S<sup>rep</sup> in D. 537.

18 and 24) and a  $D\flat$  neighbor note (mm. 22-23). On this (to my ears less satisfactory) hearing, it is the F chord at m. 20 which jumps the gun—the  $D\sharp$  that appears above it is a red-herring, suggesting motion back to A minor after that possibility has long since been closed down.

All in all,  $S^{\text{rep}}$ , which begins at m. 39, lasts 15 measures, as heard against the 11 measures of its first iteration. (Even here, due to the expositional repeats we are justified in hearing against a ground.) It culminates in a VI:PAC EEC at m. 53, and a flush-elided, “C-as-S-aftermath” follows, beginning at m. 53 (*Elements*, 182-183). The exposition ends when this S-based C dissolves into RT material (via F-as-augmented-sixth), which leads, first, back for an expositional repeat, and second, via a textbook example of “linkage technique,” into the development.<sup>52</sup>

Since the exposition’s overall tonal trajectory was from i-VI, this piece’s subdominant recapitulation is certainly not a choice stemming from laziness. It begins at the pickup to m. 123, and tracks the exposition thematically and tonally until the truculent transitional music shown in Example 3.15. In the recapitulation (mm. 142 and 143 (= mm. 20 and 21)), this music unfolds in  $B\flat$  major, since there have as yet been no tonal alterations. The tonal alterations that follow at mm. 144 and 145 are quite stunning.

Example 3.15. Tonal Alterations in the First Movement of D. 537.

By replacing the most curious tonal motion in the piece’s exposition—the movement from a diatonic, F augmented-sixth, down a major third to an augmented sixth built on  $D\flat$ —with a motion by *ascending* fifth—from  $B\flat^{+6}$  up to an  $F^{+6}$ , it revisits, and reenacts

<sup>52</sup> “A new phrase takes as its initial idea the end of the immediately preceding one and then continues independently, either within the same formal unit ... or to initiate a new section.” Jonas ([1972] 1982, 7-8). The technique has traditionally been associated with Brahms.

that problem spot in another way. The  $F^{+6}$  chord, which in the exposition was the chord that was supposed to function as a predominant in A minor but moved, inexplicably, to  $D\flat$ , is here regained, in exactly that capacity, in order to move us back, from a recapitulation that began out of tonic, to an S theme that will begin in the tonic major at m. 150. Here, Schubert moves back to the single moment in the exposition in which things went tonally astray, and allows us to witness its correction, through the realization of a tonal potential we had noticed already at m. 20. Through this it achieves its new task—to push an off-tonic recapitulation toward tonic—with aplomb.

Another reason this music is compelling tonally concerns the question as to whether it is possible to stage the illusion of a time-distortion in a piece whose recapitulation tracks its referential thematic rotation exactly. Note the following: in the exposition of D. 537, Schubert composes a sequence of mm. 20 and 21 in mm. 22 and 23; it moves from an  $F^{+6}$  chord down a major third to a  $D\flat^{+6}$  chord, as illustrated above. But in the recapitulation, the music moves from a  $B\flat^{+6}$  chord to an  $F^{+6}$  chord. For a moment, then—specifically for the duration of mm. 144 and 145—our tonal and thematic bearings are ever so subtly and artfully teased apart. To what expositional measures are mm. 144 and 145 equal? Do they equal mm. 22 and 23, by virtue of their thematic/rotational/*rhythmic* identity, or do they equal mm. 20 and 21, by virtue of their *tonal* identity? The phenomenon is a mild instance of what I have elsewhere called “tonal double correspondence measures”—the situation that obtains when one recapitulatory measure seems to have allegiance to more than one expositional one (Guez, 2012). “DCM” can suggest extreme temporal or spatial distortion; it does so even

here, in a context in which no “thematic parameter” is altered, and every single recapitulatory bar is a transposition of one discrete expositional one.

From this vantage, we might recall one of Malcolm Boyd’s turns of phrase regarding the finale of D. 664, but that seems equally to apply to the opening movement of D. 537, namely that this is “not the work of a man whose creativity has come to an end with the development section” (17). Not only the tonal freedom of D. 537, but also the tonal drama it seems to stage, point accusatorily to the questionable practice of indicting a thematically equivalent reprise (and to the negative valuing, *a priori*, of the strategy). On the contrary, the interpretive possibilities attendant on the *Transpositionsreprise* strategy are as rich as any those that attend any other approach to recapitulation.

### 3.5. Tonal Crux, Thematic Crux

By dissociating the thematic and tonal behaviors typical of recapitulatory alterations, the *Transpositionsreprise* slightly troubles Hepokoski and Darcy’s notion of crux. In these cases the question “where is the crux?” needs clarification: “tonal or thematic?” Simply put, *Transpositionsreprises* have no thematic crux. (Or, if they do, it occurs in the first measure of the recapitulation, which is a trivial observation.) There is no point at which, to take over Hepokoski and Darcy’s locution, “the composer ... once again ‘settles back on track,’” at least from the point of view of the referential *thematic* layout; only a point at which the composer does not have to make any more *tonal* alterations. For the essence of the *Transpositionsreprise* is that it never departs from this thematic layout in the first place. Its thematic crux is, definitionally, the first measure of its recapitulation.

Of course, if the notion of crux is taken as a strictly tonal category, which it often is, my observations about the “tonal crux” seem both moot and redundant. From this

perspective the question “where is the crux in a recapitulation that begins on tonic, tracks the exposition measure-for-measure, with no thematic alterations, and makes its transposition in the silence of the MC gap?” is deceptively easy to answer: “at the onset of S, of course!” And similarly with the third *Transpositionsreprise*: “at the achievement of tonic!”

But the notion of crux seems as often to be conceived in thematic terms, as a rejoining of the exposition’s thematic layout, after a departure therefrom. Note well: if the crux were a strictly tonal concept, there would be no possibility that it would be dependent on the MC type, which Sonata Theory countenances through its understanding that if there is a V:HC then the crux will be at *this* pitch level; if there is a I:HC it will be at *that* pitch level.<sup>53</sup> The crux would simply be the moment at which the sonata gained hold of the singular key that brings about a tonal resolution: if it is with the sonata’s S-material, so be it; if it is before or after the S-material, fine.

Still less would there be a possibility for the so-called “transposed crux.” If the crux were a strictly tonal phenomenon, there would be no possibility for a statement like: “crux-points at the original pitch level normally require an additional tonal shift immediately after the MC. This produces another kind of crux—a transposed one—directly at the S point, even though the rhetorical correspondence measures had begun

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<sup>53</sup> *Elements* (240): “The transposition (or nontransposition) principle will almost always be conditional on the type of medial caesura that had been deployed in the exposition. If it had been a V:HC MC, the crux will normally be transposed at the level of a fifth. (This is because the recapitulatory TR is now driving toward a I:HC MC; or, if the crux occurs directly at S, that theme, beginning the tonal resolution, will be stated in the tonic, not in the dominant.) Correspondingly, if the exposition’s [MC] had been a I:HC MC, the crux will normally be rejoined at the original pitch level. When this happens, however, the music that directly follows the MC—namely, S (originally heard in V)—will have to be wrenched down a fifth from the level of the exposition, in order that it might now appear in the tonic key.”

several bars earlier” (240). Is there a difference between cruxes that are at the same pitch level as the exposition and those that are at a new pitch level?

It seems theoretically uneconomical to posit, as *Elements* does (240), “false” and “true” cruxes, the first being a thematic crux at the wrong pitch level, and the second being a tonal crux that either initiates or continues tracking thematic (“rhetorical”) correspondence measures. It seems more profitable—at least initially—simply to posit *tonal* and *thematic* cruxes, as we have posited *tonal* and *thematic* alterations, of both pre- and postcrux varieties. For as we have seen, and as we will continue to see, interpretations every bit as robust as the “false” and “true” “double-crux effect”—and truer to the surface of the music—attend them. “False” and “true” cruxes may turn out to be viable interpretive categories in extreme cases, but they should not be coextensive with thematic and tonal cruxes.

### **3.6. Referential Measures and the Transpositionsreprise**

The general outlines of Mahler’s themes always remain intact. They are gestalten, as the term is used in psychological theory for the primacy of the whole over the parts. Within this explicit yet vague identity, however, the concrete musical content, above all the sequence of the intervals, is not fixed. If in Beethoven’s thematic process it is precisely the smallest motivic cells of the themes that determine their elaboration into qualitatively different theme complexes; if in that composer the thematic macrostructure is a technical result, in Mahler by contrast the musical microorganisms are incessantly modified *within the unmistakable outlines of the main figures*. ... This makes it possible to revise their nuances, their lighting, and finally their characters, so that the variants impinge after all on the large themes and finally take on tectonic functions, without the themes needing to be dissected in terms of motives.<sup>54</sup>

We have seen that if the thematic material in a recapitulation is identical or near-identical to that of the exposition but its tonal plan is changed, we are confronting a *Transpositionsreprise* with (some number of) tonal alterations. Their thematically (thus

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<sup>54</sup> Adorno ([1971] 1996, 87), emphasis added.

*rhythmically*) equivalent recapitulations mean that we are dealing with “correspondence measures,” even where tonal alterations are made.<sup>55</sup> What is crucial to note before leaving the *Transpositionsreprise* is that “referential measures”—“recapitulatory measures that are compositionally freer than are correspondence measures and yet retain their bar-for-bar mapping capability onto the exposition” (241)—are also possible. These “da capo” or improvisatory flourishes, best captured by near equivalences ( $\approx$ ), not exact ones ( $=$ ), technically change the thematic layout of the exposition but typically preserve its tonal plan and the time it takes (thus a one-to-one mapping of measures).<sup>56</sup>

“Referential measures” are, as *Elements* puts it, are “variations,” of a sort: “m. 95 = m. 24 *varied*; m. 96 = m. 25 *varied*; and so on” (241, my emphasis).

Characterizing referential measures as “variations” of their expositional forebears is helpful, since it suggests that they often preserve an exposition’s tonal content and *rhythmos* while altering their surface thematic content. What referential measures are explicitly not are any recapitulatory measures that preserve the *rhythmos* of the exposition while writing new, unrelatable thematic or tonal material. A musical example supports this claim. The finale of Haydn’s String Quartet Op. 33/1, adduced in *Elements* as “a *locus classicus*” of referential measures, features just such a case of unrelated thematic measures that nevertheless preserve the exposition’s *rhythmos* at mm. 149-154  $\neq$

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<sup>55</sup> “The term correspondence measures identifies those recapitulatory bars that are more or less identical (with only small variants) to those in the exposition,” *Elements* (241).

<sup>56</sup> These surface figurations have a long history in many musical forms that have built-in repeats. Riepel captured them with the term *Verwechslungskunst*. Schenker calls the behavior *diminution*, no matter the level on which it appears. Caplin and Rosen call it *ornament* (as against *structural*) (161). Morgan calls it *variation* (“in only the most superficial features of the original”). *Elements* tends to call it *figuration* (see again 236). They are common in Mozart’s “improvisatory” reprises, as even a cursory glance through the piano sonatas testifies.

25-30. But Hepokoski and Darcy refer to these as “precrux alterations.”<sup>57</sup> The referential measures that are identified as such (m. 155 until about mm. 166 ff.) trace the literal rhythm, as well as much of the harmonic behavior, of the exposition quite exactly.

Precisely this distinction—between those recapitulatory passages in which every measure can be related, one-to-one, to an expositional one and those recapitulatory passages which take the same amount of time as their expositional layout but rewrite their thematic material—leads to the distinction between the third type of *Transpositionsreprise* and the fourth type of *rhythmos*-preserving recapitulation. Given a movement whose recapitulation is exactly the same size as its referential exposition: if either the tonal or the thematic plan is altered while the other is preserved—if every recapitulatory measure is thus relatable (thematically or tonally) to one single expositional measure—we are dealing with a *Transpositionsreprise*, albeit one that makes its tonal or even surface thematic alterations quite audible. If, on the other hand, the thematic *and* tonal material are rewritten (even slightly) but manage to stay within the time allotted them in the exposition (as in the “precrux” alterations in mm. 149-154 of Op. 33/1), we are confronting the last type of *rhythmos*-preserving recapitulation.<sup>58</sup> In an attempt to show that the difference is not merely theoretical, we now broach that last type of *rhythmos*-preserving recapitulation formally.

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<sup>57</sup> “Precrux alterations take over abruptly at m. 119 to provide a different, urgent continuation of P. With the onset of TR the music snaps back to another set of correspondence measures (mm. 137-48 = mm. 13-24) and thence to another round of precrux alterations, mm. 149-54” (242).

<sup>58</sup> Haydn’s non-*Transpositionsreprise* finale has two time-altering transformations, the first of which results in a very large gain (15 mm.) between mm. 119 and 136, and the second of which (CRI) results in a six-measure gain between C<sup>1</sup> and C<sup>2</sup>. It is thus a mono-operational (+) recapitulation for which the 18-bar coda serves as the symmetry-distorting coup de grâce.

### 3.7. The Rhythmos-preserving Non-Transpositionsreprise

The last type of *rhythmos*-preserving recapitulation, the fourth and final Category 1 strategy, is fundamentally different from the three *Transpositionsreprise*n since it by definition features a break in the ongoing measure-to-measure reference. As mentioned above, the rules are hard and fast—if every recapitulatory measure is relatable, one-to-one, to an expositional measure via correspondence *or* referential measures, we are dealing with a *Transpositionsreprise*. If even one measure is not so relatable, we are dealing with the last strategy of *rhythmos*-preservation listed on Figure 3.1.

Nevertheless, different analysts may have different intuitions about how to categorize this or that recapitulation (as they have different intuitions about how to label correspondence and referential measures). A passage we have already examined, Schubert's Piano Sonata, D. 958 (Example 3.11), can clarify.<sup>59</sup> Above, we focused on the piece's impotent tonal alterations, which seemed to set out to make the obligatory tonal shift, but ended up back in C minor, deferring the responsibility to some later musical module. What I am interested in here is that the motion from B $\flat$ -E $\flat$  at m. 166-167 is actually not equivalent thematically to anything in the exposition—it is, to be clear, a varied repeat of mm. 164 and 165! This is to say that the downbeat of m. 168 might equal m. 9—the position it occupies ordinally in our reprise—or else it might equal m. 7, to coincide with the first of these motives as heard in the exposition. Adding to the complications is the detail that the right hand at m. 168 plays, *notatim*, the left-hand motive from m. 11, the point that will actually serve as the exit for these alterations.

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<sup>59</sup> Again, this movement is not a Category 1 recapitulation; here we focus on its first set of *rhythmos*-preserving alterations. (Its time-transformation occurs between m. 178 = 19 and m. 183 = 34, the thematic crux of the movement.) Compare the recompositions in the A' and B' sections of the Andante second movement of Schubert's "Tragic" Fourth Symphony, D. 417.

Schubert accentuates the moment by making the upper-voice tone C at m. 168 equal to m. 9 while the bass motion more closely resembles m. 7. By the downbeat of m. 170 (technically by its sixteenth-note pickup) we are firmly back onto the expositional pattern, for this C-minor chord is equivalent to the one at m. 11. These alterations exhibit something very like Elizabeth Bishop's textual alterations in "One Art," mentioned in chapter 1: they make meaningful thematic alterations while nevertheless preserving the time it takes to articulate them. Indeed, the type of alterations made in D. 958 and "One Art" are precisely the type of alterations that characterize the last type of Category 1 recapitulation.

Are mm. 164-169 referential measures? If so regarded, this movement would still qualify up to this point as a *Transpositionsreprise* (although this will change in a few bars). Or are we supposed to understand the alterations as an explicit emphasis on *difference*, concluding that they not quite relatable, bar-for-bar, to any passage in the exposition, and thus that the movement is not a *Transpositionsreprise* but rather the last type of Category 1 recapitulation? Ultimately, the answer will depend on the analyst's judgment. For the moment the point is that the decision depends on whether there is a single bar sufficiently different from the exposition to be called "non-referential."<sup>60</sup>

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<sup>60</sup> A situation that hinges on the status of a single bar can be found in the first movement of Beethoven's Piano Sonata in E Major, Op. 14/1. Here, flourishes in recapitulatory P alter the dynamics, articulation, and affect of the expositional music while nevertheless clearly maintaining referential measures. TR, recomposed to reenact the development's large-scale neighbor motion from C to the dominant B (I:HC MC at m. 107 = 17), continues the new figuration. (Thus the expositional TR is *P-based*; the recapitulatory TR is *recapitulatory P-based*.) Amidst the continuing referential measures, the tonal alterations have temporal thickness: the C-major chord on the downbeat of m. 103, if it continued the tonal path of mm. 13 ff., would move to a D-as-dominant chord, and ultimately to a G-major recapitulatory S theme. Thus the tonal alterations begin at m. 103, but the tonal crux does not occur until the onset of the dominant lock at m. 107. The issue of whether the piece is a *Transpositionsreprise* hinges on m. 106. Is it approximately equal to ( $\approx$ ) or unequal to ( $\neq$ ) m. 16?

Rossini's Overture to *Il Signor Bruschino*, mentioned briefly above, is a clear example of the fourth type of *rhythmos*-preserving recapitulation, since it stops tracking its exposition for some three measures between mm. 178 and 180  $\neq$  63-65, and again, subtly, at mm. 194-197  $\neq$  79-82. As shown on Example 3.16, the music at mm. 178-180 alters both its thematic and tonal behaviors, slipping at first imperceptibly, and then more and more, into non-correspondence. The effect is captured visually by my use of approximately equals and unequals signs, which last three measures; the correspondence measures are regained at m. 181 = 66 and the effect—of making alterations within the predetermined allotted time—is secured at the moment of dominant lock, now at the proper pitch level, at m. 182 = 67.

The image shows a musical score for Example 3.16, illustrating non-correspondence in Rossini's Overture to *Il Signor Bruschino*. The score is divided into two systems: 'Expo' (measures 61-67) and 'Recap' (measures 61-67). The 'Recap' system shows measures 61-67 with various markings: 'ff', 'stop tracking ...', 'ALTERATIONS, take no time', and 'fp cresc.'. The 'Expo' system shows measures 61-67 with a '3' marking and 'fp'. The score includes annotations such as '(lock; to V:HC MC)' and '(+ 0)'.

Example 3. 16. Non-Correspondence in Rossini's Overture to *Il Signor Bruschino*.

The second, extremely subtle thematic-tonal alterations, occur at mm. 194 ff. These provocative alterations, which occur in the overture's long caesura fill, do more than simply invert the texture of high and low strings. As shown on Example 3.17, a sort of "shadow correspondence" is active here: for m. 194 shares a closer correspondence not with m. 79, ordinarily the next measure in the expositional rotation, but with m. 83.<sup>61</sup> The time-distortion continues, for mm. 195, 196, and 197 are equal, not to their ordinal

<sup>61</sup> Compare Samarotto's (1999) concept of "shadow meter."

expositional counterparts, mm. 80, 81, and 82, but rather to mm. 84, 85, and 86, and. In Example 3.17 the preservation of *rhythmos* is captured by the italicized correspondence numbers in parenthesis, but these numbers amount to little more than an identification of hypermetrical equivalence. The “real” correspondence, as measured by *thematic equivalence*, is shown with boldface numbers and exclamation points. After four measures of shadow correspondence, the music latches back on to its expositional reference, right on time.

The image shows a musical score with two systems. The first system is labeled 'Expo' and contains measures 78 through 86. The second system is labeled 'Recap' and contains measures 193 through 200. Above the 'Recap' system, there are correspondence numbers: = 78, = 83! (79?), = 84! (80?), = 85! (81?), = 86! (82?), = 83!, = 84, = 85, = 86. The numbers 83!, 84!, 85!, and 86! are in boldface, while the others are in italics. A bracket under the 'Recap' system is labeled '(± 0)'. Below the 'Recap' system, there is a label 'V:HC MC; FILL' and '(to S)'. The 'Expo' system also has a label 'V:HC MC; FILL' and '(to S)'. The 'Recap' system has a label 'I:HC MC; FILL' and '(to S)'. The 'Expo' system has a label 'col legno' and 'f'. The 'Recap' system has a label 'col legno' and 'pp'.

Example 3. 17. Shadow Correspondence in Rossini’s Overture to *Il Signor Bruschino*.

These thematic-tonal deviations from the expositional rotation remove the piece from eligibility as a *Transpositionsreprise*. But remember: the reason for its removal from that category is not the alteration that had occurred at m. 170 = 55 (where a resolution to  $\flat$ VI substituted for a resolution to tonic, but which tracked correspondence measures; see again section 3.3.3). That initial set of tonal alterations preserved the exposition’s thematic plan exactly; up to that point the recapitulation still suggested the *Transpositionsreprise* strategy as a possibility.

The Finale of Schubert’s Violin Sonatina in G minor, D. 408 is another mild instance of the fourth type of Category 1 recapitulation, since it features a thematic deviation from its referential rotation, but preserves the time it takes (Example 3.18).

Two earlier sets of “teamwork” tonal alterations in this piece did not alter the thematic reference and therefore did not by themselves remove the piece from the *Transpositionsreprise* category: the first, correctional set at m. 100 moved the music from the subdominant recapitulation (C minor) back to the exact tonal level it held in the exposition (E $\flat$  at m. 100, instead of A $\flat$ ); the second (m. 112) moves from this “expositional” E $\flat$  down a fifth, to B $\flat$ , all the while preserving the thematic layout nearly exactly. The third set of tonal alterations—made necessary by the first two—must therefore find a way to move from this B $\flat$  to the tonic, G.

The image shows a musical score for Schubert's D. 408, divided into two systems. The first system, labeled 'Expo', starts at measure 35. It features a piano (p) dynamic. The second system, labeled 'Recap', starts at measure 118. It features a piano (p) dynamic and includes measures 35 through 43, with measure numbers indicated below the piano part. The score includes various musical notations such as notes, rests, and dynamics.

Example 3. 18. Non-Correspondence in the Finale of Schubert’s D. 408.

The third set of alterations, which breaks the measure-to-measure reference, transpires between mm. 120 and 124. Note that Schubert manages to use the exact augmented-sixth chord and resolution in mm. 122-123 that he had used at mm. 39-40 even though the two instances come from a different tonal context (E $\flat$  in the exposition; B $\flat$  in the recapitulation) and lead to a different key in each case (B $\flat$  in the exposition; G

major (!) in the recapitulation). In the example above I have again chosen to use ≠ symbols to show the equivalent time taken up with non-equivalent thematic material (≠ 37, ≠ 38). (It is of course possible, appealing to referential measures, to make mm. 122 and 123 equal to mm. 39 and 40, moving the closing bracket two measures to the left; in this case the music would exhibit the “coming into focus” that Hepokoski and Darcy find typical of referential measures.<sup>62</sup> Mm. 120-121 would be new; mm. 122-123 would be referential; and mm. 124 ff. would be correspondence. I have chosen to be strict about the thematic component here.) It is as if the harmonic progression in mm. 39 and 40 somehow gets doubled, spawning both pairs of measures at mm. 121-122 and 123-124.

Other examples that fall neatly into the fourth type of Category 1 recapitulation are easily adduced. In Chapter 1 I mentioned Beethoven’s Overture to *The Creatures of Prometheus*, a touchstone example. I also referred to a more complicated example, Schubert’s early String Quartet in G Minor, D. 173.<sup>63</sup> The passage of this recapitulation reproduced in Example 3.19 is so different from its expositional ground that not only does it not maintain referential measures, but its recomposed material, made up as it is of

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<sup>62</sup> For the idea that referential measures often come into ever clearer focus, see again *Elements* (242). This position seems as flawed to me as Sonata Theory’s position that recapitulations as a whole tend to normalize, fix, correct any problematic issues that may have been present in their expositions. For two instances of a making blurrier of correspondences, see the compelling finale of Mozart’s *Sinfonia Concertante*, K. 364, whose recapitulatory correspondences dissolve from absolutely locked correspondence measures, stage by stage, to unrelated material (mm. 303 (= 136) ff.), and the Overture to *Il Signor Bruschino*, above.

<sup>63</sup> Salzer mentions this exceedingly interesting movement as an example from Schubert’s “early creative period” which, like Mozart’s K. 545, “is not an exact transposition of the thematic material.” But it is a curious example to adduce in that context since its recapitulation, unlike that of K. 545, would not, if copied exactly, move back to tonic. The exposition moves from G minor to B♭ major to D minor, and the recapitulation begins on B♭ major. As I mentioned in chapter 1, it is possible to hear this movement as a Type 2 sonata, in which case these observations do not hold. Nevertheless, although hearing it as a Type 3 sonata may seem strained in light of its short development and off-tonic recapitulation, the location and manner of its alterations suggest classic Type 3 treatment.

snippets of earlier material, seems around every turn to confuse the listener. “Oh, we’re here; no we’re here!”

The image displays a musical score for the first movement of D. 173, divided into four systems. The first system (measures 18-142) is labeled 'Expo' and 'Recap'. It includes annotations for 'THEMATIC ALTERATIONS, 1' and 'RHYTHM = m. 79 if F-calls, then right on time'. The second system (measures 30-154) features 'red herring correspondences' between measures 131, 141, and 151. The third system (measures 38-162) contains 'TM<sup>1.0</sup>' and 'TM<sup>1</sup>' markings. The fourth system (measures 161-181) includes 'THEMATIC ALTERATIONS, 2', 'CRUX' (measures 45 and 46), and 'B<sup>b</sup>: PAC MC' markings. Dynamics such as *p*, *f*, *pp*, and *ppizz.* are indicated throughout the score.

Example 3.19. “Red Herring” Correspondence Measures in the First Movement of D. 173.

Nevertheless, despite radical recompositions in the recapitulatory TR including fragmented rhythms from all over the form, a set of six “red herring” correspondence measures in its middle, and a totally recomposed approach to the PAC MC, Schubert’s

TM<sup>1</sup> theme begins right on time.<sup>64</sup> Because despite the drastic changes this recapitulatory TR still manages to track that of the exposition *rhythmically*—because, in other words, it preserves its *size*, but not its *shape*—this movement sits firmly in the last category of *rhythmos*-preserving recapitulations.

It is astonishing that the “red herring” correspondence measures that occur at mm. 159 ff. (= mm. 13 ff.) come from earlier in the form than the onset of the alterations, as if the form were trying to back up, to regain the tonal level that might have been, were this only a proper on-tonic recapitulation. (This, too, suggests a non-Type 2 strategy.) We might accordingly assert that in this piece we make *two* sets of “obligatory” tonal alterations, both of which alter the thematic material, and both of which take time. Taken together, however, they offset each other. The first begins at m. 144 = 20, and takes us back to the G-minor tonic that was avoided in the piece’s recapitulation, perhaps in order to emphasize a secondary B $\flat$  that was hard to achieve. (Note that the P theme’s consequent, if it is to be taken as occurring at m. 149 after all these alterations, happens right on time!) G minor is achieved at m. 155, just before the “red herring” thematic correspondences begin at m. 159 = 13. The second set of alterations begins when m. 165 does not equal ( $\neq$ ) m. 19, the same referential measure that had catalyzed the first set of alterations at m. 144!

An interesting perceptual phenomenon attends these red herring correspondences and the onset of TM<sup>1</sup>. At m. 159 the form “backs up” to treat motives that first occurred in m. 13, and these red herring correspondences last for six measures before dissolving into more alterations. From the current perspective, which is designed to sensitize us to

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<sup>64</sup> “Red-herring” correspondence measures, which pepper thick sets of thematic-tonal alterations with thematic material from elsewhere in the form, are common enough, and can suggest all sorts of disorientations.

time-alterations, these correspondences *make us feel* as if the form is bloating outwards; they give us (as much as they give the virtual wanderer navigating sonata space) a sense of micropsia, for the objects we are spying (a PAC MC, a TM<sup>1</sup> theme) are presented *as if too far away*. All the more striking, then, that when the MC and TM<sup>1</sup> do appear, they do so right on time. In D. 173 the red herring correspondences contribute to a plastic temporality, in which the listener as well as the virtual protagonist are forced radically to reevaluate where they are in the form (in the virtual landscape). Our perceptions are revised, first, in order to project a later onset of TM<sup>1</sup> than we had predicted; we then are forced to change them again, this time to *revert* to our previous hearing. And all this happens in the context of a movement whose recapitulation is *precisely* the same length as its exposition.

### **3.8. Postlude: Conclusions**

Category 1 recapitulations—the three *Transpositionsreprise*n and the *rhythmos-preserving fourth* strategy—are, from a certain perspective, the least involved of the available recapitulation scripts. And yet, the foregoing has not resulted in any lack of analytical, historical, or interpretive richness. In my view this goes a long way toward contesting the claim that Schubert was a lazy, philistine, or uninspired composer of recapitulations. The *Transpositionsreprise*, as one type of recapitulation among many, simply was appropriate for certain recapitulations—from a narrative perspective, or a generic one, or both. And not only for Schubert, but on occasion for Mozart and Beethoven—and others—as well. It stands to reason then, if many eighteenth- and nineteenth-century composers wrote *Transpositionsreprise*n, that the reasons for

Schubert's substandard treatments of recapitulations will have to be located elsewhere than in the thematically identical reprise.

As pointed out above, the Category 1 recapitulation can suggest any number of narratives, genres, and poietic behaviors. It might suggest, for instance, a shift of emphasis onto the tonal argument at hand, or a highlighting of the flourishes that characterize a recapitulation—the soprano soloist or the virtuoso pianist in the limelight, as it were.<sup>65</sup> In cases where no alterations are made at all—think of the “Trout” Finale, a subdominant *Transpositionsreprise*—it can suggest the happy-go-lucky, or the feigned naiveté of folk forms in the context of art music. (In the case of the “Trout,” this may also be due to the historical circumstances surrounding its commission). Cases that feature more tonal or thematic struggle, as in the last type of *Transpositionsreprise* or the fourth type of *rhythmos*-preserving recapitulation, might suggest a desire (ultimately an inability!) to transcend the bounds of either the constricting dictates of the thematic layout of the exposition or else of the explicit amount of time it takes. Interpretively speaking, *Transpositionsreprises* run the gamut from representing the absolutely pedestrian to staging the overbearing and crippling bounds of an ineluctable fate. The last type of *rhythmos*-preserving recapitulation suggests a provisional breaking-out of the rigorously delimited form, as if the *Transpositionsreprise* script, predicated on strict thematic correspondence, could not contain some striking change, some moment of *Witz* that broke the bounds.

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<sup>65</sup> Something like this is present in Adorno's notion of “variant form” ([1971] 1996, 87): “Everywhere the overall structure is unmistakably preserved, but everywhere punctuated with artifices, the inversion of harmonic proportions like those of major and minor sonorities as compared with their first appearance and, thereby, the revocation of the opening formulation of the theme, as if it were subject to the whims of improvisation.”

Might Category 1 recapitulations also be indicative of broader historical currents?

Above, in reference to the strategy of enacting the tonal adjustment in silence, I mentioned the possibility of concealing the means of production, a conceit tied up with neo-Marxist historical claims regarding alienation and reification. Mention of those two terms also connects to and brings to light a great deal of criticism of Schubert—that composer-*mechanicus par excellence*. Perhaps we should understand the *Transpositionsreprise*, nearly coeval with the industrial revolution, as a reification—as a turning of the sonata process (and thus its virtual narrative or protagonist) into a *thing*.<sup>66</sup> The narrative certainly resonates with (organicist) allegations of the mechanical, so often leveled against these recapitulation types by Salzer and others and echoed in claims like Adorno's, that (94) “in the recapitulation, music, as a ritual of bourgeois freedom, remained, like the society in which it is and which is in it, enslaved to mythical unfreedom.” Recopying, on this view, is *Verdinglichung*, and the *Transpositionsreprise*, which “lacks the driving force of the improvisatory element” (Salzer, 99), begins to resonate with theories of art in the age of mechanical reproduction.

However, the (base) claim that the machine is the ultimate copier and Schubert is the ultimate mechanical composer misses a series of important superstructural concomitants. For instance, that the *Transpositionsreprise* might suggest the constricting social or regulative spheres on a protagonist who desires to escape from bourgeois society, or that the fourth type of *rhythmos*-preserving recapitulation stages a resistance, ultimately perhaps futile, to the overbearing social pressure to conform. Perhaps the *Transpositionsreprise* strategy is to be heard, as Adorno has heard the first movement of

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<sup>66</sup> For one such claim see (Adorno [1976] 1991, 32): “... since the industrial revolution, the objective social process both of reification and of the disintegration of natural residues has been aesthetically reflected...”

Mahler's Third Symphony, "as if the composing subject were tired of intervening in his music and left it to come unmolested to self-awareness" (79).

What seems to matter in all of this is not Schubert's strategy in this piece or that—the *techne*—but the situation to which it is a response and the interpretation attendant upon it. Just as in the case of the time-distortions Schubert composed into songs whose poems featured them (or didn't), Schubert did not write *Transpositionsreprise* everywhere, but only where he thought the situation called for it. Recapitulations are not lazy or involved; they are planned responses to and presentations of genres, narratives, and dramatic contexts. Against this backdrop it seems almost incomprehensible to level the insult that some composer uses this recapitulation type, which is *inherently* lazy, flawed, artless, and so forth. We need therefore to be sensitive to the contexts in which different recapitulation types (in this case the *Transpositionsreprise*) are deployed. The following two chapters examine the two other categories of recapitulation types in similar light.

# CHAPTER 4

## CATEGORY 2 RECAPITULATIONS

- 4.1. Introduction
- 4.2. Mozart, Monahan, and the Crux
- 4.3. Beethoven and the Minimally Recomposed Category 2
- 4.4. Beethoven and Schubert: Labor and Grace
- 4.5. Repetitions of Single Referential Measures
- 4.6. A Summary Analysis: The Finale of D. 537
- 4.7. Conclusion

	ADD	CUT
SIZE	1. One alteration only, + $x$ a. Minimally different, + 1	1. One alteration only, - $x$ a. Minimally different, -1
STRATEGY	1. by repetition (at the same pitch level) 2. by sequence (repetition at a different pitch level) <ul style="list-style-type: none"> <li>a. by repetition of multiple referential measures, <i>en bloc</i> (backing up)</li> <li>b. by repetition of a single referential measure (stasis)</li> </ul> 3. by composing new material	1. deletion of originally repeated material 2. deletion of non-repeated material

Figure 4.1. Category 2 Strategies.

The ways in which thematic and harmonic gestures reappear go well beyond what can be captured by the standard notions of return or recapitulation.<sup>1</sup>

Like virtually all Western music, the music of the common-practice period is characterized by formal correspondences of various kinds. Such correspondences usually do not form exact symmetries, however, even at the phrase level. This stems partly, no doubt, from distaste for too much repetition and regularity—for predictability, that is, the negative side of the symmetrical coin.<sup>2</sup>

At this very early date, Riepel could scarcely be expected to realize what he was observing; later, of course, asymmetry would set in on a much greater scale.<sup>3</sup>

If one does not perceive how a work repeats itself, the work is, almost literally, not perceptible and therefore, at the same time, not intelligible. It is the perception of repetitions that makes a work of art intelligible.<sup>4</sup>

#### **4.1. Introduction**

Our discussion of Category 1 recapitulations has shown, among other things, that any “time-altering” thematic transformations are quite unnecessary. This, in turn, gives weight to those recapitulations that do feature one or more time-transformations. If Schubert tends to compose recapitulations mechanistically (so the story goes), then this ought to push the focus onto any *rhythmos*-altering thematic changes that occur; their accompanying ifs, whens, and hows; and the effects they have on the ongoing sonata narrative. This chapter examines Category 2 recapitulations—those that make a single set of thematic alterations that result in a temporal gain or loss (of any size). After

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<sup>1</sup> Frisch (2000, 582).

<sup>2</sup> Morgan (1998, 2)

<sup>3</sup> Monelle (2006, 104).

<sup>4</sup> Sontag ([1965] 1966, 35).

dispensing with their single time-alteration, Category 2 recapitulations rejoin the thematic track of their referential expositions and continue to track them until the end.

Category 2 recapitulations may seem curious in light of the emphasis on symmetry we associate with the classical style. For the *composite rhythmos* (the exposition-recapitulation symmetry) of any piece whose recapitulation makes one single time-altering transformation is necessarily “skewed” or “lopsided.” Category 2 recapitulations contain, in Samarotto’s (1999, 238) suggestive language, a “*rhythmic* wrinkle,” where “rhythmic” has been italicized to make it an adjectival form of our noun *rhythmos*. Category 2 behaviors characterized the songs we saw in Chapter 1, in which the virtual protagonist—the wanderer traversing a musical landscape—experienced macropsia or *foreshortening* when virtual objects (cadences, themes, will-o-the-wisps) were staged as *too close, too soon, or too large*, and so on. (Events can of course also be staged as *too late, too far away*, etc.)

The songs we analyzed in Chapter 1 had texts that corroborated the effects of their time-distortions. Here, although we will have to use other musical cues to help generate interpretive readings, the mechanics are essentially the same: expansions tend to suggest—depending on the total musical context—delay, apprehension, work, struggle, ambivalence, inability, or reveling in a dreamlike or pastoral landscape. Contractions can suggest excitement, festivity, haste or goal-directedness, jubilation, and so on.<sup>5</sup> Both may suggest, in combination with the score-as-landscape metaphor, visual or temporal or topographic distortions and auditory hallucinations. Whether from a poietic or aesthetic perspective, whether we focus on our perceptions of recapitulations or their perception by

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<sup>5</sup> I emphasize “tend to,” and “can”; these time-terms cannot be applied algorithmically, nor would such application be desirable. Alterations gain meaning from their context.

a virtual protagonist, it is in these contexts—the distortion of abstract symmetry, the staging of excitement or delay, the staging of topographic illusions or altered temporality—that we hear recapitulations that make a single *rhythmos*-alteration.

#### 4.2. Mozart, Monahan, and the Crux.

It will be instructive to begin our discussion of the Category 2 recapitulation by bouncing off some observations made recently about the first movement of Mozart's String Quartet in B $\flat$  Major, K. 458 ("The Hunt") by Seth Monahan (Example 4.1).<sup>6</sup> The recapitulation's four-bar expansion "by model-sequence," heard-against the exposition's referential frame, is the only alteration in the movement. Thus in the recapitulation, the music that had occurred in mm. 27-30 happens twice, once in the original key, and then again in the subdominant, with altered instrumentation. The thematic stylus, as it were, skips back four bars, recapitulating four of the exposition's measures twice before tracking correspondence measures until the end of the movement.<sup>7</sup>

Although he says little about its thematic alterations, still we may examine the basics of the Category 2 recapitulation in light of his analysis. The first step is to understand the role of the 16<sup>th</sup>-note figure first heard in the first violin at m. 42 in articulating the movement's thematic alterations. For Monahan, this motive, which he dubs "motive x," seems to "overtake the texture" around every corner.

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<sup>6</sup> Note that the original Breitkopf und Härtel edition, on which the modern Dover edition is based, omits Mozart's m. 155 entirely; Example 4.1 in the main text shows corrected measure numbers, which will appear to be one off after m. 154 in the Dover/Breitkopf editions.

<sup>7</sup> As the first example of the Category 2 recapitulation, it is instructive to compare the Hunt's alterations to those made in the *Transpositionsreprise* first movement of Schubert's D. 664 (Example 3.5). Like the alterations in the "Hunt" Quartet, those in D. 664 are sequential and move from tonic to subdominant. But because the thematic repetition in D. 664 was already built in to the exposition (in the exposition it was a repetition at the same pitch level), there the alterations *take no time*. D. 664 features a *tonal adjustment* with no change of *rhythmos*; K. 458 features both.

**TR** Dissolving ternary theme A-section

Example 4. 1. Thematic-tonal Alterations in the First Movement of Mozart's "Hunt" Quartet, K. 458.

It is responsible for the lack of a convincing S theme, which it “nudges out”; it “causes a short-circuit in the unfolding exposition”; it “proliferates like so many brooms from *The Sorcerer’s Apprentice*.” Perhaps, then, the reason mm. 27-30—and not four other bars—are repeated at the crucial recapitulatory juncture hinges on the fact that the trill (in the first violin, and then in the viola) is like an apotheosizing of that motive. This interpretation also gives support to Monahan’s observation that each action zone of the piece ends with motive *x*, since TR doubles as the last module of a ternary P theme.

Consider the delay the piece’s thematic alterations cause in its ongoing narrative—the deceleration by four bars and the subsequent “pushing-back” of each remaining cadential way station. Perhaps this behavior is tied up with the piece’s continuing response, as Monahan hears it, to its inability to make a convincing medial caesura and its lack of an S theme.<sup>8</sup> It would seem, then, that however we wish to interpret them, the recapitulatory thematic alterations, too, are embroiled “in tangles of the mischievous motive *x*.” Thus one more aspect of motive *x* to consider is the way it seems to play not within the temporal bounds of the sonata recapitulation, as given by the exposition, but *with* those bounds. It pushes the recapitulation outwards, distorting its immanent (or if not “immanent,” then its *would-be*) symmetry. This time-transformation, we may argue, coupled with the music’s *vivace*  $\frac{3}{8}$ , major-mode, jaunty sound world, contributes to what Monahan identifies as the movement’s “deliberately Haydnesque

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<sup>8</sup> Monahan (6): “It is easy to hear the fallout of this staged medial caesura mishap echoing throughout the movement in fascinating ways.... [Sonata Theory] helped us to establish a more nuanced link between those motivic processes and the formal processes at large; that is to say, it helped us to [relate] them to the staged mishap of the bungled MC.”

wit.” As we have seen, it also works quite nicely within his proposed “dramatic musical plot.”<sup>9</sup>

Notwithstanding the straightforwardness of this example, there is reason to muddy the waters, briefly, in a discussion of ontology. As Monahan’s annotated score makes clear, he hears mm. 168-171 as an interpolation into the ongoing recapitulation; underneath those measures he writes “insertion: P theme in subdominant.”<sup>10</sup> (Monahan could have been more specific here, since P unfolds as a ternary theme: if instead of simply P he had written P<sup>A</sup>, or even P<sup>A'</sup>, he would have called attention to the fact that this is a repetition of *precisely the music we’ve just heard*, at a different pitch level. Not only is this a recapitulatory trope—Caplin’s “model sequence technique”—but it is precisely the reason the motivic repetition moves so easily to the succeeding music.) But after identifying the interpolation, Monahan, in a Rothsteinian approach, connects the music that equals m. 30 to the music that equals m. 31 “across the gulf,” thereby in effect excising the interpolated bars. (See the italicized correspondence measures beneath Example 4.1.) He *hears through* the interpolation to its essence, as it were. In what follows I do not want to critique Monahan for this; there is merit in hearing-through the thematic alterations to their “basic length,” as Rothstein would call it. But I do want to ask the question: if mm. 168-171 are an interpolation, then where is the crux?<sup>11</sup>

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<sup>9</sup> Compare the opening movement of the Piano Sonata K. 280, which features an interpolation—in S (!)—of 6 bars. This interpolated descending fifths sequence, hardly interpretable as a negative gesture, seems so jubilant as if to overflow with music.

<sup>10</sup> Accessible at:  
[http://dl.dropboxusercontent.com/u/5686390/JMTP\\_K.458.pdf?%3F%3F=](http://dl.dropboxusercontent.com/u/5686390/JMTP_K.458.pdf?%3F%3F=)

<sup>11</sup> The thematic and tonal cruxes are coincident in this movement; here and elsewhere where there is no reason to dissociate them, I will go on using “the crux” to designate the

The easy answer is that the crux occurs at m. 168, or perhaps the pickup to that measure. On this reading, mm. 168-171 simply equal (a repeat of) mm. 164-167 (= 27-30), not at the original pitch level, but at the proper pitch level to bring about the tonal resolution. The recapitulatory TR begins, then, as Monahan says, at m. 163, and tracks through the music that = mm. 27-30 at the expositional pitch level. The onset of the tonal(-thematic) alterations at the pickup to m. 168—also an articulation of the thematic material of mm. 27-30—coincides with the crux. The reasoning is not overtly problematic. But it does not seem, either, to be exactly what Monahan means: the bracket under his annotated score example does indeed “bracket”—this time in the phenomenological/ontological sense—mm. 168-171 as an “insertion.” And how could the crux occur in a de-ontologized zone?

Perhaps, then, we are justified in labeling the crux at the resumption of correspondence measures after the insertion, at m. 172 = 31. On this reading, the repeated subdominant inflection truly is a parenthesis, to be discarded somehow, and m. 167 truly is to be connected up with m. 172, across the abyss. But this reading neglects the change in recapitulatory temporality, choosing instead to bracket it out, to normalize it—not to mention that its identification of the “crux” does not at all identify the point at which “writing the remainder of the recapitulation can become, by and large, a simple matter of transposition” (*Elements*, 240). For if identifying the crux were as simple as identifying that moment, then it would certainly be at m. 168, which equals (the real?) m. 27, at the level that will bring about a tonic ESC.

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simultaneous regaining of both tonal and thematic correspondences. We will see instances of Category 2 recapitulations which uncouple the two cruxes presently.

What is at stake here, in the identification of the crux point, is our perception of staged temporality in the piece. If mm. 168-171 are interpolated, then the crux happens at m. 172 = 31. If those bars can so easily be de-ontologized, though, one wonders why mm. 168-171 can't simply be the "real" music, making mm. 164-167 the interpolated bars! However, if they are merely repetitions of mm. 27-30, at the altered, but now proper, pitch level, then the pickup to m. 168 is the crux.

Our analytical choice here bears on our hearing: if mm. 168-171 are bracketed out of perception, then we simply put time on pause, choosing to hear-through the recapitulation to the expositional pattern. M. 167 moves directly to m. 172, across the abyss. If, on the other hand, we choose to address these measures as an insertion, with all the implications of backing up, bloating, the distortion of symmetry, and the delaying of the ESC (not to mention pleonasm, repetition, and so on), then we must characterize them as a thematic backing-up, a time-altering transformation strategy (+4) that occurs concomitantly with—or is brought about by—the tonal alterations of the piece.

The preceding discussion, which identifies a real problem with crux identification in Category 2 recapitulations, might seem overly abstract.<sup>12</sup> And yet we cannot lose sight of the fact that our interpretations *supervene on* our analytical assertions; they are attendant upon them. It is interpretively rewarding to be sensitive to the rub here, just as it is rewarding to understand the thematic backing-up (whether conventional or not) as a

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<sup>12</sup> I say "real problem" because the only problem identified in *Elements* (242) regarding locating the crux hinges upon the sorites and thus does not engage its most pressing definitional issue: "In such cases [in which referential measures shade into correspondence measures] it can be difficult to determine where the crux occurs, and the precision of the term, eminently serviceable when correspondence measures are involved, breaks down. Is the first referential measure the crux? Or is it the first clear correspondence measure, several bars further onward?"

problem spot in the piece, a moment Lawrence Kramer (1990, 5-10; 1998, x and 13) would seize upon as a “hermeneutic window.”<sup>13</sup>

Another well-known recapitulation by Mozart will help synthesize this discussion with concepts introduced earlier in the dissertation (the bifocal close, the dissociation of thematic and tonal cruxes, alterations in silence). The Category 2 recapitulation of the first movement of the Piano Sonata K. 545 begins in the subdominant (Example 4.2). Where is the crux in this movement? It could, at least in theory, have been at m. 42 = 1, although Mozart does not choose this solution, perhaps to avoid the IV:HC MC that it would entail.<sup>14</sup> The next possibility, then, is that the crux happens at the skip in the groove, at m. 50 = 5, this time at pitch. This crux-point identification is given support by the fact that from this point forward Mozart’s recapitulation tracks the thematic layout of its exposition bar-for-bar. But what if these four measures—repeats “by model-sequence”—are to be taken as *interpolated* into the ongoing discourse? Does this push the crux back to m. 54 = 9, which would connect m. 49 to m. 54 “across the abyss”? Whichever solution we choose, the same problems are attendant on this crux as were attendant on the crux in K. 458.

Because of its subdominant recapitulation, however, an additional issue bedevils the recapitulation of K. 545. By m. 50 a set of tonal alterations has moved the recapitulation back to the tonal level of the exposition, meaning that something else will have to change if this piece is to close in the tonic C major.

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<sup>13</sup> Compare Daverio (1993, introduction).

<sup>14</sup> Remember that this is the detail that makes the movement sufficiently “improvisatory” (artistic, admissible) for Salzer: unlike Schubert’s recapitulations, which (the story goes) recapitulate their thematic material exactly, this one preserves the Spirit of the Form through the Improvisatory Impulse. Compare again *Elements* (264-265).

m. 1  
 Expo *p*

m. 42  
 Recap *p*  
 = 1 = 2 = 3 = 4 = 5  
 Crux?  
 Denied

m. 6

m. 47  
 = 6 = 7 = 8 [= 5!]  
 THEMATIC CRUX?  
 TONAL ALTERATIONS, 1

m. 9  
 8  
*cresc.*

m. 51  
 = 6! = 7! = 8! = 9  
 8  
 (+4)  
 THEMATIC CRUX?

m. 10  
 S<sup>0</sup>  
*f*  
*legato*

m. 55  
 = 10 = 11 = 12 = 13  
 TONAL CRUX  
*f*  
*legato*  
 TONAL ALTERATIONS, 2  
 (IN SILENCE)

Example 4.2. Thematic-tonal Alterations and Crux Issues in the First Movement of Mozart, K. 545.

Thus m. 50, one candidate for the thematic crux—from this point forward the recapitulation tracks its expositional thematic pattern measure-for-measure—cannot also be the tonal crux, for if it were we would arrive back at G major for the recapitulatory S theme. Another set of tonal alterations is necessary, meaning that this movement dissociates its thematic and tonal cruxes in the manner of so many of the *Transpositionsreprise*n we saw in the previous chapter. The second set of tonal alterations happens in the silence of the MC-gap, and the tonal crux occurs when S<sup>1.0</sup> enters in C major at m. 58 = 13.

#### **4.3. Beethoven and the Minimally Recomposed Category 2**

An example from the first movement of Beethoven's first piano sonata is similarly instructive, for in addition to dissociating thematic from tonal alterations, its recapitulation also "corrects" an expositional issue. As shown in Example 4.3, in this piece the tonal alterations begin in m. 109, at the onset of TR<sup>1.1</sup>. In the recapitulation, however, the expositional TR<sup>1.2</sup>—so concerned with circularly retracing its steps toward the new dominant—is omitted in favor of a different—perhaps more streamlined—motion toward the global dominant lock.<sup>15</sup>

Beethoven's tonal alterations begin immediately at the onset of TR<sup>1.1</sup> and have "multitude" thickness. (The move to an F-minor opening of TR<sup>1.1</sup> would not make for an F-minor S theme, if all else were preserved, so this tonal alteration introduces the need for more tonal alterations down the line; they begin at m. 111.) But Beethoven saves his *thematic* changes for TR<sup>1.2</sup> (or what was so-labeled in the exposition): m. 115 no longer equals the projected m. 15 but rather composes a new, more directed dominant arrival.

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<sup>15</sup> These expositional retracings are shown in Example 4.3 by *expositional* equivalences; as we saw in our discussion of the first movement of D. 537 in the last chapter, being sensitive to intra-rotational correspondences also yields interpretive payoff.

The image shows a musical score for the first movement of Beethoven's Op. 2 No. 1. It is divided into two main sections: the Exposition (Expo) and the Recapitulation (Recap). The Expo section begins at measure 9 and ends at measure 16. It features a 'TR' (Transition) module, which is further divided into 'TR<sup>1</sup> P-based' and 'TR<sup>2</sup>'. The Recap section begins at measure 109 and ends at measure 201. It features a 'new TR module' and a 'CRUX' at measure 201. The score includes annotations for 'TONAL ALTERATIONS' and 'THEMATIC ALTERATIONS'. The Expo section is marked with 'm. 9' and the Recap section with 'm. 109'. The Expo section also includes the notation '(NB) = 15 = 16 = 14 = 15 = 16'. The Recap section includes the notation '= 9 = 10 = 11 = 12 = 13 = 14 = 15 = 201'. The score is written for piano and includes various musical notations such as notes, rests, and dynamics.

Example 4. 3. Recapitulatory Alterations in the First Movement of Beethoven, Op. 2 No. 1.

The thematic “correction” of what was a circular or repetitive transition in this case also has an effect on the ongoing *rhythmos*, for it results in an acceleration of one measure; both behaviors are in this piece symbolic of a more directed drive to the ESC.<sup>16</sup>

No matter how much music they rewrite, Category 2 recapitulations that result in net gains or losses of one single measure ((+1) or (-1)) can be extremely suggestive, and deserve to be put in a subclass of Category 2 behaviors. These minimally lopsided, ever so slightly asymmetrical recapitulations can suggest, in addition to their minimal delay or acceleration, a keen attention to detail, as if the rarefied machinery were being finely tuned, or as if they were supposed to be heard as *almost* but not quite achieving their symmetry—as minimally perturbed. The near-symmetry in these cases can suggest near-perfection, near-achievement, or a finely calculated correction (or distortion) of the exposition. The reader can readily find other examples of this subclass (for instance in the second movement of Schubert’s “Trout” Quintet, D. 667 and the astonishing and

<sup>16</sup> This recapitulation thus serves as an example of “the devising of a new strategy ... to generic structural issues that had cropped up on the exposition, with the aim of moving the recap in the direction of an enhanced normativity, improvement, or clarification,” *Elements* (238).

difficult first movement of his B $\flat$  Piano Trio, D. 898<sup>17</sup>). “The bigger the better” does not characterize the Category 2 recapitulation; the slightest *rhythmic* tweak is meaningful.

The finale of Beethoven’s sonata serves as an apt foil to its first movement’s deployment of a “(-1) script,” for these alterations, which come in the form of interpolated motivic expansions, result in a gain of 2 measures. See Example 4.4.

Example 4. 4. Recapitulatory Alterations in the Finale of Beethoven, Op. 2 No. 1.

<sup>17</sup> The extreme recapitulatory recomposition in the first movement of D. 898 nevertheless results in a near-identical recapitulatory *rhythmos* (to within one measure). The recapitulation begins at m. 187, in the key of G $\flat$  ( $\flat$ VI). After tracking the thematic layout of the exposition for some eight to ten measures while changing all other parameters—instrumentation, dynamics, key, affect—the music begins to make more substantial tonal and thematic alterations. These begin by writing over the exposition’s first feint at TR (mm. 12 ff.)—a TR that in the exposition was ultimately erased in favor of more P music (m. 26). Instead, at mm. 198 they give a modified repeat of the first 11 bars of the recapitulatory P, this time in D $\flat$  major, as if groping toward a proper pitch level. Two things are of note: first, that neither of these first two statements of P is precisely equivalent to its first statement in the exposition, even though it shares its thematic material. And second, that during the D $\flat$ -major repeat of these recapitulatory P motives we have long since given up correspondence measures.

Of particular interest are mm. 208 and 209, which are, strictly speaking, a repeat of mm. 206 and 207 (= 195 and 196, and perhaps also 9 and 10). These two bars, which in repeating the previous two bars mark for consciousness the time it takes to turn B $\flat$  minor into B $\flat$  major, function as a deceleration by repeat. When they terminate at m. 210 the music rejoins the thematic path of the first eleven bars of the recapitulation at precisely the point at which it left off: m. 210 is equivalent to m. 197 (at a distance of two bars!). In the following measure, m. 211, the music latches onto m. 26 (= m. 12, = m. 1!), the thematic crux of the movement.

This is quite a radical recomposition, and results in some profound large-scale formal differences, such as that the movement might be read as a three-part-to-two-part conversion. But for present purposes what is notable is that the crux of the movement occurs precisely one bar before it would have, had the recapitulation tracked the thematic path of the exposition entirely. In other words, the radically recomposed recapitulation, which rewrites all the music from m. 1-25, is twenty-four measures long. One wonders in specific about the addition of the two-bar expansion by repeat within the longer set of tonal-thematic alterations: was it put there to make the recapitulatory *rhythmos* closer to that of the exposition?

It is certainly possible to understand the second half of m. 147 and the first half of m. 148 as interpolated, or parenthetical, as shown by my vertical brackets and labeling of correspondence measures. (M. 10a would be the first half of m. 10; 10b would be the second half.) The same is true for the second half of m. 150 and the first half of m. 151. This reading hears through to the rotational layout of the exposition almost exactly, and calls attention to the decelerations by repetition of the transitional motive in the left hand.

But the current alignment encourages a sensitivity to surface time-distortions: the motivic play in this passage, because it adds bars, seems to suggest dawdling or stasis in addition to “labor,” both compositional and narrative. For though the thematic/motivic repetitions “need time,” the tonal alterations themselves are not complicated, and could easily have happened in the time allotted to them: the piece stays in F minor until the downbeat of m. 151 = 12, and then simply substitutes a  $D\flat^{+6}$ -to-C-as-dominant in place of an  $F\sharp^{+7}$ -to-G-as-dominant—a harmonic pathway already plotted in the motion of the opening sentence to its dominant, see mm. 8-9 and 145-146).

The question that arises is: why would this recapitulation deal with such repetitious cycling back if its “obligatory” tonal alterations could have been dispatched with so easily? Since my topic is Schubert, I do not wish to dwell on proposing interpretations for these examples by Mozart and Beethoven. But I will point out that it is at least possible to understand these repetitions as harking back to the repetitions that characterized the exposition of the first movement; and we might even understand this expanded treatment of the recapitulatory TR as a compensation—indeed an overcompensation or eclipsing—of the time that was cut out of the first movement’s streamlined recapitulation. We may not choose to go that far—there may be no reason to

understand the outer movements of (at least) this sonata as related. Whether we grant the intermovement drama, the recapitulation of this finale stands as a paragon of expansion by repetition. It results in a recapitulation two measures longer than its exposition.

#### 4.4. Beethoven and Schubert: Labor and Grace

With Schubert, we might begin with the Minuet and Trio from the early Piano Sonata in C Major, D. 279. This pair of pieces helpfully provides us with a recapitulation, if I may, of the principles of Category 1, in comparison to the single alterations that characterize Category 2. For the Minuet offers a Category 1 recapitulation while the Trio offers a Category 2 recapitulation (it features a paradigmatic two-bar expansion by sequence).

The image shows a musical score for Schubert's Minuet, D. 279, in 3/4 time. It is divided into two systems: 'Expo' (Exposition) and 'Recap' (Recapitulation). The Exposition starts at measure 1 (m. 1) and is marked with a forte (f) dynamic. The Recapitulation starts at measure 39 (m. 39) and is marked with mezzo-forte (mf) dynamics. The Recapitulation features several annotations indicating phrase lengths: '= 0', '= 1', '= 2', '= 3', '= 4', '[ = 1 ]', '= 2', '= 3', a boxed area containing '= 4' and '= 8', and '= 9 ...'. A note at the bottom right of the Recapitulation section reads 'No Authentic Cadence!'.

Example 4.5. Alterations in the Minuet of Schubert, D. 279.

The recapitulatory alterations in the Minuet, shown in Example 4.5, are drastic: by changing the exposition's phrase type and cadences, they (thereby) radically transform its formal functions. Its initial "parallel continuous period," to use Laitz's terminology, is converted, in the recapitulation, into a 16-bar sentence. Because of this, the exposition's i:PAC at m. 8 is avoided entirely—pushed back to later in the minuet. The expositional mm. 9 ff. are thus post-cadential, but mm. 47 ff., (= 9 ff.) are charged with the task of making a tonic cadence; they become necessary for closure.

In converting the period into a sentence, however, Schubert manages to alter the cadential structure of the reprise without altering the time it takes. This hinges on the time-equivalence between the exposition's consequent phrase and the second basic idea of the sentential presentation phrase, both of which are four bars long. This recapitulation, then, though it drastically reconceives the cadential goals of the exposition, qualifies as the last type of Category 1 recapitulation, as theorized in the last chapter, the *rhythmos-preserving non-Transpositionsreprise*. Two seams are made smooth through thematic equivalences: m. 43 is equal to both m. 5 and m. 1, and m. 46 is equal to both m. 8, and (trivially) m. 4.

Example 4.6. Alterations in the Trio of Schubert, D. 279.

The tonal alterations of the Trio of D. 279, on the other hand, take time, which makes it a Category 2 recapitulation (Example 4.6). The throwing of the tonal wheel, so to speak, is coincident with a thematic backing-up, such that the last two sounding measures in the tonic are sounded again, this time with all voices a fourth higher. This recapitulation rehashes all the issues we broached involving Monahan and the “Hunt” Quartet, for these alterations are equivalent (save that they take two, not four bars) to the ones in Mozart’s first movement. This is a two-bar expansion by sequential repetition.<sup>18</sup>

<sup>18</sup> The exact same behavior is present in a much larger piece in the opening movement of the E $\flat$  Trio, D. 929 (see mm. 395, 396, 397, and 398, which = mm. 11 and 12 in the tonic, and

We are used to asserting that reprises that move to a subdominant early are flawed to the extent that they refuse to reconceive the rotation. We should remember, when we have such an inclination, that the backing-up to repeat two bars is not necessary for making a tonal adjustment. (We should also remember that even a quick subdominant (or equivalent) turn in the recapitulation does not preclude significant rethinking in other domains in recapitulations, so common in Schubert and others.) The thematic repetition that characterizes, for instance, Mozart's "Hunt" and the Trio from Schubert's D. 279—far from being considered part of the "mundane dictates of tonal machinery" (Kessler 1996, 122)—can thus suggest, in addition to a certain stuckness, deceleration, apprehension, and so on, an amount of work or exertion.

Since the notion of work—spiritual, physical, emotional, military—seems to be associated with adding measures, many Category 2 recapitulations seem to reward an approach that asks what "task" or "struggle" is being demanded of a protagonist and what is being achieved (or in certain extreme cases, what is not being achieved). A clear case of the sort of work suggested by a (+) operation may be found in the first movement of Beethoven's *Eroica* Symphony, a movement that has always been associated with the struggle of a protagonist in battle. A short score is provided in Example 4.7.

The first thing to notice about the *Eroica* is that its recapitulatory alterations are not just a simple backing-up—they substantially rewrite a major portion of the exposition.

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then 11, and 12 in the subdominant). Notice, too, that the astonishingly conceived slow movement from the B $\flat$  Trio, D. 898—with imitative thematic entries at 10- and 1-bar intervals, and with fierce experiments with tonal level, surface thematic presentations, and instrumentation—still nevertheless only features one single time-altering deviation from the expositional rhythmos. A two-bar deceleration by sequential repetition is enlisted in order to make the final tonal alterations to E $\flat$  at m. 102-105 (= 23, 24; 23, 24).



This recomposition, which begins early—after only five bars of correspondence—suggests effort and struggle as much composerly as narrative. For present purposes the clincher is this: that even the radically reconceived recapitulatory theme seems to come within two measures of its expositional size. The tutti outburst in the recapitulation at m. 430—with off-beat timpani strokes like cannon fire—seems to be equivalent to the tutti outburst in the exposition, and thus suggests an arrival back on track two bars too early. But Beethoven then nullifies this solution, by pulling back out of the expositional correspondence and reevaluating. (The “crux effect” can thus be read in terms of my “red herring correspondences,” discussed in the last chapter.) Let’s think about what this might suggest: either “two bars too early” would have been the wrong narrative in this context—it would have seemed *too easy*—or else we are to understand the protagonist, after an already laborious struggle, has begun to advance on his enemy, only to be pushed back later on. (Or he has *thought* he had advanced on his enemy, only to see the difficult situation more clearly at m. 440.)

What is so suggestive about this music is that its true thematic crux—that moment where it does indeed latch back on to its referential expositional layout—is articulated by *the same*, tutti, E $\flat$ -major, cannon-fire music that seemed to bring it about earlier. The use of that music at both moments seems even more forcefully to participate in a script of *pushing back*, or of the enacting of labor.<sup>19</sup> The bait and switch (which suggests a thematic crux two bars “too early,” but ultimately gives it eight bars “too late”), stages the enacting of work, as well as the backs and forths of the (in this case military) struggle. In order to stage both labor and distress, it seems that Beethoven needed not only

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<sup>19</sup> The *Eroica*'s crux point at m. 440 = 37 is only thematic; the piece has yet to accomplish its *tonal* task, which it begins to work toward, preserving correspondence measures, shortly after its thematic struggle.

drastically to rewrite all this thematic material—there is the labor—but also to arrive at his goal point “too late”—there is the distress.

The representation of heroism in this movement’s exposition, development, and coda has commanded an intense amount of analytic attention. Its recapitulatory alterations are also deserving of attention in that regard.<sup>20</sup> For its deployment of one enormous set of thick thematic (not tonal) alterations—which end up where they started, albeit eight bars *too late*—help tie recapitulatory decelerations to the notion of labor performed. Indeed, one is inclined to disagree forcefully with Adorno, who has written of the *Eroica* that we “know in advance how the music continues... the static symmetry of the [recapitulation threatens] to disown the dynamic intent.”<sup>21</sup> The recapitulation of the *Eroica* is neither static nor foregone; even its recapitulatory thematic alterations are pressed in service of a dramatic narrative meant to represent military struggle.

In order to drive home the point that adding measures to an ongoing recapitulatory rotation suggests labor, I quickly note that Beethoven’s second movement too, results in added measures: the (60-bar) fugato inserted into its recapitulatory S also exhibits great (composerly and narrative) work.<sup>22</sup> The emotional or spiritual struggle

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<sup>20</sup> Most commentators do not discuss the recapitulation at all, preferring to focus on these earlier action zones. Brian Hyer (1996, 83 and fn.) points out that Schenker’s (1930) voice-leading sketch of the exposition and development of the *Eroica* is fifteen feet long, and doesn’t even show the recapitulation, which he marks simply with the word “Wiederholung.”

<sup>21</sup> Adorno ([1971] 1996, 62-63). He continues: “Beethoven’s mightiest symphonic movements pronounce a celebratory ‘That is it’ in repeating what has already existed in any case, present what is merely a regained identity as the Other, assert it as significant.”

<sup>22</sup> The 60-bar interpolation exists in the space between mm. 6 and 9 (between a and a’).

here is of a very different variety than that staged in the first movement—it is a personal struggle of bereavement—although it is no less heroic for that fact.<sup>23</sup>

Because of my interest in “hearing against,” I am not interested in “correcting,” “symmetrizing,” or “equalizing” any of these asymmetries, the sensitivity to which has already begun to pay interpretive dividends. The difference in alignment is easy to understand: an emphasis on hearing the musical surface as a distortion of the “logical” contrapuntal, or rhythmically regular background results at the expense of a sensitivity to the foreground. It may be quite true, as Rothstein (1981, 75) has put it, that

the normalization/displacement relationships that are immediately apparent in a multi-level graph reveal the perceived tension between the normal and the abnormal; in rhythmic as well as in pitch structure, it is in this tension that much of the expressive and dramatic effect of tonal music lies.

And yet no matter how sensitively one attends to the relationship of foreground asymmetries to their middle- and background idealities—those “fundamentally different” kinds of events (Samarotto)—this alignment overlooks the temporal changes that occur between a recapitulatory passage and its “foreground prototype”—its referential ground.

Another example of a piece whose recapitulatory-alteration treatment ties beautifully into the narrative it has always seemed to project can be found in the opening movement of Schubert’s Piano Sonata in B $\flat$ , D. 960 (Example 4.8). The recapitulation is an example of the work that a thematic backing-up can suggest since its “obligatory”

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<sup>23</sup> Particularly suggestive in this regard are the strategic folds in Beethoven’s “*Eroica* sketchbook” (Landsberg 6). According to Lockwood and Gosman (2013, 16), “Beethoven seems to use folds as a way to survey the first three movements together and overcome the distance between relevant sketches.” Noticing the recapitulatory expansions in the first and second movements points to the possibility that Beethoven, in claiming that his custom “[when composing operas as well as] ... instrumental music, is always to keep the whole in view” (19), Beethoven is referring to the recapitulatory narratives suggested by individual movements.

tonal alterations not only *take time*, suggesting a certain exertion, but also *back up*, suggesting a certain lostness, or momentary inability to proceed.

The musical score consists of four systems of piano accompaniment. The first system, labeled 'Expo', begins at measure 20 and ends at measure 235, marked with a piano (*pp*) dynamic. The second system, labeled 'Recap', begins at measure 20 and ends at measure 23, which is also labeled as (= 19). The third system, labeled 'THEMATIC CRUX', begins at measure 20 and ends at measure 23, with each measure marked with an exclamation point (e.g., = 20!). Below this system is the label 'TONAL ALTERATIONS, 1 (+4)'. The fourth system shows measures m. 24 and m. 243, with measures = 24 and = 25 ... indicated.

Example 4. 8. The First Set of Tonal-Thematic Alterations in the First Movement of D. 960.

This first set of alterations exerts itself in order to do something, anything, in the face of the confused (if not inhospitable) landscape. The alterations are like those of the first movement of the *Eroica*, in that they take time—they add four bars to the ongoing discourse. They are like Mozart’s “Hunt” and the Trio from D. 279 in that they back up to re-sound a set of earlier measures at a different tonal level. And they have thickness (multitude), since the mode-collapsing move to F-sharp minor then modulates freely into

the (false?) major key built on the global leading tone, thus necessitating further treatment, down the line.

But perhaps the reason these “tonal alterations” so suggest labor is that they prove, ultimately, to be for naught. The second, “self-effacing” set of tonal alterations (Example 4.9), instead of using the initial tonal motion as a way station—perhaps splitting the difference in a situation so confusing or difficult that one set of alterations would not have the capacity to effect resolution all by itself—nullifies it, choosing instead to move back to the global tonic B-flat major. The (characteristically Schubertian) wanderer, always advancing, nevertheless gets nowhere.

TONAL  
ALTERATIONS, 2:  
annulment  
As D $\sharp$ , back to B $\flat$ ;  
forces third round of tonal alterations

Example 4.9. The Second Set of Tonal Alterations in the First Movement of D. 960.

We have seen examples of self-effacing tonal alterations—those offsetting erasures or abortive resettings—already in the context of Category 1 recapitulations. In the Category 2 (+) situation—in concert with the thematic backing-up, the curious development of D. 960 in particular, and the ongoing tonal drama—these confusedly thick tonal alterations suggest an irreparable error in judgment. The problem—tied up with the tonal motion to A major—is so apparently challenging as to seem unfixable: the only way to proceed is

to abort—to revert to where we would have been had no alterations been made at all, and survey the landscape anew, in hopes of finding a way to stay in the tonic B $\flat$ .

The notion of self-effacing tonal alterations resonates sympathetically with the way this movement has been heard for some time: Indeed, perhaps nothing in this recapitulation, always heard as a sort of exhausted re-beginning, better expresses the impotence of the exhausted wanderer so long heard therein than this pair of abortive, self-effacing alterations. The first set, tied up as it is with a thematic backing-up, not only suggests exertion, since it seems to need to back up to sequence motives just heard, but also seems to suggest at least the possibility of a certain transcendence of the pervasive F $\sharp$ /G $\flat$  tonality, by converting F $\sharp$ -minor to its relative major for fifteen or so bars.<sup>24</sup> And so, momentarily, the alterations seem to have accomplished (at least some of) their task. But the second alteration, which occurs when the A chord is given a flatted seventh (not an augmented sixth as in the exposition) and then functions in the manner of a deceptive cadence to B $\flat$  major, simply erases that work, and along with it the accompanying possibility for transcendence.

It is worth pointing out the “backings-up,” on different structural levels, that have been heard in this movement by other scholars.<sup>25</sup> Nicholas Marston (2000, 255) hears in the large-scale, “built-in” backing-up of the recapitulation at large “a retrograde step,” and he characterizes the sonata in terms of immense effort:

Just as the direction “wie oben” in Schubert’s draft directs the reader backwards, literally to the start of the movement, so the recapitulation in the first movement of D. 960 breaks not as the now-achieved goal of the tonal and thematic

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<sup>24</sup> Fisk (2001, 253) writes that exactly this passage “achieves an emblematic moment of integration of the disparate tonal regions of the sonata.” See also the wonderful distance metaphors that characterize A major and F $\sharp$  minor in Cohn (1999, 222).

<sup>25</sup> For a summary of earlier analyses, see Clark (2011, 146-161).

wanderings of the development but rather as the consequence of *a retrograde step, a weary return to the beginning of the journey*. In the silence which constitutes most of bar 215 can be heard *an immense effort of will, a husbanding of largely spent resources in the face of the awful need to begin again*. But only by beginning again will epiphany be granted. [Emphasis added.]

Richard Cohn (1999, 225) uses the suggestive “*volte face*” to characterize the tonal motion of the exposition as a whole (although he will ultimately describe its there-and-back motion in terms of prolongation).<sup>26</sup> Felix Salzer pointed out as early as 1928 that even the piece’s P theme unfolds in a large (Schubertian) lyric binary (ABA’) form. This observation is important, for it points up the fact that these backings-up, retrograde steps, and volte faces are not all harmonic: there is a good bit of thematic drama as well.<sup>27</sup> In addition to the P-theme’s “lyric form,” remember Marston’s large-scale “*wie oben*” and see Fisk’s and Pesic’s analogy to “Mein Traum,” that allegorical tale of “double banishment” and return.<sup>28</sup> The backing-up that characterizes the first stage of the recapitulatory alterations thus seems to tie in to many such behaviors in the piece—harmonic and tonal and on many different structural levels.

But this recapitulatory backing-up in particular has not received much analytic attention. Marston’s characterization of D. 960 ultimately overlooks the thematic-tonal

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<sup>26</sup> He later qualifies, but does not abandon, this reading. Cohn cites Rosen (1988) and Webster (1979), who hear the passage similarly.

<sup>27</sup> Two scholars who hear only a tonal drama unfolding in D. 960 are Clark (2011) and Almén (2008). Clark’s harmonic/tonal bias (in her discussion of D. 960 as well as in her book as a whole) seems to color her readings of earlier theorists; at the end of the discussion of D. 960 she comes to the peculiar conclusion (157) that “the point to be drawn from these narrative readings of the Sonata in B $\flat$  Major is that extramusical meaning is understood to be primarily encoded in the harmony—and that music theory plays a vital role in unlocking the harmonic code.”

<sup>28</sup> The “literary fantasy” of “exploration, banishment, exile, and eventual homecoming” was written by Schubert in 1822, and entitled “Mein Traum” by his brother Ferdinand. Fisk (2001, 267) writes that “like the protagonist of Mein Traum, [that of D. 960] is cast out ... and he begins to search and to wander...” For a conspectus of earlier readings of the fantasy (psychoanalytic, music-analytic, biographical, hermeneutic), see Gibbs (2000, 31-33) and Clark (2011, 148-161).

alterations of mm. 239-42 and 254, and Cohn, who in fact names the thematic expansion—a “four-measure *Molleinschub*”—ultimately frames his discussion of it in terms of tonal and motivic perspectives.<sup>29</sup> Cohn provides a convincing treatment of the middleground tonal reasons for the insertion, tying these into observations about time—who could forget the turn of phrase “temporal parallax”?—but ultimately his concerns are different from those of the present project. What Cohn and I have in common is in *noticing* that this alteration is not for nothing, and proposing criteria for *why* the change is made. These four measures are doing *something*; what is it?

The answer may hinge on understanding the drama staged by the tonal and thematic alterations of the piece. First, because of Schubert’s choice of the self-effacing tonal-alteration strategy—which I have characterized as the resulting from an inhospitable landscape or the confusion (psychological or geographical) of the exiled virtual protagonist—a third set of tonal alterations will have to be made down the line. One “parallax” attendant upon staging two sets of tonal alterations in this way comes from the staging of more work than is typically needed in a sonata movement, which results, ultimately, in no tonal achievement. The tonal-thematic alteration strategy fits right in with Marston’s reading, too: for if, as he suggests, this recapitulation presents a

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<sup>29</sup> Cohn hears in the recapitulation an articulation of the main tonalities of the exposition, in order, in a shorter amount of time. He also hears a composing-out of the incipit motive B $\flat$ -A (the same motive responsible for the oscillation between D minor and B $\flat$  in the development) in the downbeats of mm. 235 and 239. But though his characterization of the recapitulation involves a “temporal parallax,” it is predicated on the deep-level rhythms of middleground keys, not on the four-bar deceleration: the reason mm. 239-242 are central to his reading is because of the keys it articulates: they are the keys of the S theme of the sonata, *too fast*.

For another (mostly tonal) analysis of D. 960 that identifies backings-up, wandering, and hesitation, see Byron Almén (2008), who does not mention the enlargement at all. Almén chooses instead to focus on the piece’s distant tonal relationships, even if thematic criteria would help his interpretation that “the changes in Schubert’s recapitulation in relation to the exposition ultimately serve to confirm the tragic course” (157). Interesting here is that even Almén’s tonally biased interpretation hinges on D. 960’s “tendency to hesitate” (see also “wander harmonically” (159) and “the continual setbacks of the narrative subject” (161).

“weary return,” “an immense effort of will,” and “a husbanding of largely spent resources in the face of the awful need to begin again,” the self-effacement of the first two alterations, which both take work to enact and necessitate further work having to be done by the wanderer, might suggest a certain desperation.

Against such a backdrop it is not surprising to permit, as Marston does, the possibility for grace or epiphany. The epiphany moment, if there is one, certainly aligns with the moment of tonal crux, at m. 265 = 46, when the common-tone<sup>7</sup>/V chord that so tragically blocks the projected B $\flat$ :PAC is here used as a vii<sup>o</sup>/V in B minor rather than as a dominant-related diminished seventh chord in F-sharp minor.<sup>30</sup> Example 4.10 is a comparative graphic of the two progressions.

TONAL  
 ALTERATIONS, 3;  
 TONAL CRUX

Example 4.10. Comparative Harmonic Progressions in the First Movement of D. 960.

Whether by Grace or by willed action, this final moment of tonal alterations seems to be the moment when the protagonist first sees the way. (Like Marston, I choose Grace, here the staging of a sudden epiphany of recognizing the needed tonal mobility in the

<sup>30</sup> One “rogue” neo-Riemannian transformation, the hexatonic pole, is thus traded for the other, the so-called “slide progression.” These transformations are motivic: Another hexatonic pole (F+ to C#-) opens the development, while the Slide transformation moves us both from the F# minor of TM<sup>1</sup> to the dominant, F, for TM<sup>2</sup>, as well as from B minor to B $\flat$  major in the corresponding place in the recapitulation.

*Mehrdeutigkeit* of the diminished seventh chord, the agent of collapse as well as the agent of salvation. “But where danger threatens / That which saves from it also grows.”<sup>31</sup>) The wanderer’s (tonal) path is, as it were, illuminated for him even as this mobile, or changeable “aspect” of the diminished seventh chord is lit up. They *dawn* on him, as an aspect, or as Grace, dawn. It is a marvelous touch that the middleground Slide progression results (at the level of the recapitulation as a whole) in a large-scale, self-cancelling, forward-and-back motion: from B $\flat$   $\xrightarrow{\langle S \rangle}$  b  $\xrightarrow{\langle S \rangle}$  B $\flat$ , as against the exposition’s propulsive B $\flat$   $\xrightarrow{\langle H \rangle}$  f $\sharp$   $\xrightarrow{\langle S \rangle}$  F. We can hear its first two, self-cancelling tonal alterations, as a smaller symptom of the same abstract harmonic behavior.

We now consider a pair of recapitulations, this time the (revised) outer movements of the Piano Sonata in E $\flat$ , D. 568, both of which feature definitive Category 2 behaviors.<sup>32</sup> Like the outer movements of the Beethoven Piano Sonata we examined above, those of D. 568 have recapitulations that distort their exposition-recapitulation symmetry in opposite directions. Schubert’s alterations are larger and more drastic than Beethoven’s. In the following I assume both that this perturbation of symmetry is deliberate, and that the outer movements are to be taken as a pair.<sup>33</sup> In cases like these,

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<sup>31</sup> From Hölderlin’s “Patmos,” translated by Michael Hamburger in Hölderlin (1998).

<sup>32</sup> D. 568 is a revised version (probably but not certainly by Schubert) of D. 567 (1817), which was in a different key (D $\flat$ ), lacked a minuet, had different internal key relations, and featured other differences of musical material. Tusa (1984) has argued, “on the basis of stylistic criteria,” that the outer movements of D. 568 were revised (by Schubert) between 1825 and 1826.

<sup>33</sup> The outer movements of D. 568 have been related to one another before: Chusid (1964, 213-215) likens their developments to one another; Tusa (appealing to Chusid) writes that certain revisions of the piece were “motivated by considerations of cyclic unity” (213-215). Outer movements in Schubert’s sonatas often have structural similarities worth excavating at length, and far before 1824, the date Chusid, Gingerich, and others have identified as so important for these cyclic compositions. See, for only one early instance, the identical idiosyncratic forms of

there would seem to be some larger narrative or compositional reason for choosing the Category 2 strategy. The task is to imagine what that reason might be.

The first movement of D. 568 features a flourish recapitulation that (capriciously, impetuously) refuses to recapitulate thirteen measures of its referential exposition.<sup>34</sup> The thirteen bars that are deleted from the ongoing rotation are not just any bars, either. As example 4.11 shows, this recapitulatory behavior removes from the ongoing rotation the entire, modally shifted expositional TR. It is of course possible that this behavior is to be heard as an excision of the exposition's modally "problematic" E-flat minor, *Sturm und Drang* outburst that runs from mm. 28-40. But its removal *tout court*—a rash decision on the recapitulation's part?—introduces its own slew of formal problems. For along with the deletion of the entire TR section this recapitulation deletes a textbook MC and its forceful preparation—#4 in the bass (m. 34), clear dominant lock (mm. 35-39), I:HC MC (m. 39), six beats of actual silence in the left hand (mm. 39-40), and a gossamer ascending scale in the right that proceeds in tandem with both a lowering of dynamics and a slowing of tempo.

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the outer movements of the Second Symphony, as if they are two different realizations of a precompositional formal plan.

<sup>34</sup> Tusa (214) identifies its flourishes as evidence of a late date of composition: "In [the earlier version of this sonata] the recapitulation begins in the tonic with a *notatim* restatement of the first group as it had appeared at the beginning of the movement. Such literalness of thematic recapitulation is the rule in Schubert's early works. The recapitulation of [D568] however varies the entire first group in ways that have few parallels in Schubert's early works.... Such procedures, which are reminiscent of Beethoven's methods of recapitulation reinterpretation, can be related to Schubert's experiments with the recapitulation in major instrumental works of his maturity, such as the ambiguity of D840 and [D845] and the variation of the first group and bridge in the G-Major string quartet."

Example 4.11. Medial Caesuras and S Themes in the First Movement of D. 568.

Faced with the recapitulation alone—that is, without hearing it against the expositional reference—we would be forced to conclude that it features a curious I:IAC MC, flush elided with the onset of S—a rare MC type if ever there was one.<sup>35</sup> But other

<sup>35</sup> See this passage from *Elements* (29, emphasis added): “A I:PAC or IAC-substitute leading to an obvious S in the new key may occasionally be found in light, small-scale works, in

properties of the cadence seem “elided”: where, for instance, does the leading tone D on the last quarter-note beat of m. 185, resolve? (An admittedly extreme reading might see in this non-resolution an argument for a I:HC<sup>7</sup> MC at m. 185.) Perhaps, going to the other extreme, we would prefer to say that this recapitulation is continuous—it has decided to elide out its MC entirely, thus performing a radical conversion of its expositional structure, from two-part to continuous. (In that case, what would we make of the return of the music we called S in the exposition?) Whatever we choose to call it, it is clear that the MC—if we are prepared to grant it such a status at all—is problematic. (I have called it a “surrogate” MC on the graphic; and labeled it both ways.)

Example 4.12. Temporal Compression in the First Movement of D. 568.

Besides its MC issues, there is also the effect the deletion has on the proportion of the recapitulation, relative to its referential exposition. Example 4.11 shows what is cut out, and how, but it does not express as forcefully as it might exactly *how much* is cut out. One way to call attention, visually, to the change in size—to the radical brevity of the recapitulation, relative to its exposition—would be by representing it “triangularly,”

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some telescoped or abbreviated expositions, and in some slow movements. Generally the PAC or IAC closes off a brief, straightforward P, and *the resulting impression is that of omitting the TR-zone altogether. Because of the effective ellipsis of TR, the I:PAC or IAC at the end of P is asked to do double duty as the rhetorical MC.*”

as in Example 4.12.<sup>36</sup> This representation shows, more forcefully than in Example 4.11, the amount of material that is elided out of the recapitulation of D. 568.

Let's talk about *techné*. The hiccup forward—the stylus's skip in the groove—results in a 13-bar compression by deletion; the measures that are cut were not immediately repeated in the exposition, and so the argument from redundancy is unavailable. (Unless one factors for the resemblance of the TR-based  $C^2$  modules at mm. 88 ff., repeated, with invertible counterpoint at mm. 94 ff., the development has no motives that resemble the expositional TR). The argument that the Alberti bass in the recapitulatory  $C^2$  (mm. 233 = 88 ff.) and the “Alberti treble” at its repetition (mm. 239 = 94 ff.) resembles the omitted TR and thus compensates for its omission—which is to say that it was already redundant in some way in the exposition—is available to the analyst who wants to make it, although it says nothing about the radical (and unanswered) change of proportion. Thus besides the TR-based  $C^2$  modules, which are recapitulated in full, the (actual) missing TR motives do not occur in the developmental rotation or in any paragenetic zone (the movement has no coda).

But where did this troubled transition go? Is it, to borrow one of Youens's (1991) assertions regarding the *Winterreise* Lieder, simply too painful to face again? Does something about this TR make it impossible to recapitulate in its proper place? Unworthy of recapitulation? Unfitting, somehow, in the recapitulatory argument? Explanations for the excision of the *Sturm und Drang* outburst could come from any number of domains; the ones I have been alluding to are topical (Ratnerian) and formalist (Rosenian, Caplinian).

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<sup>36</sup> The graphic bears some structural similarities to those used in Samarotto (1999) although his graphs, designed to show rhythmic reductions on multiple structural levels, are paragons of “hearing-through.” Example 4.12 is designed to capture hearing-against.

On a topical reading, a change is to be understood as having occurred in the protagonist, as evidenced by this or that topic or the lack thereof: the reason the music cannot revisit E $\flat$  minor again is to be based on the narrative being stitched from the lineal sequence of musical topics. On a formalist reading, the inclusion of some musical module that resembles TR—perhaps C<sup>2</sup>, perhaps the developmental *Sturm und Drang* outburst at mm. 121 ff.—has rendered the recapitulatory outburst “redundant” or “extra” (thematically), or “overburdensome” (tonally). There is merit in this type of reasoning, even if it says nothing about why, for instance, it would be acceptable that *S* was repeated, both in the exposition and in the recapitulation (resulting in a total of four *S* modules); or why C<sup>1</sup> and C<sup>2</sup> are both repeated (with invertible counterpoint), resulting in four of each of those modules (eight total). Why do not these modules “overburden” the tonic or render some theme redundant? Why should not they be excised as well?

To dig deeper: perhaps any outburst of E $\flat$  minor is to be seen as tonally redundant since the recapitulation—which tracks the exposition tonally—exhibits deep-level mixture involving the pitch G $\flat$ . On this reading, G $\flat$  (heard as the upper third of the now achieved tonic E $\flat$ ) will sate our desire for the otherwise missing E $\flat$ -minor. (Follow the bass-line from the E $\flat$ :ESC at m. 201 through the tonicizations of G $\flat$  (m. 208), F (m. 216) and E $\flat$  (m. 224) and the corresponding moments in the exposition). Note, also, that E-flat minor (as the submediant of G $\flat$  major) was tonicized briefly in the bars leading up to the retransition (mm. 147 ff.), and also in the dominant lock of the retransition itself (mm. 150 ff.). Again, these arguments are not without merit, but they say nothing about proportion, deletion, non-correspondences, time-perceptions, the lack of effort that accompanies the achievement of the MC, and so forth.

Regardless of what has happened in a development, any time-transformation in a recapitulation is significant since it bears not only on our hearing of the piece, but also on the “distance-traveled,” as perceived by a wanderer (the stylus of a record player?) who circumvolves his landscape. Thus in the first movement of D. 568, the recapitulatory S theme is not only unearned—since unprepared by a transition and because of its problematic MC—but also *too soon*. Is this a moment of Grace? A great many of the recapitulatory flourishes, especially P’s insouciant mordents, would seem to say so; they sound like a celebration of sorts, their happy-go-lucky character in decisive contrast to the terrifying, shuddering use to which these figures are so often put Schubert.<sup>37</sup> These mordents create a motivic bridge between P and the recapitulatory S, which happens unmediated by the modally and topically troublesome minor-mode TR.

The ESC in this movement happens to the protagonist; it descends upon him.<sup>38</sup> And it happens earlier than projected. It does not take “work” to achieve; indeed it explicitly avoids having to do such work; this avoidance of labor performed is part of what makes it seem like an offering. Had the compression in this movement taken more work, it might have afforded a perception of willed action: the protagonist is excited about the ESC, sees it, rushes towards it, enacts it, effects it, brings it about, and so on. . . . But the achievement of this S theme and terminating ESC seems altogether less agential.

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<sup>37</sup> For only two instances, see the mordents in the bleak “Todtengräbers Heimweh,” D. 842, and the contemporary first movement of D. 845, which quotes them exactly.

<sup>38</sup> The difference between a protagonist who “makes,” “achieves,” “effects,” or “earns” his fate and one to whom fate *happens* is characteristic of the heard division between Beethoven and Schubert. See Taylor (2014, 69) who writes that in Schubert things “[happen], it seems, externally: the subject is a passive participant, who does not know and cannot control when the landscape may briefly lighten.”

Why, then, the omission of TR? The easier to stage the pleasantness of S. The easier to stage its achievement as the dawning of Grace.

If this interpretation goes too far, I will back up to emphasize that even a formalist reading, sensitive to recapitulatory thematic alterations, can capture something important about the excised TR and MC. For there is a certain cleverness, or play, involved in omitting the music that moved from the  $E\flat$ :PAC at m. 27-28 to the onset of S at m. 41; it takes compositional ingenuity necessary to make such a deletion work. In the exposition, some bridge passage is necessary to move from the cadential dominant at m. 27 to an S theme in  $B\flat$  at m. 41, but no such bridge passage is necessary in the recapitulation. I am not arguing that such a passage is *redundant*—what would that assertion mean?—but calling attention to the acceleration that attends its deletion. For (again) if redundancy is the main criterion for recapitulatory cuts, then why shouldn't the repeated  $P^2$  module at mm. 16-22 (repeated at mm. 22-28) be cut? It, after all, occurs four times.<sup>39</sup>

It may seem strange to cast an interpretation of a movement by Schubert—especially a late one—in the positive terms of Grace and celebration. These terms seem to contradict the bleaker narratives that have recently surrounded his music.<sup>40</sup> What would a more “fashionable” (Gingerich) hearing look like? Such a reading would likely

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<sup>39</sup> In the face of constant reminders that in recapitulations thematic redundancies are cut out in favor of a streamlined, directed approach to the goal, it is well to remember instances like the first movement of Beethoven's Eighth Symphony, in which P, sounded only once in the exposition, is in the recapitulation sounded twice in a row.

<sup>40</sup> Already in 1996, Gingerich had identified that the “notion of Schubert as an incorrigible songster, blithely abusing the spirit of sonata form, is out of date; the current fashion is to hear all of his music from a perspective of morbidity, foreboding, alienation, and tragedy.” Compare Gibbs (2000, 3-4): “In the closing years of the twentieth century a new Schubert image has suddenly emerged, generating considerable controversy. The explorations of Schubert's possible homosexuality, depression, habitual drinking, and neuroses have all made for alluring headlines and are a striking counter-pole to the trivial image of the guileless ‘Prince of Song’ that had reigned for so long. There is often also, I believe a great deal more truth to the revised view.”

emphasize different events—the deep-level mixture (both of B $\flat$  and of E $\flat$ ) within C space, the ability of the leading tone D to resolve to its tonic E $\flat$  only over a vi chord and not over the actual V-I resolution that summons S, and the sounding of minor-mode modules in C<sup>2</sup>. It would focus on the one-bar *tache* of E-flat minor at m. 205, the mixed motion to G-flat major for C<sup>1</sup> (m. 207 ff.), and the F-minor repetition of C<sup>1</sup> at mm. 216 ff.

If these events were to be pressed in service of a negative reading, the narrative would give the impression of a sort of roller coaster: not only does the protagonist have no agency, but his world moves ever faster. Everything happens so fast, indeed, that sonata conventions—perhaps even voice-leading conventions—go by the wayside.<sup>41</sup> This “description under which” bears strongly on the perceived affect of each of the zones: we now hear something *hiding* in the *dolce* S theme at m. 186; it is not as sweet as it seems. In the present discussion, what is important about this recapitulation is not, ultimately, to decide whether it is positive or negative, but rather to see how both these interpretations have been based on its recapitulatory acceleration. The dawning of Grace and the out-of-control accelerations are both based on the omission of TR and its concomitant foreshortening.

One reason D. 568 as a whole is so provocative from the point of view of thematic alterations is that its finale enacts something like what its first movement did, in an opposite direction. It is tempting, considering Chusid’s, Gingerich’s and Tusa’s emphasis on Schubert’s “cyclic compositions,” to consider the finale as a direct

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<sup>41</sup> Would the end-weightedness of each of its rotations also contribute to this reading, as if C<sup>1</sup> and C<sup>2</sup> were trying somehow to balance out, compensate for, or stage a forgetting of, the earlier action zones? P (and the missing TR) unfold in 27 bars, S in 15, but C space takes 56 bars.

response—a balancing, if you want—to the exposition. Perhaps it is only on this larger canvas that we can understand the narrative argument of the piece as a whole.<sup>42</sup>

The most curious quirks in the exposition of the finale of D. 568—many of whose surface thematic elements resemble those of the first movement—are certainly first, its refusal to use the dominant lock and proposed MC at m. 14 as an MC (not shown on Example 4.13) and second, its minor-mode S (or TM<sup>1</sup>) theme.<sup>43</sup> The dominant lock, for its part, turns out to participate on a lower level of structure: it serves as the end of the B section of a ternary P theme, with P<sup>A'</sup> returning at m. 15.<sup>44</sup> But as Example 4.13 shows, the exposition is all the more perturbed for not seizing upon this as an opportunity, not only because by not capitalizing on an MC offered it *pushes back* the possibility for S and the EEC (a dangerous game in Schubert), but also since the true S theme materializes, following on the heels of an enormous number of perfect authentic cadences in E<sup>b</sup> and B<sup>b</sup>, unprepared by any MC at all.

The B<sup>b</sup>-minor S theme in the context of an E<sup>b</sup>-major movement is indeed a rare and powerful expressive choice in the nineteenth century. *Elements* (141) reminds us

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<sup>42</sup> Tusa, citing Chusid, explicitly relates all the movements of D. 568 to one another, suggesting that even changes of key that resulted in the move from D. 567 to D. 568 were “motivated by considerations of cyclic unity... Subtle but audible interconnections between movements are a common feature of works from Schubert’s maturity” (215 and 218).

<sup>43</sup> For intermovement similarities, compare the circle-of-fifths motion at mm. 18 ff. in the finale with the pre-MC motion in the first movement; the suspension chains in the development of the first movement (mm. 122 ff.) with those in the recapitulatory TR of the finale; and both movements’ emphasis on mordents. See also the finale’s continuing emphasis on invertible counterpoint (re-instrumentation?), as captured on Example 4.13 below, (mm. 18 and 148).

<sup>44</sup> It is plausible that this P<sup>A'</sup> should be taken simultaneously as TR (as is often the case), but this does little to explain the strangeness of the slew of E<sup>b</sup>:PACs (mm. 18, 20, 22), the curious and lame modulation to B<sup>b</sup> (mm. 23) and two PACs there (mm. 23 and 24), the lack of silence between this would-be TR and S, and the crescendo into its onset (m. 24).



that it typically carried implications of “tragedy, malevolence, a sudden expressive reversal, or an unexpected complication within the musical plot.” All the more so in this case, it seems, for three reasons. First, because the minor-mode S is unprepared by an MC. Second, because of its lopsided sentential structure (2+2+3?), which calls attention to itself as a distortion of a paradigmatically symmetrical structure. And third, because of its motion to D-flat major at m. 34, and PAC there at m. 41—as if the desire (or ability) to escape from the minor mode somehow trumped the desire (or ability) for converting the five-flat universe into a two-flat universe.<sup>45</sup>

If the tonal drama of this four-movement sonata cycle—and especially its outer two movements—is as closely argued as Tusa and others have heard it to be, could it be that this B $\flat$ -minor sound world (as well as the closely related D $\flat$  to which it modulates at mm. 35 ff.), so out of place in a major-mode sonata form from the first quarter of the nineteenth century, harks back to the minor-mode *Sturm und Drang* outbursts of its first movement? (Could we go as far as to argue that this is why S, in this movement, appears in the minor mode? Farther still: that this is why TR is omitted in the recapitulation of the first movement of the piece? Perhaps too far: that the B $\flat$ -minor TM<sup>1</sup>-theme, with its lopsided (“too short”) sentential structure, is supposed to jog our memories of something

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<sup>45</sup> If the “first PAC rule” stands, the D $\flat$ :PAC EEC at m. 41 would be tonally estranged; a reading of TMB is thus likely among Sonata Theorists. What’s interesting here is certainly that the music at mm. 41 ff., TM<sup>2.1</sup>, begins *as if C*, celebratory, with simple tonic and dominant harmonies. It isn’t until TM<sup>2.2</sup>, at m. 47, that this becomes typically TM<sup>2</sup>-ish—reinvigorating, corrective, developmental, and so on. Continuing with this reading, the V:PAC at m. 55 is not the EEC but rather a PMC, flush elided with TM<sup>3</sup>, in B $\flat$ -major, still riddled with surface mixture. Notice that this TM<sup>3</sup> module, corrected to B $\flat$  major, has also had its phrase-structure corrected: it unfolds as a perfect eight-bar sentence, even if it takes a bar of echo to make it happen. Finally, notice that the music that follows the B $\flat$ :PAC (EEC, on this reading) at m. 63 *is equal to TM<sup>2.2</sup>*, giving credence to the assertion that TM<sup>2.2</sup> begins to unfold as if C. This is a backing-up and correction if ever there was one: not that key, *this key*; not that distorted sentence, *this perfect sentence*, not C after a tonally estranged would-be EEC, *C after a V:PAC EEC*.

omitted or something *too soon* from earlier in the cycle?—its correction in TM<sup>3</sup> a clue that this piece means to bring into balance things that were off kilter earlier on?) For if it seems far-fetched that a B $\flat$ -minor S-theme in this finale is supposed to hark back to a missing E $\flat$ -minor module in the first movement, remember that if all goes well, we shall get our E $\flat$ -minor outburst at the parallel moment of the recapitulation.

Example 4.13 shows that the recapitulation does indeed feature an E $\flat$ -minor S theme beginning at 163, over an Alberti-like bass. It also shows that this recapitulatory TR seems to struggle to get to its S theme in a way that was totally foreign to the recapitulation of the first movement. Many musical factors, both tonal and thematic, contribute to staging the ESC of this movement as more difficult to achieve than was its EEC. The tonal factors, such as the onset of S (TM<sup>1</sup>) in the minor mode (perhaps connected to the first movement's TR)—*Elements*' "unexpected complication"—have already been examined in the context of the exposition. They bring to the sonata's recapitulation a tonal task, a job that must be completed through the application of work.

But central to my reading of the cycle (and to my enterprise in general) is that this tonal task is given strength by the thematic layout of the recapitulation, which seems to struggle (through invertible counterpoint and motivic liquidation) to use the motives first heard in m. 19 to get somewhere. These motives are pressed in service of a sequence involving root motion by descending thirds from the E $\flat$  cadence at m. 148 down to the C-as-dominant lock at m. 154. (The tonal motion here from E $\flat$  major at m. 148 to B $\flat$ -minor-as-subdominant at m. 153 may hark back to the tonal relationship between expositional P and S, a piece of evidence that supports my identification of the passage as "work," as "correction.") In Example 4.13, the repeated correspondence measures

rendered in bold face—“= 19, = 19, = 19, = 19, = 19”—come from the intense contrapuntal treatment given one of the piece’s motives. For all their tonal motion, do they also, by virtue of their repetition of a single referential measure, evince a feeling of stuckness? For with every sequenced repetition that uses motives from m. 19, the ESC is pushed farther away.

The C-as-dominant achieved at m. 154 is prolonged for two full measures, making this a strong candidate for a pre-MC dominant lock (albeit the wrong dominant). The lock is of course new, since the exposition jettisoned the only MC candidate it could produce, at m. 14, following two bars of a B $\flat$  dominant lock (cf. mm. 142-144). But the recapitulation has not yet finished applying (compensatory, requisite) work to its TR, and after two bars of groping, sequential material, this C-as-dominant slips downwards through C $\flat$  to B $\flat$ -as-dominant, for a restatement—now at the proper pitch level—of these pre-MC-like lock motives. (The backing-up to treat the already articulated dominant-lock motives “at the wrong dominant” thematizes the work it takes, as well as ties in to the modus operandi of this piece as a whole.)

All in all we are dealing with an 8-bar delay here, but one that feels much longer for its dogged repetition of m. 19, for its wrong dominant lock, and for its backing-up to regain those motives over the proper dominant. The recomposed recapitulatory TR delays, or pushes back the (possibility of, perception of) the ESC as it grows ever longer; the protagonist applies work in order to trudge forwards across his musical landscape but is beset by a repeating skip in the record—a glitch in the program. (TR pushes back the ESC in the manner of, but even further than, the backings-up we saw in the movement’s

initial rotation.) By the lock on B $\flat$ -as-dominant the narrative seems finally to tip in favor of the protagonist, who may be able to marshal a proper MC at last.

As Example 4.13 makes clear there is, at m. 160 (no expositional counterpart) an unmistakable I:HC MC, *sf*, with a gap in the left hand and three bars of normative caesura fill in the right. Its minor mode notwithstanding, the light in which the S theme appears (at m. 163 = 25) has changed entirely: in the exposition this theme waltzed—totally unprepared—into a very curious scene characterized by the sounding of authentic cadences in every measure. In the recapitulation, by contrast, by entering after an MC that could not be more classical in its effect, it is the paragon of poise.

The moment that is to launch the movement's E $\flat$ -minor S theme—which invites us to recall the moment of the missing key of the first movement—is formally related to that earlier moment inversely: is this the first movement's missing E $\flat$  minor? Is it its missing MC? In this finale we have a recapitulatory TR that gains measures, that decelerates, that calls attention to or thematizes the amount of work it takes to create a proper MC and launch a proper S theme, where no such preparation was carried out in the exposition. Example 4.14 gives an idea of the amount of material added. Its inverse relationship to Example 4.12—which showed a recapitulation that omitted TR and MC—is captured by the orientation of the “triangle,” which points upwards.

Example 4.14. Temporal Expansion in the Finale of Schubert, D. 568.

My suggestion is that this is the conscious *staging* of a problem or issue that takes time (or work), and not merely an accident or somnambulism on Schubert's part. The reading is made stronger by the dominant lock that appears in the finale at 142 (= 12). For the narrative of Grace I proposed in relation to the first movement would have been possible in this movement too—is indeed extremely easy to imagine. To put it in terms of a compositional injunction: simply use the I:HC MC candidate at m. 144 (= 14) as the MC and begin the recapitulatory, E $\flat$ -minor S theme at m. 145. If this solution were chosen it would both have resolved the expositional MC issue and managed to cut time out of the recapitulation. It seems difficult to make the argument that Schubert would not have been aware of its possibility as a solution since—as we have already seen—this is precisely the path plotted by his first movement. And yet, he seems in this finale to have preferred making the opposite alteration. One wonders, then, whether the treatment of this finale does more than simply provide one more similarity between the outer movements of this famously “cyclic” sonata: does it also, by distorting its own *composite rhythmos*, equalize or balance the outer movements of the sonata as a whole?

I have been critical of the claim that recapitulations tend to move in the direction of increased clarity—a positioning that is given strength by the first movement of D. 568. It must be granted, however, that the finale of D. 568, if understood in those terms, seems to do more than merely this. For its recapitulation corrects not only the problematic exposition of its own movement—by adding a proper MC—but reaches back into history in order to correct the issues that cropped up in its first movement, to which it is a sort of balancing mirror.

I will not address the middle movements of D. 568 in any detail, but I note in passing that in this context it is fanciful, but not impossible, to hear the *pathétique* slow movement, a rondo-like form with its own issues with time-alterations, as revisiting, if not lamenting the first movement's loss of symmetry. The reprise of this form deletes fourteen measures of its expositional thematic layout in its first set of alterations, but its last rondo refrain—or is it a resumption of the missing measures?—then fashions a way of restoring eight of them. It thus restages something like the first movement's loss (fourteen measures here instead of thirteen), and then it shows one way to get eight—precisely the number of measures regained in the finale—of those measures back.<sup>46</sup>

#### 4.5 Decelerations by Multiple Repetitions of a Single Referential Bar

As the recapitulatory TR in the finale of D. 568 has shown us, thematic alterations that take time can suggest apprehension, work, or an inability to decide what to do next. This is especially true when such expansions consist of multiple repetitions of a single referential bar. (In D. 568 the dogged, four-fold repetitions of the music of m. 19 at mm. 149-152 suggested a reasoned expansion for purposes of balance.) The (broken-record-like) phenomenon of repeating the thematic material of a single measure carries with it different interpretive suggestions than the strategy of repeating a group of measures.

These types of intensifying repetitions can occur anywhere in a sonata form, as evidenced by the common strategy of the perorational or celebratory repeat of a cadence. Witness, for example, the V:PAC that closes C space in the “deceleration-obsessed” first movement of Schubert's Octet, D. 803. The C:PAC first occurs as the terminal cadence of C space at m. 97 (Example 4.15).

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<sup>46</sup> Because of its two time-alterations, the Andante is a Category 3 recapitulation. My analysis gives thematic support to Tusa's harmonic/tonal argument that the movement was transposed to G minor in order to be brought into closer contact with the other three movements.

Example 4.15. A C:PAC in the First Movement of Schubert's Octet, D. 803.

When it is repeated in  $C^{rep}$  at mm. 107 ff., it is given emphasis by being stated three times (Example 4.16).

Example 4.16. Repetitions of a C:PAC in the First Movement of D. 803.

But when the technique of repeating a single referential bar happens at non-cadential, non-celebratory, or non-climactic moments, it can suggest groping or lostness. A quick glance at an extreme example of this, from the thoroughly Schubertian finale of Brahms's Piano Quartet Op. 26 shows the extent to which repetitions of single bars can suggest a feeling of being mired, as if the protagonist does not know which way might bring about a more positive ending than, say, was achieved in a troubled exposition.<sup>47</sup> Though we are not yet in a position to understand all its sophisticated and difficult time-transformations, the dogged repetition of measures just before its recapitulatory S (if S it

<sup>47</sup> Pascall (1974, 62) identifies this piece having been inspired by Schubert. Cf. Pascall (1983, 286-287): "Expansion in the tonal and thematic content of Brahms's sonata forms at the time of his 'first maturity' received much of its impetus from Schubert.... The finale of the Piano Quartet no 2 in A op 26 ... is a telling example. There are plain thematic resonances from the finale of Schubert's String Quintet and from the *Rondo brilliant*; the form is of a type found rarely in the Classical period, but with examples in the finales of Schubert's C minor and B flat sonatas, the G major String Quartet and the String Quintet." In addition to the thematic allusions Pascall identifies, its slow movement houses a clear allusion to "Die Stadt" (mm. 98 ff. and again at mm. 153 ff.) and Gretchen is certainly lurking in its finale at mm. 271 ff.

be) is instructive for our understanding of the feeling of lostness that can accompany the repetition of a single referential measure.<sup>48</sup>

The movement's moment of rejoining the expositional correspondence—its would-be crux—is beset by difficulty, for after seven seemingly “postcrux” correspondence measures, the music *again* seems not to be able to go on until more recapitulatory changes are made. As reduced on Example 4.17 (which shows only the recapitulation), the music that equals m. 69 happens twice, seeming like a glitch. The recapitulation then struggles to find the music that equals m. 70. After a series of gropings about—note that even the music that does not explicitly equal any measure in the exposition (e.g., m. 300, m. 302) is repeated, m. 305 finally manages to find the referential m. 70. But this juncture brings its own drama: as if to be sure that this is the proper expositional reference—as if to test the waters after the difficult achievement of m. 69, and the loss, again of that music—the music that equals m. 70 happens no fewer than seven times (with wrenchings upwards of dynamic strength) before the rotation can satisfactorily articulate the music equivalent to m. 71. The impression is of being stuck in a rut: the multiple repetitions of the single referential measure results in a delay, yes, of seven bars, but in this case it seems to be more about the way that time is articulated or shaped. The repetition of a single measure adds to the impression of necessary work and an impression of dogged effort, not to say confusion.

Even after all the work done, this suggestive recapitulation cannot reverse or transcend the adversities that affected its exposition (a problematic MC at m. 83; a loss of

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<sup>48</sup> The piece unfolds in what Pascall calls a “sonata form with displaced development” (Sonata Theory’s “Expanded Type 1 sonata”), with the 41-bar displaced development section (Type 1 interpolation) ending in m. 292 = 63. The interpolation began in m. 251 = 61, meaning that these 41 bars are to be taken as occurring “in the space of” two.

EEC at m. 114 through thematic repetition; a second loss of EEC at m. 150 through a Schubertian *hole*; the *as-if* moment of resumption, over a  $\flat$ VI chord at m. 143, in an unearned C space; the restaging of the same *as-if* moment again at mm. 158-159; the *piano* E:PAC non-EEC at m. 175, too little too late).

The image displays four systems of musical notation for piano, each with a measure number above the first staff. The systems are:

- m. 297:** The first system shows a melodic line in the upper staff and a piano accompaniment in the lower staff. The piano part is marked *p dolce*. Annotations include "= 68", "= 69", "= 69!", "break", and a double slash symbol (//).
- m. 302:** The second system continues the piano accompaniment. Annotations include "= 70" and "cresc.", followed by "= 70!" and another double slash symbol.
- m. 307:** The third system shows the piano accompaniment with three measures, each annotated with "= 70!".
- m. 310:** The fourth system shows the piano accompaniment with three measures, each annotated with "= 70!". The final measure is marked *ff*.

Example 4.17. Repetition of a Single Referential Measure in the Finale of Brahms, Op. 26.

Thus it both works harder than the finale of D. 568 to reverse or override the troubled events of its exposition (the events, it must be said, are more difficult to transcend), and yet does not, ultimately, succeed in doing so. This discussion thus shows both the sense of stasis or circularity that can accompany the repetition of a single referential bar and that this movement sits more firmly in the Schubertian legacy than Pascall was aware.

#### 4.6. A Summary Analysis: The Finale of D. 537

We conclude this overview of Category 2 recapitulations with a look at one final movement by Schubert. The piece is relevant because of its association of thematic repetition with work, which (as in the movement by Brahms) cannot in this case bring about a *lieto fine*. Its obsession with backing up makes for a jettisoning of EEC (and ESC) candidates that were forcefully articulated and then lost through a reopening of S. This is the finale of the Piano Sonata in A Minor, D. 537.<sup>49</sup>

Tellingly, the movement is concerned with backing up practically before it has written enough material to back up onto itself: the first cadential material, at mm. 7-8, is the EEC material of its first movement (mm. 38, 52); the repetition of this cadential material in B $\flat$  major (m. 16-17) is redolent of the first movement's C-as-S-aftermath and expositional RT (mm. 53-65). But the finale, which cannot even properly articulate its initial cadences in P (not to mention its structural *teloi*), runs into trouble immediately: three PAC opportunities are squandered (four if you count PACs out of A minor) or otherwise lost in its opening P-space. The pregnant dominants of mm. 9, 21, and 30

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<sup>49</sup> This finale may be a Type 2 sonata, in which case (not, strictly speaking, having a recapitulation at all) it would not be bound by the same rules of thematic repetition as Type 1 or Type 3 sonatas. (Compare my discussion in the last chapter of the G-minor Quartet, D. 173.) However, its inclusion in the current discussion is not illegitimate on those grounds, for its recapitulation behaves much more like a Type 1 or Type 3 sonata with off-tonic opening than it does the second rotation of a Type 2 sonata. Perhaps D. 537 is an example of the Type 1 sonata with off-tonic recapitulation, a sort of bastard possibility in Sonata Theory.

discharge onto measure-long gaps with fermatas on them. “The rest is silence,” as it were, and we may properly project, even from our vantage within P space, some trouble with cadences down the line.

In light of these cadential issues it seems inappropriate to hear the onset of TR in A major at m. 31 (itself following the last cadential hole) as salvational or otherwise positively charged. The first crisis point in the piece is soon in coming: mm. 39 ff., which alternate between a  $V^7$  chord and its dominant-related diminished-seventh chord, suddenly make use of an enharmonic modulation ( $vii^{\circ 7}$  in A minor =  $vii^{\circ 7}/V$  in B) in order to lock onto the dominant of B minor ( $ii^{\circ}$ ), a key not typically tonicized in minor-mode movements, let alone projected as the second key area of a sonata. The problem is mitigated, but not solved, when the F#-as-dominant chord (and the fully articulated “ii#:HC MC”!) discharges, via a common-tone modulation, to the key of D major. (Remember the tonicization of  $E\flat$  in the first movement of this sonata, which was also corrected to a more likely, if not a first-level-default F.)

There are at least three ways to address what happens between the onset of S and the end of the exposition, the best of which seems to me to be in dialogue with Hepokoski and Darcy’s notion of the trimodular block (hereafter TMB).<sup>50</sup> On this reading,  $TM^1$  is the periodic “S” theme in IV beginning at m. 59.<sup>51</sup> After not being able to secure the

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<sup>50</sup> I say “in dialogue with” because  $TM^3$  is not usually thematically identical to  $TM^1$ . Nevertheless, Schubert often presents such situations, and they are suggestive (especially in a piece so profoundly obsessed with backing up as this). The interpretive difference hinges on that between forward motion—from  $TM^1$  to  $TM^2$  to  $TM^3$ —and backward motion—from  $TM^1$  to  $TM^2$ , back to (=)  $TM^1$ . Whether a  $TM^3$  can equal a  $TM^1$  and still maintain its status as  $TM^3$  (not, say, a reflowering of S), is an issue that needs immediate theoretical attention. For a relevant example, see the first movement of D. 810. Hunt (2009), has no problem with the thematic identity.

<sup>51</sup> For a critique of the TMB labels, “because they omit any reference to S—the music whose very identity is at stake in these situations,” see Monahan (2011, 37, n. 49). Cf. Galand

authentic cadence of its consequent phrase, TM<sup>1</sup> gets “stuck” in a curiously introspective, time-stopping passage. TM<sup>1</sup>, which began as if all was well, its D-major tonality notwithstanding, thus makes it as far as m. 71, the thirteenth measure of its 16-bar period, and then cannot go forward: instead of making an authentic cadence it repeats the same measure pair three times (= 71, = 72; = 71, = 72; = 71, = 72), softening its dynamics from *piano* to *pianissimo*. This broken-record temporality may begin to evoke a feeling of confusion: *Where am I? How to proceed?*

TM<sup>1</sup> continues to soften its dynamics to *ppp*, and it modulates to F major (TM<sup>1.2?</sup>) in which key our two-measure chunk of thematic material is repeated no fewer than eight times over a static, circular harmonic progression. Not knowing how to proceed, the music simply steps off of the sonata clock for a moment, to think. Finally at m. 95, a new module, TM<sup>2.1</sup>, jolts us out of our torpor or our refusal to engage in sonata time by treating the prolonged C<sup>7</sup> chord as an augmented sixth and landing, *forzando piano*, on an arrival ♯ chord. But even this should-be “salvational” six-four chord is laden with its own troubles. It is beset by a mode-changing operation at m. 103, which—through thematic repetition (backing up)—not only changes major to minor, but seems also to wish to erase any echo of the major mode from our memory of reality.

The music that follows is extremely difficult to parse. Because of the reopening of TM<sup>1</sup> at m. 130, and because of the (highly deformational) PMC that prepares it at m. 126 (a “V:HC♯ PMC”), I have chosen to call the explosive E-major arrival at m. 111 TM<sup>2.2</sup>. (To the extent that this is not actually a PAC, it is unlikely to be an EEC

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(2013, 402): “Does the passage leading to the second MC (TM<sup>1</sup> plus TM<sup>2</sup>) belong unequivocally to S-space, as Caplin suggests with his notion of the two-part subordinate theme? ... Where do Hepokoski and Darcy stand on the issue of where the ‘real’ S begins within a TMB?”

candidate, but it very well *could* be the onset of TM<sup>3</sup>.) This music crystallizes E major as a reality for us, and may be the music that awakes us from our dysphoric reverie. By bringing about a PMC, followed by a reprise of our TM<sup>1</sup> theme, this time in the proper key (another chance!), it seems very much like a hero indeed. A preliminary V:PAC EEC is achieved at m. 136.<sup>52</sup>

The EEC, however, will not stand. A repeat of TM<sup>2.2</sup> material beginning at m. 136 wrenches back open “S” space (“TMB” space) in order to treat this most sensitive cadence again, in order to give the impression of retracing steps, in order to see the cadential goal from another perspective. Since this iteration of TM<sup>2.2</sup> tracks the first TM<sup>2.2</sup> exactly, it arrives at a PMC at m. 151, and TM<sup>3</sup> (= TM<sup>3</sup> = TM<sup>1</sup>) again follows at m. 155. But though this passage begins as a repeat of a narrative trajectory that had culminated in a positive conclusion—the path to achievement has already been literally plotted—this terminal TM<sup>1</sup>-echo cannot (or does not) (re)produce a PAC of any kind. Its cadential dominant (m. 160 = 135) gets *stuck*: m. 161, like m. 160, equals m. 135; m. 162 also equals m. 135. (Remember this behavior from mm. 71 ff.) At m. 163 it finally falls silent—unsurprisingly into a rest with a fermata over it.

Most important to notice about this cadence-suppressing chasm is that an EEC (or something that would well have served as one) was in our grasp, had already been glimpsed, was as good as achieved at m. 140 = 115. But our (naïve or self-destructive) desire to back up one more time, to see it again from a different vantage, to revisit or re-

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<sup>52</sup> A sensitive listener, or an analyst who has spent time with the score, may notice, even at the seeming achievement of the “cadence” at m. 136, that this “PAC” (being identical to the one at m. 111) is a *jumping off point*, and not a *cadence proper*. If that is the case, then what happens to the authentic cadence projected by the music at m. 135? It simply doesn’t appear—it falls into one of the holes here as it will fall into one at m. 163. This is an exciting musical detail and plays into the narrative in subtle and suggestive ways—for instance that even an arrival point that will not, ultimately, stand is flawed.

experience it, results in a failed exposition, an “illustration,” as *Elements* puts it, “of frustration, nonattainment, or failure” (177). Hepokoski and Darcy’s “dramatic” or “diegetic” approach to such “extreme expressive situations” is similar to the one I have been advocating: “as a fully intended expressive strategy on the part of the composer, ... a failed exposition can... represent the intentional telling of a tale of failure.”

It is worth pausing for a moment to consider this behavior as a characteristically Schubertian expositional plot. Different from the failed expositions mentioned in *Elements*, here we have the staging—even the *crystallizing*—of the EEC moment as a reality, followed by a subsequent backing-up in order to reopen S space and wrench it away. In a way such a situation goes beyond the negative implications of a failed sonata, since it implicates the backing-up of the sonata clock, and since it involves a preliminary achievement of the EEC—a taste of closure—before staging its disappearance.<sup>53</sup>

But as important as all this expositional drama is to the ongoing sonata narrative—a narrative into which the recapitulatory alterations play all too strongly—it is the recapitulation that connects the notion of work to the strategy of backing up that this

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<sup>53</sup> Many of Schubert’s pieces feature similar backings-up, a reason his music has for as long as it has been known been associated with memory. For examples with an even more obsessive backwards gaze than D. 537, see the first movements of the Octet D. 803 and the String Quartet D. 810, and the outer movements of the Piano Trio D. 898. Like D. 537, iv, the first movement of the Cello Quintet, D. 956, thematizes backing up in order to take *different* routes toward cadences; that movement also tends to reopen action zones that were themselves perfectly fine, in order to problematize them in repetitions. Elsewhere I have analogized this not-quite-abreactive behavior to some narrative techniques made famous in the stories of E.T.A. Hoffmann.

Narratives that seem to back up (almost unilaterally in order to right some wrong) have been given extensive treatment in music. Monahan’s (2011, 43) “rewind/redo” scenarios capture Haydn’s dramatizing or correction “of tonal mishaps by ‘rewinding’ the music to an earlier point, giving the impression that he is choosing, the second time around, a path not initially taken.” Cf. Žižek’s discussion of *Parsifal* (2002): “The only way to undo the Fall... is to return back to the moment of the wrong decision and to *repeat* the choice, this time making the right decision.” The most extreme version of the behavior I know is from Christopher Durang’s play “Why Torture is Wrong, and the People who Love Them.” Here, the protagonist comes out of character, stops the play, and forces the stage manager—whom she pulls onstage in front of the spectators—to back up the plot to a time before the imbroglio, in order that it might be set right.

piece is so good at. The recapitulatory rotation begins at m. 164, in E minor, and tracks its correspondence measures exactly, both tonally and thematically, until after (!) the (#vi:HC) MC is articulated, as if suggesting that after such a troublous exposition the music lacked the wherewithal to identify its recapitulatory tonal problem in advance. Since the recapitulatory rotation begins in E minor (v), the dominant lock leading up to the MC is on C# (which is to say the dominant of F# minor (#vi)), see m. 220 = 57. Schubert thus needs to make some tonal alterations if this sonata is going to end up where it began. (If not, the recapitulation would end in the key of B (!)—how is that for “realizing” the promissory potential of the first problematic MC?)

Schubert’s tonal alterations are ingenious. First, the music from m. 51-58—the wrong-key-dominant-lock music leading to the wrong-key MC—is repeated a semitone higher, so that we now stand on a D-dominant chord (of the global subtonic, VII). This reiteration of the eight measures of dominant lock and MC-creation is the only thematic alteration in the recapitulation. It is as if the generically obligatory tonal adjustment, after having tracked all the way *through* the MC music at the “wrong” tonal level, were caught off guard or on its heels. It thus conscripts the thematic material into its service—as if it needed time to think, or to perform its modulation. If deployments of the Category 2 (+) script may give many different impressions, in this piece, obsessed with the notion of backing up at every level, of re-hearing, of not being able to get on with what it may perceive as its terrible fate, the use of thematic repetition to enact the tonal alterations cannot be heard as accidental.

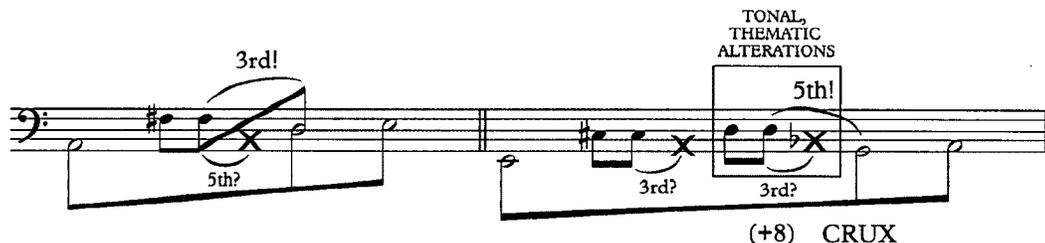
In defense of this last: as curious as this C#-dominant may seem as an MC-candidate, it is in fact the right one, in this piece in which MC dominants discharge onto

tonic chords a major third below them. Do not get hung up on the orthographic curiosity of the “#vi:HC MC,” wondering how on earth this is possible in a sonata and what a terrible composer Schubert is. By the tonal logic already introduced into this piece when a ii:HC MC discharged onto a D-major chord (not a B-minor chord), this C#-dominant will (per the tonal dictates of this piece) discharge onto an A-major chord. In other words, the repetition does not add measures in order to correct or avoid some crazy tonal fate; on the contrary, by adding measures it seems to guarantee one.

Schubert’s decision to back up in order to bypass the key of A major for TM<sup>1</sup> is not narratively neutral; it is also not “compositionally neutral.” Note well: without composerly intervention, the tonal resolution of this piece would have happened all by itself—if “too early”—through a simple recopying. But Schubert overlooks this option, discards it; for some reason the arrival at A major through no effort of the protagonist is not the proper solution for a sonata like this one. Thus to say that the piece does not need to go to A major, but rather G major at this point in the form in order to be parallel to its exposition, after which time the music will find its way to A major, is correct, but assumes a parallel construction as well as overlooks the possibility for redemption at this early point through the *Transpositionsreprise* option.

Adding to the complexity of the movement is the fact that this second, highly (tonally) deformational MC, if it were to behave as it did in the exposition, would discharge (by common-tone) onto a B $\flat$  chord, and that B $\flat$  would ultimately move to C for a sonata that moves (globally) upwards by minor third. As confirmed in the background sketch below (Example 4.18), the tonal alterations up by semitone (mm. 222-229) are not enough to “fix” the dominant recapitulation. They therefore introduce the need for more

tonal alterations, down the line. These further (and final) alterations occur when the D-major chord achieved at m. 228 discharges *by descending fifth* onto G major at m. 230 for TM<sup>1</sup>, the moment of tonal and thematic crux.



Example 4.18. Comparative Deep Middleground Sketch of the Finale of D. 537.

What is exciting in this movement's tonal argument is the way the listener's projections are constantly coming up wrong: in the exposition, we pretend an S theme in the supertonic, but we are disabused of that hearing when a dominant-functioned chord resolves, via common tone, down by major third. In the recapitulation, then (if we have learned anything), we first expect a theme in A major—the global tonic and a totally reasonable guess, considering the events of the exposition—but we are disabused of *that* hearing, first by the (“unnecessary”) thematic repetition (+8), and then by the “classical,” descending-fifth resolution of the D-as-dominant chord.<sup>54</sup>

From this point forward, the recapitulation tracks its exposition exactly (do not let the repeat signs confuse you), which means that our failed exposition leads, by and by, to a failed sonata, albeit a failure that took eight measures longer to “achieve” than its exposition.<sup>55</sup> The modal drama that has been such a part of this piece from the beginning continues to get played out in its coda, beginning with the immediate collapse, after the failed A-major cadence at m. 309 (= 163), back to A minor for the onset of P. The

<sup>54</sup> Remember that the first movement, too, punned on these third- and fifth-resolutions in the moments articulating its two MCs.

<sup>55</sup> *Elements* (245): “The actual workings of [a failed sonata] were *staged as* unable to carry out [the processes of the sonata] successfully,” emphasis added.

“lights on” moment at m. 350 should not suggest a resolution here: no amount of A major in a coda can fix the intensely negative gesture that is a failed sonata. Indeed, in D. 537 in particular, it does not even seem the case, as *Elements* writes (245), that “the processes of the sonata have proven insufficient to meet the generic demands imposed at the outset of the exposition.” All its elements—modal issues, tonal curiosities, cadential chasms, backings-up at every level of structure (even intermovement), and the Category 2 strategy-cum-backing-up—give the impression that this sonata seems never to have wished to engage the possibility of a positive ending in the first place.<sup>56</sup>

#### 4.7 Conclusions.

The foregoing has given an idea of the ways in which different composers deployed the Category 2 strategy, and it has sketched some ways in which sensitivity to that strategy can be interpretively productive. It has also shown that (as with all scripts) individual differences matter; specific narratives seem to arise from the interaction of a piece’s form with its content. What are important about Category 2 recapitulations in specific are their changes of recapitulatory *rhythmoi*. This is what it means when we say Schubert (or some other composer) “is *shaping* time,” or “is shaping *my experience* of time.” It means that through calculated delays and advances, hiccups and hindrances, *too early*s and *too late*s, Schubert’s and other composers’ sonata-like structures present dramatic forms that mirror the achievements of events in a plastic or fluid time.

As we have seen, thematic backings up—plus operations—suggest all sorts of narrative possibilities in addition to simply “delay,” from reveling to confusedness.

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<sup>56</sup> *Elements* (254): “The demonstration of ‘sonata failure’ became an increasingly attractive option in the hands of nineteenth-century composers who, for one reason or another, wished to suggest the inadequacy of the Enlightenment-grounded solutions provided by generic sonata practice. Deformation of form became identical with deformation of expressive content.”

Similarly, the repetition of a single referential measure can show, in addition to celebration or peroration, a lostness or a groping for the proper way to continue.

Thematic deletions, on the other hand, can suggest an eagerness to get on with things, festivity, impatience, or (as in my reading of the first movement of D. 568) the dawning of Grace. They can also, as in the *Winterreiselieder* analyzed in Chapter 1, suggest the distortion of a visual landscape or the presentation of physical objects *as if too close*—a musical macropsia.

Many recapitulatory tonal and thematic alterations do not, as *Elements* puts it (238), “[move] the recapitulation in the direction of an enhanced normativity, improvement, or clarification,” a quotation that at any rate is at odds with Hepokoski and Darcy’s more compelling treatment of nineteenth-century sonata deformations. A great many, for whatever reason, seem to move toward error, chaos, tragedy, despair, and so forth. As we will see in Chapter 5, other recapitulations are interested in different strategies entirely. That the recapitulation, as *Elements* puts it in the same passage, is a “planned response,” however, is as unassailable as it is productive. The takeaway from the current chapter is that this “response,” in addition to everything else it may be, is also a staging of a complex, artistic temporality. Its time-transformations stage, or “present” dramatic gestures every bit as loaded as those that happen in linguistic or visual media.

This study of Category 2 principles suggests that each recapitulation articulates its thematic alterations in the service of dramatic or generic situations that seem to invite them, or to which they seem particularly apposite. The quotation from Morgan’s study of symmetry that serves as this chapter’s second epigraph is thus both compelling and not quite complete: much of Western classical music is near-symmetrical without being

exactly symmetrical, but this oughtn't to be seen as stemming from some "distaste for too much repetition and regularity—for predictability, that is, the negative side of the symmetrical coin." From the current perspective it seems as likely that it stems either from a composer's sensitivity to dramatic situations—what we might call a narrative acumen—or from a set of generic norms that has yet to be articulated. (In what situations is the Category 2 recapitulation deployed? First movements more than finales? Cuts more than additions? And so on.) There is of course a category of exactly symmetrical large-scale art forms, which was the subject of the last chapter, and which characterizes even some of the complex forms to be seen in the next. (If the former achieve time-symmetry at the expense of predictability, the latter certainly do not!)

The next chapter considers recapitulations that enact a number of time-altering thematic transformations. These multiple transformations work in service of ever more detailed recapitulatory scenarios. Depending on the dramatic situation to be staged or the generic necessities to be observed, they may push toward recovery of the symmetry lost in the Category 2 strategy, or may explicitly resist such a symmetrizing impulse.

# CHAPTER 5

## CATEGORY 3 RECAPITULATIONS

- 5.1. Introduction
- 5.2. Compensations, Quests, and “Pendulum Aesthetics”
- 5.3. Two-Alteration Recapitulations: Three Possible Scripts
  - .1. Exact Restoration: Category 3.1.a.i.
  - .2. Not-Quite and Too-Little-Too-Late Scripts: Category 3.1.a.ii
  - .3. Eclipse Scripts: Category 3.1.a.iii
- 5.4. Three-or-More-Alteration Recapitulations
  - .1. Not-Quite Scripts: Category 3.1.b.ii
  - .2. Eclipse Scripts: Category 3.1.b.iii
- 5.5. The “Mono-Operational” Recapitulation
  - .1. in Beethoven’s Pastoral Sonata
  - .2. in Schubert’s Grand Duo
- 5.6. Conclusion to Part II

MORE INVOLVED SCRIPTS
<ul style="list-style-type: none"><li>1. <i>Compensation</i> (later thematic alterations reverse the effect of an initial alteration)<ul style="list-style-type: none"><li>a. <b>Two-alteration recapitulations:</b> one single response ((+, -), or (-, +))</li><li>b. <b>Three-or-more-alteration recapitulations:</b> a series of responses ((+, -, - ...) or (-, +, + ...))<ul style="list-style-type: none"><li>i. restores symmetry perfectly, ((+x, -x), or (-x, +x))</li><li>ii. too-little-too-late ((+x, -(x - n), or (-x, +(x - n), where <math>x &gt; n &gt; 0</math>)</li><li>iii. eclipses symmetry ((+x, - (x + n), or (-x, + (x + n), where <math>n &gt; 0</math>)</li></ul></li></ul></li></ul>
<ul style="list-style-type: none"><li>2. The “mono-operational” recapitulation (only + or only -)</li></ul>

Figure 5.1. Category 3 Strategies.

Any student of Schubert's music is familiar with his preoccupation with the recapitulation. Schubert [was particularly concerned with] clarity, timing, balance, and completeness of thematic recall.<sup>1</sup>

Schubert had no great talent for self-criticism, and the least possible feeling for abstract design, and balance, and order.<sup>2</sup>

In the work, in its rhythms, the artist also attains a fixation of his emotions. These equilibriums are reconstructed in the spectator, and his emotions are rhythmized under the discipline of the equilibriums and rhythms of the object. The spectator is captive, subjected to the work.<sup>3</sup>

### **5.1. Introduction**

Category 3 Recapitulations make more than one time-altering transformation. As shown on Figure 5.1, these more involved, "multi-alteration" scripts proceed in a number of ways. Often, their time-alterations push the recapitulatory *rhythmos* in opposite directions. This behavior projects a fluid temporality and interacts compellingly with notions of symmetry and balance. Such recapitulations can be heard as reacting to the Category 2 impulse: by pushing toward symmetry, they seem to stage its achievement as a quest narrative. Through their pushes and pulls, expansions and contractions, these forms can achieve Morgan's (1998, 5 and 11 ff.) "time-symmetry" without "predictability," "the negative side of the symmetrical coin."<sup>4</sup> But if the symmetry that was by definition lost in Category 2 recapitulations can be regained through the

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<sup>1</sup> Denny (1988, 366)

<sup>2</sup> Parry (1897); quoted in Clark (2011, 205)

<sup>3</sup> Myrton Frye (1935, 598).

<sup>4</sup> Though I make extensive appeals to symmetry in what follows, I include this quotation as a word of caution and a reminder to focus on the manner of unfolding, not simply the temporal relationships as calculated in number of measures: "Musical time, unlike architecture, permits no simple relationships of symmetry. To it like is unlike, unlikeness may be the basis of likeness; nothing is unaffected by succession. What happens must always take specific account of what happened before." Adorno ([1971] 1996, 52). Compare Rosen ([1971] 1998, 187): "Music is, of course, asymmetrical with respect to time, which moves in only one direction, and a style that depends on proportion must seek in some way to redress the inequality."

application of opposite time-transformations, so can it be further disturbed.

Recapitulations that seem deliberately to disavow symmetry as an organizing principle project their own dramatic narratives and suggest participation in other musical genres.

As before, in what follows I build out Figure 5.1, adducing pieces to support my construction of each of its scripts. Here, however, it may be instructive to begin with an example of the type of phenomenon that while similar, is not quite the same as that which is at issue here. The Scherzo and Trio from Schubert's Piano Sonata D. 575 seem to exhibit the loss, and then regaining, of symmetry in just the way I described in the last paragraph. Why, then, is this not an instance of a Category 3 behavior? The answer is that these alterations are more accurately housed within Category 2. Let us see why.

The image shows a musical score for Schubert's Scherzo, D. 575. It is divided into two systems: 'Expo' (Exposition) and 'Recap' (Recapitulation). The Exposition starts at measure 10. The Recapitulation starts at measure 64. The score is in 3/4 time and D major. The Recapitulation system includes annotations for 'TONAL ALTERATIONS' and a bracketed section labeled '(+2 by model sequence)' covering measures 13 and 14. Measure numbers 10 through 17 are indicated below the notes. Dynamics include 'p' and 'cresc.'.

Example 5. 1. Time-Alterations in the Scherzo of Schubert's D. 575.

As shown on Example 5.1 the Scherzo of D. 575 houses a set of tonal alterations by model-sequence that take time. The music that corresponds to mm. 13 and 14 is sounded twice, first at the pitch level of the exposition (slightly altered), and again at the pitch level that will bring about the tonal resolution. The fact that these tonal alterations take time—they result in a net expansion of two bars—pairs with the step sequence that moves up from A minor (m. 65) to B minor (m. 67) to C (m. 69) to the proper dominant D (m. 71). The coupling of the movement's jaunty, happy-go-lucky character with its

imitative counterpoint suggests an unhurried approach to the cadence—the counterpoint spins itself out, taking whatever time it needs to do so, and this results in delaying the final G:PAC by a distance of two bars.

The riposting Trio serves as a foil to the scherzo in almost all parameters, musical-technical as well as affective. Its drone pedals, its emphasis on the subdominant, stilted modulation, and third-related harmonic motions (a peasant playing bar chords on a stringed instrument perhaps) suggest a more explicit folk naiveté than do the Scherzo’s imitative entries and intense attention to articulative detail (Example 5.2).

Example 5. 2. Time-alterations in the Trio of Schubert’s D. 575.

In addition to these, the Trio stages a time-transformation opposite to, and twice as large as, that of the Scherzo: a cut of four measures. The way it is done supports our reading of a relaxed treatment of musical form: something like a D:PAC was achieved in the fourth measure of the Trio’s exposition (m. 88) and proceeded directly to an immediate modulation to A major. The trick is simply to *use* that D-tonic as the reprise’s terminal “cadence-effect.” The Trio’s sectionalized, four-measure modules thus seem to have a profile that is to remain inviolate (because of the ability of its narrative performer?); at most, these modules can be manipulated as wholes, by playing them in different registers.

The two dance pieces are antipodes—the Scherzo is learned, jaunty, tonally sophisticated, and adds measures; the Trio is naïve and *völkisch*, features the parallel voice leading of a peasant song, and *deletes measures*. But the two alterations, taken together, suggest a rigorous logic: at one level the recapitulation of the Scherzo adds two measures, distorting the abstract symmetry of its recapitulation, and the recapitulation of the Trio deletes four measures, perhaps overcompensating for the earlier expansion.<sup>5</sup> But in addition to the generic repeat of each of the Scherzo and Trio there is also a conventional repeat of the Scherzo as a whole after the Trio. This repeat will regain, or *restore*, what was the initially sundered symmetry at the level of the piece as a whole.

Thus our Scherzo and Trio pair seems to introduce a crucial issue of Category 3 recapitulations—the articulation of two opposite time-alterations and the attendant suggestion of “compensation.” One might go so far as to suggest that the goal of the Trio is to restore the balance initially lost in the Scherzo. But the initial loss and subsequent regaining of symmetry in D. 575 does not participate in a Category 3 strategy. The restoration of symmetry here is an artifact of the abstract logic of two discrete Category 2 recapitulations that are combined into a single movement. Somewhat analogous to those abstract symmetries examined by David Smyth (1993), the balance here hinges not on a set of multiple recapitulatory changes, but rather on an a priori formal property.<sup>6</sup> The Scherzo and Trio are two discrete ABA forms; they feature two recapitulations, both of

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<sup>5</sup> These figures are based on the piece as notated. Repeats are not factored for.

<sup>6</sup> For Smyth: if an  $||:A:||:BA':||$  form's recapitulation (A') is exactly the same length as its exposition (A), and both halves are repeated, then the middle of the form will correspond to the onset of the recapitulation. In D. 575: If you have a very large ABA form (with nested aba forms), the first of which adds  $x$  measures, and the second of which cuts  $2x$  measures, you will end up, by virtue of this fact, with a piece whose time-alterations offset themselves.

which sit firmly in Category 2. Membership in Category 3, by contrast, is reserved for pieces in which a *single* recapitulation (or A') features more than one time alteration.

### 5.2. Compensations, Quests, and "Pendulum Aesthetics"

Articulated, periodic phrasing brought about two fundamental alterations in the nature of eighteenth-century music: one was a heightened, indeed overwhelming, sensitivity to symmetry. ... The preference for articulation also increased the aesthetic need for symmetry. ... As each phrase assumed a more independent existence, the question of balance asserted itself with greater clarity.<sup>7</sup>

Because of the clarity of definition and the symmetry, the individual form was easily grasped in public performance; because of the techniques of intensification and dramatization, it was able to hold the interest of a large audience.... [The] expression lay to a great extent in the structure itself.<sup>8</sup>

It is in the nature of the sonata to set up a quest narrative.<sup>9</sup>

The first subcategory in Category 3 involves recapitulations that make first one, and then the other, type of time-alteration ((+, -) or (-, +)). Because of the oscillation of operations, such scripts stage the loss, followed by a potential restoration, of symmetry. This type of script is pervasive; there seems to be a tendency to "balance" (or at least try to balance) initial expansions with contractions and vice versa. This pervasiveness may be one reason for the preponderance of appeals to proportion, symmetry, balance, concinnity, compensation, homeostasis, and the like in the scholarship on Classical form.

In what follows I will interpret the initial loss and subsequent drive towards symmetry as a dramatic scenario, an ongoing "quest narrative." In these "compensation scripts," later time-transformations act "in response to" an initial, symmetry-distorting one; they are efforts toward the restoration of a previously disrupted *rhythmic* symmetry.

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<sup>7</sup> Rosen (1998, 58); Cf. Rosen (1988, 17).

<sup>8</sup> Rosen (1988, 12).

<sup>9</sup> *Elements* (251-252).

For these scripts, I suggest the visual metaphor of a pendulum, whose neutral resting position denotes an exact symmetry of halves.<sup>10</sup> The pendulum is pulled outwards as an initial time-transformation disturbs the immanent symmetry of a piece's *composite rhythmos*. The first alteration suggests a recapitulation larger or smaller than its referential exposition and projects each of its arrival points to occur late or early. The pendulum then swings inwards, as a balancing deletion (or expansion) or series of deletions (or expansions) begins to push toward a restoration of balance.

The first subcategory in Figure 5.1 lists the different approaches to compensation scripts. The subheadings “a” and “b” designate whether the initial time-alteration is balanced by one large and opposite behavior (a “two-alteration recapitulation”) or a series of smaller chippings away (a three-or-more-alteration recapitulation”). The lower-case Roman numerals “i,” “ii,” and “iii” give three possibilities for the achievement of symmetry: restoration, near-restoration, or eclipse. Any letter can be combined with any Roman numeral, yielding six possible compensation scripts. A “Category 3.1.a.i” recapitulation would feature two time-alterations, equal and opposite. A recapitulation in “Category 3.1.b.iii” would house an initial time-transformation that was later “overbalanced” by a series of opposite chippings away.

These six possibilities, in concert with other musical parameters, stage expressive and dramatic scenarios. The two-alteration recapitulation can suggest a certainty, a sureness of action, or a rashness that the three-alteration recapitulation—incrementally

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<sup>10</sup> This visual image was developed independently of, and has nothing to do with, Hugh MacDonald's (1998) identical image. MacDonald's pendulum, emphatically duple (even when the meter is not), maps any equivalent (or even non-equivalent!) articulations of surface rhythms, such as a sounding quarter-note pulse in  $\frac{2}{4}$  time. Rosen (1988, 364) uses the word pendulum in regards to Schubert, while discussing the oscillation between D minor and B $\flat$  major in the development of the first movement of D. 960.

calculated—usually does not. The three-alteration recapitulation, by contrast, may suggest teamwork or a concerted effort to overcome an unforeseen (negative?) event. Likewise, the three behaviors represented by Roman numerals suggest, respectively, achievement, inability, or overability. Still, an analyst who does not wish to accompany me on my interpretive excursions may nevertheless find utility in the formal categories.

### **5.3. Two-Alteration Recapitulations: Three possible scripts**

#### **5.3.1. Exact Restoration: Category 3.1.a.i.**

The advantage of the sonata forms over earlier musical forms might be termed a dramatized clarity: sonata forms open with a clearly defined opposition ... which is intensified and then symmetrically resolved.... The need for a balanced symmetry always remained essential to any conception of sonata in all its forms.<sup>11</sup>

Beautiful symmetry is found today in painting, sculpture, dance, poetry, and literature, and all others that represent beauty and creativity. We also know this in music, but our forefathers had little knowledge thereof.<sup>12</sup>

Straightforward examples of symmetry-achieving Category 3 recapitulations are found in any piece that features two equal but opposite behaviors. A small-scale example occurs in the recapitulation of the Andante from Schubert's Piano Sonata in G Major, D. 859, in which a deletion of one measure (m. 155 = 77) is immediately balanced by a one-bar extension of the next (m. 156 and 157 = 78). The recapitulation of the first movement of Beethoven's Piano Sonata Op 27/2, "Moonlight," though it houses more than two deviations from its referential expositional thematic layout, similarly features only two time-alterations.<sup>13</sup> The first, at m. 46, deletes one measure that had housed a modal shift from E major to E minor at mm. 9-10. The second, which occurs between mm. 56 and

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<sup>11</sup> Rosen (1988, 12, and (after the second ellipsis) 157). Cf. *Elements* (612).

<sup>12</sup> Daube (1773); cited in Ratner (1980).

<sup>13</sup> The analysis that follows removes the opening four-measure exordium (best labeled P<sup>0</sup>), which does not recur in the recapitulation, from consideration. It is possible to consider the fact that it does not appear in the recapitulation as a deletion of four measures.

59, restores the added measure via a set of thick alterations that latch onto the referential layout of the exposition one measure late—or, factoring for the initial deletion, *right on time*. (It does not restore the *content* of the added measure; it restores the equivalence of *size* of the ongoing *rhythmos* to the expositional one.)

It is characteristic of Category 3 recapitulations to present this fluid sense of temporality. In such recapitulations the analyst must understand both the “local” time-alterations and the effects they have on the recapitulatory *rhythmos* as a whole. Consider Beethoven’s “Moonlight.” Its second set of alterations, spaced out over five bars, produces a net result of one “extra” measure. To the sufficiently entrained listener, everything from m. 59 forward seems to happen one bar “too late.” But from the point of view of the *composite rhythmos* as a whole the (+1) alteration restores the symmetry to ( $\pm 0$ ). Due to the interaction of the two logics (local and global), singular events can seem to happen both too late or too early (from the vantage of the local correspondence measures), and right on time (from the vantage of the global *composite rhythmos*). As in Lewin’s (1986, 343 ff.) hearing of “Morgengruß,” these two different percepts are not incompatible; they engage the music from two different contexts (the local—*too late*—and the larger—*right on time*). In such situations we again have reason to borrow Cohn’s suggestive “temporal parallax.”

A nearly identical situation occurs in the first movement of Schubert’s Fifth Symphony, D. 485. Here, as in the “Moonlight,” the first four, exordial bars (Sonata Theory’s  $P^0$ ) do not return, and the recapitulation begins—in  $E\flat$  (IV)—at m. 171 = 5.<sup>14</sup>

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<sup>14</sup> It is possible to view mm. 169 and 170, the two bars preceding the onset of the recapitulatory  $P^1$ , as housing the four introductory bars at twice the tempo, although these bars are nearly exact duplicates of mm. 23 and 24. For the sake of clarity at the early stages of this

Example 5.3. Deletion of a Dominant Prolongation in the First Movement of Schubert's Fifth Symphony.

As Example 5.3 shows, at m. 185, after eighteen bars of tracking, the four bars that in the exposition connected P to its repetition are in the recapitulation deleted.  $P^{rep}$  thus follows P directly, unmediated by the four-bar prolongation of the half-cadence-achieving dominant. One way to interpret this compression is to understand m. 185 as equal to both m. 19—to which it is equal on entrance—and m. 23—to which it is equal on exit. (See the boxed correspondence measures.) The deletion of these measures suggests neither that they were redundant in the exposition, nor that their inclusion in the recapitulation would be redundant. In these cases, the question to ask is how such material may be deleted so smoothly, without creating an obvious seam. Here, it is by virtue of the fact that a dominant had been prolonged for six measures in the exposition that four of them can be so easily deleted.

If m. 185 had been the thematic crux of the movement, and if the remainder of the recapitulation had proceeded to track its expositional layout bar-for-bar, we would be dealing with a Category 2 recapitulation with a (-4) script: all the major events of the

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argument, I am considering neither a -4 alteration (through the omission of  $P^0$ ) nor a -2 script (through the acceleration of what was mm. 1-4 by a factor of two).

recapitulation would occur at a distance of four bars “too early.” Instead, however, a long and substantial set of thematic-tonal alterations is executed in recapitulatory TR space. While these alterations depart from the exposition’s referential layout for fully thirteen measures (mm. 216-228), the end result is the addition of precisely four (Example 5.4). The I:HC MC at m. 229 corresponds exactly to the V:HC MC at m. 73 and functions as the thematic and tonal crux of the movement. (In order to capture the effect of locking onto the crux at exactly the right time, I have pictured the start of the recapitulatory music at a space of four bars *too early*; see the dotted lines.)

Because of this second time-alteration—“equal and opposite” captures its effect, not the means by which it is achieved—every event that occurs after m. 229 will occur *right on time*, even though the recapitulation houses two time-alterations. The MC and onset of S thus occur both too late—from the more immediate point of view of TR—and right on time—from the point of view of the *composite rhythmos* as a whole. We might well suppose that Schubert composed his recapitulation to be deliberately—and subtly—balanced in this way. Thus this “classical” symphony, Mozartean in instrumentation and thematic character, is classical also in its proportions; it is an essay in balance and symmetry. Through two opposite time-alterations its finely crafted recapitulation achieves a perfect symmetry of halves. By m. 229 the pendulum hangs at neutral.

Expo

Recap

m. 214

m. 52

m. 57

m. 223

TONAL THEMATIC ALTERATIONS

(begins -4)

X

CRUX

right on time

VHC MC

IHC MC

S

(+4 through recomposition)

(ends right on time)

= 52

≈ 53

≈ 62

= 63

= 64

= 65

= 66

Example 5. 4. An “Equalizing” Behavior in The First Movement of Schubert’s Fifth Symphony, D. 485.

A more complex example of a two-alteration script of exact *rhythmos*-restoration is found in the slow movement of Schubert's Piano Sonata in B major, D. 575. One of his subtle manipulations of time, this movement straddles the liminal space between alterations that take time and those that do not. The E-major Andante unfolds in a large ABA' format, of which the two outer A sections (themselves both smaller aba' forms) are the relevant features here. As shown in Example 5.5, m. 15 in the exposition, which provides the terminal cadence of the A<sub>b</sub> section, moves back from a tonicized B major to the E-major restatement of the primary theme (A<sub>a</sub>') through one measure of caesura fill. The A<sub>a</sub>' section, which emerges in the subsequent bar (m. 16) remains in E major throughout, moving through an evaded cadence at m. 23, but articulating a corrective, terminal E:PAC at m. 26.

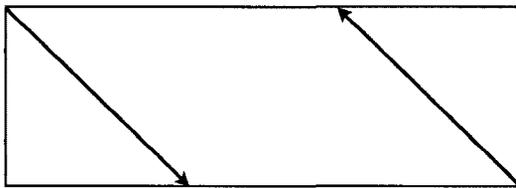
In the highly varied reprise, however, the harmonic behavior that in the exposition resulted in the simple tonal motion from B-as-dominant back to E-as-tonic is thematized, as it were, and the CF music begins a journey around the descending circle of fifths. B moves to E, the would-be (and *should-be*) tonic, but then E, with counterpoint inverted, moves to A, A to D, and D, finally, to G major for the reprise of the theme, "three bars too late." (Because the first harmonic motion of the theme is to IV, the descending-fifths sequence might be said to govern the motion all the way to C major at m. 70 (= 16).) Three diagonal dotted lines connect the initial expositional statement of this material to its recapitulatory repetitions (= 15, = 15, = 15) and show the concomitant pushing back of the projected cadence (now by one bar, now two, finally three).

The image displays a musical score for Schubert's Andante, D. 575, illustrating time-transformations. The score is organized into two systems: 'Andante Fill' (top) and 'Recap' (bottom). The 'Andante Fill' system covers measures 14 through 22, while the 'Recap' system covers measures 23 through 26. Vertical lines indicate measure numbers: m. 14, = 14, = 15, = 151, = 151, = 16, = 17, = 18, = 19, = 20, = 21, = 22, = 23, = 26. Annotations include 'BAC' (with 'BAC' and 'BAC' below it) at measures 14, 15, and 151; 'ERWALD' at measure 16; 'ERWALD (CANDENCE)' at measure 17; and 'ERWALD' at measure 22. The score includes musical notation with notes, rests, and dynamic markings such as 'pp' and 'p'. The 'Andante Fill' section is marked with a box 'A' at the beginning and end. The 'Recap' section is marked with a box 'B' at the beginning and end.

Example 5. 5. Time-Transformations in the Andante of Schubert, D. 575.

Once the music latches back onto its expositional thematic material (m. 70 = 16, at a distance of three bars), it tracks its thematic material nearly exactly, all the while playing out its own tonal drama.<sup>15</sup> But what is crucial about this example for our purposes is not its tonal drama but rather that at mm. 76 and 77 a PAC in E major that had been evaded in the exposition is now achieved unproblematically and immediately. The sounding of the E:PAC at m. 77 equalizes the time differential of the two rotations by suddenly realigning the two *rhythmoi* that until this moment had been non-aligned. (As if in line with some principle of the “conservation of matter,” the tonal peregrinations happen in the last three bars of the exposition, and the first three bars of the recapitulation, just as each unfurls within the span of exactly 26 measures.)

In Example 5.5, the three dotted lines marking the repetition (and pushing back) of the single bar should not obscure the broader temporal (*rhythmic*) logic here, which is simple and perfectly symmetrical (Example 5.6):

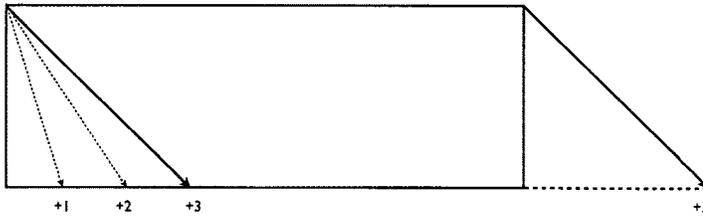


Example 5. 6. The Broad Temporal Logic of the Andante of Schubert, D. 575.

To capture the effect it has on our hearing, we might construct a (rather Husserlian-looking) phenomenological diagram. In Example 5.7, the rightmost diagonal arrow (marked “+3”) is protended—that is to say, expected by the listener—but in fact it does not ultimately materialize.

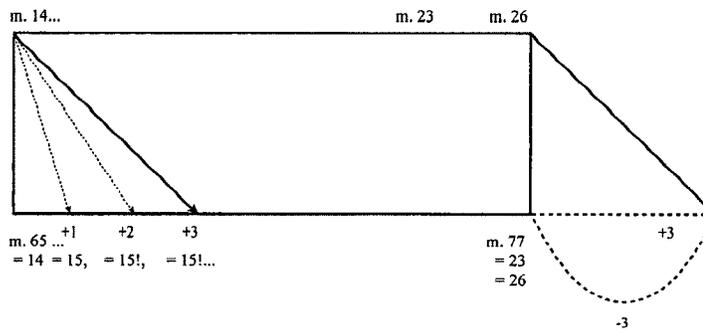
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<sup>15</sup> The tonal drama concerns the major-third related keys G major and B major. G may be related to either the E minor or the C major of the B-section of this form. NB: one rhythmically off-kilter HC (m. 19) is here traded out for an authentic cadence in B major (m. 72 = 19).



Example 5. 7. Temporal Expectation in the Andante of Schubert, D. 575.

One more diagram (Example 5.8) includes measure numbers and shows the ultimate temporal reevaluation, the experiential “shock” of arriving right on time at a goal that the listener had initially projected to arrive too late.



Example 5. 8. Temporal Reevaluation in the Andante of Schubert, D. 575.

As the bottom line moves, measure by measure, to the right, we project a completed cadence one, then two, finally three bars too late, all things being equal. However, when the music manages to lop off its evaded cadence and succeeding tonal peregrinations—when it, in effect, just deletes the leftover music—we are forced to reevaluate where we are in the space of the ongoing rotation.<sup>16</sup> From a compositional perspective, one might have asked: “how can I realign these two out-of-phase rotations?” The answer is simple: turn what had been an evaded cadence into a perfect authentic one. In so doing, Schubert achieves *rhythmic* symmetry.

<sup>16</sup> There is again provocative overlap here with Samarotto’s (1999) notion of “shadow meter,” in which (235) “the main meter ... casts a shadow, as it were, of a subsidiary, displaced meter, which we are drawn to hear as real until it dissolves.” Here, the ideal listener hears both the “should-be” meter—the onset of the thematic material at m. 65—and the “is” meter—the three-bar shadow. Different from Samarotto’s treatment of Op. 110, the three-bar “shadow” in D. 575 is not ultimately heard as an illusion. It both is and is not the onset of the A-theme.

Note this movement's temporal parallax: the cadence at m. 77 arrives both too early and right on time. The dizzying feeling this can suggest is one of reevaluation, of redistribution, of the experience of a sort of fluid time, in which all the materials are present but in which they move about freely. I project, based on the dogged threefold repetition of m. 15, a cadence that will arrive three measures late; I get, instead, one that arrives right on time. At the purely formal level, this Andante calls attention to artifice, to exemplary craftsmanship in the service of balance, or proportion, or perhaps a shift of perspective. Schubert's music often exploits these types of temporal paradoxes.<sup>17</sup> Such a combination of pushes and pulls is the nature of the Category 3 recapitulation, which sometimes results in exact "time symmetry" but more often does not. If "equal and opposite" scripts suggest the perfect achievement of a proportional goal, then the over-, near-, and non-achievement of symmetry suggest other narratives.

### 5.3.2. Not-quite, and Too-Little-Too-Late Scripts: Category 3.1.a.ii

The breakthrough ... affects the entire form. The recapitulation to which it leads cannot restore the balance demanded by sonata form. It shrinks to a hasty epilogue. ... The abbreviation of the recapitulation is prepared by the exposition, which dispenses with multiplicity of forms and the traditional thematic dualism and so needs no complex restitution.<sup>18</sup>

What are we to make of the lopsided bulge that the false return and ensuing transition create in the form?<sup>19</sup>

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<sup>17</sup> For a relevant example of a Category 2 recapitulation that features a similar "paradox," see the opening movement of the Cello Quintet, D. 956. The thematic alterations in this piece (mm. 291-294) begin by backing up to repeat a single measure, but ultimately the crux comes four bars "too early," forcing a reevaluation along the lines of red herring correspondence measures. Repetitions here result, ultimately, in an acceleration of four bars. Cf. the first movements of Beethoven's Op. 2/2, mm. 241 ff., and Op. 7, mm. 202 ff.

<sup>18</sup> Adorno ([1971] 1996, 5-6).

<sup>19</sup> Daverio (1993, 38)

Many recapitulations enact two opposite time-alterations, of which the second is smaller than the first. Below I call these “not-quite” and “too-little-too-late” scripts: not-quite scripts exhibit closer time-symmetry than too-little-too-late scripts; they often recoup symmetry to within a measure or a couple of measures. Too-little-too-late scripts have a harder time restoring their distorted symmetry: they often able only to recoup a couple of bars, to gesture in the proper direction.

The first movement of Schubert’s “Rosamunde” Quartet in A Minor, D. 804, “an anomaly” among his late chamber music because “unusually conventional,” is instructive.<sup>20</sup> It features two time-alterations in a (-, +) script, the first of which is not involved in making tonal alterations at all, and the second of which pushes back against, but cannot quite compensate for, the first. Example 5.9 shows the first time-alteration: the deletion of twelve bars of music (between mm. 177 and 178) that in the exposition was a varied repeat of P.<sup>21</sup> The cut is smooth because the near identity of m. 11 and m. 23 makes for easy traversal between them (see outer voices, register, instrumentation, articulation, dynamics). Why should these bars be cut? Are they redundant, because “just” a repeat of P—a module that was repeated in the exposition “as if to make sure it sinks in” (Gingerich)? Perhaps: this phrase is four bars longer than the first iteration of P (which stretches from m. 3-10), but its culmination in a HC (exactly as at m. 10) suggests that it is not any consequent to P’s initial antecedent.

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<sup>20</sup> Gingerich (1996, 159), who continues: “it is not exceptionally lengthy, and its proportions are unremarkable.”

<sup>21</sup> Taylor (2014, 70, n. 80): “the structure is indeed normalized in the recapitulation by excising the redundant second antecedent, the result being a curiously balanced—or even dualistic—pairing of minor-major periodic subphrases.”

The image displays a musical score for Schubert's "Rosamunde" Quartet, D. 804, focusing on a 12-bar deletion in the recapitulatory P-space. The score is organized into two main systems: "Expo" (measures 8-22) and "Recap" (measures 175-26...). The "Recap" system includes a section labeled "THEMATIC ALTERATIONS, 1 (12)" with an arrow pointing to measures 23-35. The "Expo" system includes a section labeled "musik hat schon" with a wavy line indicating a deletion from measure 17 to 22. The score features multiple staves with musical notation, including notes, rests, and dynamic markings like "cresc.".

Example 5. 9. A 12-Bar Deletion in the Recapitulatory P-Space of Schubert's "Rosamunde" Quartet, D. 804.

(From a tonal perspective, the music worthy of the label  $P^{\text{cons}}$  is the major-mode P-based theme that enters at m. 23 and culminates in a i:PAC at m. 32.<sup>22</sup>) Are mm. 11-22 an insertion, then, as Gingerich calls four of its bars? Perhaps: mm. 17 and 18 are an exact repetition of the two preceding measures, mm. 15 and 16. But if the entire twelve-bar block is itself an insertion, then these two bars house an insertion *into* an insertion. Finally, if the entire block I'm calling  $P^{\text{rep}}$  is indeed "just" an insertion, can it be deleted from the recapitulatory rotation because, as received wisdom has it, any modules that are repeated in an exposition become redundant in the recapitulation? Perhaps: but this fails to provide a reason for the enacting of an opposite time-alteration down the line.

After the initial deletion, the first task the "Rosamunde" recapitulation sets itself is to dispatch with a set of thick tonal alterations (magnitude). These last some ten measures and manage to achieve an e:PAC at m. 199 (= a:PAC at m. 44). But E minor is not a key that will bring about a tonal resolution if all else remains unchanged: more tonal alterations will be needed down the line. After eight measures that are thematically identical to the exposition (a fifth higher) move from E minor to its dominant, B (mm. 199-206 = 44-51), the next set of alterations pushes toward the movement's thematic and tonal cruxes, which are not coincident. As shown in Example 5.10 (recapitulation only), after m. 206 = 51, the music *backs up* to repeat a set of correspondence measures that it had already tracked through, at a different pitch level.

The thematic crux of the movement occurs at m. 207 = 44, the first of these measures. But because it occurs in B minor—a whole tone above the exposition's A minor—the subsequent music, though it tracks its referential thematic material exactly, must also find its way down a fourth, to F#. (The exposition plotted a broad motion from

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<sup>22</sup> Gingerich (165); compare Taylor (70), who also calls the A-major music a consequent.

A minor to C major; to be tonally parallel this music must thus find its way to F#.) It accomplishes this when a D-major chord at m. 211 (= 48) does not move by descending fifth as its F major equivalent at m. 48 did, but rather stays put, becoming the irregularly resolving augmented sixth chord that will launch the S theme in A major.

The image shows a musical score for Example 5.10, titled "Partial Restitution in the First Movement of D. 804." The score is divided into two systems. The first system covers measures 205 to 210, and the second system covers measures 210 to 215. The score includes a recap section. Measure numbers are marked as = 50, = 51, = 44!, = 45, = 46, = 47, = 48, = 49!, = 50, = 51. Dynamic markings include *p*, *cresc.*, *f*, *pp*, and *pp*. A box labeled "TONAL ALTERATIONS, 2 THEMATIC CRUX (+8 by backing up)" is placed between the two systems. A second box labeled "TONAL ALTERATIONS, 3 TONAL CRUX" is placed below the second system.

Example 5. 10. Partial Restitution in the First Movement of D. 804.

The moment this D-major chord holds its ground, instead of moving to G major, is the tonal crux of the movement. Because of the thematic backing-up, the movement recoups eight of its “lost” 12 measures, not quite all of them but close. This behavior (-12 through deletion, +8 through backing-up) resonates with recent interpretations of the movement, whether they focus on its formal structure, borrowed song material, or the mood Schubert seems to have been in while composing it.<sup>23</sup> For this movement is often identified with the desire for completeness or return, but an inability to bring these

<sup>23</sup> Taylor cites Reed’s identification of a theme of “disillusion” (51) and Brown’s understanding that Schubert’s mood during composition was an “aching regret for the vanished days of his youth” (46).

about.<sup>24</sup> Is the inability to turn back the hands of time—that characteristically Schubertian sentiment—mirrored in D. 804’s pair of thematic alterations? The proportional play here could suggest—as Maja Cerar (2009, 99) has put it—Gretchen’s “ideal vision, a bliss that is impossible to attain.” Alternatively, the behavior may be reckoned (calling to mind “Erster Verlust”) the staging of an effort, and a failure, to regain the lost days of youth: *ich finde sie nimmer / Und nimmermehr*.<sup>25</sup> The initial deletion, on this reading, provides the possibility for the effort towards restoration: by cutting such a large swatch of music, Schubert can then dramatically strive towards symmetry—through a backing-up—and fall short of it. (“*Wer immer strebend sich bemüht, / Den können wir erlösen.*”)

The first movement of the contemporary Octet, D. 803, enacts a similar but opposite script (+5, -2). Its set of obligatory tonal alterations—the subdominant tilt between mm. 219 and 226 (= 35 and 37)—is tied up with a deceleration of five measures. The first thematic rejoining, at m. 226 = 37, thus occurs five measures *too late*. The only other *rhythmos*-alteration here happens a long way down the line, when at mm. 297-298 two bars are cut out of the repetition of C. (Two of the repeated measures shown in Example 4.16—themselves intra-rotational expansions—are deleted from the

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<sup>24</sup> It is a trope in Schubert scholarship to identify the quotation of “Gretchen am Spinnrade” in D. 804, especially since a famous contemporary letter by Schubert—according to Gibbs (2000, 115) “the key verbal document of Schubert’s life”—quotes the song’s opening lines (Deutsch 1947, 339). Gibbs (118): “the famous refrain of Schubert’s first masterpiece now best describes his own life: joyless, loveless, friendless.” Cerar’s (2009) reading is based also on the text of “Die Götter Griechenlands,” D. 677, a song Taylor (49) says is for many commentators “the underlying theme of the quartet, both in expressive content and (more questionably) in musical material.”

<sup>25</sup> Schubert also quoted “Erster Verlust” in 1824 (nine years after his setting of the poem); see the letter to Schober, September 21: “I want to exclaim with Goethe: ‘who will bring back but an hour of that sweet time!’”

recapitulation.) “Pendulum aesthetics”—the notion that a recapitulatory cut calls for a balancing expansion, and vice versa—explains the deletion of these measures as a response to an earlier thematic addition, just as it explains “Rosamunde’s” backing-up to add measures in similar terms. It is significant that the recapitulation of the Octet, unlike that of the “Rosamunde,” is larger than its referential exposition overall, since practically no piece is so concerned with deceleration as is the Octet. Its “not-quite” script thus plays into its overall concern with expanding outwards.

An often-analyzed example by Beethoven will help to show how pendulum aesthetics might nuance some of the received wisdom about “not-quite” (and other) scripts. For the “lopsided” recapitulation in the finale of his String Quartet, Op. 127, is not so disproportionate as it perhaps could have been: the piece works to combat—even if it does not neutralize—what Daverio, drawing on Friedrich Schlegel, calls its “parabasis,” its “quirky digression.”<sup>26</sup> “What,” Daverio asks (38),

are we to make of the lopsided bulge that the false return and ensuing transition create in the form? Given its length, the passage occasions more than the momentary touch of humor associated with a false return; it is as if Beethoven suddenly realized, far later than he should have, that his recapitulation was spinning along in the wrong key, and then, with uncustomary nonchalance, corrected himself by means of a series of simple sequences.

The statement highlights the asymmetry of the form, not only in its rhetorical question, but also in its image of a Beethoven who, once having decided on a subdominant reprise, forgets that he is writing in *A<sub>b</sub>* and goes on composing in that key for too long before having to back up to correct the mistake. Daverio sees in the asymmetry a critical, and paradigmatically Romantic approach to sonata form, in which Beethoven, through his quartet, bows up to tradition and asks, stentorian: “*Muß es sein?*”

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<sup>26</sup> Daverio (1993, 38-39; “parabasis” on 26). See also *Elements* (267-268).

The “troublesome fact,” for Daverio is that the “symmetry and balance that ostensibly characterize the sonata style” are caught in the crossfire: they are lost—sundered, rent—through Beethoven’s tonal experiment.

Hepokoski and Darcy (267) hear in Beethoven’s “clever adaptation of the subdominant recapitulation,” a double-recapitulation effect. Like Daverio, so too for Hepokoski and Darcy, the subdominant statement is “carried on too long to be a genuine false start.” They call attention to the way the double-recapitulation is achieved, technically: the terminal module of what was in the exposition a ternary P space (ABA) is overlappingly yoked together with the initial module of the repeat of the ternary P, this time in the tonic. The resulting, elided form, now projected as AB[A=A]BA, results in a much larger recapitulation than exposition. The recapitulatory proportions are skewed because two extra modules (*B* and *A*) are added to the ongoing recapitulation.

Although *Elements* recognizes the fact that the final *A* in this projected five-module P-zone does not materialize—“Beethoven now ‘backed up’ the music to furnish once again not only the full P<sup>1</sup> period... but also a full restatement of P<sup>2</sup>—which then merges directly into ‘S’ in E-flat (m. 219)” —neither Hepokoski and Darcy nor Daverio explicitly address the eighteen-bar deletion that results from the piece’s (deliberate lack of) tonal-thematic alterations: the last *A*’ module, which doubles as TR, tracks through to a I:PAC at m. 217 = 36, at which point it is merged with the onset of *Elements*’s “blurred, *forte* S.” Eighteen balancing bars are thus immediately cut out of the recapitulation, and the resulting “not-quite” script is the relatively (re-)balanced (+41, -18).<sup>27</sup>

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<sup>27</sup> Depending on the analyst’s/listener’s agendas, it is at least possible to factor both for the missing four-bar P<sup>0</sup> theme (although I have not been doing so in the foregoing) and for the eight-bar internal P<sup>1</sup> theme that is elided with the occurrence of Eb. This would add another 12 bars to the balancing pendulum swing, and the overall script would be (+41, -4, -12, -18).

Not all Category 3.1.a.ii scripts come as close as restoring their initially Sundered symmetry as do the first movements of the Octet and “Rosamunde” Quartet and the finale of Op. 127. Other recapitulations seem to be able only to gesture in that direction—to articulate what an expansion might look like, or where it might occur—even if they cannot effect more than a small balancing action. Perhaps in order to stage an inability to compensate for the initial loss of symmetry, this behavior tends to happen in pieces that have very large first alterations, in either direction. Schubert’s Overture *im Italienischen Stil*, in C major, D. 591 is a case in point. Among this movement’s many idiosyncrasies—its double-subrotational exposition with quadruple MCs, its problematic post-second-MC motion toward tonic, its early and out-of-place Rossini Crescendos—is a rather impotent “correction” of a very large recapitulatory deletion. Because it is a Type 1 sonata—the sonata-without-development in which so many overtures are cast—its drama of symmetry plays out against a particularly clear backdrop.

This recapitulation begins at m. 123 = 34 by tracking its Italianate P theme until a vi:HC MC that was proposed and rejected in the exposition (m. 48) here leads directly to S in C major. The result is a loss of twenty measures. The deletion reconfigures the expositional layout: in the exposition, TR seems to begin at m. 41, flush elided with a I:PAC that terminates P-space. Ultimately, it demands to be reevaluated as the B section in a lyric form, for its culminating vi:HC MC at m. 48 is declined by the music. This E-dominant chord turns out to function as a third-divider: instead of an S theme (in vi), it relaunches P material, now understood as the terminal A’ of an AABA’ form.<sup>28</sup> The “real TR” begins at m. 56 (featuring some of the same rhythms as the “fake TR”) and

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<sup>28</sup> An alternative but compatible interpretation is a double-subrotational exposition, which tracks its P-TR material twice before accepting the proposed MC and moving on toward the EEC.

drives, interestingly, to another vi:HC MC, a dominant which this time discharges by descending fifth onto a TM<sup>1</sup> theme in A major.<sup>29</sup>

Crucially, this recapitulation begins by tracking all the way through the exposition's initial P and would-be TR modules (mm.123-137 = 34-48). This means that the onset of P material at m. 123 is explicitly not to be taken as equivalent to the expositional A' music, but its first two A sections and the B(-as-potential TR) section. Because of the functional (and pitch-class) equivalence of the vi:HC MC that had occurred at mm. 48 and 67, the two events can be collapsed into a single event. Thus the *first* MC candidate—which had been rejected in the exposition—is here perfectly capable of launching TM<sup>1</sup>: the vi:HC MC at m. 137 = 48 functions in the recapitulation as the true MC and TM<sup>1</sup> begins, without fill, in m. 138 = 69!

Twenty measures are thus cut out of the recapitulation in one single behavior, as summarized on Example 5.11. (Earlier I proposed an image of tonal alterations in which the tonal machinery is reset in the silence of the MC gap; here, an enormous *thematic*

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<sup>29</sup> This music thus does not follow the conventional order of MCs (in order better to stage effects of “correction” and “backing up”?): TM<sup>2</sup> begins as a Rossini Crescendo following on the heels of a curious motion back towards C major at mm. 80 ff. Several things are notable about this behavior: first, Rossini's crescendos (which, incidentally, seem to have been invented by J.S. Mayr) tend to be deployed post-cadentially, in C space. (I designate them with the Sonata-Theory-like label “RC”, which stands for Rossini Crescendo and incorporates the label “C.”) Second, the curious motion toward the tonic C major in post-MC space is a peculiarly Schubertian quirk (see again the first movement of the Octet, so maligned for that behavior). A contemporary of Schubert's, Josef Lanz, evidently corrected one such behavior in one of the last three piano sonatas (Steblyn and Stocken (2007, 236) presume the C minor): “He also showed me three sonatas for piano, which he intended to dedicate to Hummel. He played through the first of these to me. At one place where in the second section the modulation turns back to the home key I asked, “did you do this intentionally here, or was it an oversight?” he said that he had actually missed it, and altered the faulty modulation on the spot.” And third, TM<sup>3</sup>, if the music beginning at m. 91 can be so called, is really not a theme at all, but a cadence. It thus begs to be considered in Caplinian terms as a TMB whose third module is *cadential*. Its prominent IV chord (C major) points to the continuing possibility for non-modulation. TM<sup>2</sup> and TM<sup>3</sup> are repeated (exactly) as mm. 95-106, echoing the exposition's first double MC problem, and C begins at m. 106, flush elided with the G:PAC EEC.

alteration might be seen to happen in that MC silence.) It is important to notice that because  $TM^1$  begins in C major, at exactly the moment where a tonic repetition of P began in the exposition, the function of E major as upper third to C major (or third-divider) remains invariant. That is: that shopworn straw man the Archschenkerian—concerned only with tonal structure, and not with thematic design—would not even notice the compression (at least not yet). Only the thematic layout is altered.

m. 34	41	48	49	56	67	69
P	TR <sub>1</sub>	'	P <sup>REP</sup>	TR!	'	TM <sup>1</sup>
(as: A)	B		A)			

Expo

Recap

(-20)

Example 5. 11. Comparative Background Sketches of the Overture *im Italienischen Stil*, D. 591.

That the recapitulatory  $TM^1$ , which begins in C major, resolves the large-scale tonal dissonance of this sonata form should not obscure the fact that since it featured a three-key exposition (C-A-G), more tonal alterations will be necessary to keep the movement from ending in B $\flat$  major. These alterations are effected without ado at mm. 151-152, when the projected cadence to E $\flat$ -major does not move to a projected F-as dominant chord, but to a G-as-dominant chord. The recapitulatory  $TM^2$  thus features a Rossini crescendo in the proper key, if not, quite, the proper place in the form.

Recapitulatory C-space begins at m. 175 (= 106), flush elided with the C:PAC ESC and—from the perspective of the piece's *composite rhythmos*—20 bars too early. This theme manages to enact a two-bar expansion at mm. 187-188, when its initially

twice-iterated final cadence articulates a third. The expansion might be reckoned simply a means of intensifying the cadence; such cadential reinforcements are relatively frequent. But the two-bar expansion also seems to push (if feebly) against the first time-alteration, which had—even if it was in order to make the recapitulation more normative—cut out twenty measures of music. The effect is that this cadential *Verdoppelung* is the only opportunity to effect a reversal of operations in a short piece so stunned by an initial deletion. The pendulum swings inwards by one-tenth the distance it swung outwards, and the addition seems effete, ineffectual. (The 35-bar coda that follows might easily be seen as a “proportional” balancing, even if it cannot balance the movement’s *composite rhythmos*.)

It is possible that this recapitulation is so much shorter than its exposition simply because of the genre that it participates in. In order to capture the spirit of festivity, recapitulations in Italian overtures tend to delete measures, not to add them. (Rossini, for instance, always deletes measures or leaves the expositional *rhythmos* intact; is it thus countergeneric that there is an addition here at all?) But that Italian overtures tend to delete measures does not invalidate the fact that these two added measures participate in a “too-little-too-late” script and project an inability to recoup the piece’s time-symmetry.

An example of an overture with a more tragic “expressive genre” can show how these impuissant gestures toward symmetry, in concert with other musical (sometimes extra-musical) parameters, can suggest tragic narratives of inability or struggle against forces too strong to counteract. Beethoven’s Overture to *Coriolanus*—a violent tragedy by Collin, not Shakespeare, according to Lawrence Kramer (1995, 257-258)—enacts a script strikingly similar to that of Schubert’s Overture and helps put the behavior in

perspective. Much has been written about this piece's influence on Schubert, and Schubert's esteem for it; still more has been written about its form.<sup>30</sup> My purpose here is to examine its recapitulatory alterations, which fit in to the trope that the piece depicts (or stages) heroic resistance in the face of an irreversible fatal(ist) force.<sup>31</sup>

(RECAPITULATION)  
m. 152

ff

ALTERATIONS

THEMATIC CRUX CANDIDATE (Declined)

THEMATIC CRUX CANDIDATE (Declined)

m. 162

ff

THEMATIC CRUX CANDIDATE (Declined)

THEMATIC CRUX CANDIDATE (Declined)

m. 170

(-25)

m. 175

deformational THE MC

The image shows a musical score for the first alterations in Beethoven's Overture to Coriolanus, focusing on the recapitulation. It consists of four systems of music, each with a grand staff (treble and bass clefs). The first system (m. 152) is marked 'ff' and contains measures 152-157. The second system (m. 162) is also marked 'ff' and contains measures 162-167. The third system (m. 170) is marked '(-25)' and contains measures 170-174. The fourth system (m. 175) is marked 'p' and contains measures 175-179. Various annotations are present: 'ALTERATIONS' is written above the first system; 'THEMATIC CRUX CANDIDATE (Declined)' is written below the first and second systems; 'deformational THE MC' is written below the fourth system. Measure numbers and their corresponding thematic crux candidates are indicated: m. 152 (1-6), m. 153 (7=40?, 8=41?, 9=24?, 10=25?), m. 162 (?=40?!=158, 1=41?!=159, X, 4=46!, 5=47!), m. 170 (1=48!, 2=49!, 3=46!, 4=47!, 5=48!), m. 175 (1=49!, 2=50!, 3=51, 4=52, 5=53...). Dynamics include 'ff', 'f', 'p', and 'ten.'. A box labeled 'S' is placed above measure 175.

Example 5. 12. First Alterations in Beethoven's Overture to *Coriolanus*; Recapitulation Only.

<sup>30</sup> Scholars citing its influence on Schubert mention its three-key exposition, subdominant recapitulation, and “peremptory head-motive” (*Elements*, 89). See the letter from Schubert to Josef Peitl (1823), who had requested an orchestral work to be played by his student orchestra (Deutsch (1947, 265); Cf. Griffel (1997, 201)): “Since I have nothing for full orchestra which I could send out into the world with a clear conscience, and there are so many pieces by great masters, as for instance Beethoven’s Overture to “**Prometheus**,” “**Egmont**,” “**Coriolanus**,” &c &c &c., I must very cordially ask your pardon for not being able to oblige you on this occasion, seeing that it would be much to my disadvantage to appear with a mediocre work.”

<sup>31</sup> Hepokoski and Darcy (316) hear a foreshadowing of the protagonist’s ultimate death in the expositional S theme’s inability to hold on to E $\flat$  major.

The subdominant recapitulation begins at m. 152 = 1, and tracks but six measures before making a thick set of alterations that ultimately results in a loss of 25 measures. (Example 5.12 shows the recapitulation.) Crucial about these alterations are their “red herring” correspondence measures: thick alterations like these do not arise merely because the piece is based on a small set of motives. It is as if we (as well as Coriolanus) see (or hear) the possibility for crux in fragments, presented out of order and incomplete, but we (again, like Coriolanus) cannot capitalize upon them to bring it fruition.

Follow the correspondence measures notated on Example 5.12. M. 158, the first deviation from the expositional plan, seems to = m. 40, suggesting a deletion of 33 bars, and m. 159 does indeed reinforce this perception by continuing with music equivalent to m. 41. But this measure-pair is all we get: m. 160 does not = the projected m. 42, but rather m. 24. If this set of alterations is going to stage a deletion, then, it seems it will not be of 33 measures, but more temperate, some 15 measures. The situation is complicated, however, when after a bar of rest cancels our hearing of m. 24, the music again enters at m. 163 with the expositional m. 40—this time a semitone lower than in its presentation at m. 158! M. 164 = m. 41, suggesting that we have now latched hold of the expositional plan, on our second try. But at m. 165 the music *again* slips off track; mm. 40-41 are again jettisoned as possible thematic crux candidates. After three bars of motivic spinning out, the music latches on, not to measure 41 a third time, but to m. 46, and it tracks for four measures—the longest amount of time we have been able to participate in expositional correspondence. This, certainly, is the strongest crux candidate so far: its four measures of correspondence seem to promise an exit.

Nevertheless, these four bars, too, are subject to sequential repetition: mm. 172-175 repeat them at the level that will bring about the deformational I:HC MC at m. 176 = 50 and the C-major S theme at m. 178 = 52.<sup>32</sup> The struggle to achieve the thematic crux and a (preliminarily) C-major S theme (S's minor-mode end in the exposition promises more tonal struggle to come), is almost cinematic: correspondences are achieved and then lost as if unable to "stick," and stretches of these are subject to sequential repetition, the very musical agent that brought about the collapse of Coriolanus's E-flat major respite in the exposition.<sup>33</sup> If this paradigm example of the tonally migratory S carries with it sinister implications, then these thematic-tonal alterations, too, carry with them implications of personal struggle.

The alterations also seem to foreshadow Coriolanus's futile resistance.<sup>34</sup> In the face of a very large deletion (as many as 33 bars are projected to be cut), each of the repetitions of material, whether adjacent, as in the tonal sequences, or non-adjacent, as at the bulldogged repetitions of mm. 40 and 41, seems to push back against that possibility. Even this first passage of alterations thus presents a strikingly rich temporality, rife with interpretive implications: these expansions exist *within* a larger, and more powerful acceleration. All in all, 25 bars are lost.

The initial thematic rejoining occurs at m. 172 = 46, and the music tracks through the onset of S. Because this is a three-key exposition, however, more tonal alterations will be necessary down the line. Example 5.13 shows how two of the deleted bars are

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<sup>32</sup> On this deformational MC and the gendering of the S theme, from Wagner to Lawrence Kramer, see *Elements* (316 and footnote, and 147).

<sup>33</sup> *Elements* (317) calls the S-sequences "sequences of loss."

<sup>34</sup> On Coriolanus's resistance, see *Elements* (317).

regained in the music leading up to the dominant lock and final iteration of S, which will (unsurprisingly) in the recapitulation materialize in C minor. This second site of tonal alterations thus stages one final, if futile, act of resistance. By m. 206 the music has locked onto the dominant of C minor even as Coriolanus is locked into his fate. If the lock onto the dominant of G minor in the exposition at m. 78 is a “grim” foreshadowing, as *Elements* (316) hears it, certainly this is the promise clinched. A 70-bar coda, which brings back the lost S theme in C major in order to stage its (tonal) collapse one last time, seems to offer a final comment on its modal, thematic, and *rhythmic* losses.

Example 5.13. Second Alterations in Beethoven’s Overture to *Coriolanus*.

A more extreme case is found in our final example of this script, the first movement of Schubert’s String Quartet in D Minor, “Death and the Maiden,” D. 810. In this movement, shot through with associations of Death and based on a Schubert song that Cerar has called “decidedly anti-heroic,” the first forty measures of the exposition are cut out of the recapitulation and only a single bar (m. 240) is added in compensation.<sup>35</sup>

<sup>35</sup> The movement’s Death-associations are not limited to its borrowing of Schubert’s earlier song. Cerar (2009, 128-129) notes that commentaries often “mention a pertinence of the subject of death ... in the form of an idea of death projected onto the ... quartet.... Schubert draws upon topics with various traditional death-associations, from the folkloristic tarantella and the stylized pastoral with its drone-like elements evoking bagpipes and hurdy-gurdies, to the solemn, elevated pavane, from dramatic topics and gestures, such as the *ombra*, the *lament* and

Example 5.14. Thematic Deletion in the First Movement of Schubert's "Death and the Maiden" Quartet.

The logic governing the piece's initial deletion is easy to understand: by virtue of the near-equivalence of  $P^0$  (as well as  $P^{1.1}$ ) to  $TR^{1.1}$ ,  $TR^{1.1}$  can serve as a "surrogate" for those absent modules.<sup>36</sup> As Salzer puts it: "What is remarkable about this [first] theme is its decidedly introductory character." But Salzer's and Hepokoski and Darcy's explanations, no matter how aptly they capture a formal reason for the possibility of cutting this introductory music out of the recapitulation, account neither for the effect the

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*passus duriusculus*, to four-part 'trombone'-style writing." Gibbs (2000, 107) hints at a biographical significance: the quartet "has ... obvious mortal associations.... One cannot help being struck by the significance of his return in March 1824 to his song ... of 1817, in which the solemn figure of death confronts an innocent youth with an offer impossible to refuse." *Elements* (89) hears "the presence of a calamitous situation to be confronted." Wikipedia corroborates: "Composed in 1824, after the composer suffered through a serious illness and realized that he was dying, it is Schubert's testament to death. ... The theme of death is palpable in all four movements."

<sup>36</sup> See again *Elements* (258): "Of special interest are cases where the recapitulation seems to begin with a tonic-TR, as in the first movement of Schubert Quartet in D minor, D. 810.... Such issues are further complicated when ... the expositional TR had been P-based: the presumed recapitulation's TR will also sound like a return of P.... This invites an interpretation based on a telescoping theory, according to which one supposes that the composer's goal was to avoid the redundancy of double-stated P-modules in the recapitulation, even though that had not been considered a problem in the exposition."

enormous cut has on the listener's perception of the ongoing recapitulation nor for the radical rending of symmetry effected by such a large deletion. Further, neither of them addresses the sense of inability that accompanies the gesture of a single "extra" measure that is meant somehow to balance it.

Making matters worse is the use to which the "extra" measure is put in the context of the tonal drama of the recapitulation as a whole. The recapitulation's first set of tonal alterations occurs at mm. 207-208, when a cadential  $\frac{4}{4}$  chord built on A resolves "correctly" in the key of D instead of slipping, as it had in the exposition, into the orbit of F major. (The proper resolution "corrects" the semitonal voice-leading motion from D-D $\flat$ -C responsible for converting this  $\frac{4}{4}$  chord into an F $^6$  chord at mm. 50-52. Compare the cadential dominant at m. 6, which might have brought about a resolution to V, except that it turns out to be the medial harmony of a double voice-exchange figure: when the upper-neighbor B $\flat$  again moves to A in the bass at mm. 8-9, the upper voices replace the cadential  $\frac{4}{4}$  chord with a III $^6$  chord.<sup>37</sup>) These alterations take no time, and the new D tonic, equivalent to the music of mm. 52 ff., appears in the major mode, and stays that way until the moment slated to house a major-mode cadence equivalent to the F:PAC at m. 83. On the downbeat of the measure slated to produce a D:PAC—which even though there is much ground left to traverse would be quite the victory in a piece as bleak as this one—the music backs up to repeat the just-sounded bar, *pianissimo*, in the minor mode.

The behavior, shown in Example 5.15, is a devastating commentary upon the piece's concern with *correction*: almost every measure of this piece's exposition is repeated in some guise (in the exposition), staging a series of backings-up, slowings

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<sup>37</sup> Salzer (1928, 106): "This passage ... arouses in us a definite sense of dissatisfaction."

down, and tonal/modal corrections. Many of the movement's idiosyncrasies can be read in terms of these backings-up. Its deformational trimodular block, for instance (or is it a closing-down and then re-opening of S?), since its last module is so similar to its first, works hand-in-hand with its obsession with correction. Note, too, how in addition to resolving the dominant immediately preceding it, the tonic chord at m. 241 also resolves the projected (but not achieved) authentic-cadential preparation of mm. 227-228 (= 70-71), which had collapsed into a common-tone diminished-seventh chord.<sup>38</sup>

Example 5.15. Addition of a Single Measure in the Schubert's "Death and the Maiden" Quartet.

The *pianissimo* dynamic at m. 240, all the quieter since the listener expects a *forte* blast, underscores the impotence of the gesture. It is as if an agent in the piece's recapitulation sold its soul to some larger, compositional negotiating power, asking to restore at least one measure of the piece's deleted forty *at whatever cost*, in this case the

<sup>38</sup> Salzer noticed this (100): "Instead of the expected A-flat... an altered scale degree 1 follows, along with a repetition of the preceding measures in the manner of a consequent. With the addition of an extra bar (81), scale degree 5 is recaptured. It now appears that bars 70 and 82 are exactly the same, and that therefore the theme beginning at bar 83 could really have begun at bar 70."

collapse to D minor and the loss of even a taste of major-mode closure. The question that presents itself hinges on how much time would have been left in the recapitulation to convert D major (if it were achieved) to D minor, just as in the exposition F major gets converted to A minor before the EEC. For whatever “formal” status one grants the F-major PAC at m. 83, and no matter how fleeting it is, there is no mistaking its (at least momentary) reality.<sup>39</sup> What, then, does it mean that the tonic D here cannot support a major-mode PAC, even though it could so easily be revoked—converted into D minor later on? It is an emphatically negative tonal gesture. But it is also tied up with two *rhythmic* phenomena: first, the addition of a single bar of thematically identical material brings with it all the associations of work, or effort, that we have seen. Second, this single measure seems to be meant, somehow, desperately, to offset a cut of forty.<sup>40</sup>

From this point forward the recapitulation tracks the thematic layout of the exposition exactly, making m. 240 its thematic crux. Its tonal behaviors, however, are not constrained by those of the exposition: a pair of tonal alterations first hoicks the presentation of the second S theme into B $\flat$  major (at m. 254 = 96; this would be the unacceptably bright F $\sharp$ -major if it tracked exactly). This upper third was already avoided once through the addition of our “extra” measure. It then makes a further alteration in order to preserve B $\flat$ -major at m. 272 = 114 (this would otherwise move from B $\flat$  down to G $\flat$ /F $\sharp$ --again not a possibility). The piece tracks from this point forward until the d:PAC

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<sup>39</sup> This F:PAC, along with the thematic resemblance of the A-major music in the exposition to the F-major music in the exposition, is one reason I prefer not to call this a TMB.

<sup>40</sup> Perhaps this is the reason Cerar (142) writes: “The local dramatic dynamic suggests non-heroic manners of struggle, in fact deeply questioning the idea of victory or even closure.” Another analyst who gives tonal and thematic criteria here is Kessler (1997, 31): “the elimination of the material from mm. 1-40... aids the prolongation of the tonic D (‘Death’s key’) through the second theme and thus symbolizes Death’s victory.”

ESC at m. 292 = 134. A 43-bar coda recoups nearly exactly the forty measures initially cut out, and even sings some of their themes (e.g., mm. 311 ff. = 15 ff.).

In too-little-too-late scripts, such “head-nods” toward compensations—no more than gestures in the right direction—do little to change their “lopsided” recapitulatory proportions. Depending on their manner of presentation they may suggest heroic (but unsuccessful) struggle or (as has been heard in D. 810) the antiheroic—that age-old binary so long meant to capture the differences between Beethoven and Schubert.<sup>41</sup> Before moving on to the last “two-alteration” script, let us briefly consider an example that illuminates the way the “extra” measure in D. 810 resonates with the notion of “work” sketched in the last chapter. In certain cases it seems that *time* is necessary to enact a tonal or modal change, and Schubert, especially, is a master at creating extramusical effects from the pairing of thematic backings-up with tonal or modal shifts. This behavior can suggest correction; it can also contribute to a sense of groping, as if a subject were trying leerily to determine whether a tonal move is the right one or is possible within the bounds of a form.

The image shows a musical score for Schubert's Adagio, D. 958. It consists of two systems of music, labeled 'A' and 'A''. The first system, 'm. 11', shows a piano part with a treble and bass clef. The second system, 'm. 53', shows a piano part with a treble and bass clef. The second system includes measures marked '= 10', '= 11', '= 12', and '= 12! ...'. A dashed line connects the end of the first system to the beginning of the second. A bracket under the second system is labeled '(+1 by sequential repetition—to A major?)'.

Example 5.16. Extra Measures, Work, and Tonal Adjustments in the Adagio of Schubert, D. 958.

<sup>41</sup> See Taylor (42): “Invariably, it would seem, all accounts of Schubert’s instrumental music commence with the binary opposition formed with the figure of Beethoven. Moreover, pleading for Schubert to be measured ‘on his own terms’, which differ from Beethoven-orientated norms, is almost as old as the comparison itself.”

Such is the case in the slow movement of the Piano Sonata in C Minor, D. 958, in which a deceleration by backing-up seems to be necessary for the leery subject to move into the semitone-related key (!) of A major for the thematic reprise (Example 5.16). Another measure of “work” (Example 5.17) is then necessary to move the music back from A major to the proper A-flat for the onset of the last (truncated) reprise A’’.

The image shows a musical score for two systems of piano music. The first system is marked 'rit.' and ends with a boxed 'A'' label. The second system is also marked 'rit.' and includes measure numbers = 42, = 42!, and = 43... with a 'pp' dynamic marking. A bracket below the second system is labeled '(+1 by sequential repetition--back to A♭!)'.

Example 5.17. Another Extra Measure and Work in the Adagio of Schubert, D. 958.

Perhaps the 37 some-odd bars of A-major here are too large to function in the manner of Richard Bass’s “shadow tonality”—as a semitone-displaced key that nevertheless “the listener is obliged to deal with ... in a diatonic context, as a representative of its diatonic shadow” (1988, 199-200). Whatever the case, my purpose here is to call attention to the work it takes both to set and to reset the tonal gear. It makes intuitive sense that symmetry is not achieved in this case, because it takes work to move in both directions; one behavior is the inverse of the other in a tonal sense but not a *rhythmic* one.

### 5.3.3. Eclipse Scripts: Category 3.1.a.iii

Some two-alteration recapitulations manage to overcompensate for an initial time-alteration with a single reactionary behavior in the opposite direction. These “eclipse” scripts can suggest anything from playful riposte to rash overaction. An easy example is

found in the slow movement of Beethoven's Piano Sonata Op. 22. In this flourish recapitulation, two small, opposite alterations happen in close proximity to one another. What begins like the *da capo* reprise of an aria, complete with lithe vocal melismas, continues similarly until a thematic deletion between mm. 56 and 57 (= 10 and 12) results in a loss of one measure relative to the expositional plan (Example 5.18).

Example 5.18. Thematic Alterations in Beethoven, Op. 22.

(Is the lights-out effect that follows, beginning at m. 59 = 14—one measure *too early*—a reaction to, a lamentation of, this loss of symmetry?) The music then settles in to correspondence measures, still at the same tonal level as the exposition, but in the collapsed minor mode. But after six more bars of tracking the expositional thematic material (a bar too early), the recapitulation enacts another thematic alteration, this time a two-bar repetition (Example 5.19). That the two measures that are repeated are charged with the task of enacting the piece's tonal alterations and crux is clear. (The crux, bedeviled by all the issues addressed in the discussion of Category 2 recapitulations, is marked as occurring at the moment of tonal and thematic arrival at m. 63 = 16.) What is less clear, and what I mean to point out by calling attention to the behavior, is that in this case the addition of two measures also seems to respond to the earlier cut. The overcompensation results in an “eclipse” script of (-1, +2).

Example 5.19. Offsetting Repetitions in Beethoven, Op. 22.

A near-identical script is present in the first movement of Schubert's C-Major Piano Sonata, D. 279, an "ambitious attempt in this newly cultivated genre" that incidentally can help clarify some confusion that surrounds the difference between obligatory tonal and thematic alterations.<sup>42</sup> Here, the recapitulatory P theme, redolent of the young Schubert's favorite Mozart symphony (No. 40) enters at m. 118 = 1. It tracks for eight measures, and enacts a one-bar compression in the ninth (Example 5.20).

Example 5.20. A One-Bar Compression in the First Movement of Schubert, D. 279.

<sup>42</sup> Hur (1992, 71). She continues: "It carries the strong sense of experimentation, with some parts artificial and awkward."

In the recapitulatory P-based TR, a three-bar expansion overbalances the deletion (Example 5.21). Note well: if “superfluous” music, such as a cadential echo, can be cut out of a recapitulatory rotation, so can it be added.

The image shows a musical score for Example 5.21, titled "An Overcompensation in D. 279." It consists of two systems of music. The top system is labeled "Expo" and the bottom system is labeled "Recap". Both systems are in D major and 2/4 time. The Expo starts at measure 20 and ends at measure 23. The Recap starts at measure 136 and ends at measure 139. The Recap is marked with "ff" and includes a three-bar expansion (+3) between measures 20 and 23. The Expo is marked with "ff" and includes a three-bar expansion (+3) between measures 20 and 23. The Recap is marked with "ff" and includes a three-bar expansion (+3) between measures 20 and 23.

Example 5.21. An Overcompensation in D. 279.

Neither set of thematic alterations participates in the obligatory tonal alterations of the movement—indeed, the movement *has* no “obligatory” alterations, since it features a subdominant recapitulation. They participate, though, in their own *rhythmic* narrative of eclipse. It is interesting, in this regard, to read in Hur (71) that “of particular interest is the wholly literal transposition of the entire exposition—I-V: IV-I—one of only two such cases in Schubert’s entire *oeuvre* (the other is the first movement of the B-major Piano Sonata, D. 575).”<sup>43</sup> For quite the contrary, although it does feature a subdominant recapitulation, this movement is far from being a *Transpositionsreprise*: it features two sets of *rhythmos*-altering thematic transformations, in an eclipse script. Hur privileges one half of the Schenkerian tonal structure/thematic design binary at the expense of the other. That this recapitulation begins in the subdominant has no necessary effect on its *rhythmos*.

<sup>43</sup> See also page 74: “This movement of Schubert’s second sonata ... is of particular interest because its recapitulation (IV-I) is a literal transposition of the exposition (I-V). It is remarkable that of all Schubert’s recapitulations that start on IV only two follow this literal procedure (the other is also a piano sonata, D. 575)... Quite probably he found it too mechanical—incapable of producing a wholly satisfactory artistic result.” (There are other subdominant *Transpositionsreprise*n in Schubert besides D. 575, i, e.g., the “Trout” Finale.)

More drastic overcompensations are relatively frequent since, because sonatas tend to push toward symmetry, larger initial alterations tend to call for larger compensations. (Exceptions to this, we have seen, are found in situations where an inability to recoup an initial transformation is staged). The first movement of Beethoven's Piano Sonata Op. 10/1 is instructive since its overcompensation can be understood by analogy to those of Op. 22 and D. 279, and because of the larger formal implications of its initial deletion.

The first thematic-tonal alterations occur when an entire P module (P<sup>2</sup>?, a tag to P's tag?) is cut out of the recapitulation, resulting in a deletion of all the music stretching from the expositional c:PAC at m. 22 to the final c:PAC of expositional P space at m. 30 (Example 5.22). Here as elsewhere, the fact that there are two c:PACs in the exposition makes the deletion easy to effect: to delete eight measures of music, just make the first one *formally* equivalent to the second one, with which it already shares harmonic-functional and pitch-class equivalence; collapse them into a single time-point.

Example 5.22. An Eight-Bar Deletion in the First movement of Beethoven's Op. 10/1.

This eight-measure deletion happens so quickly it seems to shock the following TR music into entering on a pitch that is neither the expositional one nor the one that will bring about a tonic ESC. A necessary set of tonal alterations, carried out in the silence of m. 190 = 31, begins to push toward G $\flat$ , meaning that more alterations will have to be

carried out down the road. A second (inutile) set occurs when the music beginning at m. 196 repeats the last four bars of TR at the same tonal level, turning what was in the exposition a tonal sequence into an octave-echo. Could a feeling of trepidation after the shock of entering in such a curious key be the reason for this thought-collecting stasis?

In fact, neither the first nor the second set of reactionary tonal alterations moves to (or stays on) the tonal level that will insure a tonic ESC, and neither of them makes any *rhythmic* gesture that compensates for the initial 8-bar cut. From the echo-repetition at mm. 196 ff., the music tracks its expositional reference at a distance of eight bars, even if “blithely and irresponsibly” pushing toward F.<sup>44</sup> It latches onto a dominant lock of F minor at m. 207 (= 48), which is then corrected to F major (211 = 52) to “rhyme” with the exposition’s E $\flat$  major. (Does this dominant lock, a whole tone too high, compensate for the entry of TR a whole tone too low?) This tonal error is tied up with a *rhythmic* one; neither the recapitulation’s tonal task nor its *rhythmic* one has yet been achieved.

Example 5.23. An Overbalancing Expansion in Beethoven’s Op. 10/1.

By m. 233, the solution Beethoven chooses becomes evident: both problems will be solved by repeating the S theme at the proper pitch level. At m. 229 = 70, the last of this (second) set of correspondence measures (marked with an arrow on Example 5.23), F minor functions as a iv chord in C minor, and a three-bar transitional link wrenches the

<sup>44</sup> The adverbs are from *Elements* (238).

music back to the onset of S—this time in the tonic—and results in a gain of 18 measures. The recapitulation then tracks its exposition measure-for-measure until its two final chords; its eclipse script has the proportions (-8, +18).

It seems like a drastic solution, but then the problems were themselves drastic—how to get to the tonic C minor and how to do something about the curious deletion that skewed this piece's symmetry. The strategy is identical to that found in Op. 22, but here the solution is farther reaching since it involves a repeat (and tonal correction) of *S*, a module Sonata Theory reminds us is charged with the task of bringing about the ESC. The tonal path the piece traces is compelling: that *S* enters in the wrong key and thus demands correction ought to be clear to any analyst, and even to an astute listener. *Elements* (238) characterizes the tonal drama as a “staged attempt at escapism—whistling in the dark—[which] cannot last. The generically illicit F major is brutally extinguished into F minor at m. 229, and the *S*-theme is rebegun in C minor in m. 233, now with a *forte* vengeance...” What the current perspective adds to that discussion are possible reasons for the repeat of *S* and for the fact that *S* enters in the wrong key at all.

A final example, the first movement of Schubert's Piano Sonata in A $\flat$ , D. 557, features “nested” eclipse scripts. In this piece's exposition *S* is repeated, but its second iteration is very different from its first. The first *S*, which begins on the downbeat of m. 19 after a textbook V:HC MC, is a sentence whose V:PAC EEC candidate (m. 26) is flush elided with a figured and formally altered restatement, thereby reopening *S* space and deferring the EEC to the next satisfactory PAC. Is the V:PAC at m. 31, then, satisfactory for closing *S*-space down? From a voice-leading perspective it is: it features

an identical melodic resolution in  $E\flat$  major, to the same  $E\flat_4$  as did S; it is forcefully articulated, with a root-position subdominant chord and a cadential dominant; and so on.

But from an affective perspective the V:PAC at m. 31 seems somehow *unsatisfactory*—like the rest-punctuated, groping *fz* theme that enters with a diminished triad is not C space, is not post-EEC. Proportionally, too, the six-bar  $S^{\text{rep}}$ -theme, as a truncated version of the eight-bar S theme that stretched from m. 19 to the downbeat of m. 26, seems somehow *too short*, and obscures the paradigmatic sentential logic of its prototype. Finally, it is significant that the cadential material in mm. 35-36 is near-identical to that of mm. 30-31 (which is itself near-identical to that of mm. 25-26), down to register and surface rhythm. It seems not unreasonable, then, to assert that the music beginning immediately after the V:PAC at m. 31 is not C space at all, but a backing-up to re-treat the concluding modules of S in a different way. All this is corroborated by the jaunty, tonic-dominant, paradigmatically C-affect music that enters after the *next* V:PAC at m. 36. (When is one justified in overlooking the first-PAC rule?)

Running with the theory that mm. 26-36 are to be taken not as a shortened repeat of S and initial C module, but rather as a single *elongated* repetition of S, presents a compelling logic: the cadence in (the expositional)  $S^{\text{rep}}$  arrives, unsatisfactorily, two measures too early. The means of correction: an S-suffix that overcompensates for the missing bars. On this reading (expositional) *S-space itself*—eligible for such reasoning since it contains a varied repetition of itself—participates in pendulum aesthetics: it features an eclipse script in the proportions (-2, +6).

Interesting about this (-2, +6) script is that it acts as a cipher, with proportions intact, for the recapitulatory behavior of D. 557 as a whole. For the first set of

recapitulatory alterations, which move the piece into the orbit of the subdominant, also results in an expansion by a single measure: m. 71 = 9, but m. 73  $\approx$  10. The overcompensating re-alterations, which delete three measures between mm. 77 = 14 and m. 79 = 19, result in a totally rewritten MC—a non-rhyming I:PAC MC flush elided with the onset of S. This rushed, even desperately articulated MC at mm. 78-9  $\neq$  18-19 suggests a certain excitedness, the seizing upon an opportunity: if the music is to erase three bars before the onset of S, it had better recognize the possibility *now*. Since the script as a whole is an eclipse in the proportions (+1, -3), it articulates the same behavior, in the same order, as the expositional and recapitulatory S themes do, at one-third its scale. The S theme is thus an early cipher for the behavior of the piece as a whole.

It is interesting to speculate about the total size of the Category 3 recapitulation, relative to its exposition, in something like the way we did in our analyses of Category 2 recapitulations. Does a recapitulation end up larger or smaller than its exposition? By how much? Two-alteration Category 3 recapitulations, even though their individual scripts carry their own narrative implications (of compensation or a lack thereof) can “as wholes” feel slow—even if they take pains toward compensating accelerations—or eager—even if they make undercompensating decelerations. The foregoing has shown how these *rhythmic* scripts work hand in hand with tonal dramas staged by movements by Beethoven and Schubert, and how they often tie in to our interpretive reception of these pieces.

#### 5.4.0. Three-or-more-alteration Recapitulations

As recapitulations present more and more *rhythmos*-transformations, it gets less and less likely that they arrive at their ends at precisely the moment first projected by the onsets of their recapitulations. We thus begin our discussion of three-alteration recapitulations by examining pieces that push toward, but do not quite achieve, the *rhythmic* symmetry that would perfectly balance their expositions.

#### 5.4.1. Not-Quite Scripts: Category 3.1.b.ii

In the finale of [Mahler's] Sixth... an insistently symmetrical recapitulation was impermissible.... On the other hand, the oversized complexes demand ... a compensation, a homeostasis of the construction.... The recapitulation becomes an apparition; the character legitimizes the remaining symmetry.<sup>45</sup>

Pieces with more than two *rhythmos*-alterations that distort, and then cannot quite recoup, their symmetry, often afford the perception of chipping away at their asymmetry, trying to restore it measure by measure. This chipping-away intensifies the drama of the not-quite and too-little-too-late scripts. The finale of Mozart's K. 332 is a paragon of the behavior. Among its expositional quirks are an unusually lengthy, and tonally overdetermined, tri-modular P space, and an S theme that both begins and ends in the minor mode (Picardized at mm. 65 and 200). P, for its part, is not so lengthy in the recapitulation as in the exposition. Mozart's recapitulation, seizing upon the opportunity presented by a I:PAC at m. 169 = 22, ushers in a set of tonal-thematic alterations that suppresses all of what in my reading is P<sup>3</sup>, the thirteen bars between the terminal F:PAC of P<sup>2</sup> and the onset of TR in the exposition (Example 5.24) (The series of (near-) equivalent events, here cadences, make for the easy possibility for compression.) In the silence that occurs after the 13-bar compression (m. 169), one single pivot chord—the

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<sup>45</sup> Adorno ([1971] 1996, 92-93).

augmented sixth on E $\flat$ —brings about a D-major dominant that will launch TR in the following bar in G minor, the key that will bring about the tonal resolution to F. M. 170 (= 36) is thus a candidate for both tonal and thematic crux, thirteen bars *too early*.

The score is divided into two systems: Exposition (m. 21-34) and Recapitulation (m. 168-170). The Exposition is marked with a  $P^3$  box and includes dynamics *fp*, *pp*, and *f*. A bracket indicates that 13 measures are omitted in the recapitulation, with a note "13 mm. omitted in recap; used in coda". The Recapitulation starts at m. 168 and ends at m. 170. Measure numbers are aligned: m. 168 = 21, m. 169 = 22, m. 170 = 36, m. 171 = 37, m. 172 = 38, m. 173 = 39. A box labeled "TR" is placed above the Exposition. A box labeled "TONAL and THEMATIC CRUX CANDIDATE" is placed below the Recapitulation at m. 170. The text "(-13 through omission of P<sup>2</sup>)" is written below the Recapitulation. The text "F:PAC" appears below both systems.

Example 5.24. A 13-bar Deletion in the Finale of Mozart's K. 332.

After twelve bars of re-tracking its exposition, the music begins to resist the initial deletion by adding single measures through very small expansions. The first of these occurs when m. 182 and 183 house a deceleration that results in the addition of a single measure. (Example 5.25 does not factor for the initial thirteen-bar cut.)

The score is divided into two systems: Exposition (m. 47) and Recapitulation (m. 181). The Exposition includes harmonic analysis: C: iii, vi, ii, V, I, V:HC MC. The Recapitulation includes harmonic analysis: F: iii, vi, ii, V, I, I:HC MC, p. A box labeled "S" is placed above the Exposition. A box labeled "S" is placed above the Recapitulation. A bracket below the Recapitulation indicates a "+1 by deceleration" between measures 48a and 48b. Measure numbers are aligned: m. 181 = 47, m. 182 = 48a, m. 183 = 48b, m. 184 = 49, m. 185 = 50.

Example 5.25. A responding 1-bar Expansion by Deceleration in K. 332.

The harmonic behavior of mm. 182-183 confirms that this is a deceleration by a factor of 2: the ii chord in m. 48 moves to I (via a V chord) in half a measure, while the ii chord that opens m. 182 = 48 takes precisely twice as long. This, then, is an example of a harmonic deceleration heard against a foreground prototype—one wonders: what is its middleground norm?

Mm. 197 and 198 are also different from their expositional counterparts (mm. 62 and 63), but their intensification of S's final cadence does not result in a time-alteration. Still, could it be that something is bubbling beneath the surface? For another measure is added immediately after the onset of C space and the correction of F minor to F major. As shown in Example 5.26, this expansion uses a different strategy: thematic repetition.

Example 5. 26. A One-bar Expansion by Repetition in K. 332.

So far, two one-bar decelerations combat the initial thirteen-bar deletion, giving the impression of a sort of calculated slowing-down. But we have not yet finished. The piecemeal push towards the restoration of symmetry results in one last addition. In a behavior identical to the one shown above, the recapitulatory repeat of C (mm. 210 ff.) adds a single bar, by repetition, at m. 212-213 (= 76 and 76). Thus the script of the recapitulation as a whole is (-13, +1, +1, +1).

Mozart's coda is not only compensatory in terms of size—depending on how you calculate, it adds between 16 and 19 measures to the sonata—it also backs up to sing exactly the finale's thirteen missing measures. Following three bars of entry, m. 230 sings the cadence that first happened at mm. 31-32, and then the music from mm. 22 enters, and tracks again until it restates the cadence at m. 35. As has now become something of a trope, I assert that the argument for thematic compensation through the restoration of P<sup>3</sup> in the coda is legitimate and available to the analyst who wants to make it. But it says nothing about this recapitulation's three one-bar decelerations—of different types—that seem to push back against the initial 13-bar deletion. The thirteen “missing” bars that appear in the coda cannot but comment on the difference in size of the recapitulation and the exposition.

A convincing large-scale deployment of this strategy in Schubert is to be found in the finale of his Second Symphony, D. 125 (revisit Examples 1.5 and 1.6 and the accompanying prose). In that movement, a 20-measure cut is not quite balanced by three discrete four-bar expansions. A more complicated example can be found in the rondo finale of Schubert's so-called “Gastein Sonata,” D. 850. This piece seems to come extremely close to restoring the deletion of ten measures in the initial reprise of its A-material (-10, +2 +1 +2 +2 +1), but the situation is complicated by retransitions.

One very particular possibility for deploying the multi-alteration eclipse script unfolds in three stages: first sunder the symmetry through a *rhythmos*-alteration; next enact an equal-but-opposite behavior that restores it perfectly; finally push the now-restored symmetry back out in the direction of the initial behavior. (This strategy might be called “the last word,” owing to the refusal on the part of the initial transformation to

be silenced.) The short, three-alteration recapitulation of the first movement of Mozart's Piano Sonata K. 309 is exemplary.<sup>46</sup> Its first time-alterations (m. 101 = 8), which couple the internal repeat of P with a modal collapse, seem to be tied up with the movement's tonal alterations, but soon prove impotent: when they resume correspondence measures at m. 110 = 15 they do so at the exposition's tonal level. This proto-transitional material, impotent tonally, nevertheless does result in a deceleration of two measures: thus m. 110 = 15 in every single musical parameter, two bars too late.

Mozart's recapitulatory TR makes two very quick time-alterations that seem, first, to balance out the *rhythmos*-alteration made in P, and then to push back in the initial direction.<sup>47</sup> The first, balancing (-2) operation is easy to locate, since m. 121, which was equal to m. 26 in the exposition in the recapitulation moves directly at m. 122 to the music from m. 29. Note that the recapitulatory TR tracks through the moment of modulation, meaning that in principle it does not effect *no* modulation where the exposition effected *one*, but it effects *two* modulations, first to the key of the expositional S, and again (in the recapitulatory MC silence) to cancel that motion.

M. 123 (= 30) houses the beginnings of the piece's obligatory tonal adjustment; its *Stillstand* on the dominant will convert the expositional V:HC MC into a recapitulatory I:HC MC. But m. 124, which continues this dominant pedal, did not exist in the exposition: it is a repeat of m. 123 (or m. 30). The recapitulation latches again

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<sup>46</sup> We might note in passing that this piece's development features in inchoate form what in Schubert will be enlarged and intensified and become known as "strophic-modulation" (Tusa 1984). It thus calls into question Salzer's claim (117, paragraph 58) that "we realize that it is in [Schubert's] works that the technique [of using transpositions in sonata developments] appears for the first time."

<sup>47</sup> It is possible to read what I am calling two discrete time-alterations as a single thick set of alterations that subtracts one measure from the ongoing recapitulation. In that case, this recapitulation would exhibit a (+2, -1) script and would fall under Category 3.1.a.ii.

back onto expositional correspondence at m. 125 = 31. M. 125 = 31 is the thematic crux of the movement; its tonal crux happens in the MC silence. Besides surface differences, such as the textural inversion that characterizes S in the recapitulation, the piece tracks correspondence measures from this point forward. Its script as a whole, characterized as (+2, -2, +1), results in a net gain of one measure, vis-à-vis the expositional layout.

On this reading of a “re-reactive” behavior, in which the plus-operation indeed to offers the last word, it is interesting to consider the three measures of CRI that separate m. 151 = 56 from m. 155 = 57. For in this case it seems that CRI—inserted into the last moments of this particular recapitulation—is being used to drive the point home. The CRI strategy here reopens the space that was cancelled by the two-bar deletion by adding three bars to that parenthetical nether-zone, just as the recapitulation proper added three bars, total, to counteract an initial cut. In any case, the very specific behavior seems to suggest a situation in which the (in this case) plus-operation will not be quelled.

#### **5.4.2. Eclipse Scripts: Category 3.1.b.iii**

In a precisely inverse behavior, some three-or-more-alteration recapitulations sunder, then restore, their time-symmetry, and then continue to push it in the direction of the second alteration. These recapitulations, lucky to have stumbled upon an equal-but-opposite behavior in the first place, might have stopped while they were ahead. This behavior is the essence of the three-alteration eclipse script; a clear exemplar is to be found in the first movement of Schubert’s First Symphony, D. 82.<sup>48</sup>

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<sup>48</sup> One large editorial issue concerning this exposition needs to be confronted. Brahms, who edited the symphonies for the *Schubert Gesamtausgabe*, left a passage in the exposition (mm. 165-190) that evidently was intended by Schubert to be cut out. Later scholarship has fixed what Pascall (1983, 289) has called Brahms’s “worst editorial mistake,” but the error remains in the Dover edition (a reproduction of the Breitkopf & Härtel edition from 1884). In what follows I will use the measure numbers of the Brahms edition, meaning that the recapitulation begins at m.

This intensely detailed movement has several idiosyncrasies, among them a welter of tonal and thematic alterations and what I will call a “substitute ESC.” It features a set of equal and opposite time-alterations (-2, +2)—thereby restoring the symmetry of its *composite rhythmos* exactly—before it begins to distort that symmetry by adding measures. Here, the relationship of tonal to thematic alterations is paramount: a curious tonal move occurring in the recapitulatory TR results in an expansion (remember the case of the slow movement of D. 958.) Its cancellation, too, takes time.

The piece’s first thematic and tonal alterations happen in the movement’s recapitulatory TR (Example 5.27), which houses a pair of self-effacing tonal alterations and a deletion two measures of the expositional layout. These tonal and thematic alterations are distinct: the tonal alterations that occur at m. 389 to move the music down a major third will efface themselves at m. 397 in order to lead to the same MC as was achieved in the exposition (I:HC MC at m. 411 = 73). The thematic alterations, which happen after the tonal alterations have occurred, dissociate themselves from their tonal counterparts, thus seeming as gratuitous, in their own way, as did the tonal alterations. They make an effort to show that they do not participate in the tonal argument.

After its two-bar deletion, the recapitulation latches back on to its expositional layout, and tracks it (two bars “too early”), until a second set of thematic-tonal alterations

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361 = 21. Since C<sup>rep</sup> begins to dissolve into a coda at m. 500 = 156, the “added” expositional measures do not pose a significant problem in my discussion of the recapitulation, beyond the fact that the measure numbers will not correspond to a critical edition.

It is important that the music Brahms left in his edition, mm. 165-190, is an exact repeat of the preceding music, and its final two measures (mm. 189 and 190) are an exact repeat of the preceding two. It is telling that Brahms thought Schubert perfectly capable of repeating 26 measures in the middle of an ongoing *repetition* of C, which itself is S-based.

m. 47  
 Expo  
 m. 387  
 Recap  
 = 47  
 = 48  
 = 49  
 = 50  
 = 51  
 = 52  
 = 53  
 = 54  
 = 55  
 m. 56  
 TONAL ALTERATION, 1  
 down a third  
 m. 396  
 TONAL ALTERATION, 2:  
 back to the expositional pitch level!  
 THEMATIC ALTERATIONS, 1  
 (a step in the groove, -2)  
 = 56  
 = 57L  
 = 58I  
 = 59I  
 = 60I  
 = 63  
 = 64  
 = 65 ...

Example 5.27. Alterations in the First Movement of Schubert's First Symphony, D. 82.

occurs late in the “Promethean” S<sup>rep</sup> zone.<sup>49</sup> Technically, this is the fourth *tonal* alteration, since the first set featured two discrete tonal moves, and since a third set of tonal alterations was made in the bifocal caesura fill at mm. 412-414. A fifth set will be needed, as we will see.

The second set of thematic alterations involves a compensating re-addition of the two missing measures; the manner in which it proceeds is sophisticated. The recapitulatory measures of Example 5.28 begin (faithfully) two measures before the corresponding measures in the exposition, to factor for the initial deletion; they finish right on time. What starts out by suggesting another 2-bar acceleration—the deletion of = 93 and = 94 right out of the recapitulatory rotation—ends up checking itself: it backs up to repeat the larger, four-bar module of “= 91, = 92, = 95, = 96.” The global *rhythmic* deceleration is captured by the lower bracket, while the two “lower-level” acceleration-feints are represented in the nested brackets above it. The thematic backing up, which perfectly recoups the two measures that were lost in the recapitulatory TR, thus sets the recapitulatory *rhythmos* back on track. (Are these literally “self-effacing” thematic alterations thus supposed to be taken as a thematic analog to the piece’s first set of tonal alterations, which modulated first downwards, and then upwards, by major third?)

That the “ESC” in this movement first occurs at the temporal location precisely parallel to that of the exposition, even though two time-alterations have occurred, does not make up for the fact that it does not fulfill the piece’s tonal task—a seeming

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<sup>49</sup> Schubert quotes the finale of Beethoven’s *Creatures of Prometheus* here, even as he was to quote its Overture in his Second Symphony.

Expo

Recap

m. 428

m. 90

(begins -2)

= 90

[ = 91 =

= 92

= 95

= 96]

[ = 91

= 92

= 95

= 96]

= 97!

= 98

= 99

as *f* -2

TONAL ALTERATIONS, 4

(+2)

as *f* -2?

bPAC ESC?? (right on time)

S-based

APAC EEC

Example 5. 28. Restitution in the First Movement of D. 82.

contradiction in terms.<sup>50</sup> The most convincing answer to this ESC problem seems to be to understand the recapitulation as a sort of tonal-thematic paradox—one that decouples the tonal from the rhetorical/thematic task (as it was decoupled in its first set of alterations), and pushes the task of *tonal* closure to a place not parallel to that of the exposition. The thematic material that produced the EEC *does* exist in the recapitulation, and does bring about a cadence; it is simply in the wrong key. The task of tonal closure is therefore delayed into what, in the exposition, was C-space.

The last alterations, which begin at m. 468  $\neq$  128, are temporally paradoxical. They begin by backing up to re-treat the music that equaled m. 121 ff. (m. 469 is equal to m. 461 (again an F# dominant chord), down a whole tone). But after tracking five measures of this “faux” backing-up, which suggests a deceleration of eight measures, the music dissolves into *Fortspinnung*, which it pursues until m. 481  $\approx$  137. Because m. 481  $\approx$  137—and not m. 133, as projected by the initial reprise of material at m. 469—these alterations result in a gain, not of eight, but of four measures. As in the Adagio from D. 958, this music must back up in order to make its tonal adjustment; its delinquent tonal crux comes at m. 481. Thus the eclipse script of this movement is (-2, +2, +4).

The “tonal ESC” (a barbarism, for isn’t the ESC a tonal category?) thus does not occur at the onset of “C” material—if “C” is here taken to be equivalent to the “C” of the exposition. Rather, it occurs just in time to usher in the *repeat* of C at m. 485 = 141. The state of affairs prompts the question whether the extensively repetitious exposition (even more repetitious in Brahms’s edition!) was designed in order to facilitate this kind of

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<sup>50</sup> A look back at Example 5.27 (mm. 49-57) suggests that this might be due to the F#-dominant, so forcefully achieved in the expositional TR, only to erase itself, dissolving again into the orbit of D major. Schubert seems to have understood the promissory capabilities of unresolved dominants long before the famous *Moment Musical* examined by Edward Cone (1982). See also Cone (1984).

play. Are the repeats of S and C in the exposition put there *in order* to make the moment of recapitulatory tonal closure both equivalent to and different from the expositional one, seeing as it can occur in a zone that is form-functionally both the same and different?

A more drastic example of the script can be found in Schubert's "bookending" symphonic movement: the finale of his Ninth Symphony, D. 944.<sup>51</sup> This five-alteration recapitulation begins in E $\flat$  major (bIII) and tracks, with the addition of a throbbing half-note accompaniment in the winds and brass, for thirty measures before the first time-alterations at the end of P<sup>A</sup> result in a twelve-bar gain. The thick set of alterations is peppered with red-herring correspondences; as it unfolds it is impossible to get one's bearings, to know what string of correspondences—if any—will end up being "authentic." For one, the ascending leap and falling sixteenth-note figure in mm. 621-623 = 23-25 (bracketed in Example 5.29) happens twice in the exposition, but no less than four times in the recapitulation. (Example 5.29 shows its last three occurrences.) If we are hardnosed about finding correspondence measures—not to say that we should be—we are faced with the intractable: which of the two expositional occurrences of the bracketed gesture are repeated in the recapitulation? Does the "true" second one come "too early," in which case it appears at m. 628 = 32, resulting in a loss of two measures? Or does it perhaps come "too late," appearing at m. 638 = 32, and resulting in a gain of eight measures? Making matters more confusing is a rogue near-correspondence that crops up at m. 631: this measure seems to be equivalent to m. 30, offsetting our first, putative (-2) alteration by adding three measures (not to mention filling in the gap between the jettisoning of correspondences (at = m. 30) and the music that entered

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<sup>51</sup> Both pieces house Beethoven quotations: The development of the finale of the Ninth opens with an unmistakable Ode to Joy quotation, which derives (intra-opus) from the S-PAC music (mm. 193-197); it is a wonderful example of a terminal gesture becoming a beginning.

simultaneously with it (= m. 32)). Imagine yourself in the position of a wanderer of this score-as-landscape. How does the landscape strike you in passages of red-herring correspondences?

m. 627

Recap

motive

= 29 = 30 [= 32] = 33 = 34 [= 30! = 35] = 31

TONAL, THEMATIC ALTERATIONS

m. 633

= 32] = 33! = 33] = 34 = 35

ffz

cresc.

m. 640

fz = 34 = 35] = 32! = 33 = 34 = 35

(+12)

Example 5.29. Thematic Alterations in the Finale of Schubert, D. 944. Recapitulation Only.

The best answer avoids the fool's errand of labeling correspondence measures in this passage of thick alterations and focuses instead on the time-distortions it suggests and the way it is tied up with the piece's tonal argument.<sup>52</sup> The first two iterations of the bracketed gesture remain firmly in E $\flat$  major (with the second one, then, occurring "too

<sup>52</sup> It is of course a tonal solution that is needed in this passage, one that will move the piece to(ward) a proper recapitulatory key (e.g., C, V/C, F).

early”), while the third and fourth ones push toward G minor. (The tonal prestidigitation here hinges on the enharmonic equivalence between  $V^{\flat}/IV$  in  $E^{\flat}$  and the German  $^{\circ}3^{\text{rd}}$  in G minor.) Each iteration of the gesture suggests allegiance to mm. 32-35—an assertion corroborated by the fact that the last one, beginning at mm. 642, continues the correspondence measures from that point forward. Thus the second recapitulatory iteration of this gesture at mm. 628-631, if it = mm. 32-35, occurs two bars too early, while the last one, at mm. 642-645, occurs twelve bars too late.

The alterations are also embroiled with the piece’s hypermeter. In the exposition, the two iterations of the bracketed motive happen at a ten-bar interval (pickups in mm. 22 and 32). But in the recapitulation the gesture appears, in pairs, in duple hypermeters, as if attempting somehow to regularize the exposition’s 10-bar spans. The first pair of occurrences appears at mm. 620 and 628, when the music that equals m. 32 materializes—even though this is the onset of the thick alterations—“two bars too early.” The second pair of occurrences—now within the piece’s large set of thick alterations—appears at mm. 638 and 642. This pair appears at a four-bar interval, in effect turning the 10-bar passage into a single four-bar hypermeasure.

The normalization of hypermeter is a common enough occurrence in recapitulations (so, also, is its de-normalization; see again the finale of the Second Symphony). But this particular recapitulation’s eclipse script may hinge upon the enfranchising of just this behavior. After the first set of thematic-tonal alterations, we find ourselves tracking the expositional thematic layout at a delay of twelve measures and at the tonal interval of a fifth. The next time-alteration occurs when the exposition’s two dominant-lock modules (mm. 37-53 and 55-89), which make up its roughly repeated  $P^B$

zone, are collapsed into a single long one. Again, the music is difficult to parse exactly, in relation to the exposition (especially between m. 654 = 44 and m. 670 = 70, the first alteration and the achievement of the dominant). The passage is characterized by a series of dominant locks, one after the other: the D-as-dominant achieved after the move to G minor is converted into an appellative F-as-dominant at m. 654, beginning the deviation from correspondence measures. Next, the F-dominant yields to an A-dominant (of D minor, m. 662). That chord finally cedes to a C-dominant, the level conducive for ushering the movement's subdominant tilt (m. 670). What is important is the amount of time these alterations take as a whole. Since we arrive, at m. 670, at the moment equal to m. 70 in the exposition, this second passage of tonal-thematic alterations results in a net loss of ten measures. We have chipped away all but two of the twelve measures initially gained in the expansion that occurred between mm. 628 and 642.

The next, strictly thematic, alteration, capitalizes on a behavior learned in the piece's first set of thematic alterations to restore the *composite rhythmos* to perfect balance. At m. 689 = 89 (= 91), the onset of P<sup>A</sup>'—which may double as the onset of TR—two measures are cut out of the referential rotation. The same exact behavior then accompanies the second iteration of this material, at m. 697 = 99 = 101. The strategy is motivic to the piece: by lopping off two measures—one hyperbeat—it transforms the hypermeter of an expositional passage, exactly as had been done in the piece's first set of alterations. Those alterations had converted an irregular expositional 10-bar passage into a regular, symmetrical 8-bar hypermeter. Here, what were perfectly regular quadruple hypermeasures in mm. 89-97, and again at mm. 97-105, are both converted into asymmetrical triple hypermeasures. The first of these loppings-off, by asymmetrizing the

surface hypermeter, equalizes the exposition-recapitulation symmetry. As mentioned, this *rhythmic* symmetry will not last.

The last time-alteration in the movement begins almost immediately after the deletion just considered. It is tied up with a set of overeager tonal alterations, which move away from an F:PAC at m. 701 (= C:PAC at m. 105) that would have brought about the tonal crux of the movement without strain. The thick alterations jettison the expositional path at m. 702  $\neq$  106, and do not pick it back up again until m. 733 = 145, the thematic (but not the tonal!) crux of the movement. The first half of this set of alterations, though it does not track the expositional layout at all, does end up at a false thematic crux at m. 717  $\approx$  121 locally right on time, suggesting that this last alteration may not result in a *rhythmos* transformation at all. However, by m. 725  $\approx$  133, the listener is projecting a deletion (of four bars), and by the true thematic crux (m. 733), it is clear that in total eight bars will be lost.

The final tonal alterations that happen in this movement, required because the last set of thematic-tonal alterations slipped off track (or else deliberately lost one crux in order to find another), occur in the silence of the MC gap at m. 750 = 162.<sup>53</sup> The recapitulation, now ten bars shorter than its referential exposition, tracks until its end. Its eclipse script *in toto* is (+12, -10, -2, -2, -8); its last two alterations eclipse, or re-distort, the symmetry that had been regained after its first three sets of alterations, as if the momentum of the minus-operation has now (in true pendulum fashion) taken over. From one perspective, a massive coda “eclipses the eclipse,” but of course it can do nothing to restore symmetry to the piece’s *composite rhythmos*.

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<sup>53</sup> This MC toes the line between a vi:HC MC and a III:PAC MC just as the expositional MC toed the line between the I:HC MC and a V:PAC MC.

The foregoing has sketched an introduction to “pendulum aesthetics”—the compositional impulse that seems so often to have led to a drive toward symmetry in recapitulations. Once the behavior is identified—either in animistic terms as a *desire* or *will* of sonata forms, or else in historical/aesthetic ones, as a “classical” desideratum—other, more nuanced scripts suggest themselves. We now move on to discuss the last category of multi-alteration script, which houses pieces that make a single type of operation—plus or minus.

### **5.5. The “Mono-Operational” Recapitulation**

Since they make only one type of time-alteration—plus or minus—“mono-operational” recapitulations, more than any other type, call into question the notion of symmetry as an organizing principle.<sup>54</sup> We remember, of course, that the Category 2 recapitulation by definition does not exhibit time symmetry, since it makes only a single time-transformation. But in the Category 3 context, in which multiple alterations are made, the possibility exists (as we have seen) to counteract earlier alterations with later ones. The mono-operational recapitulation thus stands out by resisting the drive toward symmetry: it does not even gesture in that direction. Each set of time-alterations in a mono-operational recapitulation gains meaning from the preceding one. By distorting the symmetry further and further, they suggest a different organizing principle altogether.

We proceed by identifying a few easy examples of the script, getting a feel for its narrative possibilities. I then discuss at greater length the two recapitulations identified in the first sentence of my Introduction—the very different, though similarly constructed, mono-operational (+) first movements of Beethoven’s “Pastoral” Sonata and Schubert’s

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<sup>54</sup> “Mono-operational,” not “mono-alterational.” These recapitulations make multiple alterations of the same type ((+) or (-)), not one single time-alteration (the Category 2 strategy.)

Grand Duo. We thus come full circle as we prepare to close down our discussion of recapitulation scripts.

An easy example of the mono-operational script, the Menuetto from Schubert's Piano Sonata in C Minor, D. 958, serves as a nice introduction even if its two plus-operations are not "integrated" into detailed sets of thematic-tonal alterations (Example 5.30). Here, two one-bar expansions through sheer silence suggest apprehension.

The image displays a musical score for Schubert's Menuetto from Piano Sonata in C Minor, D. 958. The score is divided into three systems, each with a treble and bass clef staff. The first system, labeled 'Expo', shows measures 1 through 27. The second system, labeled 'Recap', shows measures 28 through 34. The third system shows measures 35 through 41. The score includes dynamic markings such as *p*, *cresc.*, *pp*, and *f*. The 'Recap' section features numbered measures (1-6) and a bracketed measure '[ ]' with the annotation '(+1 by apprehension)'. The third system also features numbered measures (7-12) and a bracketed measure '[ ]' with the annotation '(+1 by apprehension)'. The key signature is three flats (C minor) and the time signature is 3/4.

Example 5.30. Expansions Through Silence in the Menuetto from D. 958.

The protagonist, it seems, fully aware of the implications of the musical ABA form he inhabits (not to say perlustrates), stops to think about the direction he is traveling. Even if the alterations, mere bars of rest, seem to be somehow "accidental" to the piece's structure, the fact is that the *goal* of the movement, no matter how negative or fatalistic,

gets farther and farther away from the protagonist as he stops to wonder whether he can go on. Each of its two introspective junctures “costs” a measure, as it were, and only delays the inevitable.<sup>55</sup>

Standard examples of the mono-operational recapitulation are found in any piece that makes more than one time-alteration in the same direction and features no balancing (“compensating”) opposite behavior of any size. Pieces whose multiple sets of time-alterations all *add* measures, such as the finale of Mozart’s K. 330, and the first movement of K. 333, the first movement of Beethoven’s “Waldstein” and “Pastoral” sonatas, the finale of Schubert’s First Symphony and the first movement of his Second, the Minuet we’ve just seen (is this making up for the mono-operational (-) behavior of the preceding Andante?), and the Grand Duo, can suggest anything from indolence or inability, delay or apprehension, to unhurriedness, nonchalance, or despair, as if struggling against all odds to locate and deploy a lost crux. The multiple delays they house can seem tangible to a virtual protagonist, whose cadential (or perceptual) goals likewise seem to recede from view.

Pieces that feature multiple thematic deletions, by contrast, such as the first movement of Beethoven’s “Pathétique” Sonata, Schubert’s Overture to *Alfonso und Estrella*, the Andante of his Piano Sonata D. 959, and many (especially *buffa*) Overtures by Rossini and others, seem to stage accelerations, to bring the ESC or later modules ever more quickly into the grasp of the protagonist, through Grace or willed action. It is

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<sup>55</sup> Another way of putting this: to the extent that the plus-operations in this case are simply holes, and thus do not seem to be integral to any sets of thematic or tonal alterations, the piece seems to split its allegiances between the (literal) mono-operational and the (would-be) *Transpositionsreprise*. But the fact that these are holes, and not involved thematic-tonal alterations, does not remove the piece from membership in the category. The protagonist’s apprehension pushes back the achievement of his negative fate—farther in the repeats; farther still in the large-scale da capo repeat of the Menuetto—but can do nothing to counteract it.

reasonable to ask of recapitulations like this why they should be in such a hurry—perhaps in the case of “The Overture” they are to be understood as making a head nod to a generic norm. Perhaps a different logic is in play. The Pathétique, for example, whose mono-operational script is (-14, -6, -2), may (paradoxically) deploy a mono-operational recapitulation *in order to* push toward time-symmetry, if we understand its minus-operations to be trying to offset the measures gained by the recurrences of its slow introduction. An alternative to this formalist reading (which itself may be quite accurate) is the possibility that it is to be taken as Overture-like, since its script is one that tends to characterize the festive Overture.<sup>56</sup> From a third, narrative, perspective, perhaps the accelerations are meant to highlight the fatalism the piece embodies through its *ombra* topics and (paratextual and textual) evocation of rhetorical *pathos*.<sup>57</sup>

Two examples of the mono-operational script stand here for the multitudes of others, for which we have no room. In addition to explaining the workings of the strategy they serve as one last reminder of the interpretive differences that are possible even in identical recapitulation scripts.

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<sup>56</sup> Recall the Taruskin quotation from Section 1.1. A piece that synthesizes these two points (always mentioned in the same breath as the Pathétique) is Mozart’s Overture to *The Magic Flute*, whose slow introduction returns to launch the development, and whose recapitulation is obsessed with cutting measures (-28 [gratuitous], +6 [thematic-tonal; crux], -1, -1). The deletions both (over-)balance the interpolated slow-introduction material (in this case quite negligible in terms of size), and participate in the generic norm of overture recapitulations that are shorter than their expositions and drive, forcefully and quickly, toward their goal: the raising of the curtain. A programmatic reading of *the early achievement* of “entering ‘these sacred halls’ ” as *Elements* (301) hears the Overture, is available from this perspective as well.

<sup>57</sup> It seems felicitous, in this context, that Sisman (1994) cites this passage on the characteristics of rhetorical *pathos* from Johann Christoph Adelung: “The crowding together of ideas, their impetuous course, the tumult of several often very different passions, the high figures of the highest level of inflamed imagination, the quick succession of short sentences without connections, the striking ellipses, the repetition of the same idea in different forms, etc.”

### 5.5.1. Beethoven's Mono-operational (+) "Pastoral" Sonata as Peasant Time

The first movement of Beethoven's Piano Sonata in D Major, Op. 28 is shot through with the pastoral topic. Its opening ten-bar phrases, limpingly asymmetrical in the manner of so much folk music then and now, unfolds *piano* with parallel imperfect intervals over a drone bass, in the approximation of compound meter.<sup>58</sup> It features three-voice "horn fifths" (see the left hand's thumb), that in this case seem to signify less a piping shepherd than a "framing distance"—a stage on which the "peasant" is to be perceived. The second phrase, beginning in m. 11, being equivalent to the first phrase, but an octave higher, corroborates, for this octave-echo is another paradigmatic (Romantic) signal of distance. Thus together the two phrases seem to lift the curtain on a scene of shepherds piping in the distance. The drone lasts, in the same register, through the piece's entire P-zone (with four quarter notes of exceptions at mm. 25-26, repeated at mm. 33-34), ceasing only in the rest that follows P's terminal D:PAC at m. 39.

P is not the only zone that encapsulates the pastoral, and drones, horn fifths, and parallel thirds, sixths, and tenths are not the only means by which it is captured. Note in TR, which begins in m. 40, the preponderance of fifths, especially the motion from the E-as-dominant at m. 47 directly to the D-as-tonic in m. 48. Though not objectionable—the E-dominant is back relating and thus does not participate in any voice leading with the D

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<sup>58</sup> It thus instantiates, as in a textbook, every feature of Hatten's (2004, 58) list of features of "the quintessential pastoral": "idyllic, untroubled music in major mode with pedal, slow harmonic rhythm, subdominant emphasis, parallel thirds, and simple lyricism in a slow tempo." Adorno ([1971] 1996, 107) writes of metrical irregularity that it is "the dowry which folksong-like melodies bring with them to symphonic prose."

that follows—as a signifier of the folkloric peasant this succession nevertheless flies just under the limit of admissible voice-leading possibilities in the classical style.<sup>59</sup>

The current discussion will focus on the seemingly paradoxical combination of a “staging of nature”—and all the order, balance, perfection, and proportion found therein by late-eighteenth- and early-nineteenth-century aesthetics<sup>60</sup>—and a deliberately *asymmetrical* form. We might expect, in a form that is an imitation of a piping peasant, few or no recapitulatory alterations, for time-alterations are a part of sonata composition’s *art*. (See again the discussion of the Trio of D. 575.) The question that thus presents itself is: how can Beethoven’s Sonata enact so many sets of “artful” thematic alterations and still be a portrait of “nature”? The argument I put forth below is that this particular mono-operational (+) sonata form disavows its “natural” symmetry in order to stage—through art—a premodern or unhurried peasant time.<sup>61</sup>

The “Pastoral’s” recapitulation begins with a set of playful flourishes that unfold over the tonal progression laid out in its exposition.<sup>62</sup> Not until m. 308 does the piper’s desire to play first impinge on the *rhythmos*, demanding a backing-up to repeat what was already a twice-articulated cadence a third time, louder, faster, and higher than ever. The

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<sup>59</sup> Compare the arpeggiated fifths in the Scherzo, e.g., at mm. 5-6 and mm. 13-14.

<sup>60</sup> Hatten (1994, 83): “For a Classical composer the natural order could be captured metaphorically by balance and proportion in the realm of the passions.” Cf. Almén (2008, 142).

<sup>61</sup> As Monelle (2000, 83) would have it, a staging of “the temporality of the signified”: “As in language, [in music] there is a temporality of syntactic structure. But theorists have studied this sort of time, in its typical forms of meter, rhythm, and phrasing, with such profound attention that we forget that music can also *signify* time.”

<sup>62</sup> Compare the pianistic flourishes that “instrumentalize” the rondo finale’s yodeling P-refrain at mm. 51 ff. and mm. 114 ff.

correspondences, beginning in m. 304, thus read: = 36, = 37, = 38, = 39; = 36, = 37, = 38, = 39, and P's terminal D:PAC occurs at m. 311 = 39, four bars too late.

Already the characterization "too late" seems problematic; this piece critiques the notion that arrivals right on time—tied up with modern notions of "clock time" and linear narrative, not to mention the emergence of art based on these—are desirable. The movement's decelerations present a leisurely experience of time, untouched by modern notions of punctuality. Thus it may or may not be surprising that the first set of (gratuitous) tonal alterations (which happens twice, at m. 316 = 44 and again in the repeat of this TR music at m. 324 = 52) does not insure a tonal resolution, down the line. After these beautiful octave lines the piece arrives a whole-tone below its expositional counterpart, instead of a fifth below.<sup>63</sup> But it should not be surprising that the way to achieve the corrective tonal motion of a fourth-descent is tied up with a *rhythmic* deceleration: mm. 328 and 329 are an immediate repeat of mm. 326 and 327 (= 54 and 55), at the proper pitch level. The strategy, by now so familiar, is striking in a piece in which four bars have already been added to the ongoing rotation. The desire to back up to repeat some already performed music had also characterized that first set of thematic-tonal alterations.<sup>64</sup>

If the impression of both these backings-up is one of unhurriedness, of a protagonist whose work has the benefit of not participating in the time that may be moving at an altogether more hurried pace in the bustling city, the next time-alteration in this piece presents "time stopped." The measures preceding the achievement of the

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<sup>63</sup> Are these descending octave lines from D-D the source of the descending third progression in the finale, mm. 17 ff.?

<sup>64</sup> Compare, too, the first movement of the "Pastoral" Symphony, which also features this type of tonal alteration, and which also features two decelerations.

ESC—all the more charged with forward drive for their necessarily “corrective” rearticulation of the S modules that earlier led to an evaded cadence at m. 383 (= 109)—delay its realization even more extremely than in the exposition. In the exposition the motion to the cadence beginning at m. 125—already a repeat of the earlier motion beginning at m. 103—pauses on the cadential  $\frac{6}{4}$  chord for six full measures, only resolving it to the  $\frac{3}{4}$  version on the last beat of m. 134. Articulations of the  $I^6$ ,  $V^{\frac{3}{4}}/V$ , and  $V^{\frac{6}{4}}$  chords alternate with single measures of double-reed melismas, and the apotheosis that occurs over the final  $\frac{6}{4}$  chord suggests a playfulness not to be rushed by the commerce and social intercourse of the everyday world.<sup>65</sup> In the recapitulation the parallel cadential  $\frac{6}{4}$  chord, achieved at m. 403 = 129, is followed by no less than three iterations of what in the exposition was m. 130. These repetitions of single referential measures are anything but anguished, as they were in some examples adduced in Chapter 4. On the contrary, time here seems to stop dead—incidentally in precisely the way that it does between a  $\frac{6}{4}$  chord and its resolution in a classical cadenza—in a staging of pastoral temporal stasis.

Against this backdrop it seems surprising neither that the movement contains a coda, in addition to all the addings of measures, nor that the coda is P-based and quite repetitive. That it is P-based suggests, of course, the possibility of an even more broadly cyclical time than has transpired in its treatment of its recapitulation. For P unfurls at the piece’s beginning, as a storm in its development, at the onset of its recapitulation, and

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<sup>65</sup> In the pure pastoral mode this alterity (from the modern, from the urban, and so on) is valorized; in much of Schubert’s music, on the other hand, *Fremdlichkeit* has a negative charge. The difference perhaps inheres in the desire (or lack of desire) on the part of the protagonist to be a part of the (emerging) bourgeois society. The shepherd is at ease with isolating himself in an antiquated, fully agrarian world; the social outcast, *even though* he sees the bourgeois world as illusion, nevertheless cannot judge himself except in relation to (his otherness from) it. To him, the pure pastoral mode seems impossibly fantastical.

again in its coda. The isolation, liquidation, and repetition (at mm. 446 ff.) in the coda of what was in the exposition a two-bar suffix—the asymmetrizing impulse included in the piece’s first phrase as well as composed into its large-scale formal fabric—contribute to the feelings of stasis and circularity in the context of a piece of art-music that nevertheless must close. With each two-bar repeat, the upper voice ascends by a slow arpeggiation from F#4 all the way up to D7 (ever higher, and more distant). The final bars—witness its lowering dynamics—obtain the dramatic balancing function of closing the curtain, even as they reinforce the perception that time does not apply here.<sup>66</sup>

Beethoven’s dramatic presentation of a premodern time is all the more impressive in that it is housed in a form defined by its (“economic”) motion towards cadential goals. In many ways, it is the integration of the two seemingly self-contradictory impulses (nature-music and art-music) that is Beethoven’s achievement. It does not, or at least not straightforwardly, “articulate the dominant temporality of the society that [gave] it birth,” as Monelle (2000, 84) has written, except insofar as it is impossible to articulate any other temporality in a sonata structure. Rather, through its form it stages a temporality long since lost to modern man.<sup>67</sup>

When we write of the conflicts between the *telo*i that are “built in” to the sonata argument, and any avoidance of those *telo*i for narrative or dramatic reasons (or due to compositional maladroitness), we are firmly in the bailiwick of Schubert studies. For only one example that must here stand for literally hundreds, take Almén (2008, 142),

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<sup>66</sup> The other movements of this sonata also partake of the pastoral mode; in this piece it is certainly the ruling expressive genre. Note that its Type 4 sonata-rondo finale has two sets of time-alterations, both of which add measures to the ongoing rotation, and a large, refrain-based coda. See mm. 130-144 (+3) and mm. 145-158 (+1).

<sup>67</sup> Monelle (2006, 185) identifies the pastoral as “the most profoundly mythical of all topics. Never at any time did it bear much relation to social realities.”

who writes of D. 960 that “this static, timeless quality is potentially at odds with the sonata principle.... The essentially dynamic character of the sonata is thus ideal as a staging ground for rendering problematic the static pastoral-as-theme.”<sup>68</sup> But the “transplanting of the idealized pastoral into the developmental sonata environment,” as Almén puts it, has resulted here in none of the formal distortions that so often crop up in Schubert’s peculiar backings-up. The pastoral stasis in Beethoven’s sonata seems rather to make the “essentially teleological” form that supposedly “houses” it work in service of his desired presentation of timelessness. In this regard, it comes close to what Monelle argues is the metaphysical quiddity of music *per se* (94): “music ... is devoted to recovering western man from the abyss of clock time.”<sup>69</sup> Beethoven’s “Pastoral” Sonata, like the nineteenth-century shepherd, inhabits a temporality different from that of his immediately surrounding social reality, governed as it was by technological progress, linear time, mass production, and workaday commerce.

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<sup>68</sup> This has been a trope in Schubert studies since at least Salzer (1928). The interesting thing about this type of claim is that it exists whether scholars implicitly subscribe to it (Almén), explicitly subscribe to it (Dahlhaus, Gingerich, Burnham), or attempt to critique it (Mak, Clark).

<sup>69</sup> On the emergence of “monochronic” temporality in the West, see pages 93 ff., of which the following is representative: “Clock time came to birth when the naturally encompassable cyclic times were overridden for purposes of profit.” See also McLuhan (1962). On the emergence of the Sonata Form (and the *Bildungsroman*, qua reified formal constructs) as the ideal artistic vehicles for the representation of bourgeois subjectivity, see McClary (1992).

### 5.5.2. Schubert's Mono-operational (+) Grand Duo and the Lost Crux

The "heavenly length" of Schubert's most ambitious instrumental compositions entailed innovative narrative strategies and manipulations of a listener's feeling of time that are quite different from those of Beethoven."<sup>70</sup>

The first movement of Schubert's Grand Duo, D. 812, deploys the mono-operational (+) recapitulation to different ends. Its exposition, far from the idyllic pastoral staged in Beethoven's Op. 28, is rife with Schubertian quirks: it features a quite chromatic surface (including Slide relationships between tonic C and C# minor and dominant G and G# minor), a three-key exposition, and a trimodular block. Most expositional modules are locally repeated, and TM<sup>1</sup>, TM<sup>3</sup>, and C are all P-based (TM<sup>3</sup> = TM<sup>1</sup>), creating more opportunities for feelings of repetition and backing up.<sup>71</sup> (Interestingly, some thematic gestures in TM<sup>3</sup>, such as the cadence-maker at 85-93, come directly from P, looking over its immediate allegiance to TM<sup>1</sup>. Too, some of TM<sup>2</sup> is TR-based, calling attention to that module's transitional function.) The Duo's chromatic, P-based development is also peculiarly Schubertian: it houses a major-third cycle (not-incidentally tied up with a quotation of Beethoven's Archduke Trio in the proper key), and strophic modulation at the interval of a rising whole tone. But it is the Grand Duo's recapitulation that concerns us here, in particular its many time-adding transformations. Let us conceive of these recapitulatory tonal and thematic alterations as a series of three "steps."

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<sup>70</sup> Gibbs (2000, 175).

<sup>71</sup> Schubert, it would seem, occupies a unique position in history in that he is the only composer who can write inorganic, mechanistic music that nevertheless is shot through with developing variation. Writers have only just realized this curiously duplicitous state of affairs, and it would be instructive for our understanding of what organicism in music means to tease Schubert's organicism apart from Beethoven's (= Schoenberg's from Schenker's?).

Step one: get to F# minor instead of C# minor. After 27 bars of tracking the exposition at pitch, the first set of tonal-thematic alterations (in TR) consists of moving downwards by fifth, in order, one would presume, to achieve the tonal crux early. The behavior, even if it accrues a different hue in a piece already so saturated with P, is a textbook example of backing up to repeat the immediately sounded module at the subdominant. It takes eight measures to enact. Between the last beat of m. 201 and the onset of m. 202 the thematic gear clicks back eight measures and the tonal gear is set down a fifth. Because of the behavior, the Slide relationship that in the exposition moved from the tonic C major to C#-minor (ultimately iv in Ab) will in the recapitulation concern F and F#. A (three-key) Category 2 solution, with the script (+8) is now a viable solution to the recapitulatory puzzle.

Step two: trade the now achieved, semitone-related F# minor back for its diatonic “shadow,” F minor. Interesting about this behavior is the fact that F# minor was achieved at m. 216, when it displaced none other than F major, which was achieved as the goal of our “step one,” way back at m. 202. As we have seen, tonal motion by semitone often *takes time*, especially if some amount of labor is to be thematized; the situation here is no exception. After articulating six bars of F#-minor (mm. 216-221 = 34-39) the music again backs up to re-treat mm. 34 ff., *fortissimo* at a different pitch level, Bb minor. The (unmediated) tonal relationship between F# minor and Bb minor at mm. 221-222 may have been learned from the hexatonic relationships in the development section, and may also tie in to other larger-scale hexatonic relationships in this piece, but what is important about this tonal move is its self-cancelling motion downwards by semitone. M. 222 thus equals m. 34, and these red herring correspondences “track” (parenthetically, although no

less charged for that) through the two bars of silence at mm. 40 and 41, before again backing up to the local thematic crux at m. 230 = 38. The loud, chromatic, and funereal music that equals m. 38 is thus sounded no fewer than three times in this second set of alterations: once at m. 220, projecting a three-key recapitulation in the pattern C-D $\flat$ -C, a second time in B $\flat$  minor (suggesting a TM<sup>1</sup> in F major?), and a third time in F minor, projecting—if nothing else changes—a TM<sup>1</sup> in the tonic C major.

One way to understand these additional (tonal) alterations is as stemming from a desire to recapitulate all of the piece's themes in C. But this tonal observation says nothing about the type of alteration Schubert chooses, a thematic backing-up (the second in this now "bloated" recapitulation) to try to achieve a tonal crux. All in all, "step two" results in an addition of ten measures (all the longer for the fact that its internal, red herring correspondences projected an addition of only six bars). The thematic crux is thus pushed back even further than initially projected: the script so far is (+8, +6<sup>2</sup>, +10!).

Step three: trade the semitonal motion from A $\flat$ -G in the exposition for music that stays in the tonic. TM<sup>1</sup> does indeed enter in the tonic key, albeit in the minor mode (how much gloomier the slithering, semitonal-voice-leading leading up to this minor-mode S-theme in this context), and tracks in this troubled three-flat universe until a c:PAC (i:PAC!) at m. 258 replaces what was an IAC in the exposition (m. 66).<sup>72</sup> The differences in cadential strength and mode give the feeling of bringing the hammer down. (Notice that through the Secondo part's inversion, TM<sup>1rep</sup>, which begins at m. 251 makes clear the derivation of TM<sup>1</sup> from P.) We seem to be firmly (and negatively) stuck in the minorized tonic. Adding to our malaise is the knowledge that we cannot unconcernedly stay in this

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<sup>72</sup> Rosen (1997, 87): "a theme in the major mode recapitulated only in the minor is, I believe, unprecedented in a sonata."

minor tonic and expect to end up with tonic closure: another set of tonal alterations is necessary.

In the exposition, TM<sup>2</sup>, which was based on the motives of TM<sup>1</sup>, is characterized by a falling thirds sequence that problematically arrives at G as the dominant of (the tonic?) C minor—a portentous move we now understand.<sup>73</sup> There, the correction involved using the E<sup>b</sup> (as the bass of a tonic i<sup>6</sup> chord) as an augmented-sixth chord, by analogy to the E augmented sixth that moved us into the orbit of A<sup>b</sup> for TM<sup>1</sup> (m. 44). In the recapitulation, TM<sup>2</sup> is rather concerned with hammering home the key of C minor at *fortissimo* dynamics: the motion towards a c:PAC at m. 262 both integrates the falling thirds of the expositional TM<sup>2</sup> with a tonic-maintaining cadence and recapitulates, in miniature, the thematic plan of the exposition. The repeat of this module locks on to the dominant of C minor at m. 266, again from an augmented-sixth chord (and again redolent of the expositional plan as a whole). It then prolongs this dominant through textbook  $\ddot{\text{a}}$  alterations—always in the minor mode—until the arrival of a i:HC PMC at m. 270 = 76, the very long-*forestalled* thematic and tonal crux of the movement.

This third and last set of thematic-tonal alterations, which keeps the recapitulation from slipping down to B major, is different in kind from the earlier two, since it is not trying to *move* somewhere, but to *keep from* moving somewhere. Still, even as those alterations necessitated time to break from their referential tonal paths, so, too, does this one. It results, after all is said and done, in an addition of two measures, adding a feeling of slowness, or fatigue, of fatalism or being mired—at any rate of labor, in a situation in

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<sup>73</sup> The dramatic effectiveness of this gesture of foreshadowing, coupled with Schubert's known penchant for promissory notes, ought to paint those pieces famous for pushing toward problematic tonics in their expositional TRs toward tonic in a new light.

which it is hard to procure. Especially when coupled with the overwhelmingly minor-mode recapitulation, it suggests complete exhaustion, perhaps from the effort of pushing back against an external force that exerts its (tonal) pressure on the protagonist.

It is important to consider that since this piece's recapitulatory TR modulated to C, the reiteration of TM<sup>1</sup> as TM<sup>3</sup>, with TM<sup>2</sup> as a medial transition, is "redundant," as much thematically as tonally. The Duo's first set of tonal alterations thus "implies" the redundancy of TM<sup>2</sup> and points directly to the near thematic equivalence of TM<sup>3</sup> and TM<sup>1</sup>. If we are the type of listener that projects deletions of thematically (or tonally) redundant material in recapitulations, we would imagine large cuts to TM<sup>2</sup> and TM<sup>3</sup> that would perhaps balance the movement's initial 8-bar gain. How much more striking, then, that not only are the "tonally superfluous" TM<sup>2</sup> and the "thematically redundant" TM<sup>3</sup> included in the recapitulation, but that TM<sup>2</sup> actually houses a plus-alteration (!), in the form of an addition of two bars.<sup>74</sup>

The music that follows the achievement of the thematic and tonal crux at m. 270 = 76 restores C major, and tracks its referential exposition until its end. To my ears it cannot cancel the effect of the extraordinarily minor-mode recapitulation, not to mention the two c:PACs that occur therein. Different from its presentation in the exposition, TM<sup>3</sup>—its valedictory peregrinations to C# minor and E major, and its preservation of the triplets of TM<sup>2</sup> (ultimately TR)—accrues a darker hue in the recapitulatory context.

It should not be surprising that the movement features a long coda, nor that it is P-based (as has been every other module in this sonata) and deals with articulating the

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<sup>74</sup> If it is thought that these plus-operations are one reason Schubert's music feels so long, so blown out of proportion, it is important to remember that recapitulatory additions are common enough; if Schubert's music is too long, criteria for this will have to come from elsewhere than his recapitulatory expansions.

TMB incipit in C major. My final injunction to the reader is to hear this coda not in terms of a secondary development or a compensatory resolution, and not in terms of a statement of ambition or grandeur, as if a piece of this scope somehow demands it. Hear it as a further, more deliberate or grotesque or exaggerated distortion of the symmetry of halves so basic to sonata form—a behavior articulated by all three of this piece’s ostensibly “tonal” alterations. (Remember that after the first set of tonal alterations, which result in a gain of eight measures, no other addition would have been necessary.) The piece’s final script is thus (+8, +6?, +10!, +2, + a 74-bar coda, which unfurls in two large, P-based rotations).

The Grand Duo, whose mono-operational (+) recapitulation “houses” as well as intensifies its Schubertian backings-up and slowings-down, is a nice foil to the way these behaviors were deployed in the peaceful pastoral of Beethoven’s Op. 28. Different from the “Pastoral” Sonata’s staging of a serenity lost to modern man, the dysphoric Duo seems itself to *stage a loss*—of a crux, of the major mode, and so on. It serves as a final reminder that recapitulation scripts, which suggest dramatic and narrative scenarios, ultimately work hand in hand with a piece’s content. They do not mean on their own.

A final note on the different effects produced by Beethoven’s and Schubert’s deployments of a similar script is that these effects may hinge less on the status of the achievement of goals (such as the crux and the major mode) than on their ability to make them sound like goals at all. Beethoven’s sonata manages to present a situation in which tonal cruxes, cadential arrivals, and the like, seem to the listener—even one steeped in the Classical style—as unnecessary. Let them happen when they will! Schubert’s Duo, on the other hand, seems somehow to foreground the inachievement of its goals, which

maintain their status as necessary, if always just out of reach (and receding ever further into the distance).<sup>75</sup> Thus the effect of Beethoven's form seems to be perfectly described by Monelle's glossing of Bakhtin's discussion of the Idyll (2006, 195):

Since nothing changes in the pastoral world, time is not experienced as a historical or developing process. Only the cycles of the seasons and the hours of day and night are markers of time, which thus repeats itself constantly.... Nothing seems to change. There are no goals, no ambitions, no disappointments.

That of Schubert, on the other hand, seems, through its thematizing of work, to strive toward achieving its goals, to struggle (as part of a "developing process") to attain the goals that—since they are already built in to the sonata argument—should not be so difficult to achieve.

I do not use these two examples side by side to say that Beethoven composed *this* way while Schubert composed *that* way, still less to argue that Beethoven was better integrated in society than Schubert, that perennial outsider. These and other arguments (the masculinity argument, the sexuality argument, the history-of-music-theory argument) have the end effect of reinscribing the differences perceived between the figures of Beethoven and Schubert, not transcending or neutralizing them. They are not the conclusions to draw from the current discussion. I use these individual movements to show two different ends to which two composers leveraged the narrative possibilities of the mono-operational recapitulation. These are two possibilities, deployed (but not

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<sup>75</sup> This observation runs counter to the ideas that Schubert's music somehow does not work within the bounds of classical norms, and that traditional music-theoretical machinery is not up to the task of analyzing it. For one version of this oft-delivered thesis see Clark (2011, ch. 4).

discovered) by Beethoven and Schubert respectively, of creating compelling narrative forms out of the same recapitulation script.<sup>76</sup>

There is, however, one traditional quarrel with Schubert that bears addressing in this context. Before concluding Part II, I point to a quotation from Salzer's 1928 essay that well-read Schubertians know can stand for many others, both historical and current. After the foregoing it should seem fallacious enough to stand without further comment.

To end our discussion of Schubert's approach to the recapitulation, we come to the conclusion that on the whole his recapitulations displayed no drastic differences from their expositions.... Furthermore, it is also unusual that in the transition, the changes necessary (to preserve the tonal relationships) would often be completely trivial, in that only those changes crucial to the preservation of thematic and metrical structure would be undertaken (124).

### 5.6. Conclusions to Part II

The last four chapters have laid the foundations for a theory of the recapitulation based on *rhythmic* differences from referential expositions. One way to understand the project, as it has unfolded thus far, is as an answer to the question: "what is the difference, if any (perceptual, compositional, narrative, generic, qualitative), between the 'Schubertian' *Transpositionsreprise* and recapitulations that spend more time or effort getting to their conclusions?" I have focused both on the formal—the *techne*, the *hows* of these alterations—and on the hermeneutic—the meanings suggested by these. It bears emphasis, in these concluding remarks, that reader is free to dispense with my semantic attributions while nevertheless preserving my "syntactic base."

Later, but not any more advanced, work might address the explicitly comparative, art-historical implications of this particular aspect of sonata forms. Where did composers

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<sup>76</sup> Compare *Elements* (252-253): "the structural shape of any given sonata can respond to any number of extramusical parallels that listeners might wish to interweave into it, provided that that narrative is governed by the same expressive shape as the music in all of its details."

learn to make tonal-thematic alterations? How does their approach to recapitulatory alterations contribute to our understanding of their development as composers (or as fabulists), or as members in historical chains of replication? Do patterns emerge regarding when certain alteration-types are appropriate, generically speaking? Does Schubert preserve the “scripts” of pieces he is said to have modeled his own pieces upon? How are his presentations of time and space different from that of his predecessors? And so on.

We have now come several hundred pages, and yet the last three chapters do indeed represent only the basics of this “way of hearing” sonatas. The point for further research is to *use* this analytic alignment in order to understand larger trends in the development both of individual composers and of the evolving sonata tradition to which they contribute. In an effort to make good on the claim that by focusing on recapitulatory alterations we might refine our art-historical and generic understanding of musical forms, Part III singles out one particular script for detailed focus. It is a preliminary study of Schubert’s strikingly consistent deployment of the “compensation script” in one compositional context over the course of his career. It is an attempt to use recapitulation scripts in order to identify one more of Schubert’s so-called “fingerprints” (Wollenberg, 2011).

# PART III:

## DIRECTIONS FOR FURTHER RESEARCH

## CHAPTER 6:

### COMPENSATION SCRIPTS IN SCHUBERT'S EXPANDED TYPE 1 SONATAS

#### 6.0. A Zero Module

##### 6.1.1. Compensation Scripts in Schubert's Expanded Type 1 Sonatas

.2. Two Behaviors

.3. D. 960, iv

.4. D. 956, iv

.5. D. 804, iv

.6. D. 590

#### 6.2. Conclusions to Part III

#### 6.3. Larger Conclusions

There is the enduring tradition of allowing first movements to stand for the whole in studies that deal with later eighteenth-century instrumental cycles, a premise that has obviously discouraged close scrutiny of final movements in general... Perhaps as a line of least resistance, scholars have seemingly chosen to extrapolate from their first-movement analyses and thus to apply overly simple templates to the finales rather than developing flexible, process-oriented methods.<sup>1</sup>

Schubert had always had trouble in controlling the rondo. It is to his finales, and especially to his rondo finales, that his reputation for rambling redundancy is due.<sup>2</sup>

The composer of a sonata (or of anything else) was concerned with reconciling the demands of expression and proportion. Symmetry withheld and then finally granted is one of the basic satisfactions of eighteenth-century art.<sup>3</sup>

Good taste," therefore, reveals itself in the *degree* of variety admitted to an expressive content, the *proportions* allotted to each affect, and the *means* used to convey these sentiments. While all works of art depend on good taste, this feature is mentioned especially in relation to the composition of rondos.<sup>4</sup>

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<sup>1</sup> Grave (2010, 148).

<sup>2</sup> Cone (1970, 787).

<sup>3</sup> Rosen (1998, 49-50).

<sup>4</sup> Portowitz (2001, 131).

## **6.0. A Zero Module.**

*The typology presented in Part II raises questions about how genre and history. Were different types of alterations desirable (or normative) in different compositional contexts? How did a composer choose an appropriate script for, say, an Overture, a rondo, or a finale? Were there (tacit) generic requirements that governed these choices? Did composers cultivate individual preferences for particular scripts in certain contexts? The following treatment of Schubert's personalized approach to one peculiar sonata strategy is one "application" of the theory delineated in the first two parts of this study. It is designed to show directions for further research.*

### **6.1. Compensation Scripts in Schubert's Expanded Type 1 Sonatas**

Schubert had a life-long interest in what Sonata Theory calls "birotational" sonata forms, those forms associated with overtures and slow movements that trace two, rather than three, paths through their thematic material—forms, in other words, that contain no developmental rotation. He composed these Overture-like, or Baroque-binary-like pieces from his very first essays (DD. 2 and 4) until his very last (DD. 956 and 960). He composed them in movements of different speed and disposition within the sonata cycle, and he composed them across genres (overtures, chamber music, piano sonatas). Especially later in life, and especially in his finales, Schubert showed a predilection for a birotational form whose second rotation (recapitulation) features a developmental expansion—a bulge or interpolation, which results in a layout for which Sonata Theory uses the adjective "expanded," as in "expanded Type 1 sonata."<sup>5</sup>

The expanded Type 1 sonata's "built-in" *rhythmos*-distortion makes it especially attractive from the current perspective, interested as it is in any drive toward symmetry that might be used to balance or offset the bulge. But Schubert's individualized response to this particular formal strategy—the ways in which he made this form his own—has

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<sup>5</sup> "Type 1" because it traces two main rotations, exposition and recapitulation (no development); "expanded" because it has developmental rhetoric interpolated into the middle of its second rotation. See also Pascall (1974).

typically been overshadowed by scholarly interest in what he learned from Mozart, how he influenced Brahms, or the perennially insoluble question whether this abstract form is best understood as Rondo or Sonata.<sup>6</sup> Building off the typology of scripts laid out in the foregoing, this final chapter focuses instead on articulating a set of features that characterize Schubert's personalized appropriation of the expanded Type 1 layout.<sup>7</sup> It isolates the expanded type of bi-rotational form, and uses it as a lens through which to view larger issues of sonata praxis, within Schubert's output as well as in larger historical and aesthetic contexts. Moving backwards in order of composition, I provide analyses of four pieces Schubert composed in this idiosyncratic form—the finales of the last piano sonata (D. 960), the Cello Quintet (D. 956), and the “Rosamunde” Quartet (D. 804), and the Overture *in the Italian Style* (D. 590)—with the goal of bringing to light a set of compositional approaches that is common to all of them.

### 6.1.2. Two Behaviors

Two particular behaviors characterize Schubert's deployments of the expanded Type 1 strategy considered below. The first is a preoccupation with pendulum aesthetics. In each of the movements addressed, after shoehorning a passage of developmental rhetoric into the form, Schubert compensates for the enlargement, in stages, by deleting multiple sets of later referential modules. The scripts we will see below are thus “compensation scripts,” of one variety or another; most fall under Category 3.1.b.

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<sup>6</sup> Tovey (1927), Einstein (1951), Chusid (1955, 1962), Pascall (1974, 1983), Hur (1992), Daverio (1995), and Galand (1995 and 2008).

<sup>7</sup> It may also contribute to understanding Mozart's influence on Schubert, or Schubert's influence on Brahms: the more we know about Schubert's treatment of these forms, the more sensitive we can be to the so-called “chain of replication.”

As in the pieces examined in the last chapter, the pendulum swings outwards as an initial interpolation sunders the immanent symmetry of the birotational form. The only thing different about these pieces from those in the last chapter is that the “bulge”—the initial expansion, is “built-in” to the form; it is understood as *generic*. For the moment, the enlargement both suggests a recapitulation much larger than its referential exposition and projects each of its major arrival points to occur “too late.” But the pendulum then swings inwards, as a series of cuts begins to push toward a restoration of balance.

The second behavior concerns the way in which Schubert cuts: in every case some continuity (registral, thematic, voice-leading) is preserved across the seam, even as the recapitulatory fabric is being riven. Sometimes these connections are already clear in the expositional layout, to be capitalized upon in the recapitulation; other times, it seems that Schubert is showing us connections that we were not aware of. What is important is the smoothness of the progressions: like so many of the examples seen above, the first module can lead smoothly both to the medial one (in the exposition), and to the final one (in the recapitulation).<sup>8</sup> Example 6.1 summarizes: because of some equivalence of events B and C, event A can move seamlessly to both of them. In the exposition one path is chosen; in the recapitulation the other.

<b>Event:</b>	<b>1</b>	<b>2</b>	<b>3</b>
Exposition	A	B (=)	C
Recapitulation	A [(NO B)]	C	

Example 6. 1. Compressions by “Double Duty”: A Model.

<sup>8</sup> Look back at my discussions of the first movement of Schubert’s Fifth Symphony, Example 5.3; the first movement of the “Rosamunde” Quartet, Example 5.9; and the first movement of Beethoven’s Piano Sonata Op. 10/1, Example 5.22.



intended to impress with their straightforwardness, unaffected sincerity, or popular/folklike spontaneity” (159).

But in Schubert lyric designs are often exploited for the ambiguity that comes along with their built-in repetitiveness—the “*where are we?*” types of distortions that accompany the accumulation of repeats. And this piece does indeed combine its *volkstümlich* or *volksweise* aesthetic with sophisticated temporal play. One such site of this temporal play is of course the recapitulatory “Type-1 interpolation,” when P space gets interrupted by a passage of developmental rhetoric, presented in sequence blocks, and subjected to invertible counterpoint. Example 6.3 represents the 56-measure interpolation with brackets on the bottom system.

The image displays two systems of musical notation for Schubert's D. 960. The top system, labeled 'Expo', contains measures 28 through 35. Measure 28 is marked with '(B)' above it, and measure 34 is marked with 'A'' above it. The bottom system, labeled 'Recap', contains measures 251 through 312. Measure 251 is marked with '(B)' above it, and measure 312 is marked with 'A'' above it. Between measures 312a and 32b, there is a section labeled 'Type 1 Interpolation' with a duration of '(+56)'. Brackets on the bottom system indicate the 56-measure interpolation. The recapitulation measures are numbered as follows: = 28, = 29, = 30, = 31, = 32a, = 32b, = 33, = 34, = 35.

Example 6. 3. D. 960's Type-1 Interpolation.

All in all, 56 measures are interpolated into the middle of measure 255, making this a perfect, if very large, example of the Kochian *Einschaltung*.<sup>12</sup> The music picks up precisely at the point at which it left off, mid-bar, to the beat. (Compare earlier interpolations in both P and S, which serve as a sort of cipher for the behavior.) The

<sup>12</sup> See Sisman (1982, 454) and Rothstein (1989, 87), who discusses Riemann's “significant broadening of Koch's concept.” Galand (2008) writes that the “pure” interpolation is typically the case in Schubert, but Schubert's interpolations get much blurrier than this one (see the finale of D. 804).

pendulum swings way outward, suggesting an enormous second rotation, and projecting each formal articulation after the interpolation to arrive 56 measures *too late*.

But other features of this recapitulation respond to, or react to, this bloating by cutting measures in subtle ways; the pendulum pushes toward neutral. The first of these balancing deletions occurs at m. 357, when a triply layered thematic correspondence enacts a striking and sophisticated temporal compression of six bars, as measured against the referential rotation (Example 6.4).

The image shows a musical score with two systems. The top system is labeled 'Expo' and contains measures 76 through 86. Above measures 76-86 is a box labeled 'A' as TR'. Above measures 84-86 is a box labeled 'S'. The bottom system is labeled 'Recap' and starts at measure 356. It shows a triple correspondence where measure 357 is equivalent to measures 77, 81, and 83. A box contains the numbers 77, 81, and 83. Below this box is the label '(-6)'. Labels 'I:HC MC' and 'FILL' are placed below the recapitulation staff. Dotted lines connect measure 357 to measures 77, 81, and 83.

Example 6. 4. An Initial Responding Deletion by “Triple Correspondence.”

Note this behavior well: by virtue of the repetitive nature of the *exposition's* drive to the medial caesura, the recapitulatory m. 357 is equivalent in some way to three different measures, as shown with dotted lines. It is equal to m. 77 by virtue of its place in the rotation and thematic equivalence; to m. 81 by virtue of the left hand's medial-caesura chord (a fifth lower); and to m. 83 by virtue of its identity to the material that just precedes the resumption of correspondence.

The reader will remember that such accelerations give impressions of perspectival *foreshortening*, as in the visual arts. Our virtual motion to an event, which we project at a certain time point, is distorted in a manner analogous to that artistic phenomenon: the



these measures. As shown, starting in m. 475, two levels of correspondence are active; by m. 482 it is clear that the lower level of correspondences will proceed to the end of the rotation, effectively cutting 8 bars of the recapitulation in concordance with our script of compensation. The disjuncture is smoothed by the thematic equivalence; just as earlier we happened upon an F-major chord that was satisfactory for a new medial caesura, here too, whether by chance or by Grace, but it seems not by willed action, it happens that the recapitulatory retransition appears at the exact pitch level which will usher the initial G octave stamp and thus prepare the coda.

The recapitulatory treatment of this piece's RT is homologous to the treatment of its MC and the previous cutting of measures. In the case of the MC the F that was achieved by mere "copying" was sufficient to serve as a satisfactory MC type, a I:HC MC. Likewise, the B $\flat$  that begins RT is satisfactory for motion to a coda that begins on the same emphatic G octaves that begin the piece's first two rotations. Schubert seizes upon these moments (as agents of compression) to balance out the discrepancy in size of the two rotations in precisely the same way. Example 6.6 summarizes the tonal behavior.

Example 6. 6. Compressions Through Tonal Prestidigitation.

Next to the 56-bar interpolation, these two accelerations, of 6 and 8 bars, respectively, seem nugatory, unable to balance the bulge. Though later examples get progressively closer to restoring their sundered symmetry, we should recall that

pendulum aesthetics does not, or does not only, concern final products, but rather the behaviors themselves, the series of expansions and balancing compressions, decelerations and compensating accelerations, sees and saws, and so on. Here the implication is that the piece attempts, but cannot quite restore, the symmetry lost after its large, “type-1” interpolation.

**6.1.4. The Finale of D. 956 ([+2], +54, [-2], -29, +8)**

The finale of the B $\flat$  piano sonata may have the clearest interpolation of the expanded Type 1 sonatas in Schubert’s late output—a true parenthesis if ever there was one—but other late finales feature expansions almost as pure. The recapitulation of the Cello Quintet, D. 956 features a sophisticated variation on the “pure” interpolation.<sup>13</sup> Here, just before the developmental expansion is wedged into the second rotation there is a quirky and seemingly gratuitous two-bar expansion by repetition. Mm. 191-192, which equal mm. 23-24, are repeated exactly in mm. 193-194.

Example 6. 7. A 2-bar Pre-interpolation Expansion in the Finale of D. 956.

<sup>13</sup> Gingerich (2000, 626) calls this movement a rondo, Chusid (1997, 184) “another sonata-rondo employing the form of the finale of Mozart’s C Major Quintet (A B A C B Coda).”

The music then rejoins correspondence measures (though strictly speaking at a distance of two measures), and tracks until a 54-bar expansion is shoehorned into TR space. Like the one in D. 960, this type-1 expansion thematizes concerns specific to this work—in this case instrumentational play. At its end an apprehensive, *pianissimo*, rest-punctuated, decelerating cadence, which sounds more like a misfired authentic cadence than a half cadence proper, rewrites the MC material, preparing S in a manner different from its preparation the exposition.

Example 6. 8. D. 956's Type-1 Interpolation.

Though even in Schubert it is rare to have different MC material in the two rotations, here there is yet something more remarkable to be said: the Type-1 interpolation in this piece began one quarter note before the moment equivalent to m. 44, precisely two bars before the projected onset of S (which begins one quarter note before m. 46). But the two bars that articulated this MC in the exposition, mm. 44 and most of 45, do not return in the recapitulation—that music is rewritten. Thus, the new, and strikingly odd MC,<sup>14</sup> which has no counterpart in the exposition, writes over precisely

<sup>14</sup> I've chosen the deformational "I:HC<sup>7</sup> MC" option to preserve the literal caesura effect, but a "I:AC" MC, flush elided with the pickup to S is another viable read. That reading preserves

eight beats, two bars, of the referential layout. Unlike the case of the finale of D. 960, where every measure not sounded in the recapitulation could be understood as a cut by double correspondence, an explanation of these missing measures hinges on the seemingly gratuitous two-bar repetition at mm. 193-194. Here, the Type-1 interpolation serves to equalize the mini expansion even as it asymmetrizes the large-scale form. Notwithstanding the large, interpolated Type-1 expansion, S begins right on time.

Like the case of D. 960, though, here Schubert “responds” to these 54 added measures by deleting expositional thematic material from the recapitulatory rotation, in this case, an entire iteration of S. The quintet’s expositional S theme consists of a large, 33-measure chunk of music that is repeated immediately and nearly exactly, except for instrumental changes and a short tag that is added to its second iteration (see mm. 268 ff.). As shown in Example 6.9, the repeated S in the exposition occurs only once in the recapitulation. By traversing the seam gently, blurring the *rhythmic*/thematic reference by combining elements of both expositional S modules, Schubert creates the same type of cut here as in the retransition of D. 960.

Exposition:	S m. 46	S <sup>rep</sup> m. 79
Recapitulation:	S m. 268	

Example 6. 9. Removal of One S-iteration from D. 956.

All told, this deletion results in a loss of twenty-nine measures, against the interpolation’s gain of fifty-four. This is a more drastic cut than in the finale of D. 960, and it unfolds in one, instead of two, stages. But there is more to come. After the 29-bar deletion, the music rejoins correspondence measures until a recomposed C space results

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the melodic connection to  $\hat{1}$  and the resolution of the charged chordal seventh, and calls attention to S’s opening ambiguity: on I or on IV?

in an *addition* of 8 more bars (between mm. 338 and 353). This reactive, or *re-reactive*, expansion does three things. In terms of narrative it responds to the initial pendulum-effect, as if to want to prevent it from making such a drastic deletion. In terms of process, it connects the piece more closely to the finale of D. 960 through enacting of a “three-alteration script.” And in terms of symmetry, it makes the ultimate relationship of rotations to one another closer to that of the piano sonata: instead of resulting in a second rotation only 25 bars longer than its referential one, this one will be 33 measures longer (the B $\flat$  sonata came to be 43 measures longer).

#### **6.1.5 The Finale of D. 804 (+47, -27, -8, -8)**

Though much else about the Rosamunde finale is quite resistant to analysis, its recapitulatory S theme houses an extremely clear case of balancing deletions.<sup>15</sup> This zone is the focus of the discussion that follows. In the exposition, the *ecossaise*-like and tonally ambivalent S unfolds in two repeated 8-bar modules (S<sup>1</sup> and S<sup>1rep</sup>; S<sup>2</sup> and S<sup>2rep</sup>).<sup>16</sup>

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<sup>15</sup> Chusid (1997, 182-183): “Schubert wrote once to ... Sonnleithner that a composer cannot always count on finding the right structure for a composition. But he found just such a structure for the [finale of D. 804]. It was an unusual type of rondo in which the refrain appears twice rather than the three times considered definitive for the form. Schubert’s structure is A B A C B Coda, in which A is the refrain, B and C are episodes differing from one another, and the coda, taking the place of the final refrain, is derived from refrain material. The young composer appears to have derived this approach, which he subsequently used for other movements as well, from the finale of Mozart’s [K. 515]. Schubert knew the work as he had borrowed the Mozart quintets from a friend previously.”

Compare Cole (1969a and 1969b). For the idea that the ABACBA form is a rondo with an A module missing, rather than a sonata with an interpolated C module, see Rosen (1988, 121-125). For critiques of this view, see Daverio (1995, 116-117) and Galand (2008, 253-254). For a reinstatement of Rosen’s rondo argument, see Wingfield (2008, 150) who writes (seemingly unaware of Daverio) that “Sonata Theory does not accommodate the standard interpretation of the ABACB1A variant of the sonata rondo (Type 4) that is favoured by Mozart, for instance, as an incomplete realisation (with the third A omitted) of a full ABACAB1A design.”

<sup>16</sup> Post MC space here is in dialogue with the TMB strategy—the crisis-like transitional rhetoric following the c#:PAC at m. 103 moves to a PMC, and then to a new theme in the “proper” E major. But an argument for this reading has to overlook 1) that the music in C# minor

Its “Trockne Blumen”-like  $S^1$  begins in C# minor and modulates to E major, while its  $S^2$  begins in E major and modulates back to C# minor.<sup>17</sup> Again, Schubert plays with register: the two iterations of  $S^1$  first present a melody in an initial register, and then hoist it up an octave, while the two iterations of  $S^2$  serve first to connect to this higher register, and then to move the tessitura back town. Examples 6.10 and 6.11 show the quartet’s entire multimodular S-space and a summary of its keys and register.

Example 6. 10. Expositional S-space in the Finale of D. 804.

actually does produce a PAC and 2) the problematic overriding of the normative deployment sequence of MCs. Since our discussion does not hinge on the difference, I use “S”-designations.

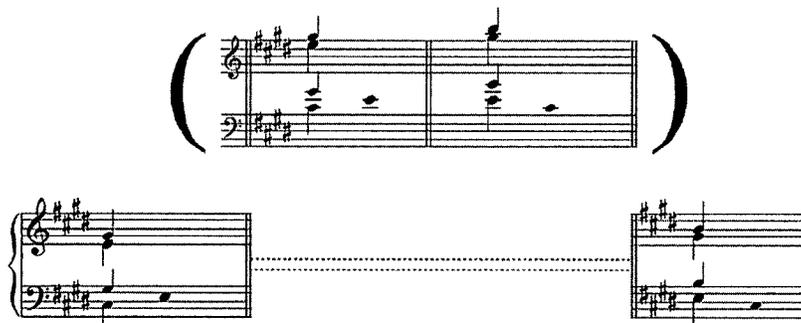
<sup>17</sup> C# minor, a key made available in the no-flats, no-sharps universe by the mode switch to A major, is a motivic harmony in this quartet. See, e.g., I, mm. 141-153 and mm. 214-218; and III, mm. 41-51. The “parallel” transformation is already present in the first movement’s P theme. On the finale’s S theme see Smith (2013, 87). For similar examples (also S themes from late Schubert finales), consider the L’istesso tempo S from the finale of the E $\flat$  Trio (mm. 73-120) and the S theme from the finale of the String Quartet in G Major, D. 887 (mm. 92-231).

$S^1$        $S^{1rep}$        $S^2$        $S^{2rep}$   
 m. 72                      80                      88                      96

Example 6. 11. A Summary of Expositional S-space in D. 804.

Plagued also by numerous other issues not considered here, the recapitulation introduces a 47-bar expansion at mm. 172  $\neq$  15b that is balanced, first by a 27-bar compression by “double duty”—the collapse of the expositional  $TR^{1.1}$  and near-equivalent  $TR^{1.3}$  into a single recapitulatory module (see mm. 235-245). For present purposes, what is important is the deletion’s status as epiphany: once the strategy of letting a module that was repeated in the exposition do double-duty in a later rotation is understood as a possibility, the recapitulation seizes upon it, keeping the movement in tight dialogue with the compensation script. Following the “TR-epiphany,” the recapitulatory  $S^1$  and  $S^2$  modules each get one of their iterations lopped off such that  $S^1$  moves directly to  $S^2$ , without repeat. (See Example 6.12.) Important here is that Schubert cuts  $S$ ’s *inner* iterations— $S^{1rep}$  and  $S^2$ —revealing a registral connection between outer modules. One might even say that the registral connection between the S-themes’ outer modules *motivates* the deletion: cutting the inner modules reveals that connection and symmetrizes the large-scale form in a single stroke.

$S^1$	$S^{1rep}$	$S^2$	$S^{2(rep)}$
72	80	88	96
254			262



Example 6. 12. Excision and Registral Connections in D. 804's Recapitulatory S.

This movement, through its three reactive cuts, comes closer to regaining the size of the expositional rotation than any of the others. (Indeed, one is tempted to add, about as close as it could come, while still deserving the epithet “expanded.”) The pattern thus created is (+47, -27, -8, -8), resulting in a second rotation only four bars larger than its exposition.

#### 6.1.6. The Overture *im italienischen Stil*, D. 590 (-14, +27)

An inverse example, and something of a smoking gun in the context of this “argument from proportion” is found in the Overture *im italienischen Stil*, D. 590 written in the year of Schubert’s “liberating” first encounter with Rossini.<sup>18</sup> Here Schubert, imitating the Italian composer’s truncated recapitulations, composes a set of deletions into recapitulatory TR-space, thereby reversing the typical order of operations.

<sup>18</sup> “Liberating” is from Newbould (1997). The Overture was arranged for piano four-hands as D. 592. It and its counterpart, D. 591 (four hands D. 597) were successful pieces, one of which (most literature seems to assume D. 591) was Schubert’s first public performance, at the hall in the inn Der Romische Kaiser. Another one of the overtures was arranged for two pianos eight hands, and received favorable reviews, see Deutsch (1947, 87-88).

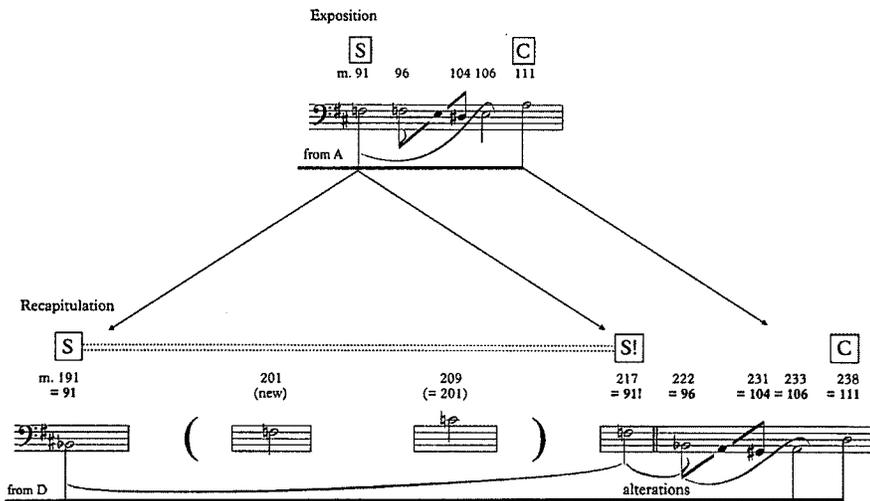
Example 6.13. A Comparative Graphic: Compression by "Triple Correspondence" in TR-space (!) of D. 590.

The overture exhibits the same “triple correspondence” we saw in D. 960, in the same place in the form, resulting in the same bypassing of tonal alterations leading up to the MC, and by the same device: the “accidental” stumbling upon a usable chord, albeit far too early. In this case, it results in a loss of 14 measures. Example 6.13 shows the comparison.

Most curious about this TR-deletion is that any “compensation” here would involve adding measures to *S*, which, apart from being decisively “un-Rossinian,” would constitute in Sonata Theory an extreme deformation.<sup>19</sup> Nevertheless, as summarized on Example 6.15, Schubert’s tonally maundering, orientalist *S*-space, which “restages” the alterations that were so playfully sidestepped in TR, does indeed make up for D. 590’s early deletion by ballooning outwards; indeed it thereby overcompensates for it. Note the inverse relationship of this graphic to the one used to explain the Rosamunde finale: there, initial repetitions were cut out of later rotations; here, the recapitulatory *S* theme multiplies itself in order, *ex hypothesi*, to balance an initial cut.

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<sup>19</sup> “The release of *S* within the recapitulation is usually accompanied by the security of tracking quasi-automatically toward the ultimate goal of the sonata, the ESC: the goal is squarely in view; the motion toward it is inevitable and certain,” *Elements* (233). The “stylized sarabande” (Allanbrook 1986, 38) second movement of Mozart’s Dissonance Quartet, K. 465, like Schubert’s overture, houses an expansion in *S*-space. (Is it still an expanded Type 1 sonata?) Mozart’s *S*-expansion results in a 13-bar gain after what would otherwise have been a normative 5-bar gain in the tonal alterations in TR (mm. 57-72), making for a bloated second half. (Mozart’s interpolation is a backing up designed to re-treat the ESC-charged portion of *S* in the proper register. Just before the Type-1 interpolation (m. 81 = 32), the first violin enters on a G4. The end of the interpolation (m. 95 = 82 = 33), which backs up to treat this moment again, makes clear that those motives are best stated beginning on G5—compare the registral relationship of mm. 31-32 and mm. 80-81. *Sforzandi* in every instrument reinforce the equivalence here, as if applying force in order to secure a dovetailing with the referential rotation: “not those Gs, *these* Gs!” Compare the discussion of Haydn’s Quartet in E♭ Major, Op. 9, No. 2 in Rothstein (1989, 88-90). For another *S*-expansion in Mozart, see the first movement of K. 280.



Example 6. 14. A Summary of S-decelerations in D. 590.

Notice, too, that in this case Schubert is perspectively delaying (not foreshortening) the achievement of the ESC. How might such a treatment be understood? It could be, for instance, a deliberate misreading of Rossini, a conscious quibbling on Italian conventions, or a reconciliation of Rossini's practice of cutting, generally taken to signal excitement, with a more fundamental concern with symmetry. (Perhaps the young Schubert preserved only some of Rossini's practice, altering others by design or through inattention.<sup>20</sup>) Or perhaps it might be understood as a play on, or a reversal of, the more normative order of operations, or as an adaptation of a strategy known to Schubert from Mozart's "Dissonance" Quartet. It may also be taken hermeneutically: as a staging of the ESC, that most crucial of way stations in the sonata form, as *fata morgana*, so to speak (or perhaps more perfectly, *Irr-licht*), just out of reach and getting ever further away in the manner of a mirage. All rest on Schubert's commitment to balancing the bulge.

<sup>20</sup> Genette (1997, 6): "In order to imitate a text, it is inevitably necessary to acquire at least a partial mastery of it, a mastery of that specific quality which one has chosen to imitate."

## 6.2. Conclusions to Part III

These four movements were written at different stages in Schubert's career; across different genres and for different social situations; at different levels of size, difficulty, and "ambition"; and with different possibilities for performance. And yet, in A. B. Marx's locution: "taken together, [they] offer themselves—no matter how myriad the content—as recognizable creations of the same architect."<sup>21</sup> The proportional accordion- or pendulum-like aesthetics runs like a thread through all four of them. What remains after pointing this out is the question—and hopefully a reasoned answer—"why."

We can adduce compelling reasons from different locales—historical, aesthetic, narrative, hermeneutic, and so on—each of which illuminates the question from its own angle. The historical perspective might highlight the relevance, for all these pieces, of Schubert's early infatuation with Italian opera and its overtures; his recopying and arranging of overtures for his family quartet; his playing of them as *Kapelldiener* of the Seminary orchestra; his conscious modeling of his own early overtures on pieces by Cherubini<sup>22</sup>; or his early instruction by Salieri, a composer who incidentally "made no distinction between overture form and sonata-allegro form."<sup>23</sup> It might point to early examples of expanded overtures by Paisiello and others, or to the relationship of this idiosyncratic form to what has been called the "problematic" version of the sonata-rondo hybridization that emerges in the 1770s in Haydn and Mozart.<sup>24</sup>

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<sup>21</sup> From "Form in Music" (1856), translated in Marx (1997, 57).

<sup>22</sup> Chusid (1962).

<sup>23</sup> Hur (1992, 46).

<sup>24</sup> E.g., Chusid (1955); Cole (1969a, 1969b, 1970); Fisher (1975, 1992); Galand (1995); Portowitz (2001); Grave (2010).

I have been emphasizing the aesthetic, insofar as I argue that the adoption of symmetry as an aesthetic principle allowed Schubert to align the Italianate “*Buffa* Overture form” either with a more “Germanic” aesthetics of sonata form—which seems to have been predicated on symmetry back to its origins in dance—or with one of Schubert’s own compositional quirks—a desire to strive toward symmetry. Preliminary research suggests that Schubert is the first composer whose expanded birotational forms consistently deploy pendulum aesthetics in order to compensate for early time-transformations.<sup>25</sup> What might it mean that Schubert’s finales seem to hybridize elements of the *buffa* overture—its speed, its festivity—with a personalized desire toward symmetry? Do these forms accrue a flavor of “the Italian” or “the Overture-like” to the extent that they borrow elements of the Overture’s recapitulation strategies? Does the fact that the “Italianate” deletions-qua-compensations do not quite compensate for the recapitulation’s preliminary deceleration carry with it connotations of inachievement, or of keeping that genre at arm’s length?

This last points the way toward articulating more fundamental aesthetic characteristics of Schubert’s style, in that it invites us to ask questions about *initial* rotations: might Schubert’s commitment to the pendulum in pieces like these offer one reason for the intense amount of repetition in initial rotations—the better to make smooth cuts later on? Ought we to consider the fact that these recapitulations are always larger than their expositions to be one reason Schubert’s music seems slow, or long, or aimless, especially in comparison to, say, Rossini? It may well be that the norm identified here is present, even forcefully so, when it is absent: this may be one reason pieces that

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<sup>25</sup> But precedents certainly exist; see, e.g., Grave (138).

emphatically fail to provide symmetry—like the finale of the G-major Quartet, D. 887—seem so unhinged, so blown out of proportion.

The realm of the narrative is also implicated, as it attaches itself to the idiosyncrasies of this particularly Schubertian layout: the staging of these second rotations in terms of a loss, followed by a restoration, of a rough equivalence of size between halves; the eclipsing of, or renewal of, or—also crucial—*lack* of achievement of this originally sundered symmetry; the temporal phenomenon of foreshortening; the ESC as *fata morgana*; in short, all those concomitants of symmetry-as-quest-narrative limned in Chapter 5. Further, when coupled with the score-as-landscape metaphor, the layout brings to mind a virtual protagonist or wanderer who circumnavigates a distorted or undulating space—a topography riddled with worm holes and warp zones.

Finally, insofar as I have emphasized the temporal effects pendulum aesthetics afford, the discussion impinges on our listening habits, especially on our perceptions of a “staged temporality.” One task of the listener here is to notice that in all three finales, certain musical events occur *too early* in their local contexts, but *too late*, after factoring for the expansion. In other words, the foreshortenings are presented in contexts for which they cannot fully compensate. These are the multiple, complex temporalities that attend hearing Schubert’s expanded Type 1 sonatas in this way.

### **6.3. Larger Conclusions**

If there is a single thread that runs through all of the foregoing it is that the recapitulation is not, as it is sometimes seen, a foregone conclusion; it is not a mere “repetition.” Least of all is it, in Adorno’s words (1971] 1996, 94), “comparable to the effect of a film on a spectator who stays in his seat at the end and watches the beginning again.”

Consideration of example after example of recapitulation leads to (at least) the following basic claims. First, through its combinations of tonal and thematic alterations, the recapitulation permits of more compositional possibilities than is typically recognized. Second, late-eighteenth- and early-nineteenth-century composers carefully crafted their recapitulations as detailed and suggestive responses to their expositions. Neither tonal nor thematic alterations were dispatched with willy-nilly. Third, these alterations, enormously varied, have robust generic and dramatic affordances.

If this study has a “call to arms,” it is this: we ought never to imagine that composers approached the composition of recapitulations *pro forma*. We ought to fight against—not to perpetuate—the myths of “und so weiter” and “wie oben,” that characterize not only Schubert’s reception but also that of his near and distant contemporaries. The recapitulation is not (Adorno, 62-63), a site of “static symmetry”; it is not foregone; it does not “remain ... enslaved to mythical unfreedom.” On the contrary, it permits of an intense amount of compositional “freedom”; it is a site of intense narrative potential; it teems with life. We must approach it with all the sensitivity and scrutiny that we give so readily to the sonata’s other action zones.

The notion of recapitulation script identifies only some aspects of recapitulatory composition; it raises more questions than it answers. Its contribution, as I see it, is to make us move the microscope, so to speak. To the extent that it does so—to the extent that it opens up the analysis of recapitulations as an area of inquiry—it points forcefully in the direction of further research. Additional case studies could investigate Schubert’s modelings on Beethoven, Mozart, and Cherubini in order to ask whether Schubert preserved the recapitulation scripts of pieces that he apparently modeled on existing ones.

For that matter, who was it that taught Schubert how to compose recapitulations? Was it Salieri, or had he already internalized a culturally existing set of tacit assumptions for composing recapitulations, perhaps from his early days orchestrating works of the Italian masters? Do different recapitulatory treatments correlate with genre, and do they house clues to generic classification that have since been lost, perhaps when designations of “form” came to erase classification of genre?<sup>26</sup> And so on. Additionally, note that any of the scripts identified in Part II—not just the “compensation script”—is the possible starting point for a case study. Each comes with its own historical narrative, its own generic and interpretive affordances; each interacts with earlier hearings of often-analyzed movements.

In focusing on recapitulations, we may not be able to restore a sense of symmetrical “balance” to the study of sonata forms, in the manner of so many of Schubert’s (and others’) “compensation scripts.” Nevertheless, the stage is set. To begin to see the recapitulation as a site teeming with the potential for analytic, generic, historical, and interpretive discovery is a step towards a more complete understanding of musical form.

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<sup>26</sup> See Galand (2008).

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