THE SLOW MOVEMENTS OF ANTON BRUCKNER'S SYMPHONIES: DIALOGICAL PERSPECTIVES

by

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LIST OF ABREVIATIONS

ABCD = Anton Bruckner Chronologie Datenbank

ABIL = Anton Bruckner Institut Linz

AGA = Alte Bruckner-Gesamtausgabe

b.i = basic idea

C = Closing theme

c.b.i = compound basic idea

C-fill = caesura fill

DA = dominant arrival

DC = deceptive cadence

EC = evaded cadence

ECP = extended cadential progression

EEC = Essential Expositional Closure

ESC = Essential Structural Closure

HC = half cadence

Hex.^{Aus} = Hexatonic *Ausklingen*

IAC = imperfect authentic cadence

K-SK = Kremsmünster, Stift Kremsmünster

L-OL = Linz, Oberösterreichisches Landesmuseum

MC = Medial Caesura

NGA = Neue Bruckner-Gesamtausgabe

ÖAW = Österreichische Akademie der Wissenschaften

P = Primary theme

PAC = perfect authentic cadence

PL = Parallel, Leading-Tone Exchange (*Leitonwechsel*)

Plag.^{Aus} = Plagal *Ausklingen*

P^{Voll} = *Vollendung*'s P-based *Steigerung*

RT = Retransition

S = Secondary theme

SF-SSF = St. Florian, Stift St. Florian

TA = tonic arrival

Ton.^{Aus} = Tonic *Ausklingen*

TR = Transition

V_A = active dominant (i.e., V as a harmony)

V-AVP = Vienna, Archiv der Wiener Philharmoniker

V-GM = Vienna, Gesellschaft der Musikfreunde

V-ÖN = Vienna, Österreichische Nationalbibliothek

V-WR = Vienna, Wienbibliothek im Rathaus

WAB = Werkverzeichnis Anton Bruckner

V_T = tonized dominant (i.e., V as a key)

Z = *Zustand*

ABSTRACT

This study presents a detailed analytical examination of formal organization in Anton Bruckner's early instrumental slow movements: from the String Quartet, WAB 111, to the Third Symphony, WAB 103. It proposes an analytical methodology and conception of the formative process of musical works that seeks to 1) reappraise the development and idiosyncrasies of his slow movements' form, and 2) turn the textual multiplicity often associated with Bruckner's large-scale works (a scholarly issue often referred to as the "Bruckner Problem") into a Bruckner Potential.

In addressing traditional and innovative formal aspects of Bruckner's music, critics have tended to overemphasize one side or the other, consequentially portraying his handling of form as either whimsical or excessively schematic. By way of a reconstruction of Bruckner's early experiments with slow-movement form (1862–1873), this study argues that influential lines of criticism in the reception history of Bruckner's large-scale forms find little substantiation in the acoustical surface of Bruckner's music and its dialogic engagement with mid- and late-19th-century generic expectations.

Because the textual multiplicity often associated with Bruckner's works does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his oeuvre. The present study circumvents this shortcoming by conceiving formal-expressive meaning in Bruckner's symphonies as growing out of a dual-dimensional dialogue comprising 1) an *outward dialogue*, characterized by the interplay between a given version of a Bruckner symphony and its implied genre (in this

case, sonata form); and 2) an *inward dialogue*, characterized by the interplay among the various individualized realizations of a single Bruckner symphony. The analytical method is exemplified through a detailed consideration of each of the surviving realizations of the slow movement of Bruckner's Third Symphony, WAB 103.

Analytical inquiries, in whatever system or methodology,
should open up problematic features of works, not shut them down.
—James Hepokoski, *Musical Form, Forms & Formenlehre*

The ‘deepest’ movement in art music may thus be saturated with dilemmas
and problems. Is it any wonder that we avoid writing about Adagios?
—Margaret Notley, *Late-Nineteenth-Century Chamber*
Music and the Cult of the Classical Adagio

Ein so langes Adagio ist das Schwerste
—Johannes Brahms

CHAPTER 1. BACKGROUND

1.1 The Bruckner Problem(s): A New Perspective

1.1.1 The Textual Problem

Arguably more than with most other composers, the reception history of Anton Bruckner's music is complex and contentious, often leading to strong disagreements and passionate disputes among scholars, performers, and audiences. Since the composer's lifetime, and to an extent unparalleled among other regularly performed 18th- and 19th-century composers, doubts have persistently been cast over both his competence as composer and the artistic merits of his music. A salient feature in this regard is the controversy surrounding what English-speaking scholars refer to, after the influential British Bruckner apologist Deryck Cooke, as the "Bruckner problem."[1] Two interrelated factors are central to this issue: First, although Bruckner's mature compositional output (from 1863 on)[2] comprises only a relatively small number of large-scale pieces, these works have survived—due to Bruckner's penchant for reworking his own oeuvre—in a variety of realizations. Second, throughout Bruckner's life and up to the advent of the

[1] Deryck Cooke, "The Bruckner Problem Simplified," *Musical Times* 110 (1969): 20–22, 142–144, 362–365, 479–482, 828 [reprinted in *Vindications: Essays on Romantic Music* (Cambridge: Cambridge University Press, 1982), 43–71]. Critical appraisals of Cooke's argument can be found in Julian Horton, *Bruckner's Symphonies: Analysis, Reception and Cultural Politics* (Cambridge: Cambridge University Press, 2004), 11–15; and Dermot Gault, *The New Bruckner: Compositional Development and the Dynamics of Revision* (Farnham: Ashgate, 2011), 243–248.

[2] My use of the term "mature compositional output" does not aim to advance the idea of a cohesive group of pieces in terms of style that contrasts, as such, with an earlier set of pieces. Instead, I attempt to foreground that portion of Bruckner's output that has received the greatest attention from performers, scholars, and audiences. This period corresponds to Bruckner's compositional production after finishing his formal music instruction, a time that, as Paul Hawkshaw explains, the composer himself identified as "the beginning of his career as a professional composer." (Paul Hawkshaw, "A Composer Learns his Craft: Lessons in Form and Orchestration, 1861–3," in *Perspectives on Anton Bruckner,* ed. Crawford Howie, Paul Hawkshaw, and Timothy Jackson [Aldershot: Ashgate, 2001], 25.)

Neue Bruckner-Gesamtausgabe (henceforth NGA)[3] in the 1950s, Bruckner's music was regularly performed and published[4] in retouched, heavily edited, or sometimes even recomposed renditions that his pupils and advocates felt compelled to bring about.[5]

These two factors—Bruckner's revamping attitude towards composition, and an exceptionally interventionist editorial practice—have combined to produce a *sui generis* textual corpus from which Bruckner's symphonies have come to be viewed as boundaryless, multidimensional works that resist traditional notions of authenticity and authorship. The idea of a "Bruckner symphony" that has come to us is, then, that of a work that questions the very concept of boundary for the self-contained composition. It is no surprise, therefore, that performers, musicologists, and analysts tend to disagree

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[3] Leopold Nowak *et al*., eds., *Anton Bruckner, Sämtliche Werke. Kritische Gesamtausgabe, herausgegeben von der Österreichischen Nationalbibliothek und der Internationalen Bruckner-Gesellschaft* (Vienna: Musikwissenschaftlicher Verlag, 1951ff).

[4] Since the 1950s the prevalent practice has been to publish only authorial renditions of Bruckner's symphonies. (According to the text-critical practice of the NGA, a textual source attains authorial status when material evidence—e.g., extant music manuscripts and letters—proves beyond a doubt that it was *produced* or *approved* by the composer himself.) Regarding performing practices, we can notice a trend rather than an accepted custom: although most conductors since the 1950s have turned to the NGA's scores, a good number of earlier conductors (those already well established by the 1950s) continued to perform late-19th and early 20th-century editions of Bruckner's works (which in many cases deviate considerably from those of the NGA) well into the 1990s (and even to some extent today).

[5] See, e.g., the following editions: Franz Schalk's WAB 105, Ferdinand Löwe's WAB 109, and Robert Haas's WAB 102 and 108. See also the renditions by Gustav Mahler of WAB 104 and Wilhelm Furtwängler of WAB 108, which have not yet been published in score format but have been recorded (useful information on these and many other recordings is available at Bruckner-collector John F. Berky's website abruckner.com).

WAB numbers refer to Renate Grasberger's systematic catalogue of Bruckner's works (Renate Grasberger, *Werkverzeichnis Anton Bruckner* [Tutzing: Schneider, 1977]). An updated version of this catalogue was prepared by Dominique Ehrenbaum and was included in the *Bruckner-Handbuch* (Hans-Joachim Hinrichsen, ed., *Brucker-Handbuch* [Stuttgart: J.B. Metzler, 2010]). A thorough revision of Grasberger's catalogue was begun by the Austrian musicologist Erich Wolfgang Partsc; following his death in 2014, arrangements have been made by the Musicology Department of the Austrian Academy of Sciences for its completion and publication in the near future.

widely on the philological and editorial practices that should guide research into Bruckner's symphonies.[6] As Benjamin Korstvedt notes, "textual matters loom large with Bruckner. Not only have they been considered and reconsidered by generations of Bruckner scholars, but anyone . . . approaching this repertory soon runs into the 'Bruckner problem.'"[7] Due to their heterogeneous and discontinuous textual sources, Bruckner's symphonies conspicuously fail to conform to traditional ideas about the construction of musical works. That being the case, the question is less one of finding a "solution" to this anomaly, more one of how to embrace this challenge to notions of musical "authenticity," "authorship," and "genius"—ideas that have been pivotal in shaping the discourses and practices from which textual multiplicity has been tackled.[8] This opens a space for a new approach to the "Bruckner Problem," one that moves away

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[6] On contemporary and historical trends on this matter, see Gault, *The New Bruckner*, 212–228 and 236–252; Julian Horton, *Bruckner's Symphonies*, 11–16; Benjamin Korstvedt, "Bruckner Editions: The Revolution Revisited," in *The Cambridge Companion to Bruckner,* ed. John Williamson (Cambridge: Cambridge University Press, 2004), 121–137; and Manfred Wagner, "Bruckners Sinfonie-Fassungen - grundsätzlich referiert," in *Bruckner-Symposion 1980 (Linz): Die Fassungen*, ed. Franz Grasberger (Vienna: Musikwissenschaftlicher Verlag, 1981), 15.

Valuable lists of different realizations of Bruckner's symphonies are found in William Carragan, "Bruckner Versions, Once More Revised," ABruckner.com. http://www.abruckner.com/articles/articlesEnglish/carraganwilliamversions/ (accessed July 10, 2016); Dermot Gault, *The New Bruckner*, 253–257; and the websites maintained by David Griegel, http://www.bruckner.webs.com/versions.html#symf (accessed July 11, 2016) and José Oscar Marquez, http://www.unicamp.br/~jmarques/mus/bruckner-p.htm (accessed July 11, 2016). A comprehensive list of published scores of Bruckner's symphonies is found in Arthur D. Walker and Crawford Howie, "Anton Bruckner's Works: Published Scores of the Various Versions," *The Bruckner Journal* 9, no. 1 (2005): 25–31, reprinted and revised as "A List of Published Bruckner Scores: Part I Orchestral Music," BrucknerJournal.co.uk. http://www.brucknerjournal.co.uk/page14.html (accessed March 12, 2016).

[7] Korstvedt, "Bruckner Editions," 121.

[8] These ideas about music were germane to the intellectual climate of 19th-century Europe and, most importantly, the agenda of the nascent academic discipline of modern musicology. Thus, the articulatory role that they have played in the reception history of Bruckner's music should come as no surprise.

from the traditional argumentative boundaries, reconfiguring the epistemological frame of inquiry, towards the ultimate goal of advancing an alternative interpretation.

1.1.2 The Formal Problem

Textual matters aside, the reception history of Bruckner's music is full of other unsettled controversies. Chief among these is Bruckner's treatment of large-scale form. As Korstvedt notes, "there is something sphinx-like about Bruckner's musical forms. They can seem neat and traditional at one moment, but at the next appear free and unconventional."[9] This multifaceted impression has not escaped the ears of commentators, but their remarks have tended to overemphasize one side or the other. Following Korstvedt's overview on the reception history of Bruckner's handling of form three major trends emerge:

First, a prevailing assessment during Bruckner's lifetime was that his symphonic works were puzzling to the point of formlessness.[10] As the following two excerpts from reviews of the premiere of WAB 102 on October 26, 1873 show,[11] the idea that

[9] Benjamin Korstvedt, "Between Formlessness and Formality: Aspects of Bruckner's Approach to Symphonic Form," in *The Cambridge Companion to Bruckner*, ed. John Williamson (Cambridge: Cambridge University Press, 2004), 170.

[10] Ibid., 170.

[11] The concert, organized by Bruckner himself, took place at the Großer Saal of the Musikverein in Vienna. The symphony was performed by the Vienna Philharmonic under Bruckner's baton after the composer's interpretation of a Toccata and Fugue in C major by Johann Sebastian Bach and a free improvisation at the organ. On the premiere of WAB 102, see Crawford Howie, *Anton Bruckner: A Documentary Biography* (Lewiston, N.Y.: Edwin Mellen Press, 2002), 1: 266–271.

Bruckner's large-scale pieces lacked features crucial to a well-formed musical work dates from the early performances of his symphonies:[12]

> …The motives [of Bruckner's Second Symphony] follow each other rather than being organically set off one against the other; the development of the motives lacks the necessary clarity; the movements do not have overall cohesion but are disjointed.[13]
>
> Where we desire and expect a musical language that is coherent, well-organized and motivically interconnected, we hear nothing but suspensions, interjections, musical question- and exclamation-marks and parentheses…. Where we expect a firm musical structure we are harried by sound patterns that are strung together in a random fashion….[14]

In contrast to these assessments, a second widespread view (still common today) is that Bruckner's forms are "too formal in their reliance on traditional symphonic models."[15] As Korstvedt points out in connection with this criticism, the impression of over-reliance on classical formal procedures (especially sonata form and four-movement plans) was particularly difficult to relate to for early Bruckner advocates—most of them Wagnerians, who strongly sympathized with Richard Wagner's conviction that "the

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[12] Before the premiere of WAB 102 in 1873, the only other public concert in which a Bruckner symphony was heard was the premiere of WAB 101 on May 9, 1868. That performance, which took place at the Redoutensaal in Linz, was given by the Linzer Theaterorchester (now Bruckner Orchester Linz) under Bruckner. On this concert, see Crawford Howie, *A Documentary Biography*, 1: 129 and 195–196.

[13] Concert review by Ludwig Speidel published in the Fremdenblatt (October 28, 1873), quoted (and translated) in Crawford Howie, *A Documentary Biography*, 1: 268; in turn quoted from August Göllerich and Max Auer, *Anton Bruckner, ein Lebens- und Schaffensbild* (Regensburg: Bosse, 1937): IV/1: 246ff.

[14] Concert review by August Wilhelm Ambros published in the Wiener Abendpost (October 28, 1873), quoted (and translated) in Crawford Howie, *A Documentary Biography*, 1: 268–269; in turn quoted from August Göllerich and Max Auer, *Anton Bruckner,* IV/1: 249–254. For more quotes and information on the Press reviews of the WAB-102 premiere, see Franz Grasberger, "Anton Bruckners Zweite Symphonie," in *Bruckner-Studien: Festgabe der Österreichischen Akademie der Wissenschaften zum 150. Geburtstag von Anton Bruckner,* ed. Othmar Wessely (Vienna: Verlag der Österreichischen Akademie der Wissenschaften, 1975), 306–307.

[15] Korstvedt, "Between Formlessness and Formality," 171.

symphony and especially the conventional forms associated with the genre were no longer vital."[16]

A third criticism has pointed to the allegedly excessive similarity and predictability of Bruckner's formal procedures. As Korstvedt writes, the basic tenet of this assessment is "the suggestion that Bruckner's symphonies are essentially similar and exhibit little development over the course of his career,"[17] a viewpoint from which critics commonly charge Bruckner with excessive schematism.[18]

In sum, when it comes to formal matters, Bruckner's symphonies have been the target of strongly held and contradictory assessments, the norm being that, for each commentator who accuses Bruckner of overdoing one thing, another accuses him of not doing enough of that same thing. As in the case of the so-called "Bruckner problem," the challenges posed by his treatment of form seem to require a reattunement of the analytical premises from which his music has been traditionally addressed. Advancing this analytical turn is, essentially, what I intend in this project.

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[16] Ibid., 171.

[17] Ibid., 172.

[18] As pointed out by Korstvedt (ibid., 172), this trend in reception history was favored by many German scholars from the latter half of the twentieth century, and contemporary American music-history textbooks still betray its influence. In this regard, Korstvedt cites Leon Plantinga's *Romantic Music*: *A History of Musical Style in Nineteenth-Century Europe* (New York: Norton, 1984) and Donald Jay Grout and Claude V. Palisca's *A History of Western Music,* 6th ed. (New York: Norton, 2001) as representative contemporary American music-history textbooks, and Friedrich Blume's *MGG* article on Bruckner as representative of this post-1950s trend in German scholarship (*Die Musik in Geschichte und Gegenwart,* 1st ed., s.v. "Bruckner, Josef Anton").

1.1.3 The Bruckner Potential

> So one might say that I'm looking at history not as an antiquarian, who is interested in finding out and giving a precisely accurate account of what the thinking of the seventeenth century was—I don't mean to demean that activity, it's just not mine—but rather from the point of view of, let's say, an art lover, who wants to look at the seventeenth century to find in it things that are of particular value, and that obtain part of their value in part because of the perspective with which he approaches them.
> —Noam Chomsky, *Human Nature: Justice vs. Power*

In his 2004 article "How We Got Out of Analysis, and How to Get Back In Again," Kofi Agawu claims that "[music] analysis is more productively understood and practiced as a mode of performance and composition"[19]; my project takes up Agawu's perspective, blending an understanding of musical analysis with performance and composition. Agawu points out four ways in which analysis "inexactly parallels" performance: 1) analytical knowledge is not necessarily cumulative; 2) analytical knowledge escapes or resists verbal summary; 3) analysis is a hands-on activity; and 4) analysis may be, if not primarily then at least equally, an oral rather than a written genre.[20] The first of these parallels is especially significant for the analytical program of my project. As Agawu states, "analysis, like performance, entails a fresh engagement, a re-enactment, not an aggregation of facts about previous enactments, even if these provide hints for a current proceeding." And elsewhere,

> In the analytical moment, we push through the labyrinth of technical structure…. We push forward in a compositional mode, playing with elements, rearranging them to see what might have been, and entering into rigorous speculation about music as intentional discourse. We look vigilantly for relations, connections, and ways of relating and connecting…. [A]nalysis depends crucially on a regular

[19] Kofi Agawu, "How We Got Out of Analysis, and How to Get Back In Again," *Music Analysis* 23, 2–3 (2004): 273.

[20] Ibid., 274.

> invention of the wheel. Analysis is as its most vital when it denies history and precedent.[21]

Similarly, my analytical reassessment of Bruckner's handling of form aims at providing new interpretations of his music. To this end, I posit the foundational feature of my project: the inextricable interpretative bond between my analytical apparatus and my critical assessment of the "Bruckner Problem." Moved by a shared conviction with Julian Horton, who states that "critical difficulties are best addressed as part of a general nexus of analytical, textual, philosophical, historical and social matters,"[22] I have explored potential payoffs of accepting Bruckner's challenge.

Along these lines, I propose to assess Bruckner's handling of large-scale form from a multidimensional dialogical perspective. This perspective acknowledges two kinds of dialogic interlocutors for each version of a given work: 1) its other versions, and 2) a larger established repertoire; which in turn produce two distinctive communicative modes: *inward* and *outward* dialogues. In developing this dual-dimensional dialogic perspective, I have sought to establish the conceptual frame for an analytical approach that both arises from and substantiates a much-needed distancing from the ongoing tendency (even among Bruckner advocates) to construe his oeuvre as "problematic" in a pejorative sense.

Despite my frequent focus on music-theoretical details, my purpose is to address issues (i.e., the Bruckner Problems) that go beyond the strictly theoretical and that infuse the entire field of Bruckner studies. Moreover, given that the intellectual framework

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[21] Ibid., 275.

[22] Horton, *Bruckner's Symphonies*, ix.

underlying past engagements with the "Bruckner Problem" have, to a great extent, a bearing on any other composer's music, my larger aim is to articulate a new way of thinking about composers' artistic endeavors.

1.1.4 Scope of Study

Given the characteristic textual multiplicity associated with many of Bruckner's symphonic movements, the task of assessing every single one might prove overwhelming. Thus, for practical reasons, I have restricted the scope of this study to Bruckner's slow movements. In addition to exemplifying the aforementioned problematics, these movements represent the expressive core of Bruckner's symphonies, and furthermore have received less attention in the theoretical and analytical literature than the outer movements.[23] I will focus almost exclusively on the slow movements whose first realization precedes the composition of WAB 104 (January 1874). An

[23] Examples of recent scholarly literature addressing Bruckner's slow movements include Margaret Notley, "Formal Process as Spiritual Progress: The Symphonic Slow Movements," in *The Cambridge Companion to Bruckner*, ed. John Williamson (Cambridge: Cambridge University Press, 2004), 190–204; Robert Hatten, "The Expressive Role of Disjunction: A Semiotic Approach to Form and Meaning in the Fourth and Fifth Symphonies," in *Perspectives on Anton Bruckner,* ed. Crawford Howie, Paul Hawkshaw, and Timothy Jackson (Aldershot: Ashgate, 2001), 145–184; Timothy L. Jackson, "The Adagio of the Sixth Symphony and the Anticipatory Tonic Recapitulation in Bruckner, Brahms and Dvorák," in *Perspectives on Anton Bruckner,* 206–227; Derrick Puffett, "Bruckner's Way: The Adagio of the Ninth Symphony," *Music Analysis* 18 (1999): 5–99; Michael Märker, "Hat Bruckner das Adagio der Zweiten im 'Mendelssohnschen Stil mit Honigsüße' komponiert? Über die Mendelssohn-Rezeption Anton Bruckners," in *Bruckner Symposion Linz Bericht 1997,* ed. Franz Grasberger and Othmar Wessely (Linz: Musikwissenschaftlicher Verlag Wien, 1999), 177–186; Edward Laufer, "Some Aspects of Prolongation Procedures in the Ninth Symphony (Scherzo and Adagio)," in *Bruckner Studies,* ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), 209–255; Wolfgang Grandjean, "Kozeption des langsamen Satzes. Zum Adagio von Anton Bruckners erster Symphonie," *Bruckner-Jahrbuch* (1991): 13–24; John Parkany, "Kurth's Bruckner and the Adagio of the Seventh Symphony," *19th Century Music* 11 (1988): 262–281; and Adolf Nowak, "Die Wiederkehr in Bruckners Adagio," in *Anton Bruckner: Studien zu Werk und Wirkung,* ed. Christoph-Hellmut Mahling (Tutzing: Hans Schneider, 1988), 159–170.

emphasis on this repertoire will accomplish two goals: First, it will enable us to explore a phase in Bruckner's development characterized by a markedly experimental attitude toward form and the gradual emergence of many stylistic traits of his later symphonic adagios. Second, it will confront us with two works, namely WAB 101 and 103, that occupied Bruckner throughout his career as a symphonic composer, and thus make for pertinent case studies on the formal and broader interpretative implications of compositional reworking over longer time spans.

This project builds primarily on the dialogical perspective of James Hepokoski and Warren Darcy on sonata form. It also draws on the form-functional approach of William Caplin. These authors' ideas, as different as they are, effectively complement each other and together constitute powerful tools for analyzing the highly individualized forms of late Romanticism. Since harmony and voice-leading are key ingredients in generating musical form, I will supplement these formal perspectives with a Schenkerian approach to tonal structure. Given the centrality of formal matters to this project, in the next section I will provide an overview of Hepokoski and Darcy's, and Caplin's methods and terminology (see section 1.3). In addition to these authors' work, I engage with the work of many Bruckner scholars. I turn now to these author's ideas.

1.2 Bruckner Studies: A Review of the Literature

The last 30 years or so have witnessed a marked interest in reassessing Bruckner's music and life; the conceptual and analytical program of my project subscribes to this critical endeavor. Largely through detailed source-based studies prompted by increasing

access to archival material, Bruckner scholars on both sides of the Atlantic have committed to critically reevaluating, and thus ultimately re-drawing, the Brucknerian picture inherited from (mostly German-language) pre-1950s scholarship. Characteristic of this process has been an ever-growing suspicion of the accuracy of long-held assumptions about the composer's music, personality, and social environment. Fueled by new ideological impetuses, this has led to the emergence and consolidation of a much more positive reappraisal of his music in the scholarly literature.[24] Perhaps the most significant achievement in this reappraisal process has been the disentangling of the individual and collective agendas behind both the positive and negative reactions surrounding Bruckner's music since his lifetime.

Notwithstanding the new light that the latest Bruckner research has shed on Bruckner's music and life (which amounts to what Dermot Gault accurately calls a "new Bruckner perspective"[25]), there are still many aspects of his music that either need further exploration or have not yet been addressed. Bruckner's treatment of slow-movement form is certainly one of these underdeveloped topics. Notwithstanding the centrality of the slow movements within the overall plan of his symphonies, studies that move beyond merely stablishing thematic identity (e.g., by way of letter designations) and key

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[24] In this connection, it is worth pointing out that, as Gault states, "a schism has opened between the perceptions of scholars and those of the musical press, as represented by reviewers, programme-note writers and commentators, especially in the English-speaking world…. [T]he reluctance of so much of the wider musical press to come to terms with or even acknowledge the new critical perspective brought about by the last three decades of research is startling." (Gault, *The New Bruckner,* xi–xii.)

[25] Ibid., 6–7. As Gault explains, he is not "the first to write of a 'New Bruckner,'" (ibid., 7.) citing Leibnitz's use of the expression *neue Brucknerbild* [new Bruckner image] (Thomas Leibnitz, *Die Brüder Schalk und Anton Bruckner: Dargestellt an den Nachlaßbeständen der Musiksammlung der Österreichischen Nationalbibliothek* [Tutzing: Hans Schneider, 1988]).

successions[26] are rare, and often tend toward over-simplification and totalizing statements.[27] Similarly, the potential for dialogic interplay among multiple realizations of individual Bruckner symphonies has not yet been explored. Nevertheless, much of the existing literature, both old and more recent, can usefully serve as a starting point for further exploration in this direction.

This section provides an overview of major trends in recent Bruckner studies and the traditions from which they arise or to which they react. My aim here is not to attempt a *summa* of the vast Bruckner literature produced in the past 150 years, but rather to present a basic framework to help readers contextualize the ideas developed in this study. For practical reasons, this overview is organized in two broad categories, musicological and theoretical/analytical. In practice, however, the disciplinary boundary is often porous, and the two traditionally distinct scholarly endeavors rather emerge as different sides of the same coin.

1.2.1 Musicological Studies

As noted above, one of the biggest challenge faced by postwar Bruckner musicological research was to reevaluate the portrait that both his contemporaries (mostly pupils) and pre-WWII music scholars drew of him. As Margaret Notley explains,

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[26] See, e.g., William Carragan's "timed analysis" of the slow movements of all Bruckner's symphonies (Carragan, "Timed Analysis Tables," ABruckner.com. https://www.abruckner.com/articles/articlesEnglish/carragantimed/ [accessed December 19, 2016]), which are less descriptions of the symphonies' "inner structure," than surface accounts of their design, via letter-labeled strings of thematic content and (often questionable) keys.

[27] See, e.g., Gault, *The New Bruckner*, 45; and Jackson, "The Adagio of the Sixth Symphony," 225 n4.

Bruckner's "early supporters, like his detractors, stressed his naivete, creating a one-dimensional character: a devout perpetual bumpkin—who nevertheless managed to write some of the most complicated music of the nineteenth century."[28] This depicted a simple man whose genius stemmed from a God-given instinct (or racially given in some ethnocentric renditions) that compensated for his lack of intellectual depth. Such a perspective, pervasive in the German prewar literature,[29] is reflected in the four-volume Bruckner biography begun by Bruckner's young friend August Göllerich and finished by Max Auer, by far the most comprehensive and influential Bruckner study published before World War II.[30]

Seeking to present a more historically plausible image of Bruckner, recent scholarship has undertaken a critical, source-based approach that attempts to disentangle early agendas, ultimately establishing clearer distinctions between fact-based interpretations and overtly mythical accounts. The resulting literature—which comprises, among many other things, studies of cultural appropriation, reevaluations of Bruckner's psychological pathologies, and critical accounts of his historical context—conveys a more coherent reciprocity between the composer's life and oeuvre.[31] Of special relevance

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[28] Margaret Notley, "Bruckner Problems, in Perpetuity," *19th Century Music* 30 (2006): 82.

[29] For examples, a summary, and critical discussion of this trend in pre-1950s Bruckner reception history, with much emphasis on its underlying strategies and motivations, see Christa Brüstle, "The Musical Image of Bruckner," in *The Cambridge Companion to Bruckner*, ed. John Williamson (Cambridge: Cambridge University Press, 2004), 244–260.

[30] Göllerich and Auer, *Anton Bruckner, ein Lebens- und Schaffensbild*.

[31] On the Nazi appropriation of Bruckner's music, see Bryan Gilliam, "The Annexation of Anton Bruckner: Nazi Revisionism and the Politics of Appropriation," *Musical Quarterly* 78 (1994): 584–604 [Reprinted in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), 72–90]; the ensuing discussion in Manfred Wagner, "Response to Bryan Gilliam

is the archival-based biographical research that illuminates aspects of Bruckner's musical background (e.g., his knowledge of contemporary and past repertoire and his acquaintance with the theoretical and analytical models of his time). Chief among these are the volumes comprising the series *Anton Bruckner Dokumente und Studien* and *Wiener Bruckner-Studien* published under the auspices of the Anton Bruckner Institut Linz (henceforth ABIL) and the Österreichische Akademie der Wissenschaften (ÖAW), respectively;[32] Crawford Howie's two-volume documentary biography, the most reliable and comprehensive source of information regarding Bruckner's life available for the English-speaking reader;[33] and Andrea Harrandt and Otto Schneider's comprehensive collection of Bruckner's letters,[34] which supersedes early collections by Max Auer and Franz Gräflinger.[35] To these publications, the Web portal *Bruckner-online* should be added, as well as the website hosted by the ABIL,[36] both of which provide free access to

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regarding Bruckner and National Socialism," *Musical Quarterly* 80 (1996): 118–123; and Gilliam, "Bruckner's Annexation Revisited: A Response to Manfred Wagner," *Musical Quarterly* 80 (1996): 124–131. On psychologically oriented Bruckner studies, see Constantin Floros, "On Unity between Bruckner's Personality and Production," in *Perspectives on Anton Bruckner*, ed. Crawford Howie, Paul Hawkshaw, and Timothy Jackson (Aldershot: Ashgate, 2001), 285–298; and Horton, *Bruckner's Symphonies,* 223–257. On Bruckner's historical context, see Andreas Harrandt, "Musical Life in Upper Austria in the Mid-Nineteenth Century"; and "Bruckner in Vienna," in *The Cambridge Companion to Bruckner,* ed. John Williamson (Cambridge: Cambridge University Press, 2004),15–25 and 26–38.

[32] Franz Grasberger *et al*., eds., *Anton Bruckner Dokumente und Studien* (Vienna: Musikwissenschaftlicher Verlag, 1979–); and Renate Grasberger *et al*., eds., *Wiener Bruckner-Studien* (Vienna: Musikwissenschaftlicher Verlag, 2009–).

[33] Howie, *Anton Bruckner.*

[34] Andrea Harrandt, ed., *Anton Bruckner: Brief I*, 2nd ed., vol. 24/I of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 2009); and Andrea Harrandt and Otto Schneider, eds., *Anton Bruckner: Brief II*, vol. 24/II of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 2003).

[35] Max Auer, ed., *Anton Bruckner, Gesammelte Briefe. Neue Folge* (Regensburg: Bosse, 1924); and Franz Gräflinger, ed., *Anton Bruckner, Gesammelte Briefe* (Regensburg: Gustav Bosse-Verlag, 1924).

many essential resources, for example the *Anton Bruckner Chronologie Datenbank* (henceforth ABCD)—the largest available database of Bruckner's life and work— and digital versions of Bruckner's manuscripts, first editions, and the *Alte Bruckner-Gesamtausgabe* (henceforth AGA).[37]

1.2.2 Theoretical and Analytical Approaches

Theoretical and analytical interest in Bruckner's music has emerged in two main waves of research. These approaches may be organized under two categories: pre-war and contemporary. Among the pre-war literature, two lines of inquiry stand out: those of the early-20th-century "energeticist" school and the so-called "Bayreuthians."[38] The latter is exemplified by music theorist Alfred Lorenz and music commentators Karl and Alfred Grunksy (a journalist and philosopher respectively), whose work—very much in vogue in German-speaking countries during the 1920s and 1930s—consisted of a mixture of Hegelian-inspired dialectical formal analysis and right-wing ideology.[39] These authors'

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[36] ABIL (http://www.abil.at) and Bruckner-online (http://www.bruckner-online.at).

[37] Robert Haas and Alfred Orel, eds., *Anton Bruckner, Sämtliche Werke. Kritische Gesamtausgabe, im Auftrage der Generaldirektion der Nationalbibliothek und der Deutschen Bruckner-Gesellschaft* (Vienna and Leipzig: Musikwissenschaftlicher Verlag, 1930–1944; reprint, Wiesbaden and Leipzig: Brucknerverlag, 1949–1952).

[38] On early 20th-century energeticist approaches, see Lee Rothfarb, "Energetics*,"* in *The Cambridge History of Western Music Theory,* ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 936–944. On the Bayreuthians, see Stephen McClatchie, "Bruckner and the Bayreuthians; or *Das Geheimnis der Form bei Anton Bruckner*," in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), 110–121; and Horton, *Bruckner Symphonies,* 64–68 and 71–82.

[39] For examples of these authors' work, see Alfred Lorenz, *Das Geheimnis der Form bei Richard Wagner*, 4 vols. (1924–1933; repr., Tutzing: Hans Schneider, 1966); Karl Grunsky, *Frage der Bruckner-Auffassung* (Stuttgart: Heyder, 1936), *Anton Bruckner* (Stuttgart: J. Engelhorns Nachf., 1922), and *Anton Bruckners Symphonien* (Berlin: Schlesinger, 1908); and Hans Alfred Grunsky, "Neues zur Formenlehre,"

ultimate goal was to present Bruckner's music as conveying the *völkisch*-nationalistic and arch-conservative ideology inspired by Wagner's *Regenerationslehre*.[40] Despite their outmoded analytical apparatus and historical affiliation with the German National-Socialist movement, aspects of the Bayreuthians' methodology continue to have a bearing on present-day Bruckner scholarship. Julian Horton, for example, detaches the Bayreuthians' philosophical and analytical methods from the process that rendered them ostensive of a specific political view, as part of his critical defense of ideologically aware contemporary modes of music analysis.[41]

The energeticist perspective is represented by the work of Ernst Kurth and August Halm. The central concern of these authors was the conceptualization and description of dynamic processes of tension and release in Bruckner's music, which leads each of these authors to develop an approach to form that deviates considerably from their contemporaries' adherence to 19th-century *Formenlehre*.[42] Particularly significant for the

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Zeitschrift für Musikwissenschaft 16 (1934): 35–42, and "Der erste Satz von Bruckners Neunter. Ein Bild höchster Formvollendung," *Die Musik* 18 (1925): 21–34 and 104–112. An account of Lorenz's ideas is found in Stephen McClatchie, "Alfred Lorenz as Theorist and Analyst" (PhD diss., The University of Western Ontario, 1994), and "Bruckner and the Bayreuthians," 111–114.

[40] McClatchie, "Bruckner and the Bayreuthians," 110.

[41] See, Horton, "Right-Wing Cultural Politics and the Nazi Appropriation of Bruckner," in *Bruckner Symphonies,* 64–91 (especially 68–82).

[42] Enrst Kurth, *Bruckner,* 2 vols (Berlin: Hesse, 1925), *Romantische Harmonik und ihre Krise in Wagners „Tristan"* (Berne: Haupt, 1920), and *Grundlagen des linearen Kontrapunkts*: *Bachs melodische Polyphonie* (Berne: Drechsel, 1917); August Halm, *Von zwei Kulturen der Musik,* 3rd ed. (Stuttgart: E. Klett, 1947), and *Die Symphonie Anton Bruckners,* 2nd ed. (Munich: G. Müller, 1923). English translations of Kurth's and Halm's work appear in Lee Rothfarb, trans., *Ernst Kurth: Selected Writings* (Cambridge: Cambridge University Press, 1991); and Kelly Laura Lynn, "August Halm's 'Von zwei Kulturen der Musik': A Translation and Introductory Essay" (PhD diss., University of Texas at Austin, 2008). For discussions of Kurth's and Halm's work, see Lee Rothfarb, *August Halm: A Critical and Creative Life in Music* (Rochester: University of Rochester Press, 2009) and *Ernst Kurth as Theorist and Analyst*

present dissertation are the hermeneutic potential of Kurth's account of Bruckner's symphonic form as dynamic waves and the expressively suggestive metaphoric language of his theoretical apparatus,[43] from which my approach to certain formal phenomena (varied recurrence and dramatic teleology) draws inspiration.

Contemporary theoretical and analytical approaches to Bruckner's music have focused on two areas of inquiry: his handling of form, and the tonal strategies and harmonic practices displayed by his music. Within the first category, the work of Warren Darcy on deformational procedures in Bruckner's symphonies, along with Julian Horton's critical reaction to it, explicitly inform the proposed study.[44] However, these authors' sole focus on the symphonies' outer movements somewhat limits their potential for direct relevance to my own research.

In studies of Bruckner's tonal strategies and harmonic practices, three trends stand out: 1) Schenkerian-oriented studies, whose main focus has been to investigate the techniques underlying large-scale tonal organization;[45] 2) approaches based on

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(Philadelphia: University of Pennsylvania Press, 1988). A succinct overview of Halm's take on Bruckner's music is found in Brüstle, "The Musical Image of Bruckner," 250–252.

[43] See, for example, Rothfarb, trans., *Ernst Kurth: Selected Writings*, 151–207.

[44] Warren Darcy, "Bruckner's Sonata Deformations" in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), 256–277; Julian Horton, "Bruckner's Symphonies and Sonata Deformation Theory" *Journal of the Society for Musicology in Ireland* 1 (2005): 5–17.

[45] See, for example, Kay Lindberg, "Aspects of Form and Voice-Leading Structure in the First Movements of Anton Bruckner's Symphonies Nos. 1, 2, and 3" (PhD diss., Sibelius Academy, Helsinki, 2014); Boyd Pomeroy, "Bruckner and the Art of Tonic Estrangement: The First Movement of the Seventh Symphony," in *Johannes Brahms und Anton Bruckner im Spiegel der Musiktheorie*, ed. Christoph Hust (Goettingen: Hainholz, 2011), 147–175; Jackson, "The Adagio of the Sixth Symphony"; Edward Laufer, "Some Aspects of Prolongation Procedures," and "Continuity in the Fourth Symphony (First Movement)," in *Perspectives on Anton Bruckner,* ed. Crawford Howie, Paul Hawkshaw, and Timothy Jackson (Aldershot: Ashgate, 2001), 114–144.

characteristic idioms of late-nineteenth-century extended harmony and transformational techniques, which mainly concentrate on local harmonic motions;[46] and 3) historically informed approaches that focus on the application of Sechterian theory and other manifestations of fundamental-bass theory to the study of Bruckner's music.[47]

Finally, there are a few books in which eclectic methodologies and interdisciplinary pursuits have produced a new type of Bruckner research that poses questions and answers beyond traditional disciplinary and methodological boundaries.[48] Chief among these is Julian Horton's book on Bruckner's symphonies, an interdisciplinary study characterized by its author's distinctive argumentative style, which

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[46] See, for example, Miguel Ramírez, "Chromatic-Third Relations in the Music of Bruckner: A Neo-Remaniann Perspective," *Music Analysis* 23 (2013): 155–209, and "Analytical Approaches to the Music of Anton Bruckner: Chromatic-Third Relation in Selected Late Compositions" (PhD diss., University of Chicago, 2009); Christoph Hust, "Heptatonik und Hexatonik in Bruckners Fünfter Symphonie," in *Johannes Brahms und Anton Bruckner im Spiegel der Musiktheorie*, ed. Christoph Hust (Goettingen: Hainholz, 2011), 83–120; William Benjamin, "Tonal Dualism in Bruckner's Eighth Symphony," in *The Second Practice of Nineteenth-Century Tonality,* eds. William Kinderman and Harald Krebs (Lincoln, NE: University of Nebraska Press, 1996), 237–258; Kevin Swinden, "Bruckner and Harmony," in *The Cambridge Companion to Bruckner*, ed. John Williamson (Cambridge: Cambridge University Press, 2004), 205–227, and "Harmonic Tropes and Plagal Dominant Structures in the Music of Anton Bruckner: Theoretical Investigation with Two Case Studies" (PhD diss., State University of New York at Buffalo, 1997); Puffett, "Bruckner's Way"; and Horton, *Bruckner's Symphonies*, 96–143.

[47] The main exponent of Rameau's fundamental bass theory in the later 19th century was Simon Sechter, Bruckner's theory professor and predecessor at the Vienna Conservatory. On the application of fundamental bass theory to the study of Bruckner's music, see David Chapman, *Bruckner and the Generalbass Tradition* (Vienna: Musikwissenschaftlicher Verlag, 2010); Frederick Stocken, *Simon Sechter's Fundamental-Bass Theory and Its Influence on the Music of Anton Bruckner* (Lewiston, NY: Edwin Mellen Press, 2009); Jonathan Brooks, "Imagined Sounds: Their Role in the Strict and Free Compositional Practice of Anton Bruckner" (PhD diss., University of North Texas, 2008); Graham Phipps, "Bruckner's Free Application of Strict Sechterian Theory with Stimulation from Wagnerian Sources: An Assessment of the First Movement of the Seventh Symphony," in *Perspectives on Anton Bruckner*, ed. Crawford Howie, Paul Hawkshaw, and Timothy Jackson (Aldershot: Ashgate, 2001), 228–258; and Elmar Seidel, "Simon Sechters Lehre von der richtigen Folge der Grundharmonien und Bruckners Harmonik—Erwägungen zur Analyse Brucknerscher Musik," in *Anton Bruckner: Tradition und Fortschritt in der Kirchenmusik des 19. Jahrhunderts*, ed. Friedrich. W. Riedel (Sinzig: Studio Verlag, 2001), 307–338.

[48] See, for example, Gault, *The New Bruckner*; Constantin Floros, *Anton Bruckner: The Man and the Work*, trans. Ernest Bernhardt-Kabisch (Frankfurt am Main: Peter Lang, 2011); and Benjamin Korstvedt, *Anton Bruckner: Symphony No. 8* (Cambridge: Cambridge University Press, 2000).

blends theoretical, analytical, philosophical, historical, and cultural inquiries.[49] Without aspiring to such comprehensiveness, but aiming to engage with different strands of scholarship (e.g., textual criticism and formal analysis), my project draws inspiration from Horton's provocative and thoughtful approach.

1.3 Theories of Form[50]

> No composer begins with a *tabula rasa*. To the extent that the artistic materials, forms, and techniques of the age into which a composer is born serve as starting points, contemporaneous conventions of form constitute the social parameter of the composer's art, and form itself is thus as much an objective principle as it is the realization of the composer's subjective content.
> —Janet Schmalfeldt, *In the Process of Becoming*

We live in a promising time for the analyst of Bruckner's music. Over the past four decades, new light has been shed upon late-18th- and 19th-century music by a renewed interest in *Formenlehre*, notably in English-language academia. Two studies stand out within this enterprise: William Caplin's 1998 *Classical Form*, a detailed study of "formal functions" in the instrumental music of Haydn, Mozart, and Beethoven; and James Hepokoski and William Darcy's 2006 *Elements of Sonata Theory*, a study of "norms, types, and deformations" in late-18th-century sonata form.[51]

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[49] Horton, *Bruckner Symphonies.*

[50] Parts of this section draw on (and present in revised form) material from the first chapter of my Master thesis ("Formal Reinterpretation in Schubert's Works for Solo Piano" [MM thesis, University of Arizona, 2013]).

[51] William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998); James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century* Sonata (New York: Oxford University Press, 2006).

The authors of these two books, coming from different musical backgrounds and theoretical traditions, have each developed distinctive analytical approaches. Caplin takes the concept of "formal function" (first advanced by Arnold Schoenberg and further developed by his pupil Erwin Ratz[52]) as the basis of his theoretical and analytical project. There he seeks to systematically describe the form-functional processes operating at the (Classical) tonal work's multiple levels of formal organization—from the smallest units to complete movements, with much emphasis on characteristic mid-level structures such as sentence, period, and their "hybrids." In turn, in Hepokoski and Darcy's *Elements,* music-theoretical, philosophical, and literary-critical traditions converge in a *dialogic* conception of musical form,[53] which constitutes the basis for a comprehensive theory of sonata composition that stresses composers' choices "in dialogue with historically conditioned compositional options."[54]

Hepokoski and Darcy's, and Caplin's treatises are exclusively concerned with the repertoire of high Classicism.[55] Nevertheless, a great portion of the mid- and late-Romantic repertoire—Bruckner's music included—displays, at least at the technical

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[52] Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber & Faber, 1967); Erwin Ratz, *Einführung in die musikalische Formenlehre: Über Formprinzipien in den Inventionen und Fugen J. S. Bachs und ihre Bedeutung für die Kompositionstechnik Beethovens*, 3rd ed., enl. (Vienna: Universal, 1973).

[53] On the dialogic approach and its intellectual background, see Hepokoski and Darcy, *Elements*, 603–610.

[54] James Hepokoski, "Sonata Theory and Dialogic Form," in *Musical Form, Forms & Formenlehre: Three Methodological Reflections,* ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 71–72.

[55] To be sure, Hepokoski and Darcy do engage with post-Beethoven repertory (e.g., Schubert's, Mendelssohn's, and Brahms's music) in *Elements*; however, their discussions of that repertoire is mostly confined to footnotes.

level, a number of formal traits common to those of Classical music, among them, 1) deployment of conventional small- and medium-scale syntactical arrangements (e.g., sentential and small-ternary structures), 2) a marked reliance on a limited repertoire of large-scale formal plans (e.g., sonata form), and 3) the articulation of these through tonal means (e.g., cadences). For these reasons, a premise of my study is that a great deal of the analytical and theoretical work of Hepokoski and Darcy, and Caplin has a significant bearing on understanding Bruckner's music. Moreover, my own analytical approach to multi-textuality in Bruckner's music—as will be seen in Chapter 2—constitutes an extension of Hepokoski and Darcy's dialogic approach. Therefore, the purpose of this section is to provide an overview of these authors' approaches that may help to clarify the theoretical basis upon which I build my discussions in the following chapters.[56]

1.3.1 Hepokoski and Darcy's Dialogic Approach

The Context: Conformational vs. Generative

"An analysis," suggests Hepokoski, "is normally a professionalized explication of a work that seeks to propose for it a coherent musical meaning."[57] Along those lines, analyzing a work's form has been a chief concern for analysts since the late 18th

[56] This overview is aimed at introducing foundational aspects of both formal theories and their respective basic terminology. Specific details (e.g., Sonata Theory's five basic sonata types and their variants or Caplin's small- and large-scale formal types) will be addressed in Chapters 3 and 4 when relevant.

[57] James Hepokoski, "Approaching the First Movement of Beethoven's 'Tempest' Sonata through Sonata Theory," in *Beethoven's Tempest Sonata: Perspectives of Analysis and Performance,* ed. Pieter Bergé (Leuven: Peters, 2009), 181.

century—the period when accounts of "form" started to emerge in theoretical writings.[58] Why and how does analyzing a work's form help us to propose a coherent musical meaning for it? These are by no means easy questions, and ultimately lead to what Hepokoski describes as "the most basic question at stake when we deal with our own concretizations of musical structure or when we seek to build systems of formal classification. . . : what is 'form' itself?"[59]

As Mark Evan Bonds explains, there are two broad and fundamentally different traditional conceptions of form: "form as an aggregate of features that many unrelated works have in common, and form as an element of that which makes an individual work unique."[60] Bonds names these two perspectives "conformational" and "generative" respectively. While the former "looks for [structural] lowest common denominators and views individual works in comparison with such stereotypical patterns as sonata form, rondo, ABA, and the like," the latter "considers how each individual work grows from within and how the various elements of a work coordinate to make a coherent [and unique] whole."[61]

The extent to which these perspectives are fundamentally oppositional is clear vis-à-vis their stance toward the relationship between content and form: On the one hand,

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[58] See Janet Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011), 4–8; Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA: Harvard University Press, 1991), 1–3; and Scott Burnham, "Form," in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 880–883.

[59] Hepokoski, "Sonata Theory and Dialogic Form," 71.

[60] Bonds, *Wordless Rhetoric*, 13.

[61] Ibid., 13–14.

"the idea of form as a structural pattern shared by a large number of unrelated works," explains Bonds, "rests on the premise that a work's form can be distinguished from its content." On the other hand, "the idea of form as the unique shape of an individual work, precludes any such distinction."[62]

Their fundamental differences notwithstanding, both perspectives seem necessary, as they each account for a different facet of musical form. As Bonds argues, "looking for stereotypical patterns can help call attention to deviations from a recognized norm, but it cannot explain these deviations. At the same time, analyzing entirely a work 'from within' cannot account for the . . . structural similarities that exist among a large number of . . . works."[63] It comes as no surprise, then, that in dealing with what Bonds calls the *paradox of musical form* (form as fixed pattern versus unique shape), proponents of both viewpoints end up drawing on both perspectives.

The real problem in this paradox, then, is not which perspective is right and which is wrong. The problem is rather how to bridge the gap between the two; how to approach form from a perspective that accounts for both the uniqueness of a work and the features it shares with other works, without constantly moving between two diametrically different and contradictory conceptions of form. If how one defines what form means ultimately determines one's approach to formal analysis, a critical stance that finds a way around Bond's *paradox of musical form* must come from a fundamentally new

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[62] Ibid., 1.

[63] Ibid., 14.

conception of form. It is at this level (i.e., that of the identity of form itself) that Hepokoski's dialogic approach "proposes a new orientation."[64]

Bridges to Free Analysis: A Dialogical Conception of Form

Central to Hepokoski and Darcy's conception of musical form is the premise that—regardless of the method one happens to favor—"it is inadvisable to pursue formal analysis by extracting an individual work out of an established tradition of craft and its expectations, then reading its surface structures in the abstract, liberated from the social and historical influences on its construction and implied genre."[65] Any analytical method that seeks to propose a musical meaning for a given work by focusing on its acoustic surface alone—thus disregarding its potential sociohistorical content—would be for Hepokoski and Darcy reductionist and simplistic, and therefore inadequate. As they argue,

> Because of their participation in genres and different patterns of reception, musical works are both ideological and aesthetic. Any claim that wishes methodologically to invalidate either side by trumping the one with the other is incomplete and misguided. . . . A sufficient awareness of the nature of both the genre and the exemplar—both the preponderantly social and the potentially aesthetic—is necessary to produce an adequate discussion of any composition.[66]

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[64] Hepokoski, "Sonata Theory and Dialogic Form," 71. Worthy of mention, though, is that Hepokoski and Darcy's concept of dialogical form—in turn derived from foundational aspects of 20th-century genre theory and literary criticism—is not entirely new to music-theoretical discussions: as Janet Schmalfeldt points out, the idea of dialogical form might be seen "as an attractive new expansion of an old idea, one that Adorno in particular developed dialectically through his notion of mediation (*Vermittlung*)." (Schmalfeldt, *In the Process of Becoming*, 16. On Adorno's notion of mediation, see ibid., 30–31.) It is, nonetheless, thanks to the more systematic formulation of Hepokoski and Darcy that the dialogical approach has made a significant impact on the mainstream music-theoretical discourse (though more so in North America than in Europe and Latin America).

[65] James Hepokoski, "Response to the Comments," in *Musical Form, Forms & Formenlehre: Three Methodological Reflections,* ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 101.

For Hepokoski and Darcy, then, the work's meaning resides in two simultaneous (and potentially interactive) dimensions. On the one hand, the features that are specific to a given work alone (its idiosyncrasies) are the source of its *immanent meaning*. On the other hand, the features that a work shares with other works give rise to its *relational meaning*.[67] But it is crucial to note here that immanent and relational meanings work hand in hand: Only through comparing a work's similarities and dissimilarities to other works can one grasp what is unique about a given work (i.e., its particular realization within broader regulating practices) and make sense of it within a larger communicative musical system.

If, as Hepokoski and Darcy propose, the work's meaning extends beyond its acoustic structure, "for the purpose of structural analysis . . . [music] exists most substantially in the ongoing dialogue that it may be understood to pursue with its stated or implied genre,"[68] and thus, "perceptions of form are as much a collaborative enterprise of the listener or analyst as they are of the composer."[69] Along these lines, to approach a work as if it were "a monadic entity to be considered only in terms of its own internal events is," as Hepokoski argues, "methodologically naïve."[70] Thus, the concept of

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[66] Hepokoski and Darcy, *Elements*, 608.

[67] On immanent and relational meaning, see Hepokoski, "Approaching the First Movement of Beethoven's 'Tempest' Sonata," 182; and James Hepokoski, "Monumentality and Formal Processes in the First Movement of Brahms's Piano Concerto No.1 in D Minor, op.15" in *Expressive Intersections in Brahms: Essays in Analysis and Meaning*, eds. Heather Platt and Peter H. Smith (Bloomington: Indiana University Press, 2012), 221.

[68] Hepokoski and Darcy, *Elements*, 605.

[69] Hepokoski, "Sonata Theory and Dialogic Form," 71

dialogical form (i.e., "interpreting a work as participating in a dialogue with established traditions")[71] should be understood first as the conceptual bridge between generative and conformational approaches; and second, as a critical reaction to previous modes of analytical inquiry—a reaction that seeks to propose a new standpoint from which "more informed, more text-adequate, more historically relevant, and more appropriate questions" can be posed.[72]

It might be thought that the dialogical approach is ultimately a sophisticated conformational approach. However, conceiving a work's form *as a dialogue* between that work and the norms of the implied genre at hand precludes by definition the idea that the work's form needs to conform to an ideal model.[73] In order to more accurately understand this difference, three foundational aspects of the dialogical approach should be considered in turn: the concepts of *norm, genre,* and *default level*.

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[70] Hepokoski, "Approaching the First Movement of Beethoven's 'Tempest' Sonata," 181. When it comes to the assessment of the multiple (even contradictory) strata of meanings to be drawn from a musical work, analytical approaches concerned only with a work's immanent meaning are valid to the extent that musical works are capable of producing answers to virtually any question. Nonetheless, as Hepokoski and Darcy state, "shallow questions call for shallow answers" (*Elements*, 608), and thus, such approaches all too often produce analytical commentary flawed by questionable assumptions, "stopping short of addressing more complete and productive questions of form, including such matters as . . . the relation between historically produced musical structures and a responsible, critical hermeneutics." (Hepokoski, "Response to the Comments," 106.)

[71] Hepokoski, "Monumentality and Formal Processes in the First Movement of Brahms's Piano Concerto No.1," 220.

[72] Hepokoski, "Response to the Comments," 106.

[73] On the distinction between dialogic and conformational approaches, see Hepokoski and Darcy, *Elements*, 10–11 and 615–616; and Hepokoski, "Sonata Theory and Dialogic Form," 72. See also the discussion on conformational approaches to form and Sonata Theory in Joseph N. Straus, "Normalizing the Abnormal: Disability in Music and Music Theory," *Journal of the American Musicological Society* 59 (2006): 126–136, especially 128–129 n39.

Norm and Genre

The idea of norm refers to the set of stylistic conventions displayed by a group of musical works, or in Hepokoski and Darcy's words, the "array of common types of continuation-choices established by the limits of 'expected' architecture found in (and generalized from) numerous generic precedents."[74] These norms, "absent a master-set of detailed instructions known to have been carried out by composers," must be reconstructed inductively through "constantly tested-and-retested conclusions . . . that emerge from the study of the works of the more influential composers of the period."[75] Norms, as inductively reconstructed stylistic conventions, constitute the basis for a reconstructed genre (i.e., a set of historically conditioned compositional choices). If so, genres are then "socially constituted and reinforced, the result of hundreds of choices made by numerous pivotal individuals over a span of time and rectified by communities of listeners to suit their own purposes."[76] Moreover, as Hepokoski and Darcy point out,

> Genres transform over time and differ from place to place. They are not static entities. . . . Generic forces are fluid, systems-in-motion.
> Thus a genre is not an autonomous, separate organism existing apart from society. Instead . . . [it] is an agreed-upon set of guidelines devised and used by producers and receivers in a given time and place in order to permit certain kinds of meaning to happen.[77]

Genre, in short, is then an intrinsically temporal and socially constructed set of norms that functions heuristically as a regulative principle, and in doing so, it enables and constrains

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[74] Hepokoski and Darcy, *Elements,* 9.

[75] Ibid., 605.

[76] Ibid., 606

[77] Ibid., 606.

"the production and subsequent reading of compositionally placed musical events."[78] For Hepokoski, consequently, "grasping the full range of an implicit musical form is most essentially a task of reconstructing a processual dialogue between any individual work . . . and the charged network of generic norms, guidelines, possibilities, expectations, and limits provided by the implied genre at hand."[79]

Default Level

The guidelines (i.e., norms) comprising a genre are anything but prescriptive or stiff: "Genres, properly constructed, provide for a flexible set of options at any given point in the realization of any individual exemplar."[80] The composer aiming to communicate a potential meaning is thus confronted with a set of compositional choices as he or she moves through (composes) the various sections of a piece. The pluralistic and malleable nature of genres notwithstanding, the available options the composer draws upon are not presented as neutral, randomly organized continuation choices. On the contrary, since genres are constructed along the lines of social preference, the frequency and perceived prestige of a compositional procedure determines its compositional and interpretative priority *qua* generic norm. The choices inherent to a genre, then, are presented to composers (and listeners) in a hierarchical fashion. This hierarchy of choices is captured by Hepokoski and Darcy's notion of *default levels*:

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[78] Ibid., 606.

[79] Hepokoski, "Sonata Theory and Dialogic Form," 71.

[80] Hepokoski and Darcy, *Elements*, 608.

> To suggest the strength and pre-established hierarchical ordering of . . . options we call the more normative procedures *first- and second-level defaults*. . . . Most simply put, composers selected . . . first-level options more frequently than second-level ones, and so on. . . . As we use it, however, the term *default* connotes more than a merely preferred option for otherwise detached consideration. First-level defaults were almost reflexive choices. . . . More than that: not to activate a first-level default option . . . would require a more fully conscious decision—the striving for an effect different from that provided by the usual choice. An additional implication is that not to choose the first-level default would in most cases lead one to consider what the second-level default was—the next most obvious choice. If that, too, were rejected, then one was invited to consider the third-level default (if existed), and so on.[81]

In the process of making choices (the compositional process), however, a composer can decide to "override all of the default options entirely, thus refusing to follow any of the options that were socially provided."[82] In fact, as Hepokoski points out,

> on both the production and reception side of things, as part of the compositional "game" it was *expected* ("normative") that, within the then-current boundaries of taste and decorum, a composer would apply conceptual force here and there to strain or alter what is otherwise a bland or neutral set of conventional options and procedures. . . . Applying such forces and purposeful generic "misshapings" is just what can give a composition personality, memorability, appeal, interest, [and] expressive power.[83]

Thus, an important aspect of generic expectation is the assumption that the exemplars from which a genre is reconstructed do not need to correspond at every moment to the genre's norms. Consequently, as paradoxical as this might be, instances of the counter-generic are not only relatively frequent occurrences but even desirable effects within generic exemplars.[84]

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[81] Ibid., 10.

[82] Ibid., 609.

[83] Ibid., 617.

Hepokoski and Darcy's Sonata Theory: Generic Layout

Hepokoski and Darcy's *Elements of Sonata Theory* is, in essence, a case study of the dialogic approach. Much of the book concerns the reconstruction of the late-18th-century sonata as a genre: a comprehensive study of the regulative principles (norms) that guided the production and "reading" of sonatas during the late 18th century. Although the elaborate terminology of Sonata Theory might superficially suggest a formalistic focus, one of its main goals is to encourage a two-step method in which a detailed analysis constitutes only the first stage. The second stage of the process aims at attaining "a hermeneutic understanding of music as a communicative system, a cultural discourse implicated in issues of humanness, worldview, and ideology, widely construed."[85] In this regard, Sonata Theory is described by its authors as "the style of analysis and hermeneutics resulting from the flexibility provided by that particular blend."[86]

Sonata Theory's conception of sonata form is one of an expressive/dramatic trajectory comprising a succession of *action-spaces* that, as the work progresses, accomplishes smaller and larger generic tasks. While the latter (i.e., the structural goals) are identified in Sonata Theory as the interplay between the two principal sonata action-spaces (exposition and recapitulation), the former correspond to the local set of generic

[84] Along similar lines, Kofi Agawu states that "the postulation of a summary Classic style . . . must yield in actual execution to the prospect of a dialectical interplay between norm and realization." (Kofi Agawu, *Playing with Signs*: *A Semiotic Interpretation of Classical Music* [Princeton: Princeton University Press, 1991], 127.)

[85] Hepokoski and Darcy, *Elements*, 603.

[86] Ibid., 604.

procedures that constitute the exposition, development, and recapitulation, respectively. A brief review of the modular content and function of these sonata action-spaces follows.

Exposition

The expositional space is allotted a dual task in any sonata form. According to Hepokoski and Darcy, one of these duties (the tonal task) "is to propose the initial tonic and then, following any number of normative (and dramatized) textural paths, to move to a cadence in a secondary key."[87] This shift to a key other than tonic (usually the dominant or the relative major) is generically signaled by the production of a perfect authentic cadence (PAC) in the new key, the *essential expositional closure* (EEC). The attainment of the EEC carries an important dramatic consequence for the whole movement. Establishing a new key midway through the exposition challenges the home-key's primary status and proposes the new key as an emerging tonal force of potentially equal power—its late appearance (an afterthought) notwithstanding. By posing a tonal conflict at the core of the exposition, the EEC motivates and determines, to a great extent, everything that follows. Accordingly, the EEC is (at least tonally) the single most important event in the exposition, and consequently, is the moment towards which the sonata's exposition generically strives.

The second task assigned to the expositional action-space is rhetorical: "to provide a referential arrangement or layout of specialized themes and textures against which the events of the two subsequent spaces—development and recapitulation—are to

[87] Ibid., 16.

be measured and understood."[88] Central to the idea of a rhetorical task is the principle of *rotation*: the process by which a complete movement, or portions of it, unfolds "through musical space by recycling one or more times . . . a referential thematic pattern established as an ordered succession at the piece's outset."[89] As Warren Darcy explains, "such a rotational process may simultaneously define a sonata-strophic hybrid in which several rotations of a multithematic pattern correspond to exposition, development, recapitulation, and perhaps even a coda."[90] The exposition's rhetorical task, then, is to propose a referential rotation that later recurs in the developmental and recapitulatory spaces.

Working hand in hand, rhetorical and tonal processes define a sonata-formal generic layout that Hepokoski and Darcy summarize as follows:

> The exposition begins with a *primary theme* or *primary idea* (P) in the tonic that sets the emotional tone of the work. The most common layout for the remainder of the exposition continues with an energy-gaining zone of transition (TR) that leads to a mid-expositional break or medial caesura (MC). This is typically followed by the onset of a specialized, secondary-theme (S) in the new key. . . . Producing the EEC is the generically assigned task of the S-idea(s). . . . Whenever one hears the onset of S-space within the exposition one should listen with an alert sense of anticipation for any subsequent PAC [i.e., any subsequent EEC candidate]. . . .
> Following the EEC one or more additional cadences (PACs) may follow within the *closing zone* or *closing space* (C). (Not all the expositions contain C-modules; it is possible for the S-concluding EEC to be delayed until the end of the

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[88] Ibid., 16.

[89] Hepokoski and Darcy, *Elements,* 611.

[90] Darcy, "Bruckner's Sonata Deformations," 264. The rotational principle, its frequent coincidence with sonata form notwithstanding, is by no means limited to this form. On the contrary, the principle itself "underpins a generous diversity of forms. . . : theme and variations; strophic songs; strophic variation; rondos; different types of ostinato-grounded works; and the like." (Hepokoski and Darcy, *Elements*, 612) On the rotational principle's relevance to non-sonata forms, see, e.g., James Hepokoski, "Clouds and Circles: Rotational Form in Debussy's 'Nuages,'" *Tijdschrift voor muziektheorie* 15, no.1 (2010): 1–17; and *Sibelius: Symphony No. 5* (Cambridge University Press, 1993), 23–26, and 58–84.

> exposition, in which case there is no closing zone.) Whether or not C-modules are present, the final cadence of the exposition will generically be a perfect authentic cadence in the secondary key. . . . Additionally, the final cadence is sometimes followed by a reactivation of V in preparation for a repeat of the entire exposition: if so, this reactivating passage is the *retransition* (RT).[91]

Development

If the exposition's tonal task is to establish a tonal tension, one of the development's tasks is to increase that tension. As Hepokoski and Darcy note, "the development typically initiates more active, restless, or frequent tonal shifts. . . . Here one gets the impression of a series of changing, coloristic moods or tonal adventures."[92] Equally importantly, the development fulfills a large-scale tonal task that binds together the two spaces: "Ultimately, the standard development culminates on an active dominant (V_A, meaning 'a V that is an active chord, not a key')."[93] The attainment of this V_A at the end of the development produces a deep-structural half cadence (I:HC) that divides the sonata into two tonal branches, the first comprising both expositional and developmental spaces. In major-mode sonatas, this V_A recaptures and reactivates the exposition's tonicized dominant (V_T, meaning V as a key). In minor-mode sonatas, the V_A completes a deep-middleground tonic arpeggiation (I–III–V).

As mentioned above, from a rhetorical viewpoint the development often cycles through the exposition's referential rotation: "More often than not, the modules taken up and worked through in the development are presented in the order that they had originally

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[91] Hepokoski and Darcy, *Elements*, 18.

[92] Ibid., 18

[93] Ibid., 19.

appeared in the exposition (even though several expositional modules are normally left out entirely)."[94] Thus, any departures from the referential rotation (e.g., through the introduction of new material) should be understood against the background of a generic expectation of its recurrence.

Recapitulation

According to Hepokoski and Darcy, "this action-space resolves the tonal tension originally generated in the exposition by rebeginning on the tonic . . . and usually by restating all non-tonic modules from part 2 of the exposition (S and C material) in the tonic."[95] In this sense the recapitulation's generic task is therefore to retrace the events of the exposition, with the necessary adjustments to accomplish a resolution of the exposition's tonal conflict. Crucial here is the recasting of the expositional EEC as a PAC in the home key (I:PAC) at the equivalent point in the recapitulation—the tonal goal of the whole sonata, hence its *essential structural closure* (ESC). The sonata as a whole can then be understood as a dramatic trajectory in which the exposition (a *structure of promise*) both proposes a problem and indicates how the solution might be worked out by the recapitulation (a *structure of accomplishment*).[96]

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[94] Ibid., 19. On developmental rotations, see ibid., 217–221.

[95] Ibid., 19.

[96] On the structure of promise/accomplishment, see ibid., 17, figure 2.1b; and 18–19.

1.3.2 Caplin's Form-Functional Perspective

Much has been said about both Caplin's propensity to emphasize the "what" at the expense of the "why," and a certain Procrustean tendency that some have perceived in his theoretical formulations and analytical interpretations.[97] It must be kept in mind, however, that one (perhaps the most important) stated aim of Caplin's form-functional theory is "to revive the *Formenlehre* tradition by establishing it on more secure and sophisticated foundations."[98] In doing so, Caplin has sought to provide an alternative to the "ill-defined concepts and ambiguous terminology" typical of much previous writing on musical form, ultimately presenting a theory that "formulates coherent principles and proposes clear terminology."[99] Thus, although arguments might arise in relation to some detailed aspects of his approach, these are greatly outweighed, first, by its consistency and clarity, and second (and most importantly), by the "richer understanding—indeed, richer hearing—of classical form to which Caplin's work opens the way."[100]

In keeping with Caplin's characteristic preoccupation with terminological clarity and conceptual consistency, the following overview focuses on two foundational aspects of his *Formenlehre*: formal functions and their relation to formal types.

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[97] For examples of this line of criticism, see review of *Classical Form* by Floyd Grave, *Music Theory Online* 4, no.2 (November 1998), http://www.mtosmt.org/issues/mto.98.4.6/mto.98.4.6.grave.html#References (accessed August 3, 2016); and Warren Darcy, *Music Theory Spectrum* 22 (2000): 122–125; as well as James Hepokoski, "Comments on William E. Caplin's Essay 'What Are Formal Functions?'," in *Musical Form, Forms & Formenlehre: Three Methodological Reflections,* ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 41–45.

[98] Caplin, *Classical Form*, 3.

[99] Ibid., 3.

[100] Nicholas Marston, review of Caplin, *Classical Form*, *Music Analysis* 20 (2001): 148.

Formal Function

Function vs Grouping and Thematic Structures

Caplin defines *formal function* as "the specific role played by a particular musical passage in the formal organization of a work."[101] In doing so, he not only points out the syntactical nature of formal functions, but foregrounds a key aspect of his theory: the distinction between *grouping structure* and *formal function*—i.e., the difference between recognizing a given passage as a "discrete, perceptually significant time span"[102] and understanding its function within a larger formal context.[103]

According to Fred Lerdahl and Ray Jackendoff, "grouping structure" refers to the "hierarchical segmentation of the piece into motives, phrases, and sections."[104] Although, as Caplin suggests, using "our cognitive ability to 'chunk' the music into discrete units of time" is one of the "sorts of things we typically do when analyzing form in connection with a specific work,"[105] understanding the form of a work *only* in terms of its grouping structure is of limited value. Seeking to overcome this limitation, music theorists have traditionally relied on the use of letter names, which, as Caplin explains, help to identify "commonalities of 'thematic content' among the groups."[106] One needs to be cautious,

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[101] Caplin, *Classical Form*, 254.

[102] Ibid., 255.

[103] As Warren Darcy states, "more than anything else, it is this differentiation . . . that sets Caplin's theory apart from most previous theories of musical form." (Darcy, review of *Classical Form*, 122).

[104] Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (1983; repr., Cambridge, MA: MIT Press, 1996), 8.

[105] William Caplin, "What Are Formal Functions?," in *Musical Form, Forms & Formenlehre: Three Methodological Reflections,* ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 23.

though, when assessing the role that thematic content plays in formal perception. As Caplin writes,

> Appeals to melodic content are typically grounded in two postulates. The first holds that the appearance of new ideas signals formal initiation. The second asserts that the return of a previously sounding idea brings its previous associated formal function. It is easy to understand why these postulates have proven irresistible to theorists. For the start of a new formal unit often brings new melodic-motivic ideas, and the return of prior materials regularly restores the formal context of the earlier appearance of those ideas. But frequency of occurrence can be deceptive, for it suggests a causal relation between content and function that, in my opinion, is erroneous.[107]

Thus, Caplin's concept of formal functions arises here as a specific feature distinct from thematic content and with no necessary relation to it, the key point being that thematic content "does not contribute essentially" to how formal functions come into being.[108]

The same kind of conceptual distinction exists between grouping structure and formal function. In this case, however, the distinction is subtler. For although in many situations grouping process and formal functionality seem to stand in a causal relation as a result of their relative congruence, that is not always the case. As Caplin notes, "in

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[106] Ibid., 23

[107] Ibid., 37–39. To be sure, its limitations notwithstanding, a letter-based analysis certainly deepens our analytical insights by moving from the mere task of musical "chunking" to addressing issues of formal content.

[108] See, William Caplin, "Response to the Comments," *Musical Form, Forms & Formenlehre: Three Methodological Reflections,* ed. Pieter Bergé (Leuven: Leuven University Press, 2009), 57.

Notwithstanding the general validity of the line that Caplin draws between thematic content and formal functionality, in reality the conceptual barrier that prevents their mutual influence is sometimes less solid. In Caplin's formal functions of *contrasting idea* and *consequent*, for example, thematic content is a major determinant of formal function. Similarly, his notion of *motivic uniformity vs. diversity* is a major factor in assessing the degree of "looseness" expressed by a given passage, thus a critical criterion when identifying formal functions at higher levels. (On broad criteria to identify higher-level thematic functions, see pp. 62–63 below, and Caplin, "What Are Formal Functions?," 35–38.)

For a contrasting perspective to Caplin's assessment of the relation between thematic content and formal functionality, see Severine Neff, review of *Classical Form*, *Indiana Theory Review* 20 (1999): 47–49.

some situations, a group may express more than one function simultaneously. . . . At other times several consecutive groups may express the same formal function. . . . Finally, a given group can at first be understood as expressing a particular function but then be reinterpreted as another function."[109] And elsewhere, "in short, grouping and function are often congruent, but sometimes not; that they arise from different musical relationships means that while they may interact in significant ways, they represent essentially distinct aspects of musical form."[110]

Functionality as Temporality

According to Caplin, a fundamental aspect of form is "its intimate association with musical temporality."[111] Thus, an essential component of his concept of formal functions is its relation to temporality: "Central to our experience of time," argues Caplin, "is our ability to perceive that something is beginning, that we are in the middle of something, and that something has ended."[112] Similarly, formal functions "generally express a temporal sense of beginning, middle, end, before-the-beginning, or after-the-end."[113] In order to make explicit this association between functionality and temporality,

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[109] Caplin, *Classical Form,* 4.

[110] Caplin, "Response to the Comments," 58.

[111] Caplin, "What Are Formal Functions?," 23.

[112] Ibid., 23.

[113] Caplin, *Classical Form.,* 254–255.

Caplin first suggests a tripartite model of generalized temporal functions—initial, medial, and ending[114] —and then presents formal functions as their specific manifestations.

Central to Caplin's model is his structural conception of form, which is expressed in his notion of a "hierarchical nesting" of temporal functions.[115] As he explains, "for a given time-span at one level of structure, any one of its constituent 'lower-level' spans could be understood, very generally, as a beginning, middle, or end of that 'higher-level' span."[116] Here Caplin engages with a phenomenological perspective in which a single event (e.g., a given foreground time-span) can be perceived by a listener as projecting multiple temporal functions. This is so because, although these various temporal functions may coincide in clock-time, in their larger context they occupy different structural levels, thus residing in different phenomenological space-times.[117]

This phenomenological multitemporality can be illustrated by a passage from the second movement (Andante Molto) of Bruckner's Symphony in F minor, WAB 99—the so-called *Studiensymphonie*.[118] In this movement, mm. 51–52 represent, at a lower level,

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[114] Caplin's basic threefold temporal core may be framed by groups that, in terms of temporal functionality, occur "before-the-beginning" or "after-the-end" (*framing functions*; see ibid., 15–16).

For a precedent in the use of tripartite models to represent temporality in Classical music, see Agawu, *Playing with Signs*. Fundamental to Agawu's approach is the use of a beginning-middle-ending paradigm for processing harmonic rhetoric in Classical music, Agawu's focal point within the domain of *introversive semiosis* (see especially pp. 51–79, 91– 98, and 131–134).

[115] Caplin, "Response to the Comments," 55.

[116] Caplin, "What Are Formal Functions?," 23–25. In this regard, see ibid., 24, figure 1.3. There Caplin presents a partial representation of the temporal structure of Beethoven's Symphony no. 1, Op. 21/i, in which the hierarchical nesting of temporal functions is evident.

[117] For a much more extended discussion on musical phenomenology and multitemporal perception, see David Lewin, "Music Theory, Phenomenology, and Modes of Perception," (originally published in *Music Perception* 3 [1986]), repr. in *Studies in Music with Text* (New York: Oxford University Press, 2006), 53–108, especially parts III and IV.

the presentation phrase of an eight-bar sentence (mm. 51–54, R = ½N).[119] At a higher level, this sentence is the second half (consequent phrase) of a compound progressive period, which in turn stands as the first of three parts (exposition, mm. 47–54) comprising a ternary interior theme (mm. 47–68).[120] Thus, from foreground to background, mm. 51–52 can be understood—in terms of temporal functions—as the beginning (presentation) of the end (consequent) of the beginning (exposition) of the middle (interior theme) of the entire movement.[121]

As is evident in this example, although the simplicity of the tripartite temporal model allows for pointing out shared basic temporal functions between sections at different structural levels (e.g., both mm.51–52 and 47–54 express initiating functions), it fails to portray the temporal nuances that define them as similar in temporal nature but different in hierarchy. This limitation becomes even more pronounced when the basic temporality expressed by a given group is the same at every level. Consider, for example, mm. 57–58 in the same movement. Using the tripartite temporal model, one would assess this two-measure group as "the middle of the middle of the middle": a four-bar

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[118] This example paraphrases the point made by Caplin in relation to mm. 77–80 in the first movement of Beethoven's First Symphony (see fn 116).

[119] On Caplin's concept of R = ½N (in which a single "real" measure occupies only half of a notated measure at a slow tempo) and its corollary R = 2N (in which a "real" measure comprises two notated measures at a fast tempo), see *Classical Form*, 35.

[120] On these formal functions and theme types, see ibid., 35–48 (presentation phrase and sentence), 53–57 (consequent), 65–69 (sixteen-measure period), 73–75 (small ternary's exposition), 212–214 (interior theme).

[121] The entire movement exhibits a hybrid form resulting from the mixture of sonata and large ternary forms' constituent formal functions: Exposition [I–V] + Interior Theme [iii] + Recapitulation [I]. On large ternary form, see ibid., 211–216.

continuation [in R = ½N] that—as unfolded through various structural contexts—functions as the middle of a sentential phrase, the middle of a theme type (small ternary), and the middle of a complete movement.

Given the somewhat crude analytical observations yielded by the basic temporal model, Caplin defines "the goal of a theory of formal functions" as the attempt to achieve a much more accurate understanding of the temporal-functional nuances expressed at each structural level.[122] Expanding and refining Schoenberg/Ratz's ideas on formal functionality, Caplin formulates a full-blown theory that clearly describes the specific ways in which temporality is expressed at every structural level. So, for example, the above-mentioned understanding of WAB 99's mm. 57–58 as a chain of superimposed middles would be replaced in Caplin's theory of formal functions by a set of labels meant to represent the specific kind of middles suggested by this two-measure group at each structural level, namely continuation, contrasting middle, and interior theme.

Identification Criteria

According to Caplin, form-functional identification criteria differ according to the level being considered. In assessing lower levels near the foreground, the formal function expressed by a passage largely depends on both group-structuring processes (e.g., repetition and fragmentation) and "the kind of harmonic progression supporting the passage"[123] (prolongational, cadential, or sequential).[124] As Caplin explains, "a

[122] Caplin, "What are Formal Functions?," 25.

[123] Ibid., 34.

prolongational progression sustains in time an individual harmony (within an implied tonality); a cadential progression confirms a tonal center; and a sequential progression projects a melodic-contrapuntal pattern independent of harmonic functionality."[125] Consequently, Caplin establishes a causal relation between local harmonic progression and lower-level formal functions in which, generally speaking, "prolongational progressions engender a sense of formal initiation, sequential ones express medial functions, and cadential progressions create formal closure."[126] Thus, for example, based on these two criteria of form-functional identification (i.e., formal processes and local harmonic progressions), Caplin is able to devise lower-level formal functions such as presentation ("an initiating . . . function consisting of a unit . . . and its repetition, supported by a prolongation of tonic harmony"[127]), continuation ("a medial . . . function that destabilizes the prevailing formal context by means of fragmentation, harmonic acceleration, faster surface rhythm, and harmonic sequence"[128]), and cadential ("a concluding . . . function that produces the requisite conditions for thematic closure. It is supported exclusively by one or more cadential progressions").[129]

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[124] See Caplin, *Classical Form*, 23–31.

[125] Ibid., 24–25. It is important to note that, as Caplin states, "these three categories are not as mutually exclusive as just presented. For example, prolongational progressions can occur within a broad cadential progression, and some sequential progressions may acquire an overall prolongational function. Moreover, a given progression may sometimes be classified in more than one way." (Ibid., 262 n7). On the features characteristic of each of these three kinds of harmonic progression, see ibid., 24–31.

[126] Caplin, "What are Formal Functions?," 34.

[127] Caplin, *Classical Form*, 256.

[128] Ibid., 254.

[129] Ibid., 253.

The criteria for identification of formal functions change as we move to deeper levels of structure. There, formal functionality relies less on local arrangements of harmonic functions than on "tonality, as confirmed by cadential articulation."[130] For example, a major determinant in identifying a given higher-level group as a subordinate theme would be its confirmation of a subordinate key. Similarly, main-theme function is normally associated with the cadential articulation of the home key. However, as Caplin notes, "tonality does not provide the whole story,"[131] for formal function at higher levels is also determined by the relative degree of "tight-knit" and "loose" organization expressed by a given higher-level group, according to a continuum comprising various formal parameters.[132] As summarized by Warren Darcy,

> A musical unit is most tightly knit if it begins and ends in the home key, closes with a perfect authentic cadence, is supported by a tonic prolongational progression, contains symmetrical measure-groupings (multiples of two), expresses its functionality in an efficient manner, is motivically uniform, and displays a conventional formal type [i.e., period, sentence, or hybrid]. A unit is much more loosely knit if it modulates, lacks cadential closure, is supported by a sequential harmonic progression, contains asymmetrical measure-groupings, exhibits functional redundancy (through repetitions, extensions, expansions, and interpolations), is motivically diverse, and displays a non-conventional formal design.[133]

Thus, when Caplin assesses a formal unit as expressing a subordinate theme's form-functional attributes, it is not just because the unit confirms—via a PAC—a subordinate

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[130] Caplin, "What are Formal Functions?," 35.

[131] Ibid., 37.

[132] On these formal parameters and the tight-knit/loose continuum, see Caplin, *Classical Form*, 84–85; and Caplin, "What are Formal Functions?," 38, figure 1.5.

[133] Darcy, "review of *Classical Form*," 122.

key, but also because of its relative position within the tight-knit/loose continuum (i.e., considerably less tight knit than a main-theme function, but not as loose as a transitional one).

Formal Function and Formal Types

Caplin's *Formenlehre* distinguishes itself from most previous form theories in its emphasis on formal functions rather than formal types (e.g., period, rounded binary, sonata form, etc.). In this regard, he posits four main justifications:[134]

1. Thorough investigation of the repertoire reveals that the standard formal types of traditional theories only account for a limited number of the form-functional syntactical arrangements commonly deployed by classical composers.

2. An approach that emphasizes function rather than type allows for an investigation of how the given type approximates to and deviates from the "ideal" type. This is especially germane to situations where a given type is represented by an incomplete set of formal functions.

3. Approaches based on identification of formal types too often fail when confronted with syntactical arrangements of formal functions that either exhibit aspects of more than one formal type (e.g., sentence and period) or resemble no standard type. In contrast, an emphasis on formal functionality circumvents such problems by enabling their classification as hybrid or non-conventional types.

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[134] See Caplin, "What Are Formal Functions?," 30–34.

4. An approach that emphasizes function rather than type actively engage us with musical time, in doing so, forcing us to account in our analyses for the kind of temporalities that shape our experience of musical form.

The Atemporality of Formal Types

The last point listed above takes on special importance in view of Caplin's fundamental distinction between formal function and formal type: whereas formal functions are manifestations of temporal functions, formal types are on the contrary *atemporal*.[135] As Caplin warns, "when speaking of types . . . as atemporal, I do not mean that a given exemplar of a type does not unfold in time or that it does not express a sense of beginning, middle, or end. What I mean is that, *as an abstract category*, a formal type has no predetermined relation to a temporal function."[136] Thus, for example, "a sentence form per se does not situate itself in any particular location in time. Only when a given sentence is identified functionally as, say, a main theme, does it attain the temporal status of beginning. But a sentence may also be used as a subordinate theme, in which case it may be realized as an expositional ending."[137]

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[135] James Hepokoski disputes this distinction on the grounds that the formal functions making up formal types (and ultimately defining them as such) are by definition expressions of temporal functions, which makes it difficult to accept the idea that formal types are atemporal. (Hepokoski, "Comments on William E. Caplin's Essay 'What Are Formal Functions?'," 42).

[136] Caplin, "Response to the Comments," 57.

[137] Caplin, "What Are Formal Functions?," 32.

Theme Types and Full-Movement Forms

Notwithstanding his predilection for formal functions, Caplin does thoroughly develop formal types in his *Formenlehre*, and given the novelty of his form-functional approach, the results are in many ways innovative.

For Caplin, formal types fall into two broad categories: theme types and full-movement forms.[138] A theme is defined as "a complete middle-ground structural unit consisting of multiple phrases leading to cadential closure."[139] Here it is important to note that, although the last phrase in a theme must end with a cadence, the phrases preceding need not produce a sense of cadential articulation. For Caplin—and in this he departs from most previous definitions of phrase—the final portion of a phrase does not require a cadence. He explains his rationale thus: "indeed, many of the problematic issues traditionally associated with the definition of phrase are more comfortably assimilated to the concept of formal function. Thus, phrase is used here as a functionally neutral term of grouping structure and refers, in general, to a discrete group of approximately four measures in length."[140]

As discussed above, traditional theories of form based on identification of formal types have not successfully accounted for the syntactical arrangements of formal

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[138] Based on the these formal-type categories (i.e., theme types and full-movement forms), Caplin characterizes formal functions as either *intrathematic* or *interthematic*. According to Caplin, the former refers to "the constituent formal functions of a theme," whereas the latter denotes "the constituent formal functions of a full-movement form (or the principal sections of such a form) operating above the level of the theme." (Caplin, *Classical Form*, 255).

[139] Caplin, "What Are Formal Functions?," 63 n9. If the organization of a given unit resembles a theme but is more loosely organized or lacks cadential closure, Caplin refers to it as a "themelike unit." (See Caplin, *Classical Form*, 257).

[140] Caplin, *Classical Form*, 260 n5.

functions commonly found in classical music. Caplin's *Formenlehre*, in turn, provides a more comprehensive description of the conventions of classical thematic syntax. The result is a set of standard thematic constructions that Caplin groups under the general category of theme types: sentence, period, hybrid, small ternary, small binary, compound sentence, and compound period.[141] The same approach (i.e., focusing on standard form-functional deployment sequences), but applied to higher levels, is used by Caplin to tackle the issue of full-movement forms: sonata, large ternary, minuet/trio, minuet, five-part rondo, sonata-rondo, concerto, and theme and variations.[142]

To summarize, although any particular formal unit in a piece of music can be very generally considered as expressing a basic sense of beginning, middle, or end, a more accurate understanding of the rather complex temporal structure of music requires us to engage with more sophisticated accounts of musical temporality. In this regard, Caplin's emphasis on the primary role that temporality plays in our perception of form constitutes an important reference point. By providing specific criteria and a labeling system to identify formal functions at each structural level, Caplin both invites us to experience and confront the very temporal nature of music, and develops flexible analytical tools to account for the functional deployment sequences making up formal types. In doing so, Caplin establishes solid theoretical bases that, along with Hepokoski and Darcy's Sonata Theory, provide the foundation on which to build an investigation of Bruckner's small- and large-scale formal procedures.

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[141] On theme types and their particular form-functional construction, see ibid., 35–93.

[142] On full-movement forms and their particular deployment sequences of formal functions, see ibid., 195–251. On the form-functional organization of sonata form, see ibid., 97–191.

CHAPTER 2. THE WORK: CONCEPT AND METHOD

2.1 Defining the Text

As a cultural phenomenon, music does not possess universal attributes; the only requirement for something to be (or become) a work of music is that someone—a listener, composer, or performer—intends it to be so. As such, musical works are first and foremost an intentional endeavor. In "Western classical music,"[1] this intentional endeavor involves three broad transformative actions: listening, composing, and performing. These three creative efforts intermingle within a dynamic space (sphere of action) comprising 1) genre-contextualized extemporizations, 2) written records of these extemporizations and other musical ideas, 3) performances,[2] and 4) listener interpretations (which include those of the casual music listener as well as those by music analysts and other professional music scholars).[3] In this investigation, the realm pertaining to the preparation of written texts (music manuscripts and editions) acquires a prominent role for two reasons: First, both the Bruckner Problem and my critical reappraisal of his music (the Bruckner Potential) take as a point of departure the multiplicity of texts (scores) associated with most of his symphonies. Second, if, as Taruskin argues, dissemination "primarily through

[1] By Western classical music, I mean, in the spirit of Richard Taruskin, the invented yet coherent literate musical tradition that extends roughly from the eighth to the mid-twentieth century in the West, the latter understood not as a specific geographical region but as an area of cultural influence. See Richard Taruskin's introduction ("The History of What?") to his five-volume *Oxford History of Western Music* (New York: Oxford University Press, 2009), I: xiii–xxii.

[2] I.e., a performer's interpretations of the notation as recorded in the written text.

[3] To be sure, this characterization of the work-production realm (a simplification of a much subtler, larger, and less straightforward process) is not meant to rule out the possibility or the existence of other music-making processes, e.g., those germane to oral-based musical traditions. Instead, it is meant as a basic contextual framework for the topics addressed in this section.

the medium of writing" is what gives a coherent, complete shape to Western classical music,[4] then the written text is central to its critical study, including the music-theoretical questions on which this project builds, along with their associated analytical tools. Therefore, throughout this investigation, I will deal by and large with musical works in their philological sense, that is, as recorded through musical notation in written texts.[5] In doing so, I will pursue an analytical perspective that intersects significantly with textual criticism and hermeneutics, so establishing a theoretical discourse continuous with music philology.[6]

From a philological perspective, hermeneutics (or exegesis) refers to the attempt to understand, interpret, and explain a written work. For music philology this task takes two broad forms, each triggered by a distinctive question: 1) What is the meaning of the written text? 2) What is the meaning of the work?[7] The first question—characteristic of

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[4] Taruskin, "The History of What?," xiv.

[5] This emphasis on the written text does not mean that I am not interested in music's aurality. Ultimately, any hypothesis about a written text involving musical notation must be tested and judged against that text's implicit aurality.

Regarding the way in which written texts relate to their implicit aurality, they can be characterized as either prescriptive or descriptive. If the recording of music extemporizations as a written text precedes their performance proper, then the text is prescriptive in the sense that the score attempts to provide guidelines on how to make the piece audible. If, on the other hand, the text follows the work's performance, then the text is descriptive in the sense that it gives an account of what has already been heard in performance (e.g., an after-the-fact transcription of a jazz solo). On the distinction between prescriptive and descriptive texts, see, Georg Feder, *Music Philology: An Introduction to Musical Textual Criticism, Hermeneutics, and Editorial Technique,* trans. Bruce C. MacIntyre (Hillsdale, NY: Pendragon Press, 2011, 15–16.

[6] As pointed out by Georg Feder, the linguistic propriety of the term "music philology" or "musical philology" can be debated; however, what it is indisputable "is the fact that a philological method, or whatever one calls it, can be used with music" (Feder, foreword to *Music Philology*, ix).

[7] See Feder, "Hermeneutics," in *Music Philology,* 85–125, especially 85–88 and 97. On the distinction between work and text, James Grier, for example, points out that "a written text is not self-sufficient; text and work are not synonymous. For most of the Western art tradition, the act of creating a musical work consists of two stages, composing (usually synonymous with the inscription of the score) and

the so-called "lower" hermeneutics—inquires into practical matters such as how the score is to be read, played or sung. The second question, on the other hand, points to the relatively larger and more contentious path of inquiring about how the written work is to be heard, i.e., understood ("higher" hermeneutics). Given the analytical aims of my project, my questions generally pertain to higher hermeneutics—a realm that transcends music philology in its narrowest sense to include the domain(s) of music history and theory.

Textual criticism, on the other hand, refers to "1) investigation of the composer attribution, 2) dating, and 3) examination and correction of the text."[8] The full spectrum of textual criticism comprises three interdependent scholarly activities: source criticism, and "higher" and "lower" criticism.[9] As Feder explains, "in its music-philological as well as general historical sense, source criticism (*Quellenkritik*) refers to the determination of documentary value, i.e., the examination of the formal authentication and the internal credibility of a manuscript or print."[10] Among the tasks involved in source criticism, then, are compilation of the text's sources (determining concordances) along with their description (e.g., handwriting, paper, format, and printing type), and classification (as, e.g., autograph, copy, or print).

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performance. These two steps create a distinction between the work, which depends equally on the score and performance for its existence, and the text, either written (a score) or sounding (a performance) that defines a particular state of the work." (*Grove Music Online,* s.v. "Editing," accessed January 26, 2016 http://www.oxfordmusiconline.com.ezproxy3.library.arizona.edu/subscriber/article/grove/music/08550.

[8] Feder, *Music Philology,* 41.

[9] See, Feder, "Textual Criticism," in *Music Philology,* 41–83.

[10] Ibid., 45.

According to Feder, the difference between lower and higher criticism—a distinction on which not all philologists agree—is "one of objectives of investigation rather than one of methods."[11] As he explains, lower criticism examines "the musical text . . . with attention to the identity and disparity of readings from the compared textual witnesses (sources)."[12] In general, the goal of lower criticism is to produce (via collation, eclectic methods, and stemmatology) a conjecturally correct reading and to determine the chronological order of the variants (if any). On the other hand, as Feder explains,

> When authorship, provenance (place), date, or genre designation is lacking or doubtful, their ascertainment becomes the task of "higher" criticism. . . . Higher criticism puts into chronological order the author's undated versions and makes use of antiquarian-historical research to track down the possible commissioner of a work, the occasion for its composition, the circumstances of its first performances, and any other pertinent historical knowledge about the work. When all this is brought into a narrative context, the result produces the "external" history of the work's origin, the "internal" history of the influences that help to shape it, and the history of the creative process.[13]

This project is concerned with text-critical issues to the extent that, for any meaningful discussion of Bruckner's symphonies to take place, it is essential to clarify in advance which written texts are being referred to.

Defining what constitutes the written text(s) of a musical work is a challenging task, though. As the following discussion of the text-critical terminology surrounding the

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[11] Ibid., 42 n5. For a contrasting perspective to that of Feder, see James Grier, *The Critical Editing of Music: History, Method, and Practice* (Cambridge: Cambridge University Press, 1996), 14–15, and 58.

[12] Feder, *Music Philology,* 42.

[13] Ibid., 71–72.

Bruckner Problem shows, any claim about what qualifies as a work's written text is implicitly dependent on a prior conceptualization of that work.[14]

2.1.1 The Plethora: *Fassung, Vorarbeit, Verbesserung, Anpassung, Bearbeitung*, *Variante, Korrektur, Zustand,* etc…

Bruckner approached his works in three fundamental ways: composition, critical appraisal, and revision (re-composition). In works such as the First and Third Symphonies—which preoccupied him for much of his mature life—these three activities produced a looping sequence through which he cycled for over 20 years, leaving behind a spiral-shaped creative trail. Assessing this trail and its intertwining with the first printed editions of Bruckner's symphonies has been a major concern of Bruckner scholarship from the beginning. At the intersection of musicology, textual criticism, and aesthetics, this concern was the source of the conceptual plethora that characterizes the Tower-of-Babel-like chaos of early- and mid-20th-century literature on the Bruckner Problem.

Looking for a way out of the above situation, Manfred Wagner submitted in 1980 the following definition of the term *Fassung* (version): "The term 'version' is understood to mean every preparation of a work as a whole completed by Bruckner."[15] Almost a

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[14] This means, for example, that the premise "*Urtext* edition = *the* work's text" on which a good number of performers still operate today, is valid only within the ideological framework of an implicit conception of the work that substantiates it. For a critical view of what an *Urtext* edition actually is, see Feder, *Music Philology*, 154–155.

[15] „Als "Fassung" verstehe man im Rahmen dieses Referates jede von Bruckner abgeschlossene Herstellung eines Werkes in seinem Gesamtzusammenhang." (Manfred Wagner, "Bruckners Sinfonie-Fassungen - grundsätzlich referiert," in *Bruckner-Symposion 1980* [Linz]: *Die Fassungen*, ed., Franz Grasberger [Vienna: Musikwissenschaftlicher Verlag, 1981], 16; translation mine)

quarter century before, Leopold Nowak expressed a similar conception of *Fassung,* though in a less succinct manner than Wagner:

> The first complete manuscript indicated as "finished"—in some cases with an added signature and date—is the work's first version. . . . Modifications can then be made to this score. . . . As long as they do not lead to the preparation of a new score, these alterations only modify the current state of the first version, and thus form the first version's second state. A second version is formed only when the changes are so significant and radical as to entail the preparation of a new manuscript.[16]

Indeed, the messages conveyed by Wagner's and Nowak's definitions are essentially the same. Wagner's goal, however, was not simply to reiterate Nowak's definition more succinctly, for Wagner recognized that the term *Fassung* was (and still is) used to identify a concept with far-reaching consequences. Thus, Wagner further developed the concept of *Fassung*, aiming at a reconfiguring of the concept's aesthetic context. As he pointed out, a prevalent trend since Bruckner's lifetime was to characterize any work's subsequent versions as *Verbesserungen* (improvements) with respect to their immediate predecessors. According to this aesthetic stance, all versions but the last were to be deemed *Vorarbeiten* (preliminary work) en route to the last and best version.[17]

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[16] Die „1. Niederschrift, die beendet und gegebenenfalls mit Namenszug und Datum als 'fertig' erklärt wird, ist die 1. Fassung eines Werkes. . . . An der fertigen Partitur können nun Änderungen vorgenommen werden. . . . Solange sie nicht zur Fertigung einer neuen Partitur führen, wird lediglich der augenblickliche Zustand der 1. Fassung geändert. Es entsteht also ein 2. Zustand. Erst wenn sich der Komponist zu großen, einschneidenden Änderungen entschließt, die eine zweite Niederschrift der Partitur im Gefolge haben, entsteht eine 2. Fassung." (Leopold Nowak, "'Urfassung' und 'Endfassung' bei Anton Bruckner," *in Über Anton Bruckner: Gesammelte Aufsätze* [Vienna: Musikwissenschaftlicher Verlag, 1985], 35, quoted in Wolfgang Doebel, *Bruckners Symphonien in Bearbeitungen: Die Konzepte der Bruckner-Schüler und ihre Rezeption bis zu Robert Haas* [Tutzing: Hans Schneider, 2001], 78; translation mine.)

[17] See, Wagner, "Bruckners Sinfonie-Fassungen," 17.

Seeking to detach the concept of *Fassung* from the aesthetic context brought on board by the concept of *Verbesserung*, Wagner suggested conceiving Bruckner's subsequent versions in the context of a transformative environment comprising variables such as the critics' reception of his works, the public's taste, his friends' critical suggestions, and the composer's evolving style.[18] The key concept for Wagner here is *Anpassung* (adaptation, accommodation).[19] As he explains, the aesthetic effect of an *Anpassung* is "significantly different from the thesis of the *Verbesserung*. Adaptation to a different yet contemporarily meaningful aesthetic means not an *a priori* rejection of a previously assumed stance, but an alternative to it."[20] Along these lines, Wagner suggests that, as Bruckner's aims and style changed over time, the composer might have felt compelled to draw different conclusions (*anderen Ergebnissen*) from nearly identical thematic material. If so, argues Wagner, all authorial versions of Bruckner's works are then valid to the extent that they represent alternative compositional approaches (and thus, different solutions) to a central concern.[21]

Wagner's conception of *Fassung* proved influential; since the term's inception, most Bruckner scholars agree on acknowledging that at least some of Bruckner's symphonies exist in two or more authorial versions, and that those versions are not

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[18] See ibid., 22.

[19] Ibid., 18–19.

[20] „Dieser Anpassungseffekt allerdings hebt sich wesentlich von der These der Verbesserung. . . . Anpassung an eine andersgeartete, wenn auch zeitgenössisch bedeutende Ästhetik bedeutet a priori nicht Verminderung der vorher eingenommenen Position, sondern Alternative." (Ibid., 19; translation mine)

[21] See ibid., 22.

preliminary work, but self-standing, internally coherent conceptions of the work. What Wagner left open to debate, though, was the question of where then one version ends and the next one begins. Nowak's above-quoted conception of *Fassung* as comprising a variable number of *Zustände* (states) certainly touches upon this question. Building on Nowak's ideas, Benjamin-Gunnar Cohrs outlines three broad criteria to distinguish among version, variant, and correction:[22]

> The most important criterion seems to be this: a "version" should be a score which was once performed, or at least intended for performance (represented, for instance, by the existence of orchestral parts), and a certain point considered to be "finished" by the composer himself. Another criterion should perhaps be the existence of a printed edition, in particular if we have more than one of them, as in the case of [Symphony] N^{o} III . . ., which clearly represent two different versions with significant changes. A third, major criterion would be: are there changes so significant that they change the perception of the work as a whole? This would include, in particular, major cuts and amendments, and movements composed entirely anew, as in the case of Symphonies N^{o} I (new Scherzo), N^{o} IV (new Scherzo and Finale), and N^{o} VIII (new Trio). Anything else would be merely a "variant" or "correction."[23]

Cohrs's criteria certainly add further layers of conceptual specificity, thus effectively complementing Wagner's conception of *Fassung.* The core question, however, remains open.

Has Bruckner scholarship then failed to provide a satisfactory answer to the larger philological questions raised by Bruckner's approach to composition? For one thing, no definitive solution should be expected, for the central question itself is inherently

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[22] See, Benjamin-Gunnar Cohrs, "Anton Bruckner's Second Symphony: Versions, Variants and their Critical Editions," OpusKlassiek.nl. http://www.opusklassiek.nl/componisten/bruckner_symphony_2_editions.pdf (accessed September 9, 2016).

[23] Ibid., 1.

interpretative—in Wagner's words, a "conceptual dispute," a "question susceptible to terminological interpretation."[24] Second, neither Nowak's, Wagner's, Cohrs's, nor anyone else's attempts along these lines should be considered redundant, for they have been inextricably bound to the larger and always illuminating task of digging deeper into the challenging yet rewarding subtleties of the composer's endeavors.

That said, it is possible to develop a critical, alternative stance in relation to their agenda, for the driving force behind their efforts—namely, the Bruckner work as authored by him—has also erected a rigid frame around the scope of inquiry and interpretation.

2.1.2 Bruckner's (Re)Visions: The Work as Process (*Umarbeitungen*).

> El concepto de texto definitivo no corresponde sino a la religión o al cansancio.
> —Jorge Luis Borges, *Las versiones homéricas*

> Ne me demandez pas qui je suis et ne me dites pas de rester le même : c'est une morale d'état civil ; elle régit nos papiers. Qu'elle nous laisse libre quand il s'agit d'écrire.
> —Michel Foucault, *L'archéologie du Savoir*

Indeed, much water has flowed under the bridge since Robert Haas's tenure as chief editor of the AGA; today, for example, no serious editor would return to Haas's idealistic philological method and characterize his or her own editorial work as "the restoration of textual intention according to Bruckner's true meaning."[25] However, an

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[24] „Begriffsstreit," and „terminologisch interpretationsanfällige[n] Frage." (Wagner, "Bruckners Sinfonie-Fassungen," 16; translation mine)

[25] Robert Haas, "Vorlagenbericht," in *II. Symphonie C-moll: Originalfassung (Partitur und Bericht)*, vol. 2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Leipzig: Musikwissenschaftlicher Verlag, 1938), 1*; quoted (and translated) in Gault, *The New Bruckner*, 219.

idea germane to Haas's concept of musical works, namely that they are the result of a singlehanded creative endeavor by composers, is foundational not only to the discourse of the old Bruckner *doxa* in particular[26] and modern musicology in general. It also underlies the concept of the musical work under which, explicitly or implicitly, present Bruckner scholarship still operates. According to this perspective—which we may characterize as *the ruling of the first author*—the composer produces stable, self-contained works that, once finished, are handed over to editors, performers, and listeners for their reproduction and enjoyment. In this conception, composers are allotted a preeminent role as sole creators, which infuses them with a godlike aura that turns their intentional acts, and thus their compositions, into holy devotional objects. Anyone else but the composer is left to act only as conveyor of or spectator to that which is given. According to this view, the musical work ends with the agency of its first author, and what comes next is nothing but decay.

Scholarly work arising from this top-down hierarchal scheme all too easily ends up caught in an all-encompassing preoccupation with authenticity. As Korstvedt points out, "editorial issues can, if approached with a critical spirit, open out into regions of broader significance, such as hermeneutics, reception history, and performance practice; yet I believe that the 'Bruckner Problem' is ordinarily framed too simplistically, and that a reductive concern with textual authenticity has come to loom too large in the

[26] In this general category, I include a wide variety of past stems in Bruckner studies (some of which were thought to be departures from other established trends), chiefly, the interpretations posited by the "new Bruckner movement" of the 1920s and 1930s, and the "old Bruckner orthodoxy" of the 1950s. On these movements, see Gault, *The New Bruckner,* 4–6, 212–219 and 240–251.

imagination of most Brucknerians."[27] Granted, this "reductive concern" has resulted in the kind of text-critical fixation with "Bruckner the author" that helped us more clearly grasp which parts of the work-shaping process were ostensibly Bruckner's own and which were not. Based on this distinction, the undeniably important task of investigating the transformation of Bruckner's compositional technique over time became a possibility.

Mutatis mutandis, my multidimensional dialogic approach and its underlying conception of the work are both inclusive of this task. However, in proposing a reorientation to the way the "Bruckner Problems" are approached, I have chosen to refrain from looking at the Bruckner work as reducible to a pure and static, "authentic" state.[28] I include, then, as written texts of a single musical work "by" Bruckner (e.g., one of "his" symphonies), the composer's finished manuscript score(s) as defined by Nowak's criterion (i.e., manuscript scores indicated by the composer as finished),[29] as well as any other written state of the same musical work, whether authored by Bruckner or someone else (either single- or co-authored). This means that to the written texts concomitant to any past or present conceptions of *Fassung*, I add, others: for example, those found in alternative renditions of the *Fassungen* (e.g., Cohrs's "variants"), as well as those represented by sketches, drafts, copies, *Stichvorlagen* (i.e., models used during

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[27] Benjamin Korstvedt, *Anton Bruckner: Symphony No. 8* (Cambridge: Cambridge University Press, 2000), ix.

[28] Along similar lines, Julian Horton, for example, commenting on the first printed edition's added dynamic, tempo, and expression markings, points out, that "at least for the Second, Third, Fourth, Seventh, and Eight Symphonies, all of which were published during Bruckner's lifetime and involved varying levels of collaboration or interventions, any concept of a single authoritative text must be abandoned, and we become committed to an irreducible pluralism." (Horton, *Bruckner Symphonies,* 13.)

[29] See fn 16 above.

the engraving process), and printed editions (brought about with or without the first author's consent). The crucial aspect of this work's all-inclusive textual corpus is that none of its constituent elements (individual texts) can claim priority as the work's defining text: since all texts concomitant to a work's composition- and editorial-history are part of that work's formative process, then none of the above-mentioned textual states is identical to (or gives as full account of) the work's shaping process.

In proposing this extended textual corpus as an object of study, I am seeking to accomplish two goals: 1) an unpacking, via an archeology of form, of the formal meanings residing in the various layers comprising the work's compositional process, as conveyed in its written states; and 2) from an analytical perspective, an approach to the aesthetic dimension of the work as a historically unfolding entity—an aspect of musical works that I believe is all too often disregarded in the music theory/analysis literature. This means that, peripheral to my line of argumentation, are questions such as (to quote Manfred Wagner) "are Bruckner's versions improvements, adaptations, bearers of different conceptions, or the expression of a psychic anomaly, a musical *concientia scrupulosa*?"[30] Instead, I am interested in what those (and other) versions as texts might mean *en masse* from a contemporary vantage point.

[30] „Sind Bruckners Fassungen Verbesserungen, Anpassungen, Träger verschiedener Konzeptionen oder Ausdruck eines psychischen Defektes, einer musikalischen Conscientia scrupulosa?" (Wagner, "Bruckners Sinfonie-Fassungen," 16; translation mine).

2.1.3 Approaching the Work: The Subjective Experience of the Intentional Agent

I view the work as a cognitive process as much as an intentional endeavor: envisioned as a potentially boundless, historically and collectively shaped endeavor, the work encompasses everything that is considered to be it (or part of it) by those who participate in its ongoing formation. In a nutshell, the work (as the sum of its individual states) is indistinguishable from its shaping process.

This perspective raises a methodological question: If the work is conceptualized as a potentially never-ending formative process, how can we meaningfully study its textual mass without getting caught in the impractical vastness, and inapprehensible plurality of its details? Or if the work is pictured as an expanding network of nodes representing the various states of the work (e.g., genre-contextualized extemporizations, written texts, performances, and all sorts of interpretations), how can we, as analysts, navigate that network without losing a minimal sense of direction?

In this regard, rather than attempting a transcendent account of the work, I propose to approach the matter from the subjective experience of the individual who takes part in the work-shaping process (i.e., the transformative agent). Along those lines, when inquiring into what the work's written states mean *en masse,* the core question is which states will comprise the subjective experience. Building on the answer to this question, the analyst can establish a much narrower network, one functioning as a subjective epistemic context that makes meaningful (and hopefully appealing) the aesthetic experience of the work as a process.

In this project, I am interested in issues of large-scale form (i.e., the larger-scale coordination of the work's tonal, thematic, and rhetorical layouts) and its expressive and dramatic import. Therefore, I will limit the scope to those states to which we can ascribe the attribute of large-scale form. This means I will not deal with sketches or drafts containing states in which the larger context of the work's formal sections is not yet explicit. Therefore, the epistemic grid in my analyses will be that of an ideal listener who is only familiar with states in which large-scale form already is an ostensible attribute of the work. I will further limit my object of study to two kinds of text that the "ideal listener" ought to be familiar with: manuscripts closely related to Bruckner's agency, and published and unpublished editions that have played a significant role in the reception history of his music.[31] This limitation seems reasonable given both my interest in compositional processes and reception history, and practical considerations of the scope of study.

2.1.4 Organizing and Labeling System

In order to consistently distinguish among the various textual states of a single symphony, the following organizing system and nomenclature will be observed throughout this dissertation.

In accordance with the proposed scope of textual sources, two text-state types are discerned on the basis of the text-critical distinction between source and edition: textual

[31] One exception to this criterion is adaptations and transcriptions (*Bearbeitungen*) for instruments other than those indicated by Bruckner himself (e.g., the two- and four-hand piano reductions by which Bruckner's contemporaries often got to know the symphonies). Nevertheless, the distinction of such arrangements from orchestral scores normally has no relevance to large-scale form.

states found in 1) the various kinds of manuscripts prepared by Bruckner, his copyists, and other collaborators; and 2) the editions (published and unpublished) based on these manuscripts.[32]

A textual state belonging to the first type (i.e., manuscripts) will be identified through the name prefix and call number given by the institution that, at present, owns the physical document containing the textual state. For example, the textual state found in the 1866 autograph score that Bruckner left incomplete when working on the Adagio of WAB 101 (today preserved at the Österreichische Nationalbibliothek in Vienna), is identified as Mus. Hs. 40.4000/5, folios 109r–118v.

Since it is not unusual to find two or more type 1 texts prepared around the same time and containing essentially the same reading (e.g., a composition score, its authorial fair copy, and yet another copy prepared by a copyist), it seems both intuitive and practical to group them under a single category. I will use the German word *Zustand* to designate such a textual-state grouping category. For convenience, its initial ("Z") will follow the year in which texts comprising the *Zustand* were prepared (e.g., 1872Z). When two or more *Zustände* are identified with the same year number, lower case letters in alphabetical order denoting the chronology of the *Zustände* are used to distinguish them (e.g., 1872aZ, and 1872bZ). When the textual states comprising a *Zustand* are known of but no longer extant, a question mark is added (e.g., 1872aZ?).

[32] Since these are not facsimile editions of the source documents, type 2 textual states cannot be equated with the type 1 textual states on which they are based.

Textual states belonging to the second type (i.e., editions) are identified by the last name of the editor (placed within square brackets) following the information that specifies the edition's *Zustand* source: e.g., 1872aZ[Haas].[33] As is often the case, the editor may have based the edition on more than one particular *Zustand*, thus producing a mixed-*Zustände* edition. In cases of this sort, in which a single edition conflates interpretations of textual states (or rather, parts of them) belonging to different *Zustände*, all of the involved *Zustände* are given in chronological order and joined by a plus (+) sign: e.g., 1872aZ+1872bZ[Haas].

Finally, there are a number of instances in which the work's first printed edition constitutes the basis of a later edition—this is the case with some of the AGA and NGA scores. In such situations, a type 2 text becomes a type 1 text, the latter then functioning as a special kind of *Zustand* identified here by the inclusion of a capital letter "E" (standing for *edition*) before the "Z" (e.g., 1893EZ[Haas]).

2.2 Formal Context

As noted in the first chapter (see section 1.1.2), an appropriate response to the challenges posed by Bruckner's treatment of form requires a great deal of conceptual rethinking. Both favorable and negative trends in the historic reception of a composer's music are inseparable from the analytical and aesthetic premises on which they build.

[33] There are a few instances in which the editor has based the entire edition on a single manuscript (i.e., a single type 1 textual state). In those cases, in order to avoid indicating the edition's source by way of the name prefix and call number of the manuscript, I will adhere to my method of indicating the edition's sources though the involved *Zustand*. This means that, in these cases, the textual state is undistinguishable from the *Zustand* to which it belongs.

Therefore, articulating a coherent, critical alternative to hostile trends in the reception of Bruckner's handling of form entails breaking from their concomitant premises. That being the case, the strategy seems clear: new premises need to be put forward. I then put aside textual matters for a moment, and turn to addressing formal-theoretical issues in more detail. At the end of this chapter (section 2.2.5) I will return to textual considerations in the larger context of their relation to formal analysis.

2.2.1 Sonata Deformation Theory

Hepokoski and Darcy's dialogical approach (section 1.3.1) opens the way for broader and more text-adequate formal readings. A further step in that direction is provided by their concept of *deformation*. As noted out in Chapter 1 (p. 48), within the aesthetic boundaries of the sonata genre, instances of the counter-generic are expected, even desired. When such instances occur, the composer is said to have overridden generic expectations altogether and instead chosen to produce a deformation: the "stretching or distortion of a norm beyond its understood limits."[34] In Sonata Theory's strictly analytical-hermeneutic context, the term deformation carries no evaluatively negative connotations. Instead, it identifies a compositional device meant to produce an intentional expressive effect, one that "lies in the tension between the limits of a competent listener's field of generic expectations and what is made to occur—or not to occur—in actual sound."[35]

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[34] Hepokoski and Darcy, *Elements,* 11. On deformation, see ibid., 614–621.

[35] Ibid., 614. On connotations of the term deformation that Sonata Theory avoids using, see ibid., 11 n22.

Genres change over time, and so do the aesthetic concerns that frame them. The relation between norm and exception, and the structural importance allotted to deformational procedures within genres, are both contingent upon their historical context. Therefore, hearing Bruckner's sonata-form movements dialogically and as genre exemplars means situating them in their contemporaneous aesthetic context. Along these lines, Hepokoski suggests three factors as fundamental to understanding the mid- and late-nineteenth-century symphonic genre: 1) "the emergence of the academic recognition and honouring" of the Austro-German sonata construct; 2) a marked preoccupation with the idea of tradition—"or, more to the point, the struggle over the presumed ownership of that tradition"; and 3) a compositional practice characterized by "*ad hoc* designs" and "individualized shapes."[36] Developing this characterization of symphonic practice in the second half of the 19th century, Hepokoski has advanced a theory of *sonata deformation*, which allows for a more nuanced and historically informed understanding of 19th-century formal procedures:

> A sonata deformation is an individual work in dialogue primarily with sonata norms even though certain central features of the sonata-concept have been reshaped, exaggerated, marginalized or overridden altogether. What is presented on the musical surface of a composition (what one hears) may not be a sonata in any 'textbook' sense, and yet the work may still encourage, even demand, the application of one's knowledge of traditional sonata procedures as a rule for analysis and interpretation.[37]

At the core of sonata-deformation theory's hermeneutic framework is an emphasis on the

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[36] James Hepokoski, "Beethoven Reception: The Symphonic Tradition," in *The Cambridge History of Nineteenth-Century Music*, ed. Jim Samson (Cambridge: Cambridge University Press, 2002), 424–425 and 447.

[37] Ibid., p. 447.

play between tradition as a regulative principle and individuality as the trademark of compositional practice. Given the necessary presence of generic markers to set the sonata dialogue in motion, the matter is less about whether the piece "is" a sonata or not—in a conformational sense—than about following its ongoing dialogue with sonata-generic expectations. According to this view, 19th-century sonatas—as opposed to classical ones—are the result of a characteristic "disassociation of style and form":[38] a compulsive, centrifugal striving for individuality dialectically coupled with a self-conscious, centripetal sense of belonging.

2.2.2 Polemics I: Sonata Forms as Documents of Reception History

In recent years Julian Horton and Paul Wingfield (among others) have reacted critically to Hepokoski's theory of sonata deformation and its underlying dialogic approach.[39] At the core of their criticism is the claim that Hepokoski's account of 19th-century sonata form, and—most importantly—its dependence on the concept of deformation, lacks theoretical and empirical credibility: "deformation," writes Horton, "is only meaningful insomuch as we recognize a standard, either in theory or practice, against which it is measured. . . . These two components . . . must be in place for the idea

[38] Julian Horton and Paul Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," in *Mendelssohn Perspectives*, ed. Nicole Grimes and Angela Mace (Farnham: Ashgate, 2012), 83.

[39] See, Horton, "Bruckner's Symphonies and Sonata Deformation Theory," 5–12; and *Bruckner Symphonies*, 95–96 and 152–156; Paul Wingfield, "Beyond 'Norms and Deformations': Towards a Theory Sonata Form as Reception History," *Music Analysis* 27 (2008): 148–155; and Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 84–93. See also Steven Vande Moortele, "In Search of Romantic Form," *Music Analysis* 32 (2013): 408–411; and Markus Neuwirth, "Joseph Haydn's 'Witty' Play on Hepokoski and Darcy's *Elements of Sonata Theory*," *Zeitschrift der Gesellschaft für Musiktheorie* 8 (2011): 205–215.

of deformation to have . . . credibility."[40]

Central to Horton and Wingfield's reading of sonata-deformation theory is their assertion that Hepokoski considers "the *Formenlehre* model of sonata form established by A. B. Marx and others" to be, as a theoretical construct, the standard (i.e., the background norm set).[41] According to Horton and Wingfield, "as a model of nineteenth-century sonata form, sonata deformation theory is thus dependent on two fundamental precepts: a model increasingly crystallized by theoretical engagement; and a repertoire which reflects that model, either by conformation or deviation."[42] On the basis of those precepts, they outline five rationales for "viewing the normativity of both the *Formenlehre* model and its resultant repertoire with suspicion":[43]

1. Given that "the models of sonata form proposed by Marx, Czerny, Reicha and others are not reducible to one general formula," it is "inadequate to condense nineteenth-century theory into a single aggregate definition."[44]

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[40] Horton, "Bruckner Symphonies and Sonata Deformation," 5.

[41] Ibid., 5.

[42] Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 89.

[43] Horton, "Bruckner Symphonies and Sonata Deformation," 5.

[44] Ibid, 7. This rationale is laid out in ibid., 7–8, and Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 89–90. In the latter rendition, Horton and Wingfield incorrectly construe the distinction between a tripartite sonata design (à la A. B. Marx) and a bipartite one (à la Reicha or Richter) as amounting "to the difference [in Sonata Theory's terms] between a type 3 sonata . . . and type 2 sonata." (ibid., 90 n34.) Along the same lines, Horton and Wingfield misleadingly suggest that Marx's tripartite design (exposition-development-recapitulation) and Richter's bipartite plan (part one: exposition; part-two: development-recapitulation) are sonata-form perspectives at odds when it comes to determining the large-scale components of a sonata form. To be sure, by placing developments and recapitulations at the same hierarchical level as expositions, Marx certainly allots greater rhetorical weight to developments and recapitulations than does Richter (after Reicha). There is no doubt, however, that Richter identifies Marx's parts one, two, and three as constituent elements of the sonata form (see Ernst Friedrich Richter, *Die Grundzüge der musikalischen Formen und ihre Analyse* [Leipzig: Georg Wigand

2. “Since it is plainly not the case that a single didactic text, or an aggregation of the available models, was employed in the same way in all countries and at all times,” it does not seem acceptable “to assert that all composers in whose work deformations are apparent engaged in the conscious distortion of an agreed theoretical norm.”[45]

3. “The fact of a composer’s contact with theory is not in itself proof of its compositional influence.”[46]

4. “Given that the earliest example of a consensus model of sonata form is usually taken to be Marx’s treatise of 1845–47,” there is “an historical mismatch between the theoretical sources against which deformation is measured, and the sources in compositional practices that Hepokoski cites.”[47]

5. It is hard to find a canonical or neglected “nineteenth-century sonata form that does not in some sense deviate from the models of Reicha, Marx or Czerny”; therefore, “the evidence for a body of works that fulfills rather than distorts the *Formenlehre* norm (whatever that might be)” is patchy.[48]

Verlag, 1852], 27–37, especially the summaries of the first-movement sonata’s basic layout at the end of pages 27 [sonata’s part 1] and 32 [sonata’s part 2]).

[45] Horton, “Bruckner Symphonies and Sonata Deformation,” 8.

[46] Horton and Wingfield, “Norm and Deformation in Mendelssohn's Sonata Forms,” 91.

[47] Horton, “Bruckner Symphonies and Sonata Deformation,” 9. The compositional sources to which Hepokoski is said to have alluded are those of Berlioz, Chopin, Schumann, Mendelssohn, Weber, Schubert, and Beethoven. It is important to keep in mind that when Hepokoski writes that deformational procedures “stemmed from key works of Berlioz, Mendelssohn, Schumann, Liszt and Wagner, although certain structures of Beethoven, Weber, Schubert and Chopin were by no means irrelevant,” he does not mean *any* late-19th-century (or later) deformational procedures but “the most prominent,” which means once-*non-normative* deviations that by the late-19th century had become *normative* deviations. (James Hepokoski*, Sibelius: Symphony No. 5* [Cambridge University Press, 1993], 5.) This distinction—more or less irrelevant to Horton’s argument—will become clearer and more significant in section 2.2.4 below.

In a different yet related spirit, Horton and Wingfield have also questioned "whether sonata form can be reduced to a Platonic model that simultaneously stands apart from and yet informs the repertoire."[49] According to these authors, since sonata-form vocabularies are ahistorical (i.e., they are "always formulated a posteriori on the basis of an engagement with practice") the issue at stake is then the risk of "mistaking a theoretical construct for an historical fact."[50]

In response to Hepokoski and Darcy's ideas, Horton and Wingfield then propose "an inductive, empirical strategy grounded in the analysis of an entire [composer- and form-type-specific] corpus of works."[51] Building on independent case studies of Bruckner's symphonic first movements and a selection of 154 sonata-type movements by Mendelssohn,[52] Horton and Wingfield first question the applicability of Hepokoski's approach to a repertoire in which deviations from a norm are statistically predominant. On this basis, they then suggest understanding a composer's "sonata forms empirically, as a body of works revealing more-or-less common strategies which can be named and assessed in terms of context and prevalence."[53] In practice, their method involves evaluating a composer's sonata forms on two axes: 1) "analytically, in relation to each

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[48] Horton, "Bruckner Symphonies and Sonata Deformation," 10. See also Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 92.

[49] Ibid., 93. See also Wingfield, "Beyond 'Norms and Deformations,'" 154–155.

[50] Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 93.

[51] Ibid., 93.

[52] See ibid., 93–107; and Horton, "Bruckner Symphonies and Sonata Deformation,"12–16.

[53] Horton and Wingfield, "Norm and Deformation in Mendelssohn's Sonata Forms," 107.

other, in order to stablish the nature and frequency of compositional strategies; and [2)] historically, as part of the esthesics of past practice understood . . . as a fund of procedures present in the repertoire."[54] As Horton and Wingfield further explain,

> the two axes interact, inasmuch as the latter supplies the comparative framework for the former. In other words, Mendelssohn's sonata forms [as well as those of, e.g., Bruckner] are documents of reception history: they embody the mediation of tradition (the models in past practice that proved influential) and innovation (the specific materials of a work and the processes to which they give rise).[55]

Looking at sonata-type movements as documents of reception history, Horton and Wingfield ultimately seek to grasp 19th-century sonata form without recourse to Hepokoski and Darcy's notions of norm and deformation. Unlike Hepokoski and Darcy, their emphasis is not on issues of cultural meaning and socially constituted patterns of production (composition) and response (interpretation); consequently, a composer's use or avoidance of past formal procedures is seen not as a generically conditioned expressive and dramatic gesture, but as a coherently apprehensible formal strategy within his or her own compositional practice. In short, in Horton and Wingfield's approach, Hepokoski and Darcy's concepts of norm and deformation disappear, to be replaced by the criterion of "more or less common" (which implies no more than statistical frequency).[56]

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[54] Ibid.

[55] Ibid., 107–108.

[56] Ibid., 110–112.

2.2.3 Polemics II: A Reply

Music as the Primary Source of Genres

Of Horton and Wingfield's above-numbered rationales, the first four can be dispatched at one stroke: In Sonata Theory (sonata-deformation theory included), *Formenlehre* accounts of sonata form do not serve as the genre's primary sources. As Seth Monahan explains, Sonata Theory "is manifestly concerned with the influence of *music* . . . on composers' conscious and unconscious decisions."[57] In other words, in Sonata Theory the sonata genre is not a reified, static template found in an analytical treatise or composition manual. Quite the opposite: it is an ever-changing "constellation of flexible norms and options . . . that make possible both compositional choices and our interpretations of those choices."[58] The backdrop with which a sonata (or sonata-deformation) exemplar can be heard as sustaining a dialogue is, then, not a theoretically oversimplified compositional model but a socially constituted, complex network of generic expectations; it arises from compositional practices found in both culturally prestigious works and subsequent genre-related exemplars that reinforced them through redeployment.[59]

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[57] Seth Monahan, *Mahler's Symphonic Sonatas* (New York: Oxford University Press, 2015), 18.

[58] James Hepokoski, "Framing Till Eulenspiegel," *19th-Century Music* 30 (2006): 30 n70.

[59] The suggestion that Hepokoski and Darcy's Sonata Theory grounds sonata-form expectations on a purely theoretical construct seems far-fetched vis-à-vis *Elements of Sonata Theory* and an attentive reading of Hepokoski's publications since the early 2000s (see, e.g., "Monumentality and Formal Processes in the First Movement of Brahms's Piano Concerto No.1," 219–221; and "Framing Till Eulenspiegel," 28–31, especially footnotes 70–73.) In support of Horton and Wingfield, however, it is true that, with respect to Hepokoski and Darcy's early publications on the matter (see, e.g., Darcy, "Bruckner's Sonata Deformations," 257–258), it is less clear whether the suggested generic background is a purely theoretical one—more precisely, that of the 19th-century *Formenlehre*—or not. For those not inclined to read in Hepokoski and Darcy's more recent work a welcome revision, updating, or clarification of some of their

Similarly, Horton and Wingfield's demand for a normative 19th-century (canonical or neglected) repertoire fulfilling the "*Formenlehre* norm" (see rationale no. 5 above) goes away once such a grossly simplified conception of norm is abandoned. Moreover, to suggest that Hepokoski and Darcy's account of the 19th-century sonata is unsustainable vis-à-vis the statistical predominance of deformational practices is to fundamentally misconstrue what genres are and what hearing dialogically is. As Monahan explains, "the function of . . . 'ideal types' is heuristic, not categorical: their explanatory power lies not in their ability to predict *all* features of *all* works to which they are applied but rather to account for *many* features of *most* of them."[60]

Sonata Form as a Reconstructed Genre

Requiring a lengthier discussion, though, is Horton and Wingfield's dismissal of Sonata Theory on the grounds that its underlying method projects onto the compositional process an abstraction developed after the fact (see p. 88 above): Hepokoski and Darcy's "concept of the 'genre sonata' as a 'regulative idea guiding analytical interpretation'," argues Wingfield, "is difficult to reconcile with their dialogical approach to form, for it would appear to lead to the insupportable conclusion that eighteenth- and nineteenth-century composers are entering into a dialogue with 'generic norms' devised as heuristic

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earlier (perhaps misunderstood) writings, Horton and Wingfield's criticisms may have served as a pertinent call for conceptual reorientation. Recently, however, Seth Monahan has sought to settle the matter thus: "neither Hepokoski nor Darcy has ever suggested that nineteenth-century symphonists would have acquired their sonata-form understanding primarily from textbooks. . . . For Hepokoski, as for many of us, locutions like 'the *Formenlehre* sonata' are clearly just conveniences" (*Mahler's Symphonic Sonatas*, 18).

[60] Ibid., 18.

tools in the late twentieth century."[61]

Absent a list of norms known to have been observed by composers, a dialogical approach to sonata form as genre (i.e., involving a sonata-form ideal type) necessarily requires the analyst to engage with a *reconstructed* genre. To be sure, the task of reconstructing the genre involves devising a great deal of terminology, by definition ahistorical.[62] That, however, does not preclude the fact that the strategies to which the devised terms are applied could have been available to communities of composers and listeners at certain points in the past and as part of a widely shared sonata-form ideal type. With that in mind, the relevant issue is, then, the historical pertinence of the reconstructed genre, whose persuasiveness ultimately resides in the analyst's historical sensitivity.[63] In other words, rather than dismissing any genre-based dialogical reading of sonata form as a mere anachronism, we could instead commit to evaluating the historical plausibility of such readings on a case-by-case basis.

From this perspective, positing a historically sensitive dialogical reading of Bruckner's symphonic sonata-form movements entails attending two contentious, yet inescapable questions: 1) Is it historically plausible to claim that Bruckner was in possession of some kind of abstract sonata-formal constructive principle?; and 2) If so, was this principle shared (allowing for certain nuances) with the intended audience for his works? In other words, is it likely that among Bruckner's contemporaries there was a

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[61] Wingfield, "Beyond 'Norms and Deformations,'" 154–155.

[62] See Hepokoski and Darcy, *Elements,* 343.

[63] In this regard, the more historically sensitive a dialogical reading is, the less its critics might feel compelled to dwell on matters of strict historical accuracy from an arch-positivistic perspective.

communal consensus about what a sonata form was, a basic agreed-upon communicative framework (expressive/dramatic) over and above the acoustic surface of a sonata-type movement?

Recently, Hepokoski and Monahan have made compelling cases for considering Mahler's (Monahan),[64] Brahms's and Strauss's (Hepokoski)[65] symphonic endeavors not as "self-sufficient statement[s] capable of defining [their] own terms from ground zero. . ." but as plugging into "the power systems of genres that are already there as foundational elements within the contemporarily accepted norms of musical discourse."[66] Given Bruckner's close historical, geographical, and cultural proximity to these composers, a good portion of Monahan's and Hepokoski's arguments can been applied to my own project.[67] The case for a dialogical reading of Bruckner's music, however, can be further strengthened from other angles:

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[64] Monahan, *Mahler's Symphonic Sonatas,* passim (see especially pp. 18–19).

[65] Hepokoski, "Framing Till Eulenspiegel," 28–37; and "Monumentality and Formal Processes," 219–245.

[66] Ibid., 220.

[67] In emphasizing this proximity I have in mind Horton's call for "a de-centered concept of history" and "a de-centered theory of form," in which modernist historical master narratives and their concomitant universal paradigms give way to "context-specific models" that pay attention to "localized empirical data and analytically tangible lines of dissemination." (Julian Horton, "John Field and the Alternative History of Concerto First-Movement Form," *Music & Letters* 92 [2011]: 43–83; see especially 47–51 and 79–82.)

Bruckner and the Sonata-Form Construct

First, Bruckner's life-long engagement with the study[68] and teaching[69] of music

[68] Bruckner's music-theoretical studies divide in four main periods:

1) ca. 1828–1840. Instruction in harmony, counterpoint, and figured bass from musicians in (or close to) his family and school circles, among them his father, Anton Bruckner senior; his cousin, Johann Baptist Weiß; his father's school assistant, Franz Perfahl; and the St. Florian Cathedral's organist, Anton Kattinger. It is unknown exactly which theoretical sources (if any) were used by Bruckner's teachers during this period; in the case of Weiß's lessons, excerpts from music of Bach, Handel, Joseph and Michael Haydn, Mozart, and Albrechtsberger seem to have been used as models (see Howie, *Anton Bruckner*, 7). For an overview of the music-instruction tradition (including theory books and major figures) from which Bruckner's early teachers stem, see Manfred Wagner, *Bruckner: Leben – Werke – Dokumente* (Mainz: Schott, 1983), 29–31.

2) 1840–1855. Instruction in harmony, counterpoint and figured bass from Johann August Dürrnberger (music teacher at the Linz Normalhauptschule) and Leopold von Zenetti (organist and choir director of the municipal parish church in Enns). Books used for instruction included Johann August Dürrnberger, *Elementar-Lehrbuch der Harmonie- und Generalbaß-Lehre* (Linz: K.k. Normal-Hauptschule, 1841); Friedrich W. Marpurg, *Handbuch bey dem Generalbasse und der Composition mit zwey- drey- vier- fünf- sechs- sieben- acht und mehren Stimmen*, 3 vols (Berlin: Johann Jacob Schützens Witwe and Gottlieb August Lange, 1755–1758); and Daniel Türk, *Anweisung zum Generalbassspielen* (Leipzig: Schwickert, 1800). Additionally, between 1843 and 1846 Bruckner worked on his own on Johann Baptist Vanhal, *Anfangsgründe des Generalbasses* (Vienna: Steiner, 1810); Ambros Rieder, *Anleitung zur richtigen Begleitung der Melodien (der vorgeschriebenen Kirchengesänge) zum Generalbaß, Präludiren und Fugiren* (Vienna: Haslinger, 1831); and Simon Sechter, *Praktische Generalbaß-Schule* (Vienna: Artaria, 1830)—Bruckner borrowed these three books from Zenneti's private library. Finally, during his second extended stay at St. Florian (1845–1855) Bruckner carefully studied Friedrich Marpurg, *Abhandlung von der Fuge, nach den Grundsätzen und Exempeln der besten deutschen und ausländischen Meister entworfen*, 2 vols. (Berlin: A. Haude and J. C. Spener, 1753–1754)—in the case of the second volume, Bruckner used a copy of the work's second edition, edited by Simon Sechter (Vienna: Diabelli, 1843).

3) 1855–1861. Instruction in harmony and counterpoint (simple counterpoint; double, triple, and quadruple counterpoint; and cannon and fugue) under Simon Sechter (court organist and the Vienna Conservatory's main music-theory professor). The text used during this instruction period was Simon Sechter, *Die Grundsätze der musikalischen Komposition*, 3 vols (Leipzig: Breitkopf und Härtel, 1853–1854).

4) 1861–1863. Instruction in form and orchestration under Otto Kitzler (conductor of the Linz-Theater Orchestra). On the materials used during this period of study, see fn 70 below.

On Bruckner's music-theory studies, see Howie, *Anton Bruckner*, 7, 9–10, 13–14, 16, 18, 22–23, 41, 73–78, and 81–86; Uwe Harten, ed., *Anton Bruckner: Ein Handbuch* (Salzburg: Residenz Verlag, 1996), 70–71; Ernst Tittel, "Bruckners musikalischer Ausbildungsgang," in *Bruckner-Studien: Leopold Nowak zum 60. Geburtstag*, ed. Franz Grasberger (Vienna: Musikwissenschaftlicher Verlag, 1964), 105–111; Thomas Leibnitz, "Bruckner und seine Schüler," in *Bruckner-Handbuch*, ed. Hans-Joachim Hinrichsen (Stuttgart: J.B. Metzler, 2010), 31–33; and Paul Hawkshaw, "Anton Bruckner's Counterpoint Studies and the Monastery of Saint Florian, 1845–55," *The Musical Quarterly* 90 (2007): 90–122.

[69] Bruckner held two positions as music theory teacher in Vienna: professor of harmony and counterpoint at the Vienna Conservatory from 1868 to 1891; and lecturer on harmony and counterpoint at the University of Vienna from 1876 to 1894. On Bruckner as music-theory teacher, see Leibnitz, "Bruckner und seine Schüler," 33–35; Ernst Schwanzara, ed., *Anton Bruckners Vorlesungen über Harmonielehre und Kontrapunkt an der Universität Wien* (Vienna: Österreichischer Bundesverlag für Unterricht, 1950); Alfred

theory—which has no parallel among other 19th-century canonic composers—leaves little room for doubt about him being in conscious possession of a comprehensive and highly sophisticated arsenal of abstract notions about music's structural means. Especially relevant here are Bruckner's studies of musical form and instrumentation between December 1861 and July 1863 under the Linz-Theater conductor Otto Kitzler. During this study period Bruckner became fully acquainted with the theoretical models (sonata form included) found in three of the most influential music-theoretical texts of his time: A. B. Marx's *Die Lehre von der Musikalischen Komposition,* Ernst Richter's *Die Grundzüge der musikalischen Formen und ihre Analyse*, and Johann Christian Lobe's *Lehrbuch der musikalischen Komposition*.[70] The fact that Bruckner encountered these

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Orel, *Ein Harmonielehrekolleg bei Anton Bruckner* (Berlin: Verlag für Wirtschaft und Kultur, 1940); Gerhard Baumgartner, "Aus dem Kontrapunktunterricht bei Anton Bruckner. Eine Mitschrift von Lorenz Ritter," in *Anton Bruckners Wiener Jahre: Analysen—Fakten—Perspektiven*, ed. Renate Grasberger, Elizabeth Maier, and Erich Wolfgang Partsh (Vienna: Musikwissenschaftlicher Verlag, 2009), 31–36; and Erich Schenk and Gernot Gruber, "Die ganze Studien: Zu Josef Vockners Theorieunterricht bei Anton Bruckner," Rudolf Flotzinger, "Rafael Loidols Theoriekolleg bei Bruckner 1879/80," and Theophil Antonicek, "Bruckners Universitätsschüler in den Nationalien der Philosophischen Fakultät," in *Bruckner-Studien: Festgabe der Österreichischen Akademie der Wissenschaften zum 150. Geburtstag von Anton Bruckner*, ed. Othmar Wessely (Vienna: Verlag der Österreichischen Akademie der Wissenschaften, 1975), 349–377, 379–431, and 433–487.

[70] Adolf Bernhard Marx, *Die Lehre von der Musikalischen Komposition,* 4 vols. (Leipzig: Breitkopf und Härtel, 1837–47); Ernst F. Richter, *Die Grundzüge der musikalischen Formen und ihre Analyse* (Leipzig: Georg Wigand Verlag, 1852); and Johann Christian Lobe, *Lehrbuch der musikalischen Komposition*, 4 vols (Leipzig: Breitkopf & Härtel, 1850–1867).

Bruckner's studies under Kitzler began with 8-measure exercises in cadence and modulation, and two- and three-part song forms. It then continued with minuets, marches and scherzos with trio, piano etudes, variations, rondo forms, and sonata form. After covering these larger forms, Bruckner wrote for Kitzler a one-movement piano sonata (WAB deest22), the String Quartet WAB 111 (including an alternative finale, WAB deest19), a song for bass and piano (WAB deest24), and four piano fantasies (WAB deest07). Upon completing these studies of form, Bruckner and Kitzler turned to the study instrumentation, which they concluded with an orchestration of the exposition of Beethoven's op. 13, first movement (WAB deest34). Bruckner completed his studies of form and instrumentation under Kitzler with the composition of an orchestral march (WAB 96); the Three Orchestral Pieces, WAB 97; the Overture in G minor, WAB 98; the Symphony in F minor, WAB 99; and the Psalm 112, WAB 35.

Kitzler and Bruckner neither followed Marx's, Richter's, and Lobe's books in a strict way nor covered all the topics in these books. Instead, Kitzler drew selectively from each book as he judged best suited the purposes of the classes. (It is important to keep in mind that, when Bruckner came to study with

theoretical constructs certainly does not confer on them the status of a priori compositional conditions. However, his well-documented laborious study of these works suggests that for him, at least some of the structuring procedures conveyed in their abstract models accounted for (even if in a grossly simplified and selective way) relevant features of the classical repertoire[71]: If Bruckner held the believe that Marx's, Lobe's, and Richter's writings had nothing to do with the music they aimed to account for, then he would not have bothered studying them in such detail. Moreover, terminology drawn

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Kitzler, he already possessed a solid background in harmony, counterpoint, and figured bass; so no study of such topics was necessary.) It seems that Richter's book provided the basis for the 8-measure exercises and the two- and three-part song forms; the order in which the medium-scale forms (e.g., trio forms, variation, etc.) were approached corresponds to that in Marx's treatise (vols. 2 and 3); and the nomenclature used for rondo and sonata forms is that of volume 1 of Lobe's treatise (see Hawkshaw, "A Composer Learns his Craft," 22–23). For matters of orchestration, volume 4 of Marx's treatise was the referential material.

After completing his studies with Kitzler (the contents of which were rather conservative for the time), Bruckner met informally for about three years with Ignaz Dorn (violinist and occasional conductor of the Linz-Theater Orchestra), who introduced Bruckner to much modern music. (Before the meetings with Dorn, Bruckner's knowledge of contemporary music was more or less restricted to Wagner's *Tannhäuser*, which he studied with Kitzler in preparation for the Linz premiere of the work on February 13, 1863 under Kitzler's baton.) With Dorn, Bruckner studied Wagner's *Der fliegende Holländer* and *Lohengrin*, Liszt's *Faust Symphony*, and Berlioz's *Symphonie Fantastique*.

On Bruckner studies with Kitzler and Dorn, see Howie, *Anton Bruckner*, 81–88; Harten, ed., *Anton Bruckner,* 134, and 232–234; John Parkany, "Bruckner and the Vocabulary Symphonic Process." (PhD diss., University of California at Berkeley, 1989), 146–157; Otto Kitzler, *Musikalische Erinnerungen mit Briefen von Wagner, Brahms, Bruckner, und Richard Pohl* (Brünn: Karl Winiker, 1904), 28–35; and Paul Hawkshaw, "The Manuscript Sources for Anton Bruckner's Linz Works: A Study of His Working Methods from 1856 to 1868" (PhD diss., Columbia University, 1984), 84–106, and "A Composer Learns his Craft," 3–29. See also the facsimile edition of Bruckner's notes and exercises during his period of instruction with Kitzler: Paul Hawkshaw and Erich Wolfgang Partsch, eds., "*Das „Kitzler-Studienbuch". Anton Bruckners Studien in Harmonie- und Instrumentationslehre bei Otto Kitzler (1861-63). Faksimile-Ausgabe nach dem Autograph der Musiksammlung der Österreichischen Nationalbibliothek (Mus. HS. 44706)* (Vienna: Musikwissenschaftlicher Verlag, 2014).

[71] Bruckner's theoretical studies under Kitzler included analyzing Beethoven's piano sonatas, which Kitzler used as the comparative models for the formal topics studied (see Hawkshaw, "A Composer Learns his Craft," 21; and Howie, *Anton Bruckner*, 84); thus, there is little doubt that in the context of Kitzler's lessons the link between theoretical abstraction and actual music was explicit. Additionally, as shown by Bruckner's annotations in folio 107v of the *Kitzler Study Book*, he had Mendelssohn's *Songs without Words* very much in mind while working on the four fantasias in three-part song form found in folios 107r–109v (see, Hawkshaw, "A Composer Learns his Craft," 170).

from these theoretical texts even found its way into his manuscript scores. As Gault writes, "terms such as *Hauptthema* for the first subject and *Gesangsthema* or *Gesangsperiode* for the second appear in his letters and sketches, and even, on occasion, in the printed scores (Symphony No 4, 1880 Finale, bar 269)."[72] This suggests that, for Bruckner, some of his contemporaries' theoretical abstractions accounted for perceptual continuities between his works and the classical tradition at the level of formal organization.

Second, a close reading of historic trends in criticism of Bruckner's symphonies further strengthens the case for a dialogical reading of his music. There is at least one line of criticism of Bruckner's music (see Chapter 1 pp. 24–25) that builds upon the perception of generalized classical formal practices: What can we make of the claim that Bruckner's music was overly reliant on traditional symphonic models, if not the implication that music connoisseurs at the time considered themselves in possession of abstract formal designs in play in classical symphonic works, and stable enough to allow comparisons with newer works?

Finally, but surely no less important, there is Bruckner's extensive knowledge of both past and contemporary music. Being the assiduous concert goer that he was, his knowledge of the classics must certainly have been well above average for his time.[73] We

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[72] Gault, *The New Bruckner*, 15.

[73] For example, as early as 1836, Bruckner was already acquainted (thanks to his cousin, Johann Weiß) with Haydn's sonatas and piano variations, *The Seasons*, *The Seven Last Words of Our Savior on the Cross*, and *The Creation* (see Howie, *Anton Bruckner*, 7). Later, as a choirboy at St. Florian (1838–1840), he had first-hand experience with church music raging from Renaissance polyphony to Classical and Romantic homophony (for an extensive list of music performed at St. Florian between 1838 and 1841, see Walter Pass, "Studie über Bruckners ersten St. Florianer Aufenthalt," *in Bruckner-Studien: Festgabe der*

also need to add to the equation the enormous corpus of music with which he became acquainted as a piano and organ teacher, church and concert organist, and regular score borrower from the various and well-supplied music collections at his disposal in Vienna, St. Florian, and elsewhere.[74] With that in mind, it is hard to believe that a musician of Bruckner's exceptional talents was not capable of developing a generalized idea of classical procedures (including form-structural ones).

Based on these considerations, there seems little reason to doubt that Bruckner possessed a highly developed idea of the technical aspects behind sonata and other traditional forms; moreover, it seems fair to claim that there was a flexibly construed yet widely shared idea among his contemporaries about what constituted, as a rule of thumb, a traditional sonata form. To assess whether such an idea played a part in a larger

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Österreichischen Akademie der Wissenschaften zum 150. Geburtstag von Anton Bruckner, ed. Othmar Wessely [Vienna: Verlag der Österreichischen Akademie der Wissenschaften, 1975], 11–51). Mainly due to Zenetti, by 1845 Bruckner already knew J. S. Bach's chorale harmonizations, the *Art of Fugue*, and the *Well-Tempered Clavier* (see Howie, *Anton Bruckner,* 16, 18, and 23). Between 1843 and 1845 Bruckner frequently traveled to Steyr, where he often met with a local pianist (Karoline Eberstaller) to play Schubert's piano works for four hands (see ibid., 24); moreover, during his second stay at St. Florian (1845–1855), it was not unusual for him to sing Schubert's songs as part of vocal quartets or accompanying them from the keyboard, and in the late 1850s his friend Rudolf Weinwurm introduced him to Schumann's songs (see ibid, 30–31, and 90). During Bruckner's two extended stays in Linz (first as a student at the Linz Normalhauptschule, 1840–1841, and later as church organist, 1856–1868), the orchestra of the Linz Gesellschaft der Musikfreunde performed at least four concerts per season that featured orchestral works by Haydn, Mozart, Beethoven, Mendelssohn, Schumann, and Weber (see Howie, *Anton Bruckner,* 15 and 63). Last, but certainly not least, was the concert life that Bruckner encountered in Vienna (both before and after moving to this city in 1868). In this regard, must be mentioned—due to its influence on Bruckner's symphonic style—the concert conducted by Johann Herbeck on March 22, 1867, when Bruckner heard Beethoven's Ninth Symphony for the first time. On Bruckner's reception of the Viennese classics, Mendelssohn, and Schubert, see Gerhard J. Winkler, "Bruckners musikalische Herkunft," in *Bruckner-Handbuch*, ed. Hans-Joachim Hinrichsen (Stuttgart: J.B. Metzler, 2010), 53–57.

[74] See, e.g., the list of works found in Zenetti's private library (Enns)—from which Bruckner regularly borrowed items: Elisabeth Maier, "Der Notenbestand der Bibliohek Leopold von Zenetti," in *Anton Bruckner und Leopold Zenetti,* ed., Franz Grasberger (Graz: Akademische Druck- u. Verlagsanstalt, 1980), 201–239. A list of works copied by Bruckner from the catalogue of the music library in St. Florian is found in Hawkshaw, "Anton Bruckner's Counterpoint Studies," 114–116.

communicative system based on structural expectations, though, one needs to broaden the perspective.

An Austrian Symphonist in the Second Half of the 19th Century

Retrospectively—and in a very general sense—composing symphonies in Austria during the last four decades of the 19th century meant taking part in what Dahlhaus refers to as the symphony's "second age":[75] the genre's renewed impetus after the 10-year silence that followed Schumann's Third (1850). More specifically, though, it meant to engage in a highly contested field of production and consumption shaped, as pointed out by Hepokoski, by a variety of internal and external factors:[76]

First, there was a network of external forces comprising: 1) the devotional status conferred on a selectively constructed Beethovenian tradition, which was thought to embody the highest artistic ideals of the time; 2) the anxiety produced by the perception of a twilight of art-music in the midst of a "world of accelerating commercialism, technology, skeptical 'realism', new social and political movements, and emerging popular culture…"; 3) the rise of an ideologically construed cultural periphery that, under the flag of various nationalistic musical identities, strove to attain membership within the hegemonic music culture; and 4) the interests of the material culture surrounding musical works, which encompassed "the web of international orchestra concerts, legal contracts, commissions, publishing, advertising, publicity, conservatory life, journalistic criticism

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[75] Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), 265–276.

[76] See Hepokoski, "Beethoven Reception," 454–455.

and the like."[77]

Within this network the modern discipline of musicology came into being. Initially perceived as of lesser importance and seriousness than other disciplines, musicology found, in the task of turning into text an emerging music-historical consciousness, the solution to its growing need for justification as a self-standing discipline within European institutionalized academia. As James Grier points out, a strong element in the preparation (from the 1850s onwards) of composers' complete editions and monuments of music "was the creation of a cannon . . . , whose texts carried the same philological weight as their rivals in literature and political history."[78] Outside of 19th-century academia, the growing aesthetic demands of the emerging educated classes also played an important role in developing a stronger music-historical consciousness. As Dahlhaus explains, these classes' emphasis on "the educative and edifying function of music" triggered a major epistemological turn: music was no longer "meant merely to be 'enjoyed' but to be 'understood.'"[79] Not surprisingly, this turn has its correlate in the history of music theory: During the first half of the 19th century, theoretical accounts of form started to emerge in composition treatises along with early manifestations of the still new practice of musical analysis. The pedagogically oriented 18th-century treatise—which emphasized the developing of the practicing musician's skills—became rapidly obsolete, giving way to the analytically oriented 19th-century

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[77] Ibid., 455.

[78] Grier, *The Critical Editing of Music,* 8.

[79] Dahlhaus, *Nineteenth-Century Music*, 50.

treatise. In the latter, as Patrick McCreless explains, an "ideological impulse to classify certain works as masterworks, worthy and even demanding of analytical scrutiny and explanation," encouraged composers to go beyond 18th-century compositional aesthetics (reified in traditional *Satzlehre*) and "to learn their craft by studying the works of the greatest masters, against whose standard their own originality would be measured."[80] Finally, of parallel importance for the 19th-century's newfound emphasis on the dialectical relation between past and present, were both the rise of public concerts in the early part of the century and the growing industry of printed scores. Together, these two factors offered composers the possibility of reaching a larger audience better acquainted with the repertoire. As a result, "familiarity with conventions," argues Janet Schmalfeldt, "would become much less the privileged domain of composers and performers; a well-informed lay audience could also be expected to recognize conventions as well as departures therefrom."[81] Composers thus found themselves in a better position to explore the expressive possibilities residing in the tension between what is expected and what is realized.

Furthermore, the challenges posed from within the symphonic genre by the aesthetic claims of the New German School prompted a "genre-immanent crisis."[82] Grouped around Franz Liszt, the New German School was by the late 1850s aggressively

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[80] Patrick McCreless, "Rethinking Contemporary Music Theory," in *Keeping Score: Music, Disciplinarity, Culture*, ed. Anahid Kassabian, David Schwarz, and Lawrence Siegel (Charlottesville: University of Virginia Press, 1997), 28–29.

[81] Schmalfeldt, *In the Process of Becoming*, 6.

[82] Hepokoski, "Beethoven Reception," 454.

calling for younger symphonic composers to liberate themselves from old, traditional habits (the Classical forms chief among them)[83] and to build instead upon Liszt's achievements of symphonic poem and program symphony. Younger composers, wary of the cost-benefit balance of breaking from the past, sought instead a way of capitalizing on both 1) the cultural prestige attached to long-standing traditions and 2) the appeal of a unique and provocatively novel artwork. Their response to Liszt's call was, then, to combine the more traditional symphony ("absolute music") with compositional techniques more characteristic of the new program music. As a result of this grafting process the artworks of the symphony's "second age" came into being: symphonic forms that were "equal to the aesthetic claims of the genre and yet consistent with the historical situation."[84]

Given the emphasis of the New German School's critical discourse on the idea of the obsolescence of Classical formal conventions,[85] it is not surprising that symphonic composers of mid-century sought a compromise between tradition and novelty in their treatment of form. Interestingly enough, neither Liszt's calling for a liberation from formal conventions, nor composers' subsequent aiming for a compromise between convention and innovation (norm and deviation), would have made any sense in the absence of pre-existing abstract notions of form (operating at the level of both production

[83] Interestingly enough, Robert Schumann's writings from the late 1830s on contemporary symphonic composition, although very different from Liszt's in their critical aims, also make explicit reference to the idea of "traditional" form. See ibid., 426–427.

[84] Dahlhaus, *Nineteenth-Century Music*, 268.

[85] See Hepokoski, "Beethoven Reception," 433.

and consumption).

Indeed, as Hepokoski writes, "it is futile to seek a mythical consistency among the musical styles and dissimilar achievements of [the mid- and late-19th century's] most celebrated figures."[86] That, however (and *pace* Horton and Wingfield), does not rule out the existence of a dialogical other (a background of generic expectations) with which symphonic composers could have engaged. Certainly, there is an intrinsic value to Horton and Wingfield's approach: taking a work's form as a "document of reception history" is indeed a suggestive idea, one from which questions regarding the statistical prevalence of older practices in later repertoires can be meaningfully posed, and also—as demonstrated by Horton and Wingfield—answered. However, advancing a composer-specific, statistic-based description of the sonata style as an alternative to Hepokoski and Darcy's perspective is to ignore the latter's goal, which is to understand music as a communicative system in which what fails to occur is just as important as what happens on the acoustic surface. Regardless of our analytical preferences, an approach that resists reading composers' choices as expressively and dramatically charged beyond music's material reality cannot be considered to substitute or supersede the dialogic perspective, let alone to seriously undermine its analytical potential.

2.2.4 Bruckner's Symphonies and the 19th-Century (Enlarged) Classical Sonata

Indeed, retrospectively recognizing the generic background at play is easier when referring to a highly consistent repertoire in stylistic terms, such as the late-18th-century

[86] Ibid., 425.

Viennese sonata. In this repertoire, the task of reconstructing the background of generic expectations is facilitated by its composers' avoidance of idiosyncratic shapes, and a marked drive towards the expression of collective ideals at the level of design. Neither of these two conditions are true for mid- and late-19th-century music, and thus it is not so easy to pinpoint the constellation of norms with which Bruckner engaged in dialogue. In fact, the distinctiveness and unique compositional personality displayed by his works (especially from the 1870s onwards) suggests that Bruckner's forms should perhaps be approached as just that—that is, as his and no one else's forms: individualized shapes specific to their content's demands. And without doubt, his works' uniqueness and formal clarity do self-evidently justify the appellation "Brucknerian symphony."[87]

Yet, as argued in the previous section, the 19th-century composer's characteristic striving for originality was triggered and sustained by the emergence of communally understood traditional referents. Continuing this line of argument, Chapters 3 and 4 will build on two premises: 1) that Bruckner's symphonies, despite their individuality, align with tonal and thematic processes found in the dramatic plot of Enlightenment formal teleology (that of sonata form above all);[88] 2) that this continuity at the level of formal organization between Bruckner and the Classical repertoire can be accessed, for analytical purposes, by recourse to Classical formal expectations as construed (historicized) in the mid- and late-19th-century.

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[87] See John Williamson, "The Brucknerian Symphony: An Overview," in *The Cambridge Companion to Bruckner,* ed., John Williamson (Cambridge: Cambridge University Press, 2004), 79–91.

[88] See Monahan, *Mahler's Symphonic Sonatas,* 12, where the author advances similar ideas about Mahler's early- and middle-period symphonies.

As Hepokoski explains, "by the second half of the century the European idea of the symphony as a high-status cultural achievement was nourished by lovingly shaped readings of the genre's Austro-Germanic past."[89] Chief among these was the idealization of Beethoven, whose compositional procedures became pivotal in establishing a regulative principle, "a community-shared rule for interpretation, even when it was written against."[90] In this sense, to claim that 19th-century *Formenlehre's* accounts of sonata form are insufficient as genre-defining norms (see p. 90, above) is not to deny the importance of this tradition, qua historicizing force, in shaping the mid- and late-19th-century field of sonata production. In fact, it seems to me that the 19th-century opposition between practice and theory (i.e., irreducible stylistic plurality vs *ex post facto* methodological systematization) is what best captures the issue at stake when listening to Bruckner's symphonies. Accounting dialogically for the highly individualized sonata practices of Bruckner and other 19th-century composers means reaching beyond their works' acoustic surface to engage with the compositional and historical dilemma of writing sonatas vis-à-vis their own tradition—which by the mid-19th century basically meant writing along with and against Beethoven.

Notwithstanding the reifying enterprise implicit in the 19th-century idea of the Classical sonata, the generic backdrop of this historicizing process was anything but static or resistant to contemporary practices. Simultaneous with the gradual shift towards a generic environment sensitive to the idea of Classical referents[91] was composers'

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[89] Hepokoski, "Beethoven Reception," 424.

[90] Ibid., 447.

penchant for untraditional effects. The compositional strategies behind these effects, especially in the works of culturally prestigious composers, subjected the 19th-century sonata genre to a constant process of enlargement (updating) that prevented it from ossifying. Chief among these were Hepokoski's "common deformational-procedure families": for example, the breakthrough deformation, the introduction-coda frame, episodes within the developmental space, various strophic/sonata hybrids, and the "two-dimensional" sonata.[92]

As if mirroring the hegemonic aesthetic ideals of the time, the 19th-century sonata genre embraced norms and options generalized from: 1) works of historically constituted Classical referents (chiefly Beethoven), and 2) "once-*non-normative* sonata deformations" that by midcentury had become "normative deviation-options from . . . traditional guidelines."[93] Fed by procedures arising from both a growing historicized idea of the Classical sonata, and contemporary composers' penchant for novel effects, the mid- and late-19-century sonata genre provided composers with the necessary backdrop for satisfying their collective appetite for transgression and obedience.[94]

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[91] As Vande Moortele points out, "nineteenth-century composers were very much aware of the music of their Classical forebears, and the instrumental music of Haydn, Mozart and Beethoven was among the first repertoire to retain a continuous presence in the musical canon beyond their composer's lifetime. . . . It is hardly a coincidence that the normative term 'Classical', which until then had been used only in an ahistorical sense, now began to refer to a historically specific repertoire." ("In Search of Romantic Form," 410.)

[92] Hepokoski, *Sibelius: Symphony No. 5*, 5–7.

[93] Hepokoski, "Framing Till Eulenspiegel," 30 n70.

[94] Drawing on Dahlhaus's characterization of the history of the symphony after Beethoven as "circumpolar" (Dahlhaus, *Nineteenth-Century Music,* 152–153), Seth Monahan distinguishes two models of historical influence: "On the one hand is a linear paradigm, in which compositional devices follow a natural lifespan through novelty, normalcy, and finally cliché. On the other is a . . . 'circumpolar' model, in which some cultural watershed exerts a direct, disproportionate, and undiminished influence across

2.2.5 A Dual-Dimensional Dialogic Approach: Outward vs Inward Dialogue

Due to its predisposition towards both musical detail and larger issues of cultural meaning, Hepokoski's theory of sonata deformation is an invaluable tool in accounting for the highly individualized formal practices of 19th-century composers and their participation in a larger communicative system. In this sense, the role that this theory might play in providing clues to Bruckner's formal procedures should not be downplayed. However, even though Hepokoski and Darcy's dialogic approach overcomes the analytical shortcomings of traditional assessments of Bruckner's forms, their approach is not explicitly concerned with textual multiplicity. Thus, advancing a counterdiscourse to the "Bruckner problem" from Hepokoski and Darcy's perspective will require further theorizing.

Along these lines, I propose conceiving formal-expressive meaning in Bruckner's symphonies as growing out of a *two-dimensional* dialogue: On the one hand is the dialogic principle of Hepokoski and Darcy, in which the individual exemplar interacts

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successive generations" ("Success and Failure in Mahler's Sonata Recapitulations," *Music Theory Spectrum* 33 [2011]: 40 n30). Commenting on these models, Steven Vande Moortele writes: "It seems to me that the form of any given nineteenth-century work can be adequately interpreted only by combining both perspectives [i.e., linear and circumpolar]," which might be conceptualized "as a set of concentric circles, at the center of which stand the Classical norms and conventions casting a kind of *prima prattica*, a long shadow across the nineteenth century. The outer circles stand for a multifarious *seconda prattica*, with every circle representing the normative practice of a different period (including a composer's personal practice)" ("In Search of Romantic Form," 411). There is a fundamental difference between my perspective on the 19th-century sonata genre and Vande Moortele's multidimensional model: whereas mine amounts to an enlarged version of Dahlhaus's "circumpolar" model, Vande Moortele's embraces both circumpolar and linear perspectives as part of a metatheoretical construct (which seems to draw inspiration from both Hepokoski and Darcy's dialogical perspective and Horton and Wingfield's statistic-based analytical method). However, Vande Moortele's suggested model of a set of concentric circles could be adapted, for the purpose of clarification, to my proposed conception of the 19th-century sonata genre: per Vande Moortele's model, Classical norms and options would stand at the center; however, the outer circles would comprise not composers' personal practices (as in Vande Moortele's model), but rather those compositional procedures alien to the inner circle that, by way of cultural prestige and redeployment, eventually became spontaneous compositional behaviors and interpretative expectations.

with its implied genre. I characterize this kind of dialogue as fundamentally *public* insofar as it arises from the interplay between the individual exemplar and its collective counterpart, a larger established repertoire (the exemplar's otherness, so to speak). Consequently, I designate this dialogic dimension as the *outward dialogue*. On the other hand, I suggest considering a second kind of dialogue; one among the various *Zustände* adding up to the shaping process of a single Bruckner symphony. I characterize this second dialogic dimension as fundamentally *private* insofar as its capacity to produce meaning is not contingent on the interaction of the individual exemplar with outside *others* but instead with its many *selves*. Accordingly, I designate this dialogic dimension as the *inward dialogue*.

From a hermeneutic standpoint, the compound dialogic approach that I am describing has the advantage of both accounting for Bruckner's formal idiosyncrasies and turning the "Bruckner Problem" into a *Bruckner Potential*: it provides an analytical tool that clears the way for a more nuanced and sympathetic understanding of Bruckner's symphonic forms and their textual characteristics.

In a two-dimensional dialogue, inward dimensions are conditional upon the a priori activation of outward ones, in the sense that the latter enable and constrain the former. Accounts of a movement's inward dialogue, therefore, necessarily follow outward interpretations of all its implicated *Zustände.* Accordingly, the organization of the next two chapters follows that logic: In Chapter 3, I investigate the development of Bruckner's instrumental adagios from 1862 to 1873 (i.e., from the String Quartet WAB 111 to the Symphony in D-minor, WAB 103 [1873Z only]) from an outwardly oriented

dialogical perspective. Building on the groundwork laid in Chapter 3, Chapter 4 turns to matters of dialogic inwardness. Following a brief consideration of WAB 101 that serves as an introduction to matters specific to dialogic inwardness, I then provide an extended dual-dimensional dialogic interpretation of WAB 103 (in all its *Zustände*).

CHAPTER 3. THE OUTWARD DIALOGUE

3.1 A Freer Space: The Slow Movement as Bruckner's Formal Laboratory

Disentangling the intricate compositional process and early editorial history behind Bruckner's major works has been and remains a chief priority for Bruckner scholars. Driven by a pervasive modernist preoccupation with authenticity and authorship, these scholars have devoted most of their work to the task of establishing exactly what was written by Bruckner, when he wrote it, and under what circumstances. To be sure, as I argued in the previous chapter (see section 2.1.2), this emphasis on Bruckner as the sole author of his works owes much of its appeal to long-established academic discourses about the construction of musical works, which tend to marginalize the role played by collective creative endeavors in music's shaping process. The immediate result of such a narrow perspective has been the imposition of an unhelpfully rigid interpretative frame on Bruckner's works. However, if critically approached, there is much to be gained from the scholarly enterprise pursued to date: a marked focus on Bruckner's authorial agency has helped to produce a fairly comprehensive account of the convoluted compositional and editorial process behind each piece. Today, our knowledge about Bruckner's life is as great as the sources and present methods permit, and scholars thus have at their disposal a carefully drawn account of the transformations and actors involved in each stage of the compositional process.

Perhaps because dealing with archival material, biographical data, and text-critical issues is a task traditionally handled by musicologists, the study of how Bruckner's works developed over time has remained by and large the domain of

historical musicology. Notwithstanding the clear analytical potential of this enterprise, music theorists and analysts have hitherto shown little interest in engaging with this area of Bruckner studies. In this and the next chapter I turn to the topic of compositional development in Bruckner's slow movements from a formal-analytical point of view.

In general, two courses can be followed if one decides to engage analysis and history along these lines. On the one hand, one can pursue a work-specific perspective, and study the transformation of a given movement's form over time through its various *Zustände* in chronological sequence. On the other, one can adopt a broader perspective, tracing the development of Bruckner's form-structural thinking within a given movement type; instead of focusing on the various *Zustände* of one movement, one would assess the chronological development of all examples (including all *Zustände*) of a particular movement-genre composed within a given timeframe. In the first (work-specific) method, the importance accorded to matters of compositional authorship depends on the analyst's breadth of understanding of the work's shaping process. In contrast, Bruckner's compositional agency is central to the second method. It is this approach I pursue in this chapter. (The following chapter will pursue the other, work-specific method.)

The timeframe under investigation in this chapter is 1862–1873—a period that extends from the sketching of the String Quartet WAB 111 to the completion of the first (1873) *Zustand* of the Symphony in D minor, WAB 103. My decision to focus on this timeframe has two rationales:

First, Bruckner's early slow movements are a doubly neglected repertoire. On the one hand, despite the fact that Bruckner's slow movements are both central to the

dramatic unfolding of his multimovement works and the hallmark of the composer's symphonic style, theoretical discussion of this repertoire is comparatively rare (in contrast to the outer movements). On the other hand, apart from WAB 103 (and, to a lesser extent, WAB 101 and 102 too) Bruckner's early symphonic works and small instrumental pieces still live in the shadow of the much more popular later symphonies—especially WAB 104, 107, and 109. Thus, my focus on the period 1862–1873 is partially an attempt to bring the early slow movements to the forefront of Bruckner analysis.

A second rationale—one crucial to the perspective developed in this chapter—is the issue of schematism in Bruckner's music. Writing in 1921 about form in Bruckner's symphonies, Franz Schalk (Bruckner's former student and an important early advocate of his music) writes as follows:

> Indeed, there is nothing more primitive than Brucknerian form. There is hardly any other great composer who dealt more carelessly with formal issues than Bruckner. He devised for his movements a very simple scheme, never speculated about it, and held to it consistently in all of his symphonies. For the outer movements: main theme (here and there preceded by some kind of introduction), secondary theme—which he always designated very characteristically with the word "*Gesangsperiode*" (lyrical period)—and closing theme. His Adagios are all tripartite: main theme (which returns somehow varied twice) and secondary theme (which is reprised only once). His more direct and closed movements are always the Scherzi, in which the rhythmic element alone completely suppresses or predominates over the lyrical one.[1]

[1] „In der Tat es nichts Primitiveres als die Brucknersche Form. Kaum je ist einer von den Großen mit dem Formproblem sorgloser umgegangen als Bruckner. Er hat sich ein sehr einfaches Schema für seine Sätze zurecht gelegt, darüber offenbar niemals spekuliert, und in all seinen Sinfonien ganz gleichmäßig festgehalten. Hauptthema, hier und da eine Art Introitus vorher, Seitensatz, den er stets sehr charakteristisch mit dem Wort Gesangsperiode bezeichnete, und Schlußperiode für die Ecksätze. Seine Adagios sind alle dreiteilig: Hauptthema, zweites Thema (Gesangsperiode), von denen das erste zweimal irgendwie variiert wiederkehrt, während das zweite nur eine Reprise erfährt. Seine engsten und geschlossensten Sätze sind stets die Scherzi, in denen allein das rhythmische Element den ›Gesang‹ überwiegt oder ganz verdrängt." (Franz Schalk, "Anton Bruckner, Betrachtungen und Erinnerungen," *Der Merker* 12 (1921): 409. Reprinted in Lili Schalk, ed., *Franz Schalk: Briefe und Betrachtungen* [Vienna: Musikwissenschaftlicher Verlag, 1935], 89; translation mine.)

As Korstvedt points out, although "this sweeping overstatement" sounds indeed like a negative judgment, "it might have been intended simply to counter the idea that Bruckner was 'formless'"; moreover, it also probably reflected the positioning of Bruckner within the changing early-20th-century musical politics as the conservative opposite to the "perceived scourge of the New Music and its 'formless' atonal tendencies."[2]

In any case—and despite the existence of important figures contemporary to Schalk voicing different perspectives on the matter[3]—Schalk's oversimplified account has proved influential to this day. For example, in the case of Bruckner's slow movements from WAB 102 onwards, it has become customary to match their form (except for that of WAB 106) to the overall tripartite scheme AB/A'B/A' that Schalk describes. Indeed, this scheme is somewhat in play in many of Bruckner's slow movements, and it is therefore perhaps not surprising that many scholars have found this two-and-a-half rotations scheme appealing. However, its explanatory capacity has been overstated: for one thing, as I will develop further below, it misrepresents the large-scale form of the slow movement of WAB 103—and for that matter that of WAB 104 too. But more importantly, even in those movements in which this scheme does play a role, its sole focus on thematic content neglects other crucial means of articulating large- and small-scale form. That pieces as different in formal scale and organization as, for example, Bruckner's WAB 105/II, C. P. E. Bach's Wq. 50/6 (H. 140), Mozart's K. 284/II, and Beethoven's Op. 10 nr. 1/II can be posited as realizations of an ABABA

[2] Korstvedt, "Between Formlessness and Formality," 171.

[3] See Kurth, *Bruckner;* and Halm, *Die Symphonie Anton Bruckners*.

scheme, tells us how inadequate such an explanation is.

As noted in Chapter 2, the emergence of a music-historical consciousness and the gradual consolidation of a classical cannon confronted 19th-century composers with the challenge of having to compose within a self-conscious tradition. By the 1850s the challenge for symphonic composers was, above all, creating the possibility of a future in the face of the "end-of-history" climate triggered by Beethoven's achievement (see sections 2.2.3 and 2.2.4). Slow movements, however, due to their generic eclecticism,[4] were relatively less charged compositional spaces were composers could more easily overcome self-consciousness about classical precedents. Building on Elaine Sisman's and Walter Frisch's work on Brahms's slow movements,[5] I contend that in the freer environment (generically speaking) of slow movements, "which make no single form obligatory,"[6] Bruckner was able to pursue a much more spontaneous and introspective

[4] Consider, for example, the variety of forms displayed in the symphonic slow movements of Beethoven, Mendelssohn, and Schumann (who, generically speaking and due to their cultural prestige, were three of the most influential figures during Bruckner's mature life):

In the case of Beethoven, we find Type 3 sonatas (Symphonies Nos. 1, 2, and 6); an expanded Type 1 sonata (Symphony No. 4); a five-part rondo (Symphony No. 3); strophic variations, with two appearances (interpolations) of a major-mode episode (Symphony No. 7); and double-variation schemes (Symphonies Nos. 5 and 9, the latter an extended and tonally more adventurous variant of the parallel-mode scheme traditionally associated with Haydn).

With Mendelssohn, we find Type 3 sonatas (Symphonies Nos. 1 and 2, both monothematic with abridged recapitulations); a Type 1 sonata (Symphony No. 3); a Type 2 sonata (Symphony No. 4); and a large ternary form (Symphony No. 5).

With Schumann, we find a Type 3 sonata (Symphony No. 1, monothematic with an abridged recapitulation as in Mendelssohn's Symphonies Nos. 1 and 2!); a two-rotation structure in dialogue with the Type 1 sonata (Symphony No. 2, with each rotation a rounded binary structure); and a large ternary form (Symphonies Nos. 3 and 4).

[5] See Elaine Sisman "Brahms's Slow Movements: Reinventing the 'Closed' Forms," in *Brahms Studies: Analytical and Historical Perspectives*, ed. George Bozarth (Oxford: Clarendon Press, 1990), 79–104, especially 79–81; and Walter Frisch, *Brahms and the Principle of Developing Variation* (Berkeley: University of California Press, 1984), 123.

[6] Sisman, "Brahms's Slow Movements," 80.

approach to formal organization. Thus, contrary to the view of Franz Schalk (and many if not most Brucknerians after him), I argue in this chapter that a conspicuous feature of Bruckner's slow-movements is a markedly experimental attitude towards formal organization—an assessment of Bruckner's slow-movement forms that radically deviates from the traditional characterization of Bruckner as a schematic composer.

That Bruckner's approach to slow-movement form was anything but schematic and stiff does not mean that he reinvented himself in every movement. In fact, in these movements (especially from 1872 onwards) he seemed to have been preoccupied with a very limited number of formal/dramatic trajectories and form-structuring principles, with an associated set of characteristic formal traits. However, closer examination shows that any impression of formal conformation is as deceptive as the letter-based scheme ABABA. As I elaborate below, it is not the reliance on a small number schemes that is important, but his capacity to recreate them in varied fashion.

In his later slow movements, Bruckner did indeed draw more consistently on his characteristic two-and-a-half rotations pattern comprising two themes subject to varied returns; in focusing on the earlier period, my aim is to show how his early slow movements gradually established the basic characteristics of his later conception of slow-movement form, and that accordingly, a more historically and analytically adequate understanding of his works from WAB 104 onwards needs to build on the formal experiments that he undertook between 1862 and 1873.

In order to avoid a regressive perspective in which analytical conclusions drawn from later works are retroactively applied to earlier ones, I will adopt a chronological

approach. This is not exempt from some risks, though: The criteria used in establishing a composer's stylistic periods are often questionable, vis-à-vis the regressions, bifurcations, and confluences that often characterize a composer's stylistic development. In this sense, constructions such as early, middle and late style reveal more the historicist need to organize apparent chaos via metanarratives than an empirical reality. Although periodization can indeed provide a useful access-point to the study of a composer's style, a particular genre or the music of a specific culture, it also inevitably tends to normalize and minimize deviations, imposing a linear, unidirectional interpretative grid to the end of achieving its neat periodic consistency.

The same risk is run when studying the development of a composer's formal thinking. In this chapter, examining specifically the transformation over time of Bruckner's handling of slow-movement form, I acknowledge the importance of discontinuity, as well as continuity of a more circuitous kind—bifurcation and confluence, as well as the mediation of multiple sources of influence (transformational forces). The aim of this procedure is to approach Bruckner's music from an analytical and systematic perspective sensitive to historic unfolding and compositional processes without imposing its own teleological self-justifying logic.

3.2 Bruckner's Early Experiments with Instrumental Slow-Movement Form, 1862–1873

Es ist noch kein Meister vom Himmel gefallen
—Austrian proverb

Between 1862 and 1873 Bruckner wrote seven multimovement instrumental works containing a slow movement (WAB 99, 100, 101, 102, 103, and 111). Additionally, the first two of the Three Orchestral Pieces, WAB 97 (composed in 1862) are also slow movements. Considering that before 1873 Bruckner worked out at least two *Zustände* of the slow movements of WAB 100 and 101, and three of WAB 102, the corpus under investigation in this section adds up to 12 movements (see Table 1 below). The variety of formal patterns deployed in this corpus—which comprises both conventional forms (as, e.g., in WAB 111 and WAB 100) and unusual patterns (as in WAB 99, 102 and 103)—supports the claim advanced above that the composer did not associate slow movements with any form in particular.[7] As Margaret Notley argues in connection with aesthetics issues germane to the 19th-century Adagio as genre, for many late-19th-century musicians "the features that characterized adagios [e.g., tempo, melodic style, and quality of expression] took precedence over considerations of form common to various movement types."[8] And elsewhere,

> If this is so, then much current slow-movement analysis (which focus so often on large-scale structural innovations and peculiarities) might inadvertently have reversed the original, nineteenth-century priorities. Formal innovation per se may

[7] With respect to the other movements comprising the four-movement plan of Bruckner's multimovement works, generic precedents and Bruckner's own practice suggest the opposite situation, namely that there *is* a generically pre-conditioned single form and that Bruckner usually conforms to it (Type 3 sonata for the outer movements and Scherzo with trio or compound ternary for the scherzos).

[8] Margaret Notley, *Lateness and Brahms: Music and Culture in the Twilight of Viennese Liberalism* (New York: Oxford University Press, 2007), 172.

> not have been the primary goal at all. Rather, seemingly unusual forms within Adagios may have resulted secondarily, perhaps almost incidentally, from more fundamental conceptions of the phrase-to-phrase attributes of the 'Adagio' texture itself.[9]

Work / Movement-Zustand	Composition Date	Form
WAB 111, String Quartet in C minor / II-1862Z	mid-July–July 28, 1862	Large Ternary
WAB 97, Three Orchestra Pieces / I-1862Z	mid-October–early November, 1862	Small Ternary
WAB 97, Three Orchestral Pieces / II-1862Z	mid-October—November 10, 1862	Small Ternary
WAB 99, Symphony in F minor / II-1863Z	March 13–April 10, 1863	Hybrid Form: Exposition-Interior Theme-Recapitulation (with Coda)
WAB 101, Symphony no.1 in C minor / II-1866aZ	second half of 1865–early 1866	Type 3 Sonata
WAB 101, Symphony no.1 in C minor / II-1866bZ	early 1866–April 14, 1866	Type 1 Sonata
WAB 100, Symphony in D minor / II-1869aZ?	before July, 1869	Unknown, but most likely a Type 3 Sonata (with Coda)
WAB 100, Symphony in D minor / II-1869bZ	early July–21 August, 1869	Type 3 Sonata (with Coda)
WAB 102, Symphony no.2 in C minor / III-1872aZ	July 18–25, 1872	Type $4^{1\text{-exp.}}$ Sonata
WAB 102, Symphony no.2 in C minor / II-1872bZ	ca. August– mid-October, 1872	Type $4^{1\text{-exp.}}$ Sonata (with added rotation)
WAB 102, Symphony no.2 in C minor / II-1872cZ	ca. late 1872	Type $4^{1\text{-exp.}}$ Sonata (with added rotation)
WAB 103, Symphony no.3 in D minor / II-1873Z	February 24–May 24, 1873	Type 3 Sonata (with added rotation)

Table 1. Bruckner's slow movements composed between 1862 and 1873

But even if the role of form was a relatively marginal aspect of the generic make-up of adagios in particular and of slow movements in general, we should be careful not to misconstrue Notley's point and conclude that, aesthetically speaking, the use of this or that formal pattern was a secondary or incidental decision. Slow movements, for example, acquired loftier expressive connotations in the 19th century, moving from "a

[9] Margaret Notley, "Late–Nineteenth-Century Chamber Music and the Cult of the Classical Adagio," *19th Century Music* 23 (1999): 35.

humble into perhaps the highest movement type,"[10] and this accounts in large part for the increasing complexity of the slow-movement forms deployed at the time. Even if considerations other than purely formal ones played an important (perhaps the prime) role within the 19th-century conception of slow movements, formal organization should hardly be considered a result of compositional inertia.

In fact, my reconstruction of the process of Bruckner's creative endeavors suggests that thorough technical thinking guided his formal experiments, and that close analytical consideration of these experiments puts us in a better position to 1) connect formal issues to larger aesthetic concerns, and 2) reinforce the importance of keeping form-functional matters in sight when making claims about this repertoire. In the diachronic network of Appendix I, I map larger potential lines of continuity guiding Bruckner's formal experiments between 1862 and 1873. Most of what follows here is a step-by-step exploration of this network.

3.2.1 String Quartet, WAB 111 and Three Orchestral Pieces, WAB 97

The earliest works in the repertoire under investigation are the second movement of the String Quartet, WAB 111 (the first fully-fledged multimovement work written by Bruckner under the guidance of Otto Kitzler)[11] and the first and second of the Three

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[10] Notley, *Lateness and Brahms,* 174.

[11] The String Quartet WAB 111 was composed between early summer and August 7, 1862, and premiered nearly 90 years later on February 15, 1951 during a performance of the Koeckert Quartet broadcasted by the RIAS Berlin (the radio station established in west Berlin by the US occupational authorities after World War II). On WAB 111, see Leopold Nowak, *Streichquartett C-Moll (Revisionsbericht)*, vol. 13/1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1956); Howie, *Anton Bruckner*, 189–190; Harten, ed., *Anton Bruckner*,

Orchestral Pieces, WAB 97.[12] As with most works dating from Bruckner's period of studies with Kitzler (i.e., December 1861–July 10, 1863), the composer worked out only one *Zustand* of each of these three movements. WAB 111/II-1862Z comprises a single textual state, namely Mus. Hs. 44706 (Vienna, Österreichische Nationalbibliothek; henceforth V-ÖN),[13] pages 178–184.[14] On the other hand, WAB 97/I-1862Z and WAB 97/II-1862Z comprise two textual states each: the autograph, Mus. Hs. 44706 (V-ÖN), pages 266–271 and 272–277 respectively; and the score copy, Mus. H 3794c (Vienna, Wienbibliothek im Rathaus; henceforth V-WR), fol. 4r–fol. 5r and fol. 5v–fol. 7r respectively.[15]

406; and Wolfgang Rathert, "Die Kammermusik" in Bruckner-Handbuch, ed. Hans-Joachim Hinrichsen (Stuttgart: J.B. Metzler, 2010), 311–314.

[12] The Three Orchestral Pieces WAB 97 were composed between mid-October and November 16, 1862, and premiered posthumously on October 12, 1924 by the Klosterneuburg Philharmonie under Franz Moißl. On WAB 97, see Howie, *Anton Bruckner*, 191–192; Hans Jancik and Rüdiger Bornhöft, eds., *Vier Orchesterstücke*, vol. 12/4 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1996), 33–34; Uwe Harten, ed., *Anton Bruckner*, 318; and Wolfram Steinbeck, "Von den 'Schularbeiten' bis zur Zweiten Sinfonie," in *Bruckner-Handbuch*, ed. Hans-Joachim Hinrichsen (Stuttgart: J.B. Metzler, 2010), 112–114.

[13] Unlike all other Bruckner manuscripts mentioned in this and the following chapter, all of which are digitally available in open sources (e.g., at bruckner-online.at), this manuscript is only available as a facsimile edition, published as vol. 25 of the NGA (Paul Hawkshaw and Erich Wolfgang Partsch, eds., *Das „Kitzler-Studienbuch". Anton Bruckners Studien in Harmonie- und Instrumentationslehre bei Otto Kitzler (1861-63). Faksimile-Ausgabe nach dem Autograph der Musiksammlung der Österreichischen Nationalbibliothek (Mus. HS. 44706)* [Vienna: Musikwissenschaftlicher Verlag, 2014]).

[14] There is only one published edition of the String Quartet (namely WAB 111-1862Z[Nowak]): Leopold Nowak, ed., *Streichquartett C-Moll*, vol. 13/1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1955).

[15] There are four editions of the Three Orchestral Pieces: WAB 97-1862Z[Göllerich & Auer], [Orel], [Jancik], and [Jancik & Bornhöft] (August Göllerich and Max Auer, eds., "Drei Orchestersätze," in vol. 3/2 of Göllerich and Auer, *Anton Bruckner, ein Lebens- und Schaffensbild* [Regensburg: Bosse, 1922–1937], 33–60; Alfred Orel, ed., *Vier Orchesterstücke*, vol. 11 of *Anton Bruckner, Sämtliche Werke. Kritische Gesamtausgabe* {NB: AGA} [Vienna, Musikwissenschaftlicher Verlag, 1934]; Hans Jancik, ed., *Marsch d-Moll, 3 Stücke für Orchester* [Vienna: Doblinger, 1974]; and Hans Jancik and Rüdiger Bornhöft, eds., *Vier Orchesterstücke*, vol. 12/4 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* [Vienna: Musikwissenschaftlicher Verlag, 1996]). While the score copy (Mus. H 3794/c [V-WR]) is the

A common feature among these movements is the use of an overall ternary form. This ternary plan, though, is comparatively more complex in WAB 111/II-1862Z. As shown in Figure 1 below, this movement is written in what Caplin refers to as a large ternary form: a three-part slow-movement structure comprising a main theme (A), an interior theme (B), and a reprise (often ornamented) of the main theme (A'), with each of these three sections modeled on small binary and ternary theme types (or variants of them).[16] In WAB 111/II-1862Z the main theme (A) is a small ternary form with a modulating exposition (a) [I→V], followed by a contrasting middle (b) that prolongs a tonized V (see the V:PAC at m. 22). The reprise (a') is prepared by a 5-bar retransition

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sole textual source of the Orel and Jancik editions, the Jancik & Bornhöft edition stems from both the score copy and the autograph (Mus. Hs. 44706 [V-ÖN]). Since these sources display only minimal differences, the three editions are almost identical—on the differences between the autograph and the score copy, see Jancik and Bornhöft, eds., *Vier Orchesterstücke*, 33–34. On the other hand, the textual source for the Göllerich & Auer edition is a second score copy (Mus. Hs. 19680 [V-ÖN]) prepared at a later time by Bruckner's pupil Cyrill Hynais (to whom Bruckner presented the first score copy as a gift).

[16] On large ternary form, see Caplin, *Classical Form,* 211–216. On small binary and ternary, see ibid., 71–93. In Mus. Hs. 44706 (V-ÖN), page 178, Bruckner describes the form of WAB/II-1862Z as "in small Rondo form, namely three-part song form with trio, then varied reprise" (in Rondoform u[nd] zwar 3-theil[i]ge Liedform mit Trio, dann Repetition mit Variand[e])—translation mine. At the bottom of page 188 in the same manuscript, Bruckner gives a slightly more detailed account of this form: "the small Rondo contains a theme in three-part song form followed by a trio in two- or three-part song form; then a reprise (usually varied) with appendix [closing section]" (Die kleine Rondoform ist 3[-]theilige Liedform in Themagruppe, der sich ein Trio in 2[-] o[der] 3[-]theil[i]ge[r] Liedform anschließt; dann Repetition meist in Variande mit Anhang)—translation mine. This more detailed description of the "small Rondo form" appears on the same page containing the beginning of the last movement of the String Quartet. At the top of the page, Bruckner also gives a description of what he calls "middle Rondo form" (which basically corresponds to Hepokoski and Darcy's Type 4^1 sonata). Paul Hawkshaw incorrectly assumes that Bruckner's description of the "middle Rondo form" was meant to characterize the String Quartet's finale, and from this he develops several misleading conjectures (see Hawkshaw, "A Composer Learns his Craft," 18 and 27 n31). The Quartet finale is clearly a Type 4^3 sonata, and thus, Bruckner's descriptions of the "small" and "middle Rondo forms" on the first page of this movement are nothing more than annotations (perhaps reminders) about those forms; he did not intend his written-out description of the "middle Rondo form" as an account of the String Quartet's finale. Later, on page 197 of the manuscript, Bruckner writes a description of what he calls "large Rondo form" (Hepokoski and Darcy's Type 4^3 sonata) that does correspond to the form of the finale of the String Quartet, WAB 111 and the Rondo for String Quartet in C minor, WAB deest19 (on whose first page the description is written, here certainly intended as a description of this stand-alone piece's form).

that turns the prolonged tonized dominant into an active one (V_T => V_A). As is normally the case with a small ternary with modulating exposition (a), the reprise (a') here adjusts the tonal scheme to remain in the tonic; consequently, the large-scale tonal scheme of WAB 111/II-1862Z's main theme is the I-V$^{\|}$ I-V-I two-part interrupted structure common to most rounded binary forms.

Large Ternary

- **Main Theme (A)**
  - Small Ternary
    - Exposition (a)
      - Hybrid theme: c.b.i [mm. 1–4] + continuation [mm. 5–8] and cadential idea [mm. 9–11]: V:PAC at m. 11
    - Contrasting middle (b)
      - New c.b.i (or Standing on V with deceptive resolution) [mm. 12–15] + continuation [mm. 16–22]): V:PAC at m. 22.
      - Retransition ("securing the 7th," V_T=>V_A) [mm. 22–26].
    - Reprise (a')
      - Hybrid theme: c.b.i [mm. 27–30] + continuation [mm. 31–35] and cadential idea [mm. 35–37]: I:PAC at m. 37.
- **Interior Theme (B)** [*minore*]
  - Small Binary (without concluding PAC)
    - First part (a)
      - Hybrid theme: c.b.i (sentential) [mm. 38 – 41] + consequent (sentential) [mm. 42–45]): III:PAC at mm. 45.
    - Second part (b)
      - Contrasting middle: new idea + repetition (sequential) [mm. 46–49] + continuation (fragmentation) [mm. 50–51] and cadential idea [mm. 52–53]: i:DC at mm. 53.
    - Retransition: cadential idea [mm. 53–56], i:HC at m. 56 + standing on V [mm. 56–57].
- **Main Theme (A')** varied reprise [mm. 58–96]
  - Small Ternary as in the Main Theme (A): new retransition after the contrasting middle [mm. 79–82] and an expanded version (model-sequence + fragmentation) [mm. 90–94] of the reprise's continuation [mm. 87–96].
- **Closing section (*Anhang*)**: Codettas [mm. 96–98, 98–100, 100–101, and 101–103].

Figure 1. WAB 111/II-1862Z: Form

The interior theme (B) of WAB 111/II-1862Z is a small binary in the parallel mode, comprising a modulating hybrid [i→III] as its first part (a), and a second part (b) in

which the expected formal closure is overridden by a deceptive cadence (m. 53).[17] After this cadential deviation the music veers into a 5-bar passage that instead of bringing formal closure, prepares the return of the main theme (A') via a retransitional i:HC (m. 56). As a result of the deceptive cadence in m. 53, the otherwise presumptively structural V in m. 52 gets subsumed within the bassline's ascending octave progression that prolongs bVI (Fb, enharmonically spelled as E) from m. 48 to m. 53. Since this submediant harmony ends up connecting (via an augmented-sixth chord) with the retransitional V_A in m. 56—thus functioning as a prolonged incomplete neighbor to the V—the overall tonal structure of the interior theme is that of a large-scale tonic arpeggiation i-iii-(bVI)V. From a larger perspective, the tonal structure of the interior theme groups with that of the main theme (A) as the first branch (I-V$^{\|}$) of the two-part interrupted structure that underlies the whole movement: I(i)-bIII-(bVI)V$^{\|}$ I-V-I. (See Graph 1 in Appendix II.)

Despite their smaller dimensions, the ternary forms of WAB 97/I and II are by no means lacking in interesting features. Even within the constraints of the small ternary theme-type that accounts for the whole form of these two movements (see Figures 2 and 3),[18] Bruckner managed to introduce thought-provoking twists. Especially interesting is

[17] In his brief analysis of the interior theme's form, Paul Hawkshaw (perhaps deceived by the key-signature change and the appearance of the theme's head-motive in the first violin) misleadingly takes m. 51 to be a phrase beginning, and thus describes the theme as "in three-section song form of eight-, five-, and seven-measure periods" (Hawkshaw, "A Composer Learns his Craft," 18). As I suggest in Chart 1, m. 51 is not the beginning of a phrase but the second measure of a continuation phrase leading towards the cadential idea in mm. 52–53.

[18] The Three Orchestral Pieces, WAB 97, represent, along with the March in D minor, WAB 96, the first orchestral pieces in Bruckner's output. Unlike the March (which is in large ternary form), the form of the orchestral pieces (small ternary) is rather unusual for pieces for large orchestra. A small ternary theme as the overall form of an entire movement is more characteristic of small character pieces like

his conspicuous reliance on multiple cadential deviations as a means to avoid excessive predictability—see, for example, the deceptive cadence at m. 9 of WAB 97/I-1862Z, and the two unfulfilled expanded cadential progressions in WAB 97/II-1862Z: see mm. 10–12 (evaded cadence at m. 13) and 24–28, where the penultimate V of an authentic cadential progression suddenly loses energy. This prevents it from achieving discharge to I, thus producing an evaded effect whereby the cadential dominant is retrospectively perceived as a dominant arrival, which—unable to move forward to another harmony—locks into a fermata in m. 28.[19]

Small Ternary

- **Exposition (a)**
  - 1-bar thematic introduction
  - Hybrid theme: antecedent [mm. 2– 5] + continuation [mm. 6–11]): reinterpreted half cadence at m. 5 (V:PAC => I:HC); I:DC at m. 9; and I:PAC at m. 11.
- **Contrasting middle (b)**
  - Continuation: new idea + repetition (sequential progression) [mm. 12–15] + fragmentation [mm. 16–18] + cadential idea [mm. 19–21]): I:HC at m. 21.
- **Reprise (a')** [mm. 22–31]: same as the exposition.
- **Closing section (*Anhang*)**: Codetta [mm. 31–34] + 3-bar Ton.^{Aus} [mm. 34–36).

Figure 2. WAB 97/I-1862Z: Form

Also worth noting in these short movements is the embryonic appearance of two codetta techniques that Bruckner will later use in more developed form in the closing

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Mendelssohn's *Songs without Words*. Moreover, since WAB 97/I-II was written after WAB 111/II, the first two of the Three Orchestral Pieces represent a departure (as will be seen later) from a Brucknerian tendency towards the gradual increasing of formal complexity in slow-movement form. One rationale for this might be that WAB 96 and 97 were Bruckner's first exercises in composition for large orchestra after completing his orchestration of Beethoven's Op. 13/I (exposition only) during the last part of his studies with Kitzler (which were devoted to instrumentation). Thus, in WAB 97 matters of form were probably of lesser importance for both Kitzler and Bruckner, who would have been more interested in matters of texture, balance, color, and idiomatic use of the instruments.

[19] A penchant for deceptive harmonic motions is also apparent in WAB 97/III (see mm. 8 and 18).

sections (*Anhänge)* of his mature slow movements. One (see WAB 97/I-1862Z, mm. 34–36) is a sustained tonic sonority or *Klang* that closes out the gradual process of textural, rhythmic, and dynamic decay that often brings Bruckner's slow movements to an end (in contrast to the *Klangfläche* ["sound sheet"] which often closes Bruckner's outer movements in a climatic, monumental way).[20] I will refer to this characteristic type of Brucknerian slow-movement *Anhang* as Ton.^{Aus} (tonic *Ausklingen* or fading away). Another type of Brucknerian *Ausklingen* codetta is found in WAB 97/II-1862Z, mm. 43–48, where the whole *Anhang* is supported by plagal motions. I will refer to this Brucknerian codetta type as the Plag.^{Aus} (plagal *Ausklingen*).

Small Ternary

- **Exposition (a)**
  - 1-bar thematic introduction
  - Hybrid theme
    - Antecedent [mm. 2– 5]: I:HC at m. 5
    - Continuation (sentential): new idea + repetition [mm. 6–9], cadential idea (unfulfilled ECP) [mm. 10–12): EC at m. 13 + cadential idea (compressed "one more time") [mm. 13–15]: I:PAC at m. 15.
- **Contrasting middle (b)**
  - Sentence
    - Presentation [mm. 16–19]
    - Continuation [mm. 20–23] + Cadential idea (unfulfilled ECP) [mm. 24–28]: EC => DA.
- **Reprise (a')**: [mm. 29–43]: same as the exposition
- **Closing section (*Anhang*)**: Codetta (sentential): Plag.^{Aus} [mm. 43–48]

Figure 3. WAB 97/II-1862Z: Form

[20] See Darcy, "Bruckner's Sonata Deformations," 276–277. As I will discuss further below, the dramatic trajectory of Bruckner's slow movements differs from that of his outer movements in one fundamental way. The former attain their apex during the second-to-last section of the movement, which is then followed by a section characterized by a recessive mood or overall decay, while the latter follow a tortuous path in which the music goes through a series of struggles before achieving the movement's apex, a moment of redemption and sublimity, right before the end of the movement.

3.2.2 Symphony in F minor, WAB 99

Bruckner worked on the slow movement of his Symphony in F minor, WAB 99 between March 13 and April 10, 1863.[21] He composed this so-called "Study Symphony" (after Bruckner's own designation of the work as "*Schularbeit*" in the score copy) right after finishing the Overture in G minor, WAB 98. Following the symphony's completion, the composer devoted himself to work on his setting of Psalm 112, WAB 35. Together WAB 98, 99, and 35 comprise Bruckner's final assignment for Kitzler, and thus represent the end of Bruckner's unusually long journey as a music student—by the time he completed WAB 35, the composer was already 38 years old and had composed more than half of the total number of works (mostly choral) in his entire compositional output.

As in the case of the slow movements of WAB 111 and 97 discussed above, Bruckner worked out only one *Zustand* of the slow movement of WAB 99 (namely WAB 99/II-1863Z). This *Zustand* comprises two textual states, the autograph, C 56, 7 (Kremsmünster, Stift Kremsmünster; henceforth K-SK), fol. 21r–34r; and the score copy, Mus. H 3795c (V-WR), pages 41–64.[22]

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[21] Despite the composer's successful attempt in September 1863 to convince Franz Lachner (at the time conductor of the Bayerisches Staatsorchester) to perform the Symphony WAB 99 sometime in the near future (see Howie, *Anton Bruckner*, 98), the work was never performed during Bruckner's lifetime. The slow movement was premiered in Vienna on October 31, 1913 by the Wiener Konzertverein (known as the Wiener Symphoniker since 1933) under its chief director, the conductor and pianist Ferdinand Löwe (one of Bruckner's most prominent early advocates). The premiere of the entire symphony was given on February 19, 1925 by the Berlin Philharmonic under Franz Moißl—before this concert, the Klosterneuburg Philharmonie, also under Moißl, had premiered its individual movements in two separate concerts: movements 1, 2, and 4 on March 18, 1923; and movement 3 on October 12, 1924. On WAB 99, see Leopold Nowak, *Symphonie F-Moll (Revisionsbericht),* vol. 10 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1982); Harten, ed., *Anton Bruckner*, 409–410; Howie, *Anton Bruckner,* 98 and 192–194; and Steinbeck, "Von den 'Schularbeiten' bis zur Zweiten Sinfonie," 116–121.

[22] Additionally, there are two pages of sketches for WAB 99/II in the *Kitzler-Studienbuch* (Mus. Hs. 44706 [V-ÖN], pages 307–308), which contain a good portion of the material that Bruckner eventually

Unlike WAB 111/II and WAB 97/I & II, which generally speaking are simple and unambitious works, WAB 99/II belongs to the much more demanding and ambitious genre of the symphony. Accordingly, Bruckner came up with a movement of appropriately larger scope, and more complex in design and tonal structure. As shown in Example 1 (see also the more detailed Figures 4–6), the form of WAB 99/II-1862Z comprises four larger formal spaces adding up to a form-functional layout that displays characteristics of two distinct full-movement forms: large ternary and sonata form. The correlation of formal functions, though, places the movement closer to the latter than the former: The listener's experience is that of a Type 3 sonata in which the interior theme of a large ternary substitutes for the developmental space.

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used for the movement's P-theme. As shown in these sketches, Bruckner first intended the slow movement to be in F major (the parallel major of the first movement's key), thus, his choice of E-flat major (bVII) as the movement's key came after most of the P-theme's thematic content and structure was already worked out—though in a slightly different and considerably less concise form-functional disposition.

There are two editions of this movement: WAB 99/II-1863Z[Hynais] and [Nowak] (Cyrill Hynais, ed., *Andante aus der nachgelassenen Symphonie F Moll von Anton Bruckner (komponiert 1863)* [Vienna: Universal Edition, 1913 (plate number: U. E. 5255)]; and Leopold Nowak, ed., *Symphonie F-Moll,* vol. 10 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* [Vienna: Musikwissenschaftlicher Verlag, 1973]).

Nowak draws from both the autograph and the score copy—on the differences between these two textual sources, see Nowak, *Symphonie F-Moll (Revisionsbericht),* 60–61. Hynais follows instead only the score copy but includes a number of note changes and small modifications in the instrumentation and dynamics—on the differences between his edition and the score copy, see ibid., 62–64. Finally, before the publication of Nowak's edition of the complete work in 1973, a piano reduction had been included in Göllerich and Auer, *Anton Bruckner*, vol. 3/2: 61–124. The textual source of this piano edition was the piano score begun by Hynais ca. 1904 (movements 1, 2, and 4—which follow the score copy) and completed after 1924 by Max Auer (Scherzo, following both the score copy and the autograph), Mus. Hs. 19668 (V-ÖN). NB: Bruckner's autograph of the Symphony WAB 99 came to light in 1924 when it was found in the archives of the Stift Kremsmünster along with a stack of pages (comprising the whole Scherzo) that were missing from the autograph. This explains why 1) Hynais's edition is based only on the score copy; 2) Hynais prepared piano reductions of movements 1, 2, and 4 only; and 3) the Scherzo was not performed in the 1923 performance by Moißl and the Klosterneuburg Philharmonie (see fn 21, above).

Exposition [mm. 1–46]		**Interior Theme [mm. 47–68]**	**Recapitulation [mm. 69–108]**		**Coda [mm. 108–123]**	Anhang [mm. 123–129]
First Part (P-TR) [mm. 1–23] V:IAC MC	Second Part (S) [mm. 23–46] V:PAC EEC	aba' III:IAC	First Part (P-TR) [mm. 69–92] I:DA MC	Second Part (S) [mm. 93–108] I:IAC (Failed Sonata)	(P) I:PAC	(P)

Example 1. WAB 99/II-1863Z

Interior themes, unlike other medial functions such as contrasting middle or secondary theme, emphasize a tonal region distinct from the traditional subordinate keys—i.e., the dominant in major-mode sonatas, and the relative major and minor dominant in minor-mode sonatas. Accordingly, in WAB 99/II-1863Z the interior theme is set in the region of the minor mediant (G minor). Also, unlike the developmental space's traditional striving towards the ultimate attainment (in minor-mode sonatas) or regaining (in major-mode ones) of an interrupting dominant, the interior theme here closes with a III:IAC (m. 65). Moreover, this cadential articulation is followed not by a retransitional dominant preparation, but by a 4-bar codetta prolonging the tonized III while the structural upper voice arpeggiates from the local scale-degree ^3 to ^5 and then ascends by step up to ^1 (see mm. 65–68).

The tonal profile of WAB 99/II-1863Z's interior theme thus brings about two distinct tonal effects: Locally, the tonal gesture that bridges the connection to the recapitulation (i.e., the triadic motion from G major to E-flat major; see mm. 68–69) is a chromatized 5–6 motion (the neo-Riemannian PL transformation). On the other hand, the entire interior theme prolongs a III *Stufe* that functions as the middle component (a third

divider) in a deep-middle ground arpeggiation from $V^{\|}$ to I; that is, from the end of an interrupted structure's first branch (the exposition's EEC) to the beginning of the second branch (the launching of the recapitulatory P-theme)—See Graph 2 in Appendix II.

Small Ternary (R=1/2N)

- **Exposition (a)**: Compound (progressive) Period
  - Antecedent (sentence)
    - Presentation [mm. 47–48]; continuation [mm. 49–50]: i:HC at m. 50.
  - Consequent (sentence)
    - Presentation [mm. 51–52]; continuation [mm. 53–54]: V:PAC at m. 54.
- **Contrasting Middle (b)**: sentential
  - New idea (Based on the head motive of a) + repetition [mm. 55–56].
  - Continuation [mm. 57–58].
  - Cadential [mm. 59 – 61]: i:HC at m. 61.
- **Reprise (a')**:
  - Sentence (=consequent)
    - Presentation [mm. 62–63]
    - Continuation (mm. 64–65), I:IAC at 65.
- ***Anhang*** [mm. 65–68]: a 4-bar codetta.

Figure 4. WAB 99/II-1863Z: Interior Theme

Another conspicuous difference between WAB 99/II-1863Z and its forerunners (WAB 97/II and WAB 111/II) is the former's reliance on a less regular and significantly more fluid rhetoric, which departs from tight-knit classical syntax to move closer to a more contemporary (Wagnerian) thematic rhetoric.[23] This is noticeable already in the exposition's P-theme, where a series of phrases (modules) group together and relate to each other in ways that differ considerably from the form-functional efficiency and symmetrical correspondence characteristic of classical P-themes. The movement begins with a three-bar module ($P^{1.1}$) comprising a basic idea (an embellished ascending tonic

[23] Indeed, the fact that Bruckner studied and attended performances of Wagner's *Tannhäuser* shortly before composing WAB 99 (see Chapter 2 n37) is surely no coincidence.

arpeggio comprised of three iterations of a reaching-over motive [mm. 1–2]) rounded off by a plagal elaboration of I (m. 3). This opening gesture is answered by a descending melodic gesture (mm. 4–5) outlining a bII6–V4/2 progression that functions as a composed-out *Auftakt* (upbeat) to a sequential passage moving from I6 to II (m. 7).

Exposition

- **P-Theme** [mm. 1–15] (non-traditional theme type)
  - $P^{1.1}$ [mm. 1–3]: basic idea + Plag.^{Aus}
  - $P^{1.2}$ [mm. 4–7]: *Auftakt* + continuation
  - $P^{1.3}$ [mm. 7–13]: further continuation (*Steigerung*)
  - $P^{1.4}$ [mm. 13–15]: cadential (I:PAC at m.15)
  - P^{2} (Anhang) [mm. 15–19]**:** codettas (sentential)
- **Transition** [mm. 19–23]**:** dissolving modified restatement of P's Anhang (V:IAC MC at m. 23)
- **S-Theme** (*Gesangsthema*) [mm. 23–46]
  - $S^{1.1}$: Sentence (loosely)
    - Presentation [mm. 23–26]: b.i + repetition (statement-response type)
    - Continuation [mm. 27–38]: fragmentation [mm. 27–28]; model [mm. 29–30] sequence [mm. 31–32]; fragmentation [mm. 33–34] + cont. => cadential [mm. 35–38] (sentential): V:IAC at m. 38.
  - $S^{1.2}$: Sentence
    - Presentation [mm. 38–41]
    - Continuation [mm. 42–46]: fragmentation [mm. 42–44]; cadential [mm. 45–46]: V:PAC EEC at m. 46.

Figure 5. WAB 99/II-1863Z: Exposition

Together, this short sequence and its preparation function as a continuation module ($P^{1.2}$),[24] which is followed first by a second and longer continuation module ($P^{1.3}$, mm. 7–13) comprising a 6-bar buildup (*Steigerung*), and only later by an (authentic) cadential

[24] As noted in Figure 6, the coda presents two subrotations comprising the $P^{1.1}$ and $P^{1.2}$ modules in reverse order. There, the formal functionality of each module is quite different from that of the exposition. For example, the beginning of the $P^{1.2}$ module is perceived, due to its positioning at the beginning of the subrotation and tonic support (see. m. 108), much less as an *Auftakt* (before-the-beginning) than a temporal beginning proper. Similarly, the $P^{1.1}$ module, instead of functioning as an opening gesture (i.e., a temporal beginning), functions as a closing one (a temporal ending) to the preceding $P^{1.2}$.

progression ($P^{1.4}$, mm. 13–15). Following the authentic cadential articulation on the downbeat of m. 15, a 4-bar *Anhang* (sentential) both reinforces the P-theme's close and serves as the springboard for the ensuing TR (mm. 19–23), a dissolving restatement of the P-theme's *Anhang*.

Concurrent with Bruckner's departure from a more traditional formal rhetoric is his further exploration of the dramatic possibilities of delaying cadential fulfillment (see the discussion of cadential deviations in p. 124). Here, however, the dramatic potential of deviating from generic expectation is at the core of the work's large-scale form and dramatic trajectory. As noted in Figure 6, because the expositional $S^{1.2}$ module (mm. 38–46) is absent from the recapitulation, the recapitulatory S-space is shorter than that of the exposition. This shortening of the S-theme has tonal consequences for both the recapitulation and the movement as a whole: whereas in the exposition the V:IAC that closes the $S^{1.1}$ module is later superseded by the V:PAC EEC at the end of $S^{1.2}$ (m. 46), in the recapitulation the attainment of ESC is frustrated by the complete suppression of $S^{1.2}$. The task of attaining tonal completion is thus transferred to the coda, which, after two cycles through the subrotation $P^{1.2}/P^{1.1}$ (mm. 108–120) —neither of which succeed at producing a I:PAC—finally brings the movement's large-scale tonal structure to completion with an ECP to that cadence (mm. 120–123). Following the attainment of structural tonal closure, Bruckner rounds off the movement with an *Anhang* that brings about two further late touches of rhetorical resolution: first, a final presentation of the movement's opening gesture, this time, however, concluding not with a plagal motion but with authentic closure (mm. 123–125); and second, a 4-bar $Ton.^{Aus}$ with a horn solo

underscoring scale degree ^1.

Recapitulation (Failed) and Coda

- **Primary Theme** [mm. 69–83]: as in the exposition.
- ***Anhang* =>Transition** [mm. 83–92]**:** dissolving P-*Anhang*
    - Idea + repetition [mm. 83–85]
    - Pedal on vi and fragmentation [mm. 85–86]
    - Model/Sequence over a vi pedal [mm. 87–88]
    - I:DA at m. 90 followed by a MC effect at m. 91 and 2 bars of C-fill (7th's upward resolution: ^4–^#4–^5).
- **S-Theme** [mm. 93–108]: shortened (no $S^{1.2}$), I:IAC at m. 108 (failed sonata).
- **Coda** [mm. 108–123]: P-based
    - Two subrotations [mm. 108–114 and 114–120]: extended $P^{1.2}$ + $P^{1.1}$ (reverse modular order)
    - new cadential phrase (ECP) [mm. 120–123]: I:PAC at m. 123
    - *Anhang* [mm. 123–128]
        - Codetta ($P^{1.1}$ with authentic closure) [mm. 123–125]
        - 4-bar $Ton.^{Aus}$ (mm. 125–128)

Figure 6. WAB 99/II-1863Z: Recapitulation and Coda

3.2.3 Symphony in C minor, WAB 101/II-1866aZ & 1866bZ

After completing WAB 99, it took Bruckner over a year and a half to return to symphonic composition. In the meantime, he composed two choral works: the first *Zustand* of the Mass in D minor, WAB 26; and the *Germanenzug,* WAB 70, a cantata for brass ensemble, male-voice choir, and male solo quartet.

Bruckner began working on the Symphony in C minor, WAB 101, on January 1865. Over the years, he wrote many *Zustände* of this work, the last dating from 1893.[25] During the timeframe under consideration in this chapter, the composer worked out two *Zustände* of the slow movement: WAB 101/II-1866aZ and 1866bZ. He began working on

[25] On WAB 101, see Grandjean, "Konzeption des langsamen Satzes," 13–24; Howie, *Anton Bruckner,* 129–130 and 194–197; Harten, ed., *Anton Bruckner*, 412–414; and Steinbeck, "Von den 'Schularbeiten' bis zur Zweiten Sinfonie," 121–133.

WAB 101/II-1866aZ some time after May 25, 1865, the date on which he finished WAB 101's early Scherzo.[26] As suggested by Bruckner's dating on the upper-left corner of the autograph score's first page, by January 27, 1866 he was already working on the full score of the slow movement. In the meantime, he worked out a new Scherzo (finished on January 23) to replace the early one. At an unknown date, some time in February–March (or perhaps as late as early April), Bruckner proceeded to write a second *Zustand* of WAB 101/II (i.e., 1886bZ) before finishing 1866aZ—which was left hanging seven measures into the recapitulation's S-theme. On April 14, Bruckner completed the slow movement's newer *Zustand*.

When Bruckner moved to work on this second *Zustand,* two sheets belonging to the textual source of the earlier (incomplete) *Zustand* were recycled as part of one of the textual states (the autograph score) comprising the newer *Zustand*. Thus, reconstructing 1865aZ entails putting together a textual state from autograph pages that still today belong to two separate score manuscripts: Mus. Hs. 40.4000/5 (V-ÖN) and Mus. Hs. 40.4000/2 (V-ÖN). Folios 109r–118v in the former autograph score were numbered by Bruckner as sheets 3–7, and comprise mm. 41–154 of the movement (only strings and timpani in mm. 139–148, and just woodwinds in mm. 149–154). Folios 39r–42v in the

[26] At the time of completing the early Scherzo, Bruckner had already finished the first and last movements and was in Munich for the occasion of the première of Wagner's *Tristan und Isolde,* which was scheduled for May 15. The première had to be postponed, however, and Bruckner returned to Linz without hearing the work. However, during his stay in Munich he met Wagner, Anton Rubinstein, and Hans von Bülow. Bruckner showed the completed movements of WAB 101 to Rubinstein and von Bülow, who reacted favorably. In June, Bruckner returned to Munich and was finally able to hear *Tristan und Isolde* (see Howie, *Anton Bruckner,* 105–106) before embarking on the composition of the Adagio of WAB 101.

latter autograph score supply the missing sheets (i.e., 1–2), which contain mm. 1–40.[27]

Three textual states belong to WAB 101/II-1866bZ: the autograph score, Mus. Hs. 40.4000/2 (V-ÖN), fol. 39r–54v; and the score copy and set of orchestral parts prepared in 1866 at Bruckner's request by one of his copyists (Franz Schimatschek), Mus. Hs. 3190 (V-ÖN), fol. 37r–52v, and XIII 38029 (Vienna, Gesellschaft der Musikfreunde; henceforth V-GM) respectively. In 1877 (and, as suggested by Bruckner's dating on the Adagio on Schimatschek's score copy, also in 1884)[28] Bruckner made several changes to both the autograph score and its copy. The altered forms of these manuscripts indeed belong, along with a second score copy prepared ca. 1878 by Leopold Hofmeyr (Mus. Hs. 3192 [V-ÖN], fol. 38r–53v), to a *Zustand* other than 1866bZ.[29] Therefore, as far as

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[27] There is only one published edition of this *Zustand,* namely WAB 101/II-1866aZ[Grandjean]. See Wolfgang Grandjean, ed., *I. Symphonie C-Moll: 2. Satz Adagio (Ursprüngliche Fassun), 3. Satz Scherzo (Ältere Komposition)*, vol. 1/1 (addendum) of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1995), 1–39.

Mus. Hs. 40.000/2 contains revisions made by Bruckner in 1877. Thus, in order to come up with an informed guess on the original (i.e., 1866aZ) form of folios 39r–42v, Grandjean compares them (see ibid., 64–65) with two sources that I address in detail when dealing with the textual states comprising WAB 101/II-1866bZ: a score copy—which contains revisions dated 1877 and 1884—and a set of orchestral parts which apparently contains only additions dating from 1868 and/or before. An edition of Mus. Hs. 40.4000/5, fol. 109r–118v, was first published in 1935 by Robert Haas as part of the critical report accompanying his two editions of WAB 101 (Robert Haas, ed., *I. Symphonie C-Moll: Wiener und Linzer Fassung [Partituren und Entwürfe mit Bericht]*, vol. 1 *of Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* {NB: AGA} [Vienna: Musikwissenschaftlicher Verlag, 1935], 43*–50*).

[28] Interestingly enough, keyboard transcriptions of WAB 101 were played two times in 1884 as part of the *Internen Abenden* of the Wiener Akademischer Wagner-Verein: in mid–late January, Ferdinand Löwe played his own arrangement (two hands) of the Adagio; later, on December 22, Josef Schalk and Löwe played the latter's arrangement for two pianos of the whole symphony (see Andrea Harrandt, "Students and Friends as Prophets and Promoters: The Reception of Bruckner's Works in the Wiener Akademische Wagner-Verein," in *Perspectives on Anton Bruckner*, ed., Crawford Howie, Paul Hawkshaw, and Timothy Jackson [Aldershot: Ashgate, 2001], 319–320). It does not seem too far-fetched to speculate that the changes Bruckner made to the score copy in 1884 are related to these keyboard performances of the symphony.

[29] There are two editions of the 1877–1884 *Zustand* (the so called "revised Linz" version), namely WAB 101-1877/1884Z[Nowak] and [Haas]. See Leopold Nowak, ed*., I. Symphonie C-Moll: Linzer Fassung*, vol. 1/1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1953); and Robert Haas, ed., *I. Symphonie C-Moll: Wiener und Linzer*

the present form of the manuscripts comprising the textual source of WAB 101/II-1866bZ goes, the textual state found in the orchestral parts (which were used during WAB 101's première)[30] is the one closer to Bruckner's conception of the work by mid-1866.[31] Accordingly, the latter textual state constitutes the basis for my discussion of WAB 101/II-1866bZ.[32]

Fassung (Partituren und Entwürfe mit Bericht), vol. 1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* {NB: AGA} (Vienna: Musikwissenschaftlicher Verlag, 1935), Linzer Fassung: 3–122. Although both editors use the same textual sources (i.e., the textual states found in the altered forms of the autograph and its copy), their respective editions are slightly different: whereas Nowak adheres more strictly to the autograph score, Haas more thoroughly incorporates details from the manuscript copy (see Gault, *The New Bruckner*, 240 n97).

The score copy prepared by Leopold Hofmeyr ca. 1878 replicates the autograph's altered form in the first and second movements and the orchestral parts in the third and fourth movements.

[30] WAB 101—the first Bruckner Symphony ever played in a public concert—was premièred on May 9, 1868 at the Redoutensaal in Linz by the Linzer Theaterorchester under Bruckner himself. For a brief overview of the press's critical (mostly favorable) reaction to the première, see Howie, *Anton Bruckner*, 129–130 and 195–196.

[31] An unpublished edition by William Carragan based on the orchestral parts has been recorded twice: by Gerd Schaller and the Philharmonie Festiva (Profil CD PH 12022 [2011]); and Georg Tintner and the Royal Scottish National Orchestra (Naxos 8.554430 [1998]). The *Zustand* to which the orchestral parts belong is normally referred to as the "unrevised Linz" version.

[32] There are two further *Zustände* of WAB 101: 1891Z and 1893Z?. The textual source for the earlier of these *Zustände*—normally referred to as the "Vienna" version—comprises three textual states, namely the autograph score (Mus. Hs. 19473 [V-ÖN]), the score copy (HA-IV 24 [Vienna, Archiv der Wiener Philharmoniker; henceforth V-AVP]), and the orchestral parts (MV-IV 24a [V-AVP]) used during the first performance of this *Zustand* on December 13, 1891 at the Musikvereinssaal by the Vienna Philharmonic conducted by Hans Richter. There is one published edition based on this *Zustand*: WAB 101-1891Z[Brosche]. See Günter Brosche, ed., *I. Symphonie C-Moll: Wiener Fassung*, vol. 1/2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1980). Additionally, there are two extant sheets containing sketches (clarinet and bassoon only) and an incomplete full score draft (flute, oboe, clarinets, horn, cello, and double bass) of portions belonging to the Adagio's expositional and recapitulatory transitions in intermediate states leading to the 1891Z: Mus. Hs. 28239 (V-ÖN), fol. 1r and 2v; and Mus. Hs. 3176 (V-ÖN), fol. 1r–2v.

The latter *Zustand* (i.e., WAB 101-1893Z?) corresponds to the textual state found in the lost *Stichvorlage* used for the first published edition: WAB 101-1993Z?[Hynais]. See Cyrill Hynais, ed., *Erste Symphonie (C-Moll) für Grosses Orchester componirt von Anton Bruckner* (Vienna: Ludwig Doblinger, 1893) (plate number: D.1868). In the critical apparatus that accompanies Haas's edition of WAB 101 there is a full report on the differences between Hynais's edition and Bruckner's 1891 autograph score (see Haas, ed., *I. Symphonie C-Moll*, 5*–8*). In the same volume, i.e., the one containing Haas's edition of the so-called "revised Linz" version and his critical report, Haas also included an edition of WAB 101 of his own

Formal Experimentation, Phase 1: From WAB 111-II-1862Z to WAB 101/II-18866aZ

As shown in Example 2, WAB 101/II-1866aZ is the first of Bruckner's slow movements to display a fully developed Type 3 sonata form (with development). With this movement, Bruckner brought to completion what I refer to as his first phase of formal experimentation with slow-movement form. This phase encompasses a shift from the large and small ternary forms composed by Bruckner for his composition teacher (i.e., WAB 111/II-1862Z and WAB 97/I&II-1862Z) to the Type-3-sonata scheme of the present work. As shown in Figure 7, crucial to this shift is the mediating role of the hybrid form of WAB 99/II-1863Z, which combines the expositional and recapitulatory spaces of a sonata form with the interior theme of a large ternary form.

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authorship that conflates material from two different *Zustände:* WAB 101-1891Z+1893EZ[Haas]. See Haas, ed., *I. Symphonie C-Moll*, Wiener Fassung: 3–128.

Wolfgang Grandjean has also published a mixed-*Zustand* edition of WAB 101/II, namely WAB 101/II-1866aZ+1866bZ[Grandjean]. See Wolfgang Grandjean*,* ed., *I. Sinfonie, 2. Satz und Scherzo. Ergänzung von Wolfgang Grandjean § Aufführungspart der ursprünglichen Fassung* (Vienna: Doblinger Verlag, 1996). In order to come up with a performing version of the unfinished WAB 101/II-1866aZ, Grandjean bound folios 109r–118v and 119r–120v from Mus. Hs. 40.4000/5 (V-ÖN). Folios 119r–120v, however, correspond (with some adjustments) to mm. 152–end of Mus. Hs. 40.4000/2 (V-ÖN), fol. 53r–54v (i.e., the concluding bars of WAB 101/II-1866bZ); moreover, since the dating at the end of Mus. Hs. 40.4000/5 (V-ÖN), fol. 119r–120v is April 12, 1866 and the instrumentation involved is that of WAB 101/II-1866bZ and not 1866aZ, it is clear that they belong to the former *Zustand*.

Altogether, Grandjean's completion of the incomplete 1866aZ draws on material from textual sources from both 1866aZ and 1866bZ as follows: mm. 1–40, Mus. Hs. 40.000/2, fol. 39r–42v; mm. 41–147, Mus. Hs. 40.000/5, pp. 3–7; mm. 148–154, Mus. Hs 40.000/5, p. 7 + material from Mus. Hs. 40.000/2; mm. 155–159, material from Mus. Hs. 40.000/2; mm. 160–end, Mus. Hs. 40.000/5, folios 119r–120v. For his completion of the missing parts of bars 148–154 and the missing bars (mm. 155–159) before the beginning of Mus. H. 40.000/5 (V-ÖN), fol. 119r, Grandjean took material from both the exposition and the recapitulation of 1866bZ and mixed them. Especially troubling in Grandjean's completion are some unstylistic voice leadings and harmonic progressions that result from his editorial patching (see, e.g., the 6/4 chord in m. 154, which makes sense in 1866bZ but is completely inconsequential in Grandjean mixed *Zustand*).

WAB101/II-1866aZ+1866bZ[Grandjean] has been recorded by Ensemble Wien-Linz under Ricardo Luna (Preiser CD PR 91250 [2013]).

Exposition [mm. 1–49]		(Episode + RT) [mm. 50–67]	Development [mm. 68–119]	Recapitulation (unfinished) [mm. 119–…]	
First Part (P-TR) [mm. 1–30] II:TA MC	Second Part (S) [mm. 30–49] V:PAC EEC	3 4	Fully Rotational (P-S)	First Part (P-TR) [mm. 119–148] V:TA MC?	Second Part (S) [mm. 148–…] (incomplete)

Example 2. WAB 101/II-1866aZ: Form

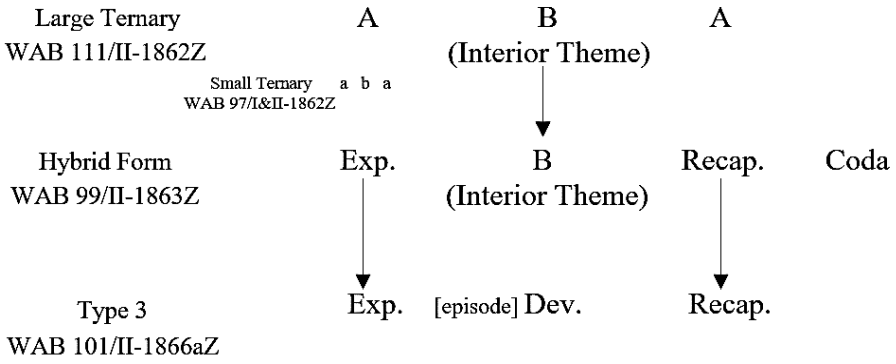

Figure 7. Phase 1 of Experimentation: WAB 111/II-1862Z → WAB 101/II-1866aZ

In WAB 101/II-1866aZ, though, there is a parenthetical insertion (set apart from the rest of the piece by a meter change, from 4/4 to 3/4) between the end of the exposition and the beginning of the developmental space proper. In retrospect, this insertion seems to be a vestige of the medial functions found in WAB 111/II and WAB 99/II (interior theme), and WAB 97/I&II (contrasting middle): Following the attainment of EEC on the downbeat of m. 47 and subsequent 3-bar Ton.^{Aus}, there is an 8-bar episode (mm. 52–59) framed by cadential ideas in vi, F minor (mm. 50–51 and mm. 60–61). This formal parenthesis is followed by a retransitional passage comprising a sequential repetition of the framing cadential idea (mm. 62–63) and a 4-bar passage built over a G-flat pedal (enharmonically spelled as F-sharp) that resolves to an E-flat major chord in m. 67. Arising locally as a deceptive resolution, this chord represents a return to the dominant from the end of the exposition (via an upper neighbor motion). (See Graph 3 in Appendix

II.)

Two further large-scale tonal features stand out in WAB 101/II-1866aZ. On the one hand, unlike the two-key exposition of WAB 99/II-1863Z, WAB 101/II-1866aZ articulates a three-key exposition: after the P-theme's cadential goal (I:HC, m. 20), the music locks onto a 4-bar standing on V, supporting the presentation of a 2-bar new idea and its sequential repetition (mm. 21–24). This dominant resolves deceptively to ^{b}VI but rapidly returns to ^5 in the bass (m. 25, fourth beat), now supporting not a root-position dominant but a first-inversion bIII chord. Followed by a Db7 chord (m. 28), this suggests a progression in G-flat major (^{b}VII: IV^{6}–V^{7}), before returning to the E-flat bass (m. 29, fourth beat), this time supporting a V$^{4/2}$ chord that resolves to a first-inversion B-flat-major triad (II:I^{6}, m. 30).

Retrospectively, the first-inversion triad on the fourth beat of m. 25 functions as a Neapolitan sixth in B-flat major (II:bII6), contrapuntally embellished by a lower neighbor—see Graph 4 in Appendix II. This B-flat tonic arrival (TA) in m. 30 sets up in turn the S-theme's launching in that key (m. 31), therefore functioning as the de facto MC effect (II:TA MC), closing off the de-energizing transition begun in m. 20. B-flat major (II) is short-lived, though; by the time the S-theme's compound antecedent achieves its cadential goal in m. 37 (V:HC), it has become an active dominant in E-flat major (V/V)—see Graph 5. Accordingly, the S-theme's compound consequent starts in the tonicized V (E-flat) and eventually attains the V:PAC EEC that both closes off the S-theme's periodic organization and rounds off the three-key tonal structure—see Graph 6.

The other large-scale tonal feature relates to the juncture between development

and recapitulation: Just as in WAB 99/II-1863Z the tonal space between the interrupted V (end of exposition) and the tonic relaunching (beginning of recapitulation) is bridged by a third divider (III), in WAB 101/II-1866aZ a major-mediant harmony fills the space between the end of the development (an interrupted structural V) and the recapitulatory tonic rebeginning. Following the end of the development proper,[33] a composed-out C-fill connects the end of the deep-middleground V prolongation (m. 103) with the recapitulation's rebeginning (m. 119). Midway through, the music lands on a III harmony (m. 113). As shown in Graph 7 in Appendix II, the overall tonal plan of WAB 101/II-1866aZ is an interrupted structure whose two branches are bridged by a third-divider.

Formal Experimentation, Phase 2: WAB 101/II-1866bZ

As shown in Example 3, the biggest difference between 1866aZ and 1866bZ is the latter's lack of developmental space; this change entails a shift from a Type 3 to a Type 1 sonata.[34]

Exposition (failed) + RT [mm. 1–115]			**Recapitulation [mm. 115–167]**		
First Part	Second Part		First Part	Second Part	Anhang
(P-TR)	$S^{1.1}$	$S^{1.2}$ + RT	(P-TR)	(S)	(Hex.^{Aus})
[mm. 1–30]	[mm. 30–43]	[mm. 44–115]	[mm. 115–141]	[mm. 141–158]	[mm. 158–167]
II:TA MC			V:TA MC	I:PAC ESC	

Example 3. WAB 101/II-1866bZ: Form

[33] The development consists of an Entry Zone (P-based), mm. 68–75; a Central Action Zone (part 1 [P-based], mm. 75–82; part 2 [S-based], mm. 82–93); an Exit Zone or RT (P-based, launching the third thematic rotation), mm. 94–103; and a Standing on V (P-based), mm. 103–109.

[34] On Type 1 sonata, see Hepokoski and Darcy, Elements of Sonata Theory, 345–350.

The exposition's second part in WAB 101/II-1866bZ is 66 measures longer (i.e., 3 times bigger) than that of WAB 101/II-1866aZ, though: as elaborated in Figure 8, following the abandoned cadential progression in mm. 41–43 is a newly composed ternary module ($S^{1.2}$) that both greatly expands the expositional space and delays the beginning of the recapitulation.[35] This ternary module's contrasting middle is constructed as a *thematic trope* resulting from the superposition of thematic material: $S^{1.1}$ with most of the episode from WAB 101/II-1866aZ. Consequently, and as shown in Figure 9, the vestiges of medial function in WAB 99 and 111 that found their way into WAB 101/II-1866aZ in the form of a post-EEC parenthetical insertion, appear in WAB 101/II-1866bZ too, but now as part of a larger S-theme space.[36]

Despite the excision of the development proper, WAB 101/II-1866bZ retains from the earlier *Zustand* (and WAB 99/II) the approach to the recapitulatory tonic from a major-mediant chord. As shown in Graph 8, this chord—though comparatively late in its arrival—serves to elaborate the bridge from the structural V (prolonged throughout the $S^{1.2}$ module) to the recapitulatory tonic.

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[35] Indeed, the whole of $S^{1.2}$ is in dialogue with a developmental space (or variants of it). However, even if the whole section is considered as a development or as an episode that substitutes for the expected development, it should be noted that, first, such a development would then emphasize a subordinate key (V) rather than an idiomatically developmental one; and second, there would be no independent developmental rotation. In this light, 1866bZ can be seen as participating in a gradual process of undermining the developmental space, a process that (as will be later shown) leads to the use of Type-1 mixed forms.

[36] In Chapter 4, I develop further the idea of temporal relocation and form-functional transformation of this medial-function vestige in WAB 101/II, and propose an expressive interpretation of it.

$S^{1.2}$ [mm. 44–96]: Expanded Small Ternary

- **Exposition (a)** [mm. 44–59]: compound period
  - Antecedent [mm. 44–51]: hybrid theme
    - c. b. i. [mm. 44–47]
    - Continuation [48–51]: DA at m. 51
  - Consequent [mm. 52–59]: hybrid theme
    - c. b. i [mm. 52–55]
    - Continuation [mm. 56–59]: PAC at m. 59
- **Expanded contrasting middle** (b) [mm. 60–76], theme-like unit + RT
  - Cadential idea [mm. 60–61]
  - c. b. i. [mm. 62–65]
    - b. i. [mm. 62–63)
    - c. i. [mm. 64–65]
  - Continuation [mm. 66–74]
    - Transposed restatement of the b. i. [mm. 66–67]
    - Sequential repetition [mm. 68–69]
    - Fragmentation and sequence [mm. 70–71]
    - Liquidation [mm. 72–74]
  - Restatement of cadential idea [mm 75–76]
  - Retransition [mm. 77–92]
- **Dissolving Reprise (a')** [mm. 93–115]: Reprise => Retransition
  - Dissolving antecedent [mm. 93–100]: dissolving hybrid theme
    - c. b. i. [mm. 93–96]
    - Dissolving continuation [mm. 97–100]
    - Retransition [mm. 93–115]

Figure 8. WAB 101/II-1866bZ: Exposition (Part 2)

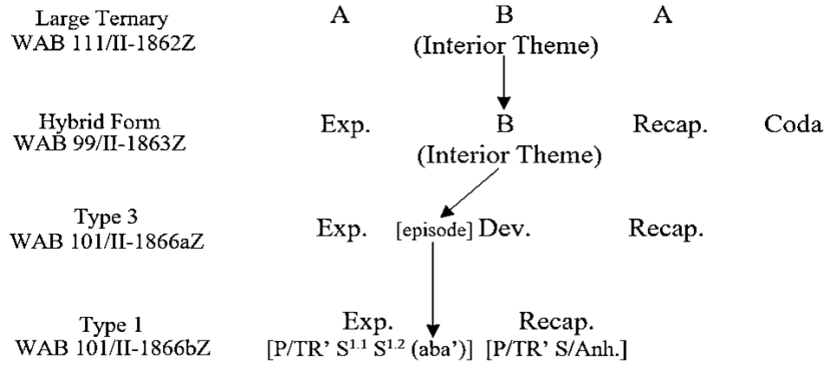

Figure 9. Phase 2 of Experimentation: WAB 111/II-1862Z → WAB 101/II-1866bZ

Finally, new to WAB 101/II-1866bZ is the use of a "failed-exposition/successful-recapitulation" sonata trajectory. As mentioned above, $S^{1.2}$ follows an abandoned cadential progression in mm. 41–43. The cadential goal that this progression fails to achieve represented the EEC in the earlier *Zustand* (see mm. 41–48 in WAB 101/II-1866aZ). Unable to attain EEC, the later securing of ESC becomes a much more pressing generic task in the movement's second *Zustand*. The effect of this is to enhance the dramatic drive of the movement as a whole and add momentum to the ultimate attainment of ESC in m. 158. As noted above (see page 27 n32), some time between April 12 and 14 1866, Bruckner replaced folios 119r–120v from Mus. Hs. 40.4000/5 (V-ÖN) with folios 53r–54v of Mus. Hs. 40.4000/2 (V-ÖN). The latter folios contain mm. 152–167 of WAB 101/II-1866bZ—i.e., from six measures before the ESC to the end. Although both textual states display the same instrumentation and overall form-functional disposition, Mus. Hs. 40.4000/2 (V-ÖN) further dramatizes the struggle to attain ESC, by adding an extra bar of dominant preparation, and replacing the ascending scales in the first violins with the sharper and much more angular effect of descending scales. Considering the differences between the two first *Zustände* in terms of overall sonata trajectory, it does not seem too far-fetched to assume that, whatever other factors might have been in play in Bruckner's decision to craft a second *Zustand*, matters of dramatic trajectory related to design and tonal structure were—as shown by his carefully staged delaying of formal closure—paramount to his compositional endeavors.

3.2.4 Formal Experimentation, Phase 3: WAB 100/II-1869bZ & 1869aZ

The third phase of Bruckner's experiments with slow-movement form relates to the *Andante* of WAB 100, the so-called *Annullierte Symphonie* or Symphony no. 0.[37] Two issues are central to the literature on and reception history of this work: its compositional dating and Bruckner's reason(s) for withdrawing the work from his numbered symphonies.[38] Regarding the dating issue, the discrepancies reside in whether the whole work was composed before or after 1866, that is, before or after the first two *Zustände* of WAB 101. Up until the early 1980s, most Bruckner scholars dated the composition of WAB 100 as far back as 1863–64.[39] The rationale was as follows: the dates in Bruckner's manuscript score suggest that Bruckner composed the "Nullte" Symphony between January 24 and September 12, 1869. August Göllerich (Bruckner's first biographer, close friend, and erstwhile student), however, claimed that the composer himself told him that the work was written in Linz. Since Bruckner moved from Linz to Vienna in October 1868 and lived there until his death, Göllerich (and later Max Auer, too) concluded that the extant manuscript score of WAB 100 corresponded to a *revised*

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[37] On WAB 100, see Leopold Nowak, *Symphonie D-Moll "Nullte" (Revisionsbericht),* vol. 11 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1981); Harten, ed., *Anton Bruckner*, 410–412; Howie, *Anton Bruckner,* 232–235; Paul Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony in D Minor," *19th Century Music* 6 (1982–83): 252–263; and Steinbeck, "Von den 'Schularbeiten' bis zur Zweiten Sinfonie," 133–140.

[38] As proved by manuscript evidence (see, e.g., the first movement's opening page in both the work's manuscript score and its copy), the composer first thought of WAB 100 as his Second Symphony. Later on (ca. 1873), however, Bruckner decided to reject the work and eventually (ca. 1895) replaced number 2 on the manuscripts with a ø sign (cf. pp. 147, below).

[39] See, e.g., Leopold Nowak, *Symphonie D-Moll "Nullte"* (Revisionsbericht*)*, vol. 11 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1981), 11–14.

version of the work, and that an earlier version dating from Bruckner's time in Linz must have existed.[40]

Three letters seemed to support Göllerich's hypothesis, and were accordingly invoked by its supporters as evidence; in the latest of these, from Bruckner on July 13, 1869 (the day after the earliest date written by Bruckner in the extant manuscript score of the *Andante*), the composer informs Moritz von Mayfeld of the newer form of the slow movement: "You will be amazed at how I have followed you in the Andante. The entire middle section is new."[41] Four years earlier (January 21, 1865), Bruckner had asked his friend Rudolf Weinwurm to return the score of a symphony of his: "if you have already looked at the score of my symphony, would you be so kind as to send it to me."[42] In another letter of eight days later (January 29), Bruckner told Weinwurm about his current composition plans: "I am working, at the moment, on a C-minor Symphony (nr. 2)."[43] According to Göllerich and Auer's hypothesis, since the Symphony in C minor referred to as "nr. 2" is clearly WAB 101, and Bruckner supposedly never considered WAB 99 good enough to merit a number, there must then have been an earlier Symphony "no. 1" (most likely the one mentioned in the letter of January 21) that Bruckner later had second

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[40] See Göllerich and Auer, *Anton Bruckner*, III/1: 225–228, and Max Auer, *Anton Bruckner: Sein Leben und Werk*, rev. ed. (Vienna: Musikwissenschaftlicher Verlag, 1934), 93.

[41] "Werden staunen, wie ich Ihnen im Andante gefolgt habe. Der ganze Mittelsatz ist neu" (translation by Paul Hawkshaw; see Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony," 261). For Bruckner's original letter, see Harrandt, ed., *Anton Bruckner: Brief I*, 110.

[42] "Wenn Du die Partitur von meiner Symphonie schon angesehen hast, so sei so gut und schicke sie mir" (translation by Paul Hawkshaw; see Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony," 253). For Bruckner's original letter, see Harrandt, ed., Anton Bruckner: Brief I, 49–50.

[43] "Ich arbeite gerade an einer c-Moll-Symphonie (Nr. 2)" (translation mine). For Bruckner's original letter, see Harrandt, ed., *Anton Bruckner: Briefe* I, 50–51.

thoughts about—at which point WAB 101 became the "real" no. 1. The perfect candidate for this missing symphony was, according to Auer and Göllerich, WAB 100. Their hypothesis was further reinforced by the later letter from 1869, in which Bruckner hinted at the existence of an earlier *Zustand* of WAB 100. Therefore, Göllerich infers, the composition of WAB 100 would date from 1863–64, and would thus precede WAB 101.

In a 1983 article, Paul Hawkshaw put this hypothesis to the test, concluding that, *pace* Göllerich, WAB 100 was in fact composed not in 1863 but 1869. As Hawkshaw was able to prove through detailed investigation of the work's primary sources and Bruckner's compositional methods, "of the entire symphony contained in this manuscript [i.e., the authorial manuscript score], only the Scherzo section of the third movement cannot be demonstrated with any degree of certainty to have been composed in 1869."[44] Moreover, "the letter to Weinwurm (January 21, 1865) could just as well have referred to the F-minor Symphony (WAB 99)." Furthermore, "Bruckner's statement that the work was written in Linz is, to a point, true, even without an 1863–64 version, because the autograph manuscript was completed in Linz on 12 September 1869 . . . during Bruckner's vacation in the summer of that year."[45] If Hawkshaw is correct—and we have no reason to believe otherwise—then Bruckner's letter from January 29 1865 would only prove that, at least when he began work on WAB 101, his judgment of WAB 99 was positive enough to consider the work his real first symphony. This would be consistent with his attempt in late 1863 to have the work performed by the Bayerisches

[44] Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony," 260.

[45] Ibid., 261.

Staatsorchester (see footnote 21 above).

Regarding the slow movement specifically, Bruckner's letter of 1869 clearly implies that an earlier *Zustand* of it did exist, with an entirely different middle section from the one we know today.[46] It is hard to tell at what point—between finishing WAB 101 (1866) and starting work on the second *Zustand* of WAB 100/II (early July 1869)—Bruckner conceived the early (now lost) *Zustand*. Since Bruckner spent most of his time between late 1866 and late 1868 working on WAB 27 and 28 (the Masses in E minor and F minor), including a three-month convalescence at the spa in Bad Kreuzen and making arrangements for moving to Vienna, it is most likely that he worked on the first *Zustand* of WAB 100/II during the early part of 1869. If so, it was perhaps during Bruckner's stay in Linz for Easter that year that Mayfeld became acquainted with the movement's early *Zustand* (WAB 100/II-1869aZ?), probably from Bruckner's playing it on the piano, as was his custom.

Unlike the first *Zustand,* for which no textual source survives, the Andante's second *Zustand* (WAB 100/II-1869bZ) comprises three extant textual states: 1) the manuscript score, Mus. HS 517 (Linz, Oberösterreichisches Landesmuseum; henceforth,

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[46]Following Bruckner's statement on the form of the Andante in his 1869 letter to Mayfeld, we may fairly assume that the early *Zustand* corresponded to the Type 3 sonata of the second *Zustand* (but with a different developmental space) for two reasons: First, "Mittelsatz" (middle section) was the term used by Bruckner to refer to the formal space between exposition and recapitulation (see. e.g., pp. 150 and 153 in Mus. Hs. 44706 [V-ÖN], the so called Kitzler-Studienbuch). And second, as I will discuss in detail later, this is the form displayed by the extant *Zustand* of WAB 100.

The question remains open, though, as to whether the music filling out this space was a development proper (as in WAB 101/II-1866aZ) or some kind of substitute for it (as in WAB 99/II-1863Z). If the latter were the case, however, Bruckner would probably have used a term other than "*Mittelsatz*" ("trio"—as in Mus. Hs. 44706 [V-ÖN], p. 178) to refer to this section's function in the early *Zustand.* All things considered, it seems likely that, even in its early *Zustand*, WAB 100/II was structured as a Type 3 sonata with development proper.

L-OL), fol. 40r–52r; 2) a score copy with authorial corrections, Mus. Hs. 3189 (V-ÖN), fol. 36r–47v, prepared some time between September 12, 1869 and March 1870 by an unknown copyist (who also prepared the copies of WAB 97 and 98); and 3) the orchestral parts prepared by Franz Schimatschek in March 1870, XIII 45468 (V-GM).[47]

As noted by Leopold Nowak, the large number of corrections and additions made in the parts by (unknown) other hands suggests that the work was played at least once during Bruckner's lifetime.[48] There is, however, no record of this. Any orchestral performance is therefore more likely to have been a private run-through.

It is quite possible that WAB 100 was played at one of the Vienna Philharmonic's *Novitäts-Proben* (run-throughs of new works), conducted by the city's *Hofkapellmeister* Otto Dessoff during the 1870s.[49] This would probably have taken place between March 1870 (when the parts were prepared by Schimatschek) and late 1872–early 1873 (when Bruckner finished WAB 102 and began work on WAB 103): As previously mentioned, Bruckner originally designated WAB 100 as his Symphony no. 2. Accordingly, upon completion of his "official" Second Symphony (WAB 102) in fall 1872, he originally

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[47] There are two editions of this *Zustand*, WAB 100/II-1869bZ[Nowak] and [Wöss]. See Leopold Nowak, ed., *Symphonie D-Moll "Nullte"*, vol. 11 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1968); and Josef Venantius Wöss, ed., *Symphonie D-Moll (Nachgelassenes Werk) für Grosses Orchester von Anton Bruckner* (Vienna: Universal Edition, 1924) (plate number: U.E. 9703). Nowak's edition is based on the autograph score, but includes, in parentheses, dynamic and phrasing indications drawn from Schimatschek's score copy and orchestral parts. Wöss' edition is also based on the autograph score and, like Nowak's edition, includes a good number of performance suggestions in parentheses; as acknowledged by the editor, these do not originate in the manuscript's sources. On the differences between the manuscript score, its copy, and the orchestral parts, see Nowak, ed., *Symphonie D-Moll "Nullte" (Revisionsbericht)*, 52–55 and 57–62.

[48] Ibid., 56.

[49] See Dermot Gault, *The New Bruckner*, 39.

labeled it "Symphony 3." His next symphony (WAB 103), however, is not known to have ever been designated anything other than no. 3. This suggests that Bruckner withdrew WAB 100 from his numbered symphonies some time before or during the composition of that work (October 1872–December 23, 1873).[50] Having thus withdrawn WAB 100, it is very unlikely that he would have retained any interest in having it played. Therefore, if the hypothetical run-through under Dessoff ever happened, it surely pre-dated the completion of WAB 103.[51]

Ever since Göllerich and Auer's Bruckner biography, it has been commonly assumed that a major factor in Bruckner's decision to nullify WAB 100 was Dessoff's criticism of the first movement's formal/thematic layout, specifically the supposed lack of a main theme.[52] Nonetheless, as Hawkshaw states, "it is difficult to imagine that one man's criticism was the only reason he rejected a work that he had taken almost a year to compose."[53] There were indeed more important reasons behind Bruckner's nullifying of WAB 100 than Dessoff's negative reaction: for example, the perception on Bruckner's part of excessive similarity to WAB 103[54] (I will return to this idea later in the chapter, in

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[50] See Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony in D Minor," 261 and 263. As suggested by Hawkshaw, the crossing out of number 2 in the manuscript sources of WAB 100, and its replacement by a ø sign, most likely occurred much later: in mid-1895, when the work once again came under Bruckner's scrutiny, and "reluctant to destroy it, yet hoping, perhaps, to ensure that future generations would assess the symphony in what he considered its proper perspective, he wrote annotations at various places in the manuscript." (Ibid., 252)

[51] WAB 100 was played in its entirety for the first time in a public concert on October 12, 1924 by the Klosterneuburg Philharmonie under Franz Moiβl. A little less than five months before, on May 17, 1924 the same orchestra and conductor had played the last two movements.

[52] "Ja, wo ist denn das Thema?" (See Göllerich and Auer, *Anton Bruckner*, III/1: 228.)

[53] Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony in D Minor," 263.

[54] Ibid., 262–263. See also Howie, *Anton Bruckner,* 234–235.

connection with WAB 103/II-1873Z). Moreover, Göllerich and Auer's argument should be understood within the sociopolitical environment of the (now suspect) Bruckner scholarship from the first half of the 20th century, which, as explained in section 1.2.1 above, sought to portray Bruckner as a helpless, insecure, and easily malleable man, whose creative actions were easily influenced by the judgments (however well-intentioned) of those who surrounded him—a picture of the composer that, on closer inspection, does not comport with the historical evidence.

Rotation 1			Rotation 2				
Exposition [mm. 1–57]			**Development [mm. 57–99]**				
First Part (P-TR) [mm. 1–26] v:HC MC	Second Part (S) [mm. 27–50] V:IAC	Second Part (S^C) [mm. 50–57] V:PAC EEC	Linking Zone (S^C) [57–64]	Fully rotational Central Action Zone Part 1 (S^C+P) [64–74]	Central Action Zone Part 2 (S^C+P) [74–83]	Exit Zone RT (S) [84–94]	Exit Zone $V^{\|}$ [94–99]

Rotation 3			Rotation 4 (half)		
Recapitulation (failed) [mm. 100 – 135]			**Coda [mm. 135–160]**		
First Part (P-TR) [mm. 100–114] I:IAC MC	Second Part (S) [mm. 114–135] ii:HC (no ESC)		S-based module 1 [mm. 135–141] vi:Plag. Cad.	S-based module 2 [mm. 142–156] $V^{\|}$	P' consequent [mm. 157–160] I:PAC

Example 4. WAB 100/II-1869bZ: Form

As mentioned above (see fn 46, above), WAB 100/II-1869bZ displays a Type-3-sonata plan (for details, see Example 4). Among Bruckner's experiments in slow-movement form, then, WAB 100 initiates, so to speak, a bifurcation: On the one hand, as shown on the left side of Figure 10, phase 2 (WAB 101/II-1866bZ) featured the excision of a large action space (the development). Phase 3, on the other hand (see Figure 10, right side), entailed a process of formal enlargement through the *addition* of formal spaces: the

coda from WAB 99/II-1863Z—the mediating form in phase 1—is added to the Type-3-sonata scheme attained in WAB 101/II-1866aZ (the end of phase 1). The resultant hybrid is the formal pattern deployed in WAB 100/II-1869bZ.

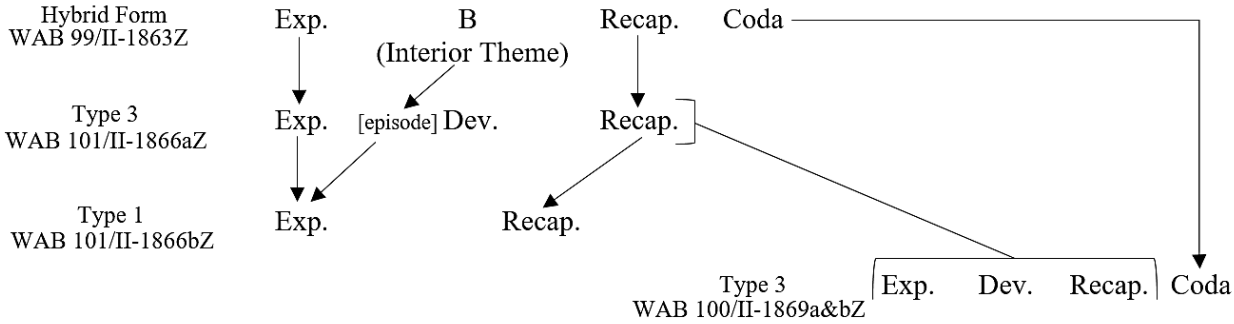

Figure 10. Phase 3 of Experimentation: WAB 99/II-1863Z → WAB 100/II-1869bZ

Establishing continuity between WAB 99/II-1863Z and WAB 100/II-1869bZ through their common incorporation of a coda space might seem a little far-fetched at first sight. Both movements, however, dramatize their sonata trajectories in strikingly similar ways. As elaborated above (see page 130), the articulation of a successful exposition in WAB 99/II-1863Z is followed by a recapitulation that fails—due to the suppression of a large portion of the S-theme—to attain ESC. Similarly, as shown in Example 4, the cadential articulations that close off the exposition and recapitulation of WAB 100/II-1869bZ delineate more or less the same dramatic trajectory: a successful exposition followed by a failed recapitulation comprising a shortened S-theme space. Moreover, in both WAB 99/II-1863Z and WAB 100/II-1869bZ, the recapitulation's failure to accomplish tonal generic closure within the sonata-space boundaries results in the transferring of the burden of resolution to the coda *qua* para-generic space. In WAB 99/II-1863Z, after the I:IAC that articulates the end of the recapitulation, it is the task of

the coda to resolve the movement's unfinished business (attaining tonal grounding and rhetorical closure). This task, as discussed in section 3.2.2 above, is accepted and accomplished by the coda, which manages both to bring about a I:PAC (m. 123) to secure tonic grounding, and to transform the plagal closure of the movement's opening module (mm. 1–3) into an authentic conclusion (mm. 123–125).

In WAB 100/II-1869bZ, the end of the recapitulation is articulated by a ii:HC (m. 135), a gesture much more dramatic than that of WAB 99/II-1863Z: On the one hand, the cadence, both off-tonic and open-ended, conveys a much looser effect than the I:IAC found there; on the other, it recalls the half-cadential articulations of the P-theme (see especially the ii:HC in m. 16). All things considered, the cadence at m. 135 plays a twofold role in the movement's formal drama: it marks the moment of recapitulatory failure and foreshadows, as a premonitory gesture, the coda's revisiting of questions left open in the preceding sonata space.

With the attainment of this cadence, it falls to the coda to either seal the movement's fate or overturn it: The coda begins with two phrases ending on further arrivals on a VI harmony (mm. 139, 141). The second one restores the diatonic VI (G minor), thus re-routing the coda into the home-key track. After digressions (contrapuntal stretto, m. 142; violin declamations, m. 147) the coda finally arrives at the home-key dominant in m. 150, sustained for six measures before falling into silence, finally broken by the calm and distant recollection of the opening bars (now as a consequent phrase), which finally produces the movement's long-awaited I:PAC.

Although this consequent phrase does have the effect of an answer (fulfillment) to

the question (expectancy) raised by the movement's opening antecedent (mm. 1–4), its I:PAC nevertheless seems insufficient to reverse (from outside the sonata space) the movement's tragic fate. As Dermot Gault writes, "the closing phrase, adapted from the opening, is an 'amen', not a resolution."[55] When the dominant is finally attained at m. 150, the music sounds exhausted by the effort. Incapable of tonic resolution, it slowly decays into silence. In this context, the return of the opening bars has the effect less of a goal attained than of a peaceful contemplation of a realm that lies inexorably beyond reach. Expressively, the message conveyed seems to be that even in the face of ultimate collapse there is hope; but a hope beyond the present, perhaps in a world yet to come that, for the moment, is but an illusion.[56]

3.2.5 Formal Experimentation, Phases 4 and 5: Symphony in C-minor WAB 102

Between 1985 and 1991, William Carragan carried out extensive research on the manuscript sources of Bruckner's Second Symphony (WAB 102),[57] the result of which was two edited volumes for the NGA.[58] With these two volumes, Carragan aimed to supersede both the two previous scholarly editions of WAB 102 (Haas and Nowak, for

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[55] Gault, *The New Bruckner,* 40.

[56] As I will develop further in chapter 4, this interpretation resonates in the failing trajectory of WAB 103/II and its expressive outcome, and in that way, it substantiates the dramatic/formal connection that I stablish between WAB 100/II and WAB 103/II in section 3.2.6, below.

[57] See Carragan, "Some Notes on Editing Bruckner's Second Symphony," 27.

[58] William Carragan, ed., *II. Symphonie C-moll: Fassung von 1872*, vol. 2/1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 2005), and *II. Symphonie C-moll: Fassung von 1877*, vol. 2/2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 2007).

the AGA and NGA respectively)[59] and the work's first published edition (1892 by Cyrill Hynais under Bruckner's supervision).[60] Since—despite multiple references during the last 20 years as to its forthcoming publication[61]—no critical report (*Revisionsbericht*) for the Carragan editions has yet been published, many questions related to both the compositional development of WAB 102 and Carragan's editorial decisions remain unanswered.

In this section, I address the development of the slow movement of WAB 102 between 1872 and 1873, a period that spans the realization of this movement's first three *Zustände*. As in previous sections of this chapter, I will touch on both formal and text-critical matters, and summarize the information found in various written sources.[62] Given this movement's exceptionally involved compositional evolution, a more detailed treatment is warranted here. The following discussion is also intended both to shed light on certain lacunae in Carragan's work, and to highlight controversial issues surrounding the texts of his published editions.[63]

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[59] Leopold Nowak, ed., *II. Symphonie C-moll: Fassung von 1877,* vol. 2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1965); and Robert Haas, ed., *II. Symphonie C-moll: Originalfassung (Partitur und Bericht)*, vol. 2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Leipzig: Musikwissenschaftlicher Verlag, 1938).

[60] Cyrill Hynais, ed., *Zweite Symphonie (C-Moll) für Grosses Orchester componirt von Anton Bruckner* (Vienna: Ludwig Doblinger, 1892) (plate number: D.1769).

[61] See, e.g., Carragan, "The Early Version of the Second Symphony," 89 n4 and 90 n11.

[62] See Harten, ed., *Anton Bruckner*, 414–416; Howie, *Anton Bruckner*, 263–272; Carragan, "Some Notes on Editing Bruckner's Second Symphony," 27–30, and "The Early Version of the Second Symphony," 69–92; Haas, ed., *II. Symphonie C-moll: Originalfassung (Partitur und Bericht)*, 1*–66*; Cohrs, "Anton Bruckner's Second Symphony," 1–14; and the *Anton Bruckner Chronologie Datenbank,* available on the website of the Anton Bruckner Institute Linz (http://www.abil.at).

[63] NB: The discussion in this section is limited to sources for the slow movement.

WAB 102/III-1872aZ: The First "First Concept Version"

The first *Zustand* of the slow movement of Bruckner's Second Symphony (WAB 102/III-1872aZ) comprises three extant textual states: Bruckner's manuscript score, Mus. Hs. 19.474 (V-ÖN), fol. 37r–48v and 55r–56v (i.e., bifolios 1–6 and 10); a score copy, Mus. Hs. 6035 (V-ÖN), fol. 57r–69v; and a set of orchestral parts, Bruckner-Archiv 19-14 (St. Florian, Stift St. Florian; henceforth SF-SSF).[64]

According to the dates written on the first and last pages of the manuscript score, Bruckner drafted WAB 102/III-1872aZ on July 18th and 19th 1872, and by the 25th he had already completed the orchestration. According to Carragan's publications up to 2007, during his research on WAB 102 in the 1980s, he did not come across any evidence of a composition score that predated Mus. Hs. 19.474 (V-ÖN).[65] Nevertheless, as Benjamin-Gunnar Cohrs points out, "it looks as if some fundamental insight came to him [i.e., Carragan] only after finishing his editorial work."[66] In a 2009 article, Carragan advances the unexpected hypothesis that "19.474 could not have been the score from which these parts were copied; there must at one time have been an earlier composition score from which these parts were copied."[67] His rationale for this new conclusion is that,

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[64] The extant set includes 35 individual parts: Flute, Oboe, Clarinet (B flat), and Bassoon 1 and 2; Horns 1–4 (1 and 2 in F, 3 and 4 in E flat); Trumpets 1 and 2 in C; 3 Trombones (alto, tenor, and bass); and Violin 1, Violin 2 (4 copies), Viola (4 copies), Cello (5 copies), and Double Bass (4 copies).

[65] For example, throughout his 2001 article ("The Early Version of the Second Symphony") and in the forewords to his 2005 and 2007 editions of WAB 102, Carragan systematically refers to Bruckner's manuscript score (Mus. Hs. 19.474) as "the composition score" (see, e.g., Carragan 2001, 70, table 3.1; and Carragan 2005, xi). In the article, he goes on to state that "there is evidence in Bruckner's working score, Mus. Hs. 19.474, that it is here and there a filled-out orchestral sketch" (72).

[66] Cohrs, "Anton Bruckner's Second Symphony," 3.

[67] Carragan, "Some Notes on Editing Bruckner's Second Symphony," 27.

in Bruckner-Archiv 19-14 (SF-SSF), the first movement's trumpet parts differ significantly from all other extant sources, and thus, he argues, the orchestral parts would seem to have been copied from a now-lost earlier source.[68]

Why did Carragan choose to publish this information only after the appearance of his 2007 edition? Following his 2001 statement that "there is abundant evidence in the first three movements that the copy score [Mus. Hs. 6035 (V-ÖN)] . . ., not the holograph [Mus. Hs. 19.474 (V-ÖN)], was used as the basis for the parts,"[69] one is tempted to think that—as Cohrs suggests—he realized only later that his initial conclusion was in error. This is inconsistent, however, with his 2009 statement that one of the "great revelations" of his research on WAB 102 was the "discovery [he] made on *December 20, 1991* . . . about the trumpet parts very near the end of the first movement."[70] This contradiction aside, Carragan's 2009 argument merits consideration: it does seem reasonable to speculate that an early composition score might once have existed. But there are other possibilities: For example, since we know that Bruckner was working closely with the copyist who prepared the orchestral parts, he might have personally communicated the change to him without any need for a mediating manuscript. Therefore, contrary to Carragan's statement that "it is only possible that the parts . . . were copied from some

[68] See the first movement, m. 580 in Carragan's 2005 edition, which follows the orchestral parts, and compare it with, e.g., m. 566 in Haas's 1938 edition, in which the same measure is shown as it stands in all manuscript sources other than the orchestral parts. See Carragan, "Some Notes on Editing Bruckner's Second Symphony," 29–30.

[69] Carragan, "The Early Version of the Second Symphony," 73.

[70] Carragan, "Some Notes on Editing Bruckner's Second Symphony," 30 (emphasis added).

other source than 19474,"[71] other scenarios are possible.

Shortly after the extant manuscript score of WAB 102/III-1872aZ was finished, a copyist named Tenschert began to prepare, at Bruckner's request, the score copy (Mus. Hs. 6035 [V-ÖN]). In the surviving form of this document, Tenschert's handwriting stops at m. 147, after which another copyist (Carda) takes over. Since most of the textual state in Carda's hand (i.e., from m. 148 onwards) corresponds to a textual reading different from that of WAB 102/III-1872aZ, we cannot be sure whether Tenschert copied WAB 102/III-1872aZ only up to m.149 or continued until the end of the movement.[72] If he did, the missing pages after m. 147 would most likely have been discarded by Carda when transcribing the movement's second *Zustand* into the manuscript copy.

When exactly the Tenschert copy was prepared is unknown. However, if, as Carragan writes, when Bruckner traveled to Upper Austria between August 4 and 10 he "took a partially finished copy score, which had been prepared by . . . Tenschert,"[73] then the copy was prepared after July 25 and before August 10. It is worth noting that, since Bruckner finished the last movement of WAB 102 in Linz on September 11, the Tenschert copy must have consisted of only the first three movements.

According to Carragan, all but one orchestral part (Archiv 19-14 [SF-SSF]) were prepared by Carda.[74] As in the case of the Tenschert score copy (Mus. Hs. 6035 [V-ÖN]),

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[71] Ibid., 30.

[72] To be sure, in the surviving form of Mus. Hs. 6035 (V-ÖN) Tenschert's handwriting does stop at m. 147. However, since the recapitulation ends at m. 149, and m. 147 falls at the end of a folio (69v), it seems fair to assume that Tenschert copied the movement at least up to m. 149.

[73] Carragan, "The Early Version of the Second Symphony," 72.

the parts were first written down up to m. 149, and included only the first three movements. Notably, and as proved by these orchestral parts, the first three movements were initially conceived by Bruckner in the order Allegro-Scherzo-Adagio.[75] It was not until the textual states belonging to the second *Zustand* were entered in both the parts and the score copy that the second and third movements switched places.

As mentioned previously, Carragan's contradictory statements leave unresolved the question of what manuscript source was used for the preparation of the orchestral parts. On the one hand, Carragan has indicated that his critical report on WAB 102 will contain "abundant evidence" to support his claim that the Tenschert copy was used as the basis for the orchestral parts' first three movements.[76] On the other, he later claimed that Carda's parts are based on a now-lost composition score.[77] This contradiction leaves the dating of the orchestral parts open: If they were indeed copied from the Tenschert score, then Carda began to work on them only after that score was ready, i.e., after August 10 (or shortly before). Yet, if a now-lost composition score was the basis of both Mus. Hs. 19.474 (V-ÖN) and the orchestral parts, then the latter could have been copied around the same time as the Tenschert copy (i.e., sometime between July 25 and August 10). Nevertheless, even if Carragan were correct about the existence of an earlier composition

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[74] Ibid., 73. NB: Carragan's article does not provide information as to what orchestral part or section of it was not prepared by Carda.

[75] See, e.g., Horn 1, folio 473r, where the last eight measures of the Trio (crossed out by the copyist) are still visible before the beginning of the Adagio; and Flute 1, folio 397v, and Trumpet 2, folio 518v, where the word "Scherzo" is written just after the end of the first movement.

[76] See Carragan, "The Early Version of the Second Symphony," 73 and 90 n11.

[77] Carragan, "Some Notes on Editing Bruckner's Second Symphony," 30.

score, the earlier dating is unlikely since Carda appeared to have been working on WAB 102 with Bruckner in Upper Austria (after August 10), and not in Vienna.[78]

To summarize, the early portion of the chronology of WAB 102's textual sources is still unclear. The publication of a critical report by Carragan might still offer some clarity, though: As noted above (see pp. 155–156), his 2009 claim that an earlier composition score existed does not rest on conclusive evidence. Thus, if his earlier (2001) claim were true, and there was indeed abundant evidence to link Tenschert's copy with the orchestral parts, this would in essence weaken the case for the existence of an earlier (and now-lost) composition score. The chronology would then be straightforward: between July 18 and 25, preparation of Mus. Hs. 19.474 (V-ÖN), fol. 37r–48v and 55r–56v by Bruckner; after July 25 and before August 10, preparation of Mus. Hs. 6035 (V-ÖN), fol. 57r–69v by Tenschert; finally, after August 10 (or shortly before, but certainly no earlier than August 4), preparation of Bruckner-Archiv 19-14 (SF-SSF) by Carda.

In any case, one thing is clear: before Carda undertook the completion of the Tenschert copy and the orchestral parts (i.e., from m. 147 onwards) Bruckner had already worked out a complete *Zustand* of the slow movement. That *Zustand* is the one I refer to as WAB 102/III-1872aZ, a state that is easy to reconstruct from written indications in the composition score: Following the last measure of bifolio 6 (i.e., the end of folio 48v)

[78] It is not impossible, however, that Carda worked out the parts in Vienna and then traveled with Bruckner to Linz, where he later completed the Tenschert score copy. In fact, Carragan himself advances conclusions that would be consistent with this possibility when discussing, elsewhere, Carda's involvement with a manuscript of WAB 103: "Although 6033 [i.e., the manuscript score of the first *Zustand* of WAB 103] bears no signature, location, or date, it suggests that Carda was living in Vienna by then [i.e., 1873]. Perhaps he had always lived there and only happened to be in Linz in the late summer and early fall of 1872 in order to be with Bruckner" (Carragan, "The Early Version of the Second Symphony," 83).

there is a mark in the score ("*Bogen 10")* indicating a jump to the beginning of bifolio 10 (i.e., folio 55r); before the changes and additions leading to the movement's next *Zustand,* this bifolio was numbered 7, not 10 (a change still discernable in the manuscript). If the folios in between (i.e. folios 49r–54v) are omitted and the music in bifolio 6—including the 5 bars crossed out in folio 48v—is followed immediately by that in bifolio 10 (as indicated by the marks in the score), the result is just what Bruckner first conceived as the slow movement of WAB 102.[79]

As of today, an edition of WAB 102/III-1872aZ has not yet been published, or (to the best of my knowledge) performed. Due to the text-critical criteria that were determinative in the preparation of the edited volumes of both the AGA and NGA (see section 2.1.1), WAB 102/III-1872aZ has been relegated to a place of lesser significance than that of the movement's subsequent *Zustände*. In Nowak's preface to his edited volume of WAB 102, for example, there is no mention of this earlier, fully distinct and complete, state of the movement. In his comprehensive critical report Haas does address in detail WAB 102/III-1872aZ, but in the context of a section entitled "*Vorabeiten zur 1. Fassung*" (Preliminary Work to the First Version).[80] Similarly, Carragan considers WAB 102/III-1872aZ to be an early variant en route to the movement's next *Zustand,* which he

[79] During subsequent transformations of the movement's original shape, Bruckner erased several passages and replaced them with newer music. He made these changes by superficially scratching out the old notes. Fortunately, it is still possible today (with some patience) to read the erased music. In folios 55r–55v, e.g., it is relatively easy to follow the oboe part (mm. 156–162) that Bruckner first conceived for the movement's coda. In the critical report of Haas' edition of WAB 102, the editor includes transcriptions of all the erased passages (see Haas, ed*., II. Symphonie C-Moll: Originalfassung (Partitur und Bericht)*, 59*–61*.

[80] Ibid., 58*–63*.

refers to as the actual "first-concept version,"[81] and which he uses as the basis of his first edited volume for the NGA.

Given the manuscript evidence, though, there is no doubt that Bruckner's first conception of WAB 102's slow movement (as a fully worked out movement, from beginning to end) corresponds to the textual state that I identify as WAB 102/III-1872aZ. On these grounds alone, this *Zustand*—the "first 'first-concept version,'" so to speak—should be rescued from its undeserved oblivion, and take its place among the movement's other *Zustände.* Adding to this *Zustand*'s significance is its formal layout, which plays a pivotal role in helping us interpret the development of Bruckner's slow-movement forms.

As shown in Figure 11, in the context of Bruckner's experiments with slow-movement form I construe that deployed in WAB 102/III-1872aZ as resulting from a mixture of formal features drawn from the two preceding slow movements: a subsuming, within the Type 1 scheme of WAB 101/II-1866bZ, of a telescoped version of the developmental-space function found in WAB 100-1869bZ. Alternatively, as shown by the dotted line in Figure 4, one could also construe the form attained in phase 4 to result from a merging of the two *Zustände* of WAB 101/II discussed above. In either event, the resulting form corresponds to Hepokoski and Darcy's expanded Type 1: a sonata form without a developmental rotation between the exposition and the recapitulation, but containing a development-like elaboration that turns the recapitulation into an expanded restatement of the exposition. As Hepokoski and Darcy explain, "such an expansion is

[81] See, e.g., Carragan, "The Early Version of the Second Symphony," 74. As will be discussed in detail below, Carragan's "first-concept version" corresponds to a textual state conspicuously distinct from WAB 102/III-1872aZ in terms of the formal layout deployed.

typically found in the recomposed P-TR zones of the recapitulation, Rotation 2. This expansion/recomposition produces a billowing-out of one section of the referential rotational layout. This might be a relatively small matter, but it can also result in the impression of a more thoroughgoing, implanted 'development' section."[82] In the case of WAB 102/III-1872aZ, the expansion comes between measures 74 and 89, that is, right between the recapitulatory iteration of the two modules comprising the exposition's P-theme: $P^{1.1}$, a compound basic idea (mm. 1–4 and 71–74); and $P^{1.2}$, a continuation phrase (mm. 5–16 and 89–100).

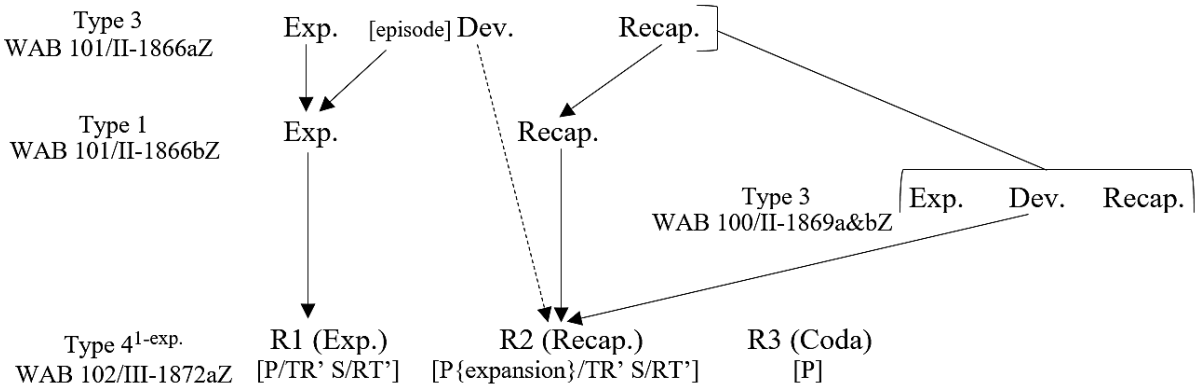

Figure 11. Phase 4 of Experimentation: WAB 101/II-1866aZ → WAB 102/III-1872aZ

Further complicating the form displayed by WAB 102/III-1872aZ is Bruckner's deployment of 1) a coda rotation (R3) that starts off with a third and final iteration of the movement's opening module ($P^{1.1}$), and 2) retransitions (RT) at the end of the first two rotations (R1 and R2, the expositional and recapitulatory rotations). These two features, both new to Bruckner's slow-movement forms, are also germane to rondo form in all its

[82] Hepokoski and Darcy, *Elements of Sonata Theory*, 349. On the expanded Type 1 sonata, see ibid., 349–350.

variants, and thus place the expanded Type 1 scheme into dialogue with that formal genre. Accordingly, and following Sonata Theory's terminology and sonata typology, I characterize the form of WAB 102/III-1872aZ as an expanded Type 1 sonata-rondo mixture, or Type $4^{1\text{-exp}}$.

R1									
Exposition									
First Part				Second Part (double subrotation)					
						1		2	
P			TR		S		RT		RT (extended)
$P^{1.1}$ [1–4] CBI	P1.2 [5–16] I:IAC		[17–34] I:III# MC (V/vi)	:	$S^{1.1}$ [35–38] [49–52] II:IAC	$S^{1.2}$ [39–42] [53–56] III:IAC	[43–48] vi:HC	:	+ Bassoon solo [57–70] V‖

R2									
Recapitulation									
First Part				Second Part (double subrotation)					
						1		2	
P			TR		S		RT		RT (extended)
$P^{1.1}$ [71–74] CBI	P {exp.} [75–88]	$P^{1.2}$ [89–100] I:IAC	[101–107] I:VI# MC (V/ii)	:	$S^{1.1}$ [108–111] [122–125] V:IAC	$S^{1.2}$ [112–115] [126–129] VI:IAC	[116–121] ii:HC	:	+ "Benedictus" [130–149] V‖

R3 (half)		
Coda		
$P^{1.1}$ [150–156]	Violin solo [156–163] V‖	Ton. Aus [164–173]

Example 5. WAB 102/III-1872aZ: Form

Two further formal features of WAB 102/III-1872aZ merit attention. First, Bruckner's MC effects here take the form of rhetorically emphasized harmonic arrivals (as TR's goal) rather than cadential articulations in the traditional sense (see Example 5). This technique—deployed by Bruckner for the first time in the recapitulation of WAB

99/II-1863Z[83] and then again in the exposition and recapitulation of WAB 101/II-1866bZ—is chromatically enhanced in WAB 102/III-1872aZ. These unprepared harmonic arrivals produce, both in the exposition (major mediant) and in the recapitulation (major submediant), the impression of opening a door onto an unfamiliar and distant place or region.

To be sure, once the music moves past the MC into the S-theme, it is easy for the listener to retrospectively interpret both harmonic arrivals as active dominants in vi and ii respectively. These keys are short-lived, though: by the end of $S^{1.1}$ (just four measures into S-space), cadential confirmation (IAC) occurs a fifth below the S-theme's opening key (i.e., II in the exposition, and V in the recapitulation). As a result, the unsettled feeling produced by the unprepared MCs continues to color the unfolding of S-space. Furthermore, in both exposition and recapitulation the $S^{1.1}$ module is immediately repeated a step higher (see mm. 39–42 and 112–115), thus replicating the IACs on III and VI respectively. Retransitional passages (mm. 43–48 and 116–121) then lead back to these same harmonies—now, however, not tonicized but active; more importantly, they revisit the harmonic goals of TR (compare mm. 107 and 121, the resemblance underscored by the scoring for brass choir). The effect is a recapturing of the MC effect, confirmed when the music cycles back to revisit the entire S-space (mm. 49–56, and 122–129), now in a texturally denser version.[84]

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[83] See WAB 99/II-1863Z, m. 90, where a dominant arrival in the home key (I:DA) is followed by an MC effect at m. 91, with 2 bars of C-fill.

[84] In 1877 Bruckner deleted mm. 49–70, thus juxtaposing the beginning of the recapitulation with the III harmony in mm. 47–48. The effect is idiomatically Brucknerian: as demonstrated by the above-discussed RTs of WAB 99/II-1863Z (see pp. 128–129), WAB 101/II-1866aZ (see pp. 138–139), and WAB

Linking the end of RT with the beginning of $S^{1.1}$ creates a potentially endless S-space loop, which Bruckner breaks with two insertions: in the exposition, a bassoon solo (mm. 68–70); in the recapitulation, a quotation from the F-minor Mass, WAB 28 (mm. 138–149, quoting the bass solo from the Benedictus). In addition to breaking the S-space loop's centripetal force, the harmonic role of these inserted passages is to regain the dominant, thus closing off the interrupted branches underlying the movement's first and second rotations (see Graphs 9 and 10).

Despite the success of the insertions in breaking the S-space loop, the circular discursiveness of this action space does exert its effect on the movement's expositional and structural trajectories. Unlike WAB 99/II-1863, 101/II-1866bZ, and WAB 100/II-1869bZ, all of which "fail" in their (either expositional or recapitulatory) generic trajectories, WAB 102/III-1872aZ fails in its trajectory in both spaces: Due to the stepwise repetitions of $S^{1.1}$ in the context of the circular loops, neither of the S-space's authentic cadential articulations succeed in securing expositional (EEC) or structural (ESC) closure. In this case, the ensuing coda rotation neither succeeds in averting the movement's sonata failure (as in WAB 99/II-1863Z), nor even attempts to do so (as in WAB 100/II-1869Z). Instead, the $P^{1.1}$ module that opens the coda sounds a note of

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101/II-1866bZ (see p. 140), Bruckner was fond of this harmonic effect (the neo-Riemannian PL transformation). Carragan seems not to recognize this, in his decision not to observe Bruckner's cut in his second edited volume for the NGA. In the preface he writes: "Nearly all these revisions [i.e., those made ca. 1877] were made in such a way as to preserve the structural relationships which characterized the earliest version while making the work more manageable, but there was one change that did real structural damage: the removal of about half of Part 2 of the slow movement [i.e., the repetition of the exposition's S-theme, plus the second retransition]. . . . [A]ccordingly the editor has ventured to include it. . . . This deletion [mm. 49–70] is . . . harmful to the balance, structure, and forward motion of the movement, and many conductors and listeners will want to undo the cut." (Carragan, ed., *II. Symphonie C-moll: Fassung von 1877,* iv–v.)

resignation, of peaceful acceptance vis-à-vis the movement's inability to submit the S-theme's compulsive circularity to the teleological resolution demanded by the norms of generic practice. This interpretation is reinforced by the quotation from WAB 28, whose subtext prepares the soil for the coda's peaceful acceptance of adversity, by placing the burden of redemption on forces beyond the movement's reach: "Benedictus qui venit in nomine Domini."[85]

WAB 102/II-1872bZ: The Expanded "First Concept Version"

As shown in Figure 12, the main difference between WAB 102/III-1872aZ and the movement's next *Zustand* (WAB 102/II-1872bZ) is the insertion of a full rotation between the recapitulation and the coda. The inserted rotation (see Example 6) comes right after m. 149 (i.e., the last page copied by Tenschert in Mus. Hs. 6035 [V-ÖN], and after the point where Carda first stopped writing Bruckner-Archiv 19-14 [SF-SSF]). This new rotation then displaces the coda from mm. 150–173 to mm. 188–211. It comprises a second (and longer) elaboration of $P^{1.1}$ (mm. 150–165), followed by a brief transitional passage (mm. 165–169) leading to a short elaboration of $P^{1.2}$ (mm. 170–181), and a second quotation of bars 23–26 of the Benedictus from the F-minor Mass, WAB 28 (mm. 182–187).

[85] See WAB 28, mm. 23–26.

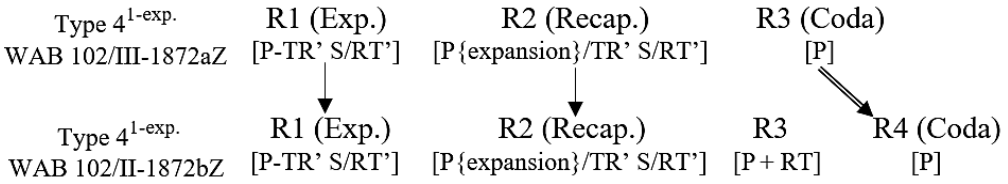

Figure 12. Phase 5 of Experimentation: WAB 102/III-1872aZ → WAB 102/II-1872bZ

R1		**R2**		**R3**				**R4**
Exposition		Recapitulation		$P^{1.1}$	Bridge	$P^{1.2}$	RT	Coda
P-TR	S/RT	P{exp.}-TR	S/RT	{expanded}	[165–169]	{expanded}	2^{nd}	P
I:III# MC	V‖	I:VI# MC	V‖	[150–165]		170–181]	"Benedictus"	[188–211]
[1–34]	[35–48]	[71–107]	[108–121]				V‖	
	[49–70]		[122–149]				[182–187]	

Example 6. WAB 102/II-1872bZ: Form

To be sure, as Carragan acknowledges, "it is not clear when in 1872 it [i.e., the inserted rotation] was brought in."[86] Nonetheless, he concludes—without providing evidence—that this transformation of the work's overall formal layout was one of the "three alterations made about the time of completion of the symphony" (September 11, 1872).[87] One thing must be underscored, though: based on the manuscript evidence, the only thing we can state with certainty is that folios 49r–54v in Mus. Hs. 19.474 (V-ÖN)—i.e., bifolios 7–9—which contain the inserted rotation, were added to the manuscript score after the coda rotation was already written down. This means that the inserted rotation might have been composed as late as September 11th—as Carragan suggests—or much earlier than that, e.g., during late August (i.e., about the time of completion of WAB 102/III-1872aZ). In fact, the earlier dating would explain why both

[86] Carragan, "The Early Version of the Second Symphony," 75.

[87] Ibid., 75. The other two alterations to which Carragan refers to are 1) the reordering of the second and third movements, and 2) some minimal rewriting of the flute and oboe parts in mm. 127–132 of the first movement.

Tenschert and Carda worked out the copy score and parts only up to m. 149 (i.e., one bar before the inserted passage): As proved by multiple written annotations in the manuscript score, once Bruckner inserted the new pages in that score, indications (comprising both words and signs) were added in strategic places to facilitate the reading of the two *Zustände* in the manuscript. Why would Bruckner have taken the time to write these indications, if not to retain a record of both *Zustände* while making up his mind about which one he preferred?

Indeed, when Carda resumed the copying of the Tenschert copy and the orchestral parts (around the time of completion of the symphony's fourth movement), Bruckner had already made up his mind about what *Zustand* to use; accordingly, before giving the manuscript score to Carda, he crossed out the music and indications that were not necessary to successfully navigate the second *Zustand* in Mus. Hs. 19.474 (V-ÖN). All things considered—and contrary to Carragan's claim about the composition dating of the inserted rotation—the most likely scenario is that the inserted rotation was imported not in September but in late July, shortly before Tenschert began copying the movement up to m. 149.

Once Bruckner decided which *Zustand* of the Adagio he preferred, the copying of the parts and the Tenschert score was resumed. The parts were finished by Carda, with the assistance of four copyists (one of whom is identified as Cervenka) who helped him transcribe some of the string parts.[88] Carda also took up Tenschert's work in the score

[88] Ibid., 73–74.

copy, in this case without the help of assistants.[89] Before Carda and his assistants resumed work on the parts, Bruckner had already decided to switch the order of the second and third movements. Accordingly, as Carragan points out, "every one of the parts [at that time copied up to m. 149] was cut apart and rearranged in the order first movement–Adagio–Scherzo."[90] One further change was made to WAB 102/II-1872bZ before Carda and company transcribed the inserted rotation and the coda in the parts: As is still visible in the manuscript, notes from the groups of six sixteenth-notes in the string parts (mm. 150–181) were erased in order to turn these accompanimental figurations into groups of five sixteenth-notes; the same was done to the groups of nine sixteenth-notes, which became irregular groups of eight and seven (3+2+3 and 2+3+2) sixteenth-notes.[91]

It is hard to pinpoint with absolute certainty exactly when Carda and his assistants finished copying WAB 102/II-1872bZ. Here is what we know: 1) between October 23 and 26, 1872, WAB 102 was played by the Vienna Philharmonic Orchestra at one of Otto Dessoff's *Novitäts-Proben*;[92] 2) before traveling to Upper Austria during the late summer of 1872, Bruckner requested (and was granted) permission to leave Vienna from early

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[89] Several of the pages prepared by Carda that correspond to WAB 102/II-1872bZ were removed from Mus Hs. 6035 (V-ÖN) during a later reworking of the movement; those pages are now lost but some of their contents are still available as source L of Haas's Vorlagenbericht (See Haas, ed., *II. Symphonie C-moll: Originalfassung (Partitur und Bericht)*, 50*–55*.

[90] Carragan, "The Early Version of the Second Symphony," 73. On evidence on the cutting procedure, see fn 75 above and its concomitant text.

[91] These changes were certainly made before copying was resumed, because the parts and the Tenschert copy include the new reading without any signs of erasure (see Carragan, ibid., 78).

[92] See Howie, *Anton Bruckner*, 265; and Cohrs, "Anton Bruckner's Second Symphony," 2. Although a group of musicians (including Franz Liszt, who attended the work's trial run) were enthusiastic about WAB 102, Desoff (together with most of the orchestra) was critical, and it was thus not programmed in the orchestra's upcoming season (1872/1873).

August to the end of September;[93] and 3) Mus. Hs. 6035 (V-ÖN) is signed "Linz 1872 Carda." Therefore, the score copy was most likely ready by the time he returned from Linz to Vienna (ca. the end of September), and the orchestral parts (if the whole work was played at the trial-run) were completed by October 26th, at the latest.

Using separate *Zustand* labels to account for the minor changes in accompanimental figuration (see above) would be excessive. Potentially more problematic, though, is the fact that my WAB 102/II-1872bZ (like 1872aZ) was first conceived as the third movement, and later (some time before the orchestral parts were finished) became the second movement. But as the exchange of movement positions involved no recomposition, no distinct *Zustand* is warranted: the full *Zustand* label of 1872bZ may equally include "II," "III," or both as descriptors; for notational convenience, I am using "II" only.

Carragan's first edited volume for the NGA is based on a state of WAB 102 that falls within the domain of my WAB 102/II-1872bZ. His edition places the Adagio third, and includes the groups of six sixteenth-notes in the strings. Aside from the fact that that Bruckner's earliest conception of the movement is, strictly speaking, my WAB 102/III-1872aZ, both of these features are consistent with Carragan's stated aim of publishing the work's "first concept version": since we do not know which came first—the change in string figuration or in movement order—we are in no position to make further

[93] See the entries for 07/31/1872, 08/10/1872, and 08/19/1872 in the *Anton Bruckner Chronologie Datenbank* (http://www.abil.at).

distinctions; we only know how the movement was before those two changes happened, and how it ended up looking after they were made.

Carragan, however, finds further grounds for placing the Adagio third: 1) "The fact that the Scherzo was composed before the Adagio, and further, that in that order, the last note of each movement is the first important note in the next, plead strongly for the earlier order"; and moreover, 2) "only in that sequence can we be reasonably sure that we are hearing Bruckner's own conception without any influence from other people such as Herbeck."[94] To be sure, Bruckner originally did conceive the Adagio as the third movement. However, the attribution of Herbeck's influence on the question of movement order is unwarranted. As far as we know, if Herbeck's opinions ever influenced Bruckner's reworking of WAB 102, this would have been restricted to changes postdating the *Novitäts-Proben* of late October 1872; since the change in movement order most likely predates this trial run, his influence on this aspect seems unlikely.

Carragan's argument regarding identity of last notes/first "important notes" needs greater specificity. With respect to the Adagio and finale, the connection is by no means clear. More importantly, the point would seem to be moot: assuming he refers to the melodic C (^3) over A-flat in the first and last bars of the Adagio, and the open Cs at the end of the first movement as well as the beginning and end of the Scherzo, these connections are present regardless of movement order!

Of greater relevance for my investigation is that Carragan's editorial choice regarding movement order is further driven by his intention to foreground resemblances

[94] Carragan, "The Early Version of the Second Symphony," 73–74.

between the Adagio of WAB 102 and that of Beethoven's Ninth Symphony. According to Carragan, "this symphony [WAB 102] is consciously modeled on the great Ninth of Beethoven."[95] He offers four arguments in support: 1) "Bruckner is known to have studied carefully" Beethoven's Op. 125;[96] 2) "the mood and techniques of both outer movements [of WAB 102] owe much to the earlier work"[97]; 3) "one reviewer [of the work's 1873 première] said that the Scherzo was a 'reine Beethoven-Copie' [straight Beethoven copy] and again the Ninth must be meant"[98]; and 4) "the new form [of the Adagio; i.e., the one containing the inserted rotation] is the same as that of the Adagio of Beethoven's Ninth Symphony."[99] In Carragan's view, the resemblance between the two works is sufficiently strong to warrant the conclusion that "one may conjecture that Bruckner changed the effective and logical order of 1872 in order to avoid the accusation of copying the movement order of Beethoven's Ninth."[100]

Benjamin-Gunnar Cohrs is less convinced:

> there is not much thematic material in common [between WAB 102 and Beethoven's Op. 125]. Bruckner's symphony has of course no choral finale and, more significantly, its first movement is much closer [sic] related to the first movement of Beethoven's Third, as already evident from the main theme, and to Beethoven's Fifth as well (note only the important triple head of the Finale theme, similar to the famous 'fate motif'!). On the other hand, Bruckner's Second seems to be the first emanation of an idea recurring in the following symphonies as well—but not entirely clear from the f-minor Symphony [WAB 99], Symphony

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[95] Carragan, ed*., II. Symphonie C-moll: Fassung von 1872*, xii.

[96] Ibid., xii.

[97] Ibid., xii.

[98] Carragan, "The Early Version of the Second Symphony," 90 n13.

[99] Ibid., 75.

[100] Ibid., 74.

> N° 1 [WAB 101], and the d-minor Symphony [WAB 100]: the idea of a kind of monumentalized 'Post-Beethovenian' symphony.[101]

Carragan is not specific as to exactly what features the outer movements of WAB 102 owe to Beethoven's Op. 125. However, he mentions elsewhere that several reviewers of the work's 1873 première noted "that Bruckner recapitulated a theme from an earlier movement in the Finale. This is at m. 745 [in Carragan's edition] . . . just following the first crescendo in the coda."[102] To be sure, this technique is found both in other works by Beethoven (e.g., in his Op. 67, which Bruckner surely knew and studied too), and other composers (before and after Beethoven). However, given the prime position of Beethoven's 9th as arguably the most influential work of the 19th-century, its recall in the Finale of material from earlier movements is still absolutely central—regardless of earlier precedents and 19th-century successors (Mendelssohn, Schumann, etc.)—to both the history of the technique and Bruckner's deployment of it.

Troublesome, though, is Carragan's simplistic assertion that the form of WAB 102/II-1872bZ is "the same" as that of the slow movement of Beethoven's Op. 125, in Carragan's words, a "five-part song form ABABA with Coda."[103] Closer inspection of both movements shows their forms to be a good deal less similar than Carragan claims, let alone identical. To be sure, both movements display two prominent contrasting thematic areas that return at various points in the course of the movement. But the function and disposition of these thematic areas—and thus the overall form of each

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[101] Cohrs, "Anton Bruckner's Second Symphony," 5.

[102] Carragan, "The Early Version of the Second Symphony," 90 n13.

[103] Carragan, ed., *II. Symphonie C-moll: Fassung von 1872*, xi.

movement—are clearly different. On the one hand, Op. 125/III juxtaposes two themes in the manner of alternating variations:[104]

Introduction: mm. 1–3
A (Variation Theme 1): mm. 3–24
B (Variation Theme 2): mm. 25–42
A' (Variation 1 on Theme 1): mm. 43–64.
B' (Variation 1 on Theme 2): mm. 65 - 83
Retransition: mm. 83–98
A'' (Variation 2 on Theme 1): mm. 99–120
Episode 1 (interpolation): mm. 121–124
A'' (Variation 2 on Theme 1, continues): mm. 125–130
Episode 2 (interpolation): mm. 131–136
A'' (Variation 2 on Theme 1, continues): mm. 137–139
Coda: mm. 139–157

Bruckner's WAB 102/II-1872bZ, on the other hand, contains no variation on the primary or secondary themes: the only time the S-theme returns, it is in a straight fifth-transposition from its appearance in the exposition; and when the P-theme returns in the recapitulation the only new thing that happens is the interpolated expansion between $P^{1.1}$ and $P^{1.2}$, as discussed above. When the P-theme returns for the second time (during the inserted rotation), it is distinguished from its previous appearances in a more significant way, but in a manner closer to a free elaboration on motives from the P-theme than to the melodic variation style deployed by Beethoven, where the theme's form-functional layout is strictly retained.

Two further features differentiate the two movements. First, whereas the Beethoven juxtaposes the two themes (without connecting transitions), the Bruckner displays prominent transitional passages between the P- and the S-themes. And second,

[104] On alternating variations, see Elaine Sisman "Tradition and Transformation in the Alternating Variations of Haydn and Beethoven," *Acta Musicologica* 62 (1990): 152–182.

whereas the coda of Op. 125/III is triggered by the I:PAC that finally brings to a close the delayed resolution (see the two interpolations) of the last variation on Theme 1—and thus functions as an expanded post-cadential section in the context of the whole movement—the coda of WAB 102/II-1872bZ actually functions as a rebeginning—a new rotation following a structural interruption.

That said, the two movements do display one significant feature in common: the use of off-tonic contrasting themes that reappear transposed a fifth lower (see Variation 1 on Theme 2 in Op. 125/III; and the recapitulation's S-theme in WAB 102/II-1872bZ). Similarly, one might additionally note the resemblance between the effects produced by the deceptive resolutions at the end of Theme 1 and its first variation (see mm. 23 and 63 of Op. 125/III), and the arrival on III near the end of the exposition's TR (see m. 31 of WAB 102/II-1872bZ). All things considered, however, it is grossly reductive to claim that both pieces have "the same" form, unless one assesses the two pieces through the lens of letter-based accounts such as ABABA—which reduces the form to a string of themes:[105] Once one takes a more analytically nuanced look at both movements, their differences outweigh their commonalities.

At most, and along the lines of Cohrs's suggestion of a 'Post-Beethovenian symphony,' one could argue that WAB 102/II-1872bZ and Op. 125/II partake of a broad synergy between the two works, an idea that seems much more fruitful than that of

[105] This point reinforces my argument at the beginning of the chapter (see pp. 113–114) against letter-based labeling and formal descriptions such as 'five-part song' that fail to address formal function. As my critique of Carragan's analytic observations demonstrates, letter-based analysis is an inadequate basis for the drawing of any broader conclusions.

Bruckner slavishly imitating Beethoven's masterpiece. Following the lead of Julian Horton and Kevin Korsyn, in turn influenced by literary theorists Mikhail Bakhtin, Harold Bloom and Julia Kristeva, we may approach the issue of Beethoven's influence on Bruckner's WAB 102/II-1872bZ by problematizing the relationship of text and context.[106] As Horton writes, "modernist models of musical history habitually read this relationship dualistically, as the process of connecting the properties of autonomous works (the domain of analysis) to those of other autonomous works (the domain of history), and as such trap the musical research within a self-perpetuating binary structure, the hierarchical nature of which will always insist on the domination of one component by the other."[107] And furthermore,

> if the post-structural notion of texts collapsing under deconstruction into 'inter-texts' has validity for the history of music, then the integrity of the work as text is fatally compromised. They should rather be understood as open-ended documents standing in complex dialogic relationships with other inter-texts as points in a relational network. Influence, in these terms, is the process through which one inter-text acts on another; measuring influence becomes a matter of isolating the points of contact between inter-texts, the moments when works reveal their permeable nature by making plain their embodiment of preceding 'relational events'.[108]

Along these lines (and with explicit reference to Harold Bloom's classic stance in *The Anxiety of Influence*),[109] I will search for new strata of meaning in Bruckner's music by

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[106] See Horton, *Bruckner Symphonies,* 162–195; and Kevin Korsyn, "Beyond Privileged Contexts: Intertextuality, Influence and Dialogue," in *Rethinking Music*, ed. Nicholas Cook and Mark Everist (New York, Oxford University Press, 1999), 55–72; and "Towards a New Poetics of Musical Influence," *Music Analysis* 10 (1991): 3–72.

[107] Horton, *Bruckner's Symphonies*, 167.

[108] Ibid., 168.

[109] Harold Bloom, *The Anxiety of Influence* (New York: Oxford University Press, 1973).

relinquishing the ultimately fruitless enterprise of seeking to understand any of his works as an entity in itself. As Bloom writes, "let us pursue instead the quest of learning to read any poem as its poet's deliberate misinterpretation, as a poet, of a precursor poem or of poetry in general."[110] In other words, let us seek Bruckner's connection with Beethoven not in any simplistic measure of obedience to the letter of the older composer, but in his recreation of Beethoven's legacy. If, as Bloom states, "weaker talents idealize [but] figures of capable imagination appropriate for themselves,"[111] then we must do better than reduce Bruckner's music to a "reine Beethoven-Copie." It may be that Beethoven's strategy in Op. 125/III of presenting three recurrences of Theme 1 resonates in WAB 102/II-1872bZ, but rather as an act of misprision: In Bruckner's movement, rather than a circular narrative in which varied recurrences of the P-theme offer different viewpoints on an already attained ecstatic state, each return of the theme is subsumed within a broader ritualistic narrative—a series of gradually intensified rebeginnings that struggle to reach a goal, which nonetheless never fully materializes. Thematic recurrence, deployed in Beethoven's variation form in the service of a goalless, hypnotic otherworldliness becomes, through an act of misprision, a Sisyphean struggle expressed through a dramatic sonata-formal trajectory.

There are indeed points of contact between the form attained by Bruckner here (phase 5 of his experimentation) and many other works, including Beethoven's Ninth. The resulting form, however, is uniquely Brucknerian. In fact, because WAB 102/II-

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[110] Ibid., 43.

[111] Ibid., 5.

1872bZ already contains most of the characteristic features of Bruckner's mature conception of slow-movement form, we can make the case for this *Zustand* of the movement as marking the emergence of Bruckner's signature slow-movement voice.

WAB 102/II-1872cZ: First Rehearsal and Première

After Carda and company finished their work on the orchestral parts and completion of the Tenschert copy, Bruckner made two further changes to the Adagio: 1) the tonic *Ausklingen*'s horn solo at the end (mm. 202–211) was transferred to violas and clarinet, and 2) a violin solo was added to the first twenty measures of the inserted rotation (mm. 150–169) along with other small changes to the orchestration of this section.[112] All of these changes were entered in both the orchestral parts and the manuscript score by Carda, who also prepared a separate page for the violin solo, Mus. Hs. 6061 (V-ÖN), before finally making a second score copy containing all the modifications.

To be sure, due to Bruckner's later revisions of the movement, the original form of this second score copy survives today as separate pages in different manuscripts. It is not difficult to reconstruct, though: Mus. Hs. 6034 (V-ÖN), fol. 57r–60v, 62r–69v, and 76r–78v, contains mm. 1–44, 72–147, and 177–201 respectively; and Mus. Hs. 6059/2 (V-ÖN), fol. 6r–8v, 9r–14v, and 15r–15v, supplies the missing mm. 45–71, 148–176, and 202–211.

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[112] The 20-measure violin solo appears in the *Vorlagenbericht* of Haas edition of WAB 102 (see Haas, ed., *II. Symphonie C-moll: Originalfassung [Partitur und Bericht]*, 16*–21*).

Carragan has suggested that both the removal of the horn solo and the addition of the violin solo (along with the concomitant changes in the wind and brass parts) were adjustments following the work's trial run during the late-1872 *Novitäts-Proben.*[113] Furthermore, he believes (following Haas before him) that Herbeck was influential in Bruckner's decision to add the violin solo: "it seems to have been at this rehearsal, or shortly thereafter, that Herbeck suggested a violin solo for the . . . Adagio."[114] There is, however, no conclusive evidence to support this (as Carragan implicitly concedes, in correcting Haas's misattribution of the entered violin solo in Bruckner's manuscript score to Herbeck's hand: "that was actually done by the copyist Carda . . . in a hand not at all similar to either the pen or pencil script of Herbeck of which we have copious amounts in the Austrian National Library").[115] Moreover, the second score copy prepared by Carda (Mus. Hs. 6034 [V-ÖN])—which contains the violin solo and all the other changes—is signed "Linz 1872," the same as the first score copy (which was certainly finished around the same time as the orchestral parts, i.e., before Bruckner returned to Vienna from Upper Austria, before the rehearsal).[116] This dating of the second manuscript suggests, contrary to Carragan's claims, that the violin solo and the rescored ending (violas and clarinet) might very well have been played at the rehearsal of late October 1872.

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[113] See, e.g., Carragan, "The Early Version of the Second Symphony," 81.

[114] Ibid., 81.

[115] Carragan, "Notes on Editing Bruckner's Second Symphony," 29.

[116] See Mus. Hs. 6059/3 (V-ÖN), fol. 33v. Carragan acknowledges this dating in "The Early Version of the Second Symphony," 74; and yet writes in the preface to his edition of WAB 102/II-1872bZ that, "in 1873 [!] he [Bruckner] gave the notes of the horn solo to the violas, doubled by the clarinet, as established by the changes entered into the copy score and parts." (Carragan, ed., *II. Symphonie C-moll: Fassung von 1872*, xii.)

Whether the solo violin and rescored Tonic *Ausklingen* were or were not played at the rehearsal, they were indeed played in the work's première a year later, on October 26, 1873 by the Vienna Philharmonic under Bruckner's baton. Before that performance, Bruckner made several changes to the other movements. Carragan associates one of these—to the trombone parts in the first movement—with Herbeck too.[117] This change, however, dates from a later time than the violin solo, because, as Carragan rightly points out, it was made "after Mus. Hs. 6034 was copied, for the change is visible there as well as in 19.474 and 6035."[118] It is possible, then, that this and other changes to the outer movements and Scherzo that Bruckner made in preparation of the work's première in 1873, were the result of reactions to the 1872 rehearsal, or as response to Herbeck's suggestions (if any) shortly after. The state of the slow movement as played at the première, however, seems to reflect an earlier time, in 1872—most likely just before the rehearsal—but certainly after WAB 102/II-1872bZ; accordingly, I refer to the movement's former state and its concomitant texts as WAB 102/II-1872cZ.[119]

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[117] See Carragan, "The Early Version of the Second Symphony," 74.

[118] Ibid., 74.

[119] As with WAB 102/III-1872aZ, there is no published edition of WAB 102/II-1872cZ. Carragan, nonetheless, has prepared a score (unpublished) based on this latter *Zustand*. This score was used for the its only recording to date, in March 1991 by the Bruckner Orchester Linz under the baton of Kurt Eichhorn (Camerata, CD 30CM-195~6, 1992).

After 1873 Bruckner made at least three more distinct *Zustände* of the Adagio of WAB 102: 1) in 1876, shortly after the work's second public performance on February 20 of that year; 2) in 1877, as part of the preparation for a planned (but aborted) third concert performance; and 3) in 1892, in preparation for the work's first published edition, which was premièred at the Musikvereinssaal by the Vienna Philharmonic under Hans Richter on November 25, 1894. On the history of these changes, from original composition to first published edition—plus an extensive critical assessment of all the work's editions published in the AGA and NGA—see Cohrs, "Anton Bruckner's Second Symphony," 1–14.

Cohrs concludes his critical assessment of Carragan's edition of WAB 102/II-1872bZ thus:

> In his TBJ [The Bruckner Journal] notes, Prof. Carragan made the accusation that Haas's edition of No. II was a 'lie,' but his arguments to support this can be likewise taken against his approach to editing the 1872 version: Like Haas in his edition of the Seventh Symphony, Carragan tried to 'reconstruct' and establish an earliest-possible 'beginning point' of the symphony which was, however, clearly never intended to be performed as such. . . . The conductor [of Carragan's edition] should be aware that the 1892 indications [that Carragan drew from the work's first published edition] were not part of the 1872 version and should be treated circumspectly. . . . There are unfortunately some printing mistakes also (wrong notes and errors in articulation and dynamics). The BGA [Bruckner-Gesamt-Ausgabe] should consider a thoroughly corrected reprint of the score or provide a detailed corrigenda list.[120]

In closing, I can only echo Cohrs's expressed wish for a more rigorous scholarship to back up any future attempt(s) to produce a critical edition of WAB 102.

3.2.6 Formal Experimentation, Phase 6: A D-minor Symphony, Take Two (WAB 103/II-1873Z)

When Bruckner conducted the première of WAB 102 on October 26, 1873, he was close to finishing the first *Zustand* of his Third Symphony (WAB 103), which he completed on December 31, 1873.[121] According to Josef Kluger (Bruckner's late-in-life friend), Bruckner wrote the Andante theme (mm. 33–64) of the slow movement's S-space on October 15, 1872, in memory of his mother—who had died almost 12 years before, on

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[120] Ibid., 6.

[121] Unless otherwise noted, all dates are drawn from Thomas Röder, *III. Symphonie D-Moll: Revisionsbericht*, vol. 3 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1997), passim but especially 363–372.

November 11, 1860;[122] on the following day (October 16), the Misterioso theme (mm. 65ff.) that closes off the exposition's S-space allegedly came to the composer's mind.[123] If this is true, the origins of WAB 103 date back to the week preceding the 1872 rehearsal of WAB 102. In any event, from the Third Symphony onwards it became customary for Bruckner to start work on a new symphony very soon after completing the previous one (September 11). The main work on the slow movement (WAB 103/II-1873Z) began the following year, however: Bruckner finished the Symphony's first movement on February 23, 1873, and the following day he began working on WAB 103/II-1873Z; one week later (March 2), he completed the movement's draft. By March 24, the slow movement's full score was ready.

In Chapter 4 I will deal with this movement at greater length, addressing all its *Zustände*. Here, to conclude the present chapter's discussion of Bruckner's early experiments with slow-movement form, I will briefly address the position occupied by the movement's first *Zustand* (WAB 103/II-1873Z) within these experiments.

As mentioned above (see pp. 39–40), Bruckner originally designated WAB 100 and 102 as Symphonies nos. 2 and 3 respectively; it was only later that he dropped WAB 100 and changed WAB 102 to no. 2. Since his next Symphony (WAB 103) never carried any number other than 3, it seems that Bruckner withdrew WAB 100 from his numbered symphonies shortly before or during the composition of WAB 103, i.e. October 1872–

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[122] October 15th is the feast day of St. Teresa of Avila in the Christian calendar of saints; accordingly, it was the name day of Bruckner's mother, Theresia Helm.

[123] Göllerich and Auer, Anton Bruckner, IV/1: 260ff. See also, Röder, *III. Symphonie D-Moll: Revisionsbericht*, 374.

December 23, 1873. That Bruckner dropped WAB 100 from his numbered symphonies around this time is not the only connection between the two works, though: as Hawkshaw writes,

> there is a close resemblance, for example, between the opening measures of both [first] movements, and the ostinato figure from the first-movement coda of the earlier D-minor Symphony [WAB 100] is used again at the corresponding point in the later one [WAB 103]. Even though there is no doubt that the opening movement of the Third Symphony is quite a different work from its counterpart in the nullified D-minor Symphony, it is certainly possible that the similarity between the two movements has a bearing on the question of when Bruckner decided to reject the earlier work. This similarity may even have been part of his reason for making that decision.[124]

Hawkshaw's argument is compelling: the resemblance between the two first movements is indeed striking. Moreover, based on those similarities and the dating of the rejection of WAB 100, it is easy to conclude that the composition of WAB 103 played a significant role in Bruckner's cancelling of the earlier work. In a sense, we might even speculate that, for Bruckner, WAB 103 represented a "second attempt" at WAB 100, a reframing of portions of its content in a more satisfactory way (considering, for example, the opening themes of both movements in the light of Dessoff's criticism of the earlier work.[125]

An examination of the form of WAB 103/II-1873Z in the context of his early experiments with slow-movement form further strengthens Hawkshaw's argument, as it extends the connection between WAB 100 and 103 beyond their first movements. As shown in Figure 13, the form of WAB 103/II-1873Z is indeed unusual. But if we reconstruct its formal edifice within the larger relational network of Bruckner's slow

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[124] Hawkshaw, "The Date of Bruckner's 'Nullified' Symphony in D minor," 263.

[125] See fn 52 above and its associated text in pp. 148–149.

movements, it can be viewed as a conjoining of the function and rhetoric of the interpolated rotation found in WAB 102/II-1872b/cZ with the Type 3 layout of WAB 100. It is as though the form of the later movement arises from Bruckner's looking back at the formal design of the earliest movement through the lens of the middle one.

This view is contrary to the position of many Brucknerians, in whose view the formal layout attained in WAB 102/II-1872b/cZ became the blueprint for all of the composer's subsequent symphonic slow-movement forms (with the exception of WAB 106/II).[126] The difference in perspective is significant: The traditional interpretation tends to force the form of the later movement into conformity with the earlier one. This has the unfortunate effect of both distorting its formal layout[127] and reinforcing the pervasive assessment of Bruckner's approach to slow-movement form as schematic and predictable. In contrast, the interpretation put forward here has three advantages: 1) it proposes a primary level of dialogic interaction (the Type 3 sonata and its associated expectations) without compromising the movement's formal individuality; 2) it foregrounds a characteristically Brucknerian compositional attitude, in his penchant for

[126] Carragan, for example, describes the form of WAB 102/II-1872bZ as a "five-part song form ABABA with Coda, *which form he maintained in all of his succeeding symphonic Adagios* except that of the sixth." (Carragan, ed*., II. Symphonie C-moll: Fassung von 1872*, xi; emphasis added) Similarly, Gault states that "the slow movement [of WAB 102-1872bZ] establishes the ABABA format that would suffice for all of Bruckner's later slow movements with the exception of the Adagio of the Sixth Symphony." (Gault, "The New Bruckner," 45)

[127] See, for example, William Carragan's "timed analysis" of WAB 103/II-1873Z, in which his determination to find an ABABA pattern results in his astonishing overlooking of both 1) the authentic cadential articulation of F (II) at m. 78 (structurally speaking, the most important cadence of the exposition's second part); and 2) the developmental space extending from m. 89 to m. 128 (Carragan, "Timed Analysis Tables," ABruckner.com. https://www.abruckner.com/articles/articlesEnglish/carragantimed/ [accessed December 19, 2016])

revising and reworking his music; and 3) it brings a more appropriately fluid perspective on his symphonies as de facto works in progress.

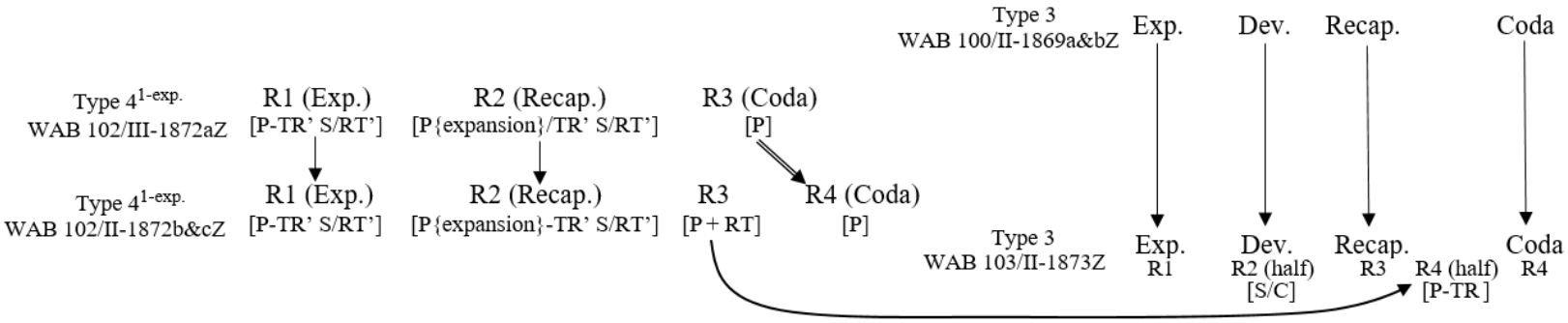

Figure 13. Phase 6 of Experimentation: WAB 100/II-1869bZ → WAB 103/II-1873Z

CHAPTER 4. THE INWARD DIALOGUE

Cambia lo superficial,
cambia también lo profundo,
cambia el modo de pensar,
cambia todo en este mundo.
— Julio Numhauser, *Todo Cambia*

4.1 Dialogic Inwardness

To be sure, Bruckner was neither the first nor the last composer to rework his own oeuvre; like other composers, he often made minor adjustments to his scores (e.g., orchestration or other non-structural changes). However, his lifelong penchant for major compositional reshaping led to an unusual proliferation of distinct *Zustände* of a large number of works.[1]

This important aspect of his oeuvre does not sit comfortably with conventional ways of thinking about the "classical" canon, which, by and large, still tend to be grounded in overtly romantic and modernist aesthetic perspectives. For example, the idea that musical geniuses craft perfect, self-contained works continue to hold sway in the world of classical music. Since it follows from such an idea that truly great artworks should not exist in various versions or contain variants, it became all too easy within the comfort zone of institutionalized knowledge, to approach textual multiplicity in

[1] Indeed, the many *Zustände* that Bruckner produced of his symphonies are the best evidence of his penchant for compositional reworking. However, he approached many of his smaller and early (non-symphonic) works with this same critical compositional attitude. See, for example, the *Kronstorfer Messe,* WAB 146 (1843–1844; sometimes known as the "Messe ohne Gloria und Credo"), and the "Messe ohne Kyrie und Gloria für den Gründonnerstag," WAB 9 (1844; also known as [Missa brevis] *Christus factus est*). These make use of different *Zustände* of the same Sanctus. *Am Grabe,* WAB 2 (1861) is a later *Zustand* of the earlier *Vor Arneths Grab,* WAB 53 (1853). Other early works existing in two or more *Zustände* include the *Pange lingua,* WAB 2 (1835 and 1891; the first is Bruckner's earliest extant piece); *An dem Feste,* WAB 59 (1843 and 1893; the second in this case being the *Tafellied,* WAB 86); the five *Tantum ergo* settings, WAB 41 and 42 (1846 and 1888); and *Iam lucis orto sidere,* WAB 18 (also known as *In S. Angelum custodem;* two *Zustände* from 1868, and a third from 1886).

Bruckner's works with a stance of implicit condescension towards the composer. In this climate, it is unsurprising that many Bruckner scholars devoted themselves to the task of distancing Bruckner's works from any perceived anomaly within the prevailing ideology.

Today, however, our greater knowledge of the complex circumstances surrounding the texts of Bruckner's works prohibits shortcuts or simplistic solutions like some proposed in the past.[2] Moreover, the textual modifications (by both Bruckner and others) are too extensive and significant (both compositionally and historically) to be dismissed or downplayed in any critical assessment.[3]

Multiple editions of the same numbered symphony, often with significant textual differences, certainly pose a logistical challenge for performers (especially conductors), who are forced to choose among the available alternatives. But textual multiplicity need not be assessed pejoratively: performers may, for example, take textual diversity as an opportunity to counteract the loss of spontaneity that playing the same works season after season brings about. Similarly, Bruckner's penchant for compositional reworking provides an excellent opportunity for musicologists and analysts to enliven their engagement with music, forcing them to confront the dynamic and collective processes that music making involves.

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[2] A classic example is Deryck Cooke, "The Bruckner Problem Simplified," *Musical Times* 110 (1969): 20–22, 142–144, 362–365, 479 –482, 828.

[3] Along these lines, see Benjamin Korstvedt's critical reappraisal of the often criticized early published editions of Bruckner's symphonies in "Bruckner Editions: The Revolution Revisited," 132–137. See also David Aldeborgh, "Bruckner's Symphonies: The Revised Versions Reconsidered—A Listener's Perspective," 1–12 (paper presented at the Wagnerian Symphony Conference, Troy, NY, November 22, 1996; available at ABruckner.com. https://www.abruckner.com/Data/articles/articlesEnglish/aldeborghdavidbruc2/aldeborgh_revised_versions_reconsidered.pdf [accessed March 10, 2017]).

In Chapter 3, I approached the matter by tracing all *Zustände* of several movements composed within a circumscribed generic and temporal frame (the slow movements from 1862 to 1873). In the present chapter, I will instead focus on a single movement (WAB 103/II) in order to explore potential formal and expressive implications of approaching all *Zustände* of one movement as a whole.

4.1.1 The Evolving *Anlage*: The Individual Movement as a Network of *Alter Egos*

One of the strengths of Hepokoski and Darcy's sonata-deformation theory is its capacity to account for the highly individualized formal practices of nineteenth-century composers. Accordingly, in Chapter 3 such an approach proved to be an invaluable tool for the critical reappraisal of form in Bruckner's early slow movements. However, as noted in Chapter 2, since Hepokoski and Darcy's dialogic approach is not concerned with questions of textual multiplicity, advancing a counterdiscourse to the "Bruckner problem" from a dialogical perspective will require some adaptation of that approach. To this end, I propose (see section 2.2.5) to conceive formal-expressive meaning in Bruckner's symphonic movements as growing out of a *dual-dimensional* dialogic synergy: On the one hand are the movement's *outward* dialogic spaces, in which each individual *Zustand* interacts with its formal genre (see my analyses in Chapter 3). On the other is its *inward* dialogic space, in which each *Zustand* interacts not with other generic exemplars but instead with other versions of itself (its alter egos, so to speak).

In accordance with the view advanced in Chapter 2 (see section 2.1.2), the movement's inward space is thus composed-out by multiple creative agents such as

Bruckner himself, his music's editors, and the musical analyst.[4] Working hand-in-hand, the movement's multiple creative agents then bring about the network of *Zustände* that comprise the movement's evolving *Anlage*: a collectively-composed meta-text that both enables and constrains (regulates) interpretations of the movement's immanent meaning.

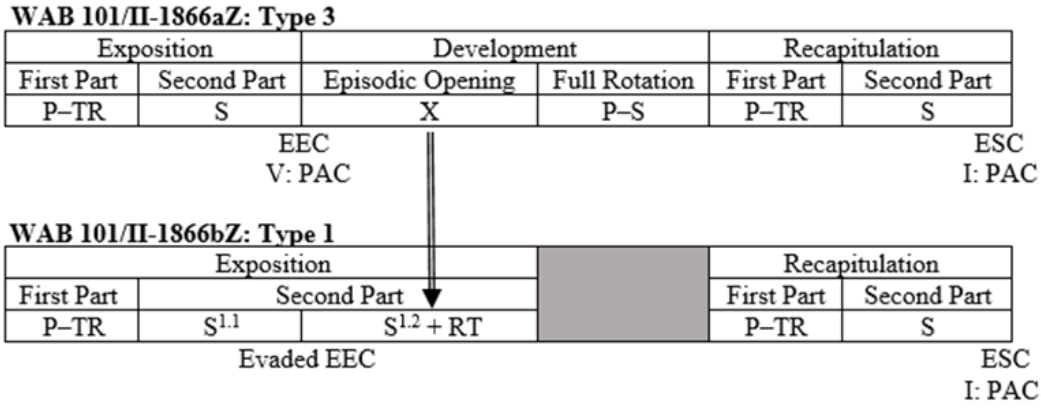
Before discussing in detail the chapter's central example (WAB 103/II), I will introduce my two-dimensional dialogic approach with reference to a simpler example, WAB 101/II with its two earliest *Zustände* (see Chapter 3, pp. 132ff). This will provide a concise demonstration of the interpretative potential of my approach.

4.1.2 An Introductory Example: WAB 101/II-1866aZ&1866bZ

As previously mentioned, there is one major difference between the overall form of the two *Zustände*: the excision of the developmental space in WAB 101/II-1866bZ. This, however, is not the only significant difference. Whereas in 1866aZ a strongly articulated EEC establishes a clear boundary between the end of the exposition and the beginning of an episode, this strong formal articulation is bypassed in 1866bZ. Here, the presumptive EEC's cadential dominant is interrupted by the entrance of a large module ($S^{1.2}$, in an expanded small ternary form) comprising a thematic trope of material from the episode of 1866aZ and newly composed material. As shown by the double arrow in Example 7, this process results from the relocation, within the piece's temporal grid, of material (X) from the episode. This revising technique, which I characterize as form-

[4] On the creative role of the musical analyst as part of the movement's formative process, see the introduction to section 2.1.

functional transformation via temporal relocation, here comprises a move from developmental (post-EEC) space to expositional (pre-EEC) space.



Example 7. WAB 101/II: Form-Functional Transformation via Temporal Relocation[5]

From the perspective of the movement's outward dialogue, one immediate expressive consequence of failing to attain EEC in 1866bZ is the dramatization of the

[5] This technique is related to, though distinct from, the phenomenon Janet Schmalfeldt and William Caplin (among others) refer to as "formal reinterpretation." As Caplin explains, in some cases "a given group can at first be understood as expressing a particular function but then be reinterpreted as another function" (Caplin, *Classical Form*, 4). One classic example of this situation is when a perceived continuation function retrospectively becomes cadential function. Such *formal reinterpretation* is defined by Schmalfeldt as "the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context" (Schmalfeldt*, In the Process of Becoming*, 9).

Perhaps only implied in the latter quote, but central to Schmalfeldt's conception, is that, at the moment of form-functional transformation (when one function becomes another one), the confirmation (or full realization) of the initial form-functional perception is still nothing but a prospection. This means that the two formal functions involved in the reinterpretation cannot be thought of as self-sufficient, fully realized sound events. As Schmalfeldt rightly points out,

At the moment when one grasps that becoming has united a concept and its opposite [i.e., the two formal functions] . . . then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And what has become is a new moment—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical determinations, in the sense that the one cannot be thought, or posited, outside the context of the other (ibid., 10).

This certainly does not extend to the instances of form-functional transformation often found in the inward space of Bruckner's works. On the one hand, the instances to which Schmalfeldt refers occur within a linear, one-dimensional space, and thus entail a *diachronic* experience of the form-functional transformation. On the other, the form-functional transformation shown in Example 7 occurs within a multidimensional space (the work's evolving *Anlage*) that comprises competing form-functional perceptions fully realized in actual sound, and thus entails a *synchronic* experience of two paradigmatically related modules.

ESC. The dialogical synergy of the movement's inward and outward dialogues further heightens this dramatic trajectory: From a rotational perspective, the episode in 1866aZ may be characterized as a pararotational space, that is, an action zone comprised of thematic material neither present in the referential rotation nor substituting for (writing over) any component of that rotation. The transference of material from episode to exposition in WAB 1866bZ may then be expressively construed as a rotational disruption: in the movement's the inward space, the impression is that material from outside the movement's rotational limits managed to break the expositional bounds before S was able to secure the EEC, which ultimately produces a failed exposition.

Within such a dramatic scenario, completion of a successful sonata trajectory (attainment of ESC) would require the removal of the pararotational element from the recapitulation. And indeed, the recapitulatory S space becomes the site of high drama: as if having called for backups, it is reinforced by a marching troop of brasses (m. 151). Thus it builds momentum to overcome the intrusive "other," and achieve a hard-won ESC.

4.2 Symphony in D minor, WAB 103/II

4.2.1 The Textual Corpus: *Zustände* and Formal Stages

The slow movement of Bruckner's Third Symphony (WAB 103/II) is one of the most extreme examples of textual multiplicity in Bruckner's symphonic movements. No other slow movement exhibits such drastic differences between its first and last *Zustände*. Let us then begin by defining the textual corpus we are dealing with.

Between 1872 and 1889 Bruckner produced six manuscript *Zustände* of this movement: WAB 103/II-1873Z, 1874Z, 1876Z, 1877Z, 1878Z, and 1889Z.[6] Additionally, two editions of WAB 103 were published during Bruckner's lifetime: the first one (Bruckner's first published symphony) was based on 1878Z; the second on 1889Z, but including changes made (possibly) by Joseph Schalk.[7] In total, then, eight *Zustände* came about before Bruckner's death.

During the course of the 20th Century, five editions of WAB 103 were published as part of the AGA and NGA series: four of them (based on 1873Z, 1876Z, 1877Z, and 1889Z, respectively) were edited by Leopold Nowak,[8] and the remaining one (based on 1878Z) by Fritz Oeser.[9] Finally, William Carragan has prepared an edition based on

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[6] On the textual states comprising each of these six *Zustände*, see Thomas Röder's voluminous critical report on WAB 103 (*III. Symphonie D-Moll [Revisionsbericht]*, passim; especially the summary in pp. 18–19).

[7] Theodor Rättig and Anton Bruckner (?), eds., *SYMPHONIE in D-MOLL für grosses Orchester componirt von Anton Bruckner* (Vienna: A. Bösendorfer's Musikalienhandlung [Bussjäger & Rättig], 1879)—henceforth WAB 103-1878Z[Rättig]; and Joseph Schalk (?), ed., *SYMPHONIE in D-MOLL für grosses Orchester componirt von Anton Bruckner „Neu Auflage"* (Vienna: Th. Rättig, 1890 [plate number: T. R. 165[a]])—henceforth WAB 103-1889Z[Schalk].

[8] These are: 1) Leopold Nowak, ed., *III. Symphonie D-Moll (Wagner-Symphonie): Fassung von 1873*, vol. 3/1 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1977), henceforth WAB 103-1873Z[Nowak]; 2) *III. Symphonie D-Moll (Wagner-Symphonie): Adagio nr. 2 1876*, vol. 3/1 [addendum] of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1980), henceforth WAB 103-1876Z[Nowak]; 3) *III. Symphonie D-Moll (Wagner-Symphonie): Fassung von 1877*, vol. 3/2 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1981), henceforth WAB 103-1877Z[Nowak]; and 4) *III. Symphonie D-Moll (Wagner-Symphonie): Fassung von 1889*, vol. 3/3 of *Anton Bruckner Sämtliche Werke. Kritische Gesamtausgabe* (Vienna: Musikwissenschaftlicher Verlag, 1959), henceforth WAB 103-1889Z[Nowak].

[9] Fritz Oeser, ed., *3. Symphonie in D-Moll: 2. Fassung von 1878, mit Einführung und den Hauptvarianten der Endfassung* (Wiesbaden: Brucknerverlag, 1950), henceforth WAB 103-1878Z[Oeser].

In 1944, Robert Haas prepared an edition of WAB 103 for the AGA based on a manuscript belonging to 1873Z (II Co 2 [Bayreuth, Nationalarchiv der Richard-Wagner-Stiftung; henceforth B-NRWS). Haas's edition was performed on December 1, 1946 by the Orchester der Bühnen der Landhauptstadt Dresden under the baton of Joseph Keilberth. That performance represented both the premiere of 1873Z and the first and last performance of Haas's edition. Haas's edition was never published,

1874Z—the only manuscript *Zustand* that remained unedited—which has not yet been published, but was recorded in 2013.[10] In sum, for the purposes of this chapter, the textual corpus of WAB 103/II comprises no less than fourteen *Zustände.*[11]

But there is no need here to consider all fourteen *Zustände* in detail: all manuscript *Zustände* of WAB 103/II have served at some point as the basis of an edition, and with one exception (WAB 103/II-1889Z[Schalk]) the textual readings of these editions faithfully follow the manuscript sources. We can therefore make the textual corpus at hand more manageable by confining our study to the edited scores. This will suffice for the specific analytical focus of this chapter, which is on the synergy between large-scale form and textual multiplicity.

We can narrow the textual scope further by setting aside one of the two editions based on 1878Z (Rättig and Oeser), since, as Gault states, "Oeser's edition is . . . a reissue of the 1879 Rättig printing with errors corrected."[12] Oeser also has the advantage of being more easily accessible as both score and recording.[13]

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and, aside from an extant uncorrected set of proofs, all of its material (including the engravings) were lost during the Second World War.

[10] See Gerd Schaller and the Philharmonie Festiva (Profil, CD PH 12022 [2011]). On Carragan's edition (henceforth WAB 103-1874Z[Carragan]), see William Carragan, "The 1874 Bruckner Third: Three Between Two," paper presented at the 8th Bruckner Journal readers biennial conference, Oxford, April 13, 2013.

[11] Even this number could be greatly expanded if one were to add the many reprints published since 1903 by publishing houses other than the Musikwissenschaftlicher Verlag. A comprehensive list of the scores of WAB 103 published after Bruckner's death can be found in Röder, *III. Symphonie D-Moll (Revisionsbericht)*, 346–362.

[12] Gault, *The New Bruckner,* 239.

[13] There are no recordings based on WAB 103-1878Z[Rättig].

Zustand	Sonata Type	Stage
WAB 103/II-1873Z[Nowak][A]	Type 3 with *Vollendung*	**Early**
WAB 103/II-1874Z[Carragan][C]		
WAB 103/II-1876Z[Nowak][D]		
WAB 103/II-1877Z[Nowak][E]	Type 2 with *Vollendung*	**Middle**
WAB 103/II-1878Z[Oeser][F]		
WAB 103/II-1889Z[Nowak][G]	*Outward dialogue*: Type 3 (truncated recapitulation) with coda and/or *Inward dialogue*: aborted Type 3 (no recapitulation) with *Vollendung*	**Late**
WAB 103/II-1889Z[Schalk][H]		

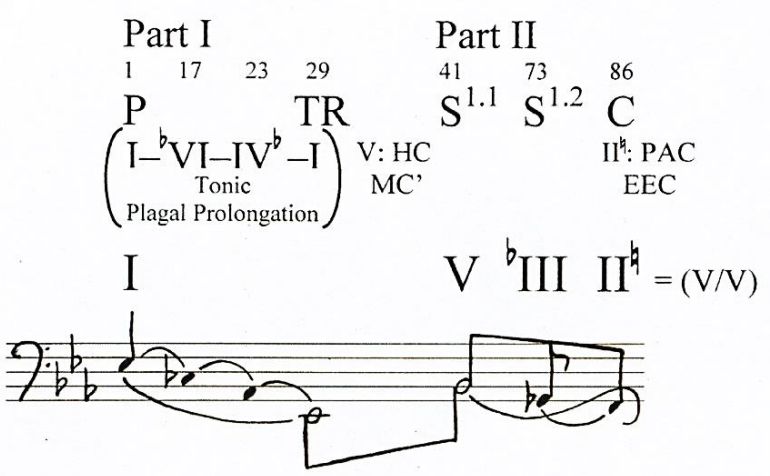
[A] Edition based on the 1874 signed score copy that Bruckner presented as a gift to Richard Wagner (II Co 2 [B-NRWS])
[C] Edition based on the 1874 score copy that Bruckner kept to himself, which contains autograph additions (Mus. Hs. 6033 [V-ÖN])
[D] Bruckner detached several pages from the extant autograph score comprising 1876Z (A 173 [V-GM]) and used them as part of an autograph score belonging to 1877Z (Mus. Hs. 19.475 [V-ÖN]). While preparing WAB 103/II-1876Z[Nowak], the editor identified the exported pages and restored the original form of A 173 (V-ÖN).
[E] Edition based on the final form of the 1873–1878 autograph score (Mus. Hs. 19.475 [V-ÖN]).
[F] Edition based on the *Stichvorlage* prepared by Bruckner and an unknown copyist (Mus. Hs. 34.611 [V-ÖN]) for the first published edition (WAB 103/II-1878Z[Rättig]).
[G] Edition based on the *Stichvorlage* (Mus. Hs. 6081 [V-ÖN]) prepared by Bruckner for the second published edition (WAB 103/II-1889Z[Schalk]).
[H] Edition based on the same *Stichvorlage* than WAB 103/II-1889Z[Nowak], but including various changes made (possibly by Joseph Schalk) before the final printing.

Table 2. Textual Sources of WAB 103/II

Proceeding in this way, we can trim the textual corpus of WAB 103/II to seven distinct *Zustände*, which function here as the movement's evolving *Anlage.* Using formal type as a criterion, I have organized the seven under the three broader formal stages shown in Table 2: 1) an early stage comprising WAB 103/II-1873z[Nowak], 1874Z[Carragan], and 1876Z[Nowak]; 2) an intermediate stage containing WAB 103/II-1877Z[Nowak] and 1878z[Oeser]; and 3) a late stage comprising WAB 103/II-1889Z[Nowak]&[Schalk].

4.2.2 Late Stage (WAB 103/II-1889Z[Nowak]&[Schalk]): Outward Form

Among the different *Zustände*, those of the last formal stage are especially interesting in terms of their formal organization (see Examples 8 and 9). From the perspective of the movement's *outward dialogue*, WAB 103/II-1889Z[Nowak]&[Schalk] may be parsed into four large-scale formal spaces: 1) a four-key (!) two-part exposition; 2) an S-based development (half rotation); 3) a truncated recapitulation (aborted before moving beyond the P-theme space);[14] and 4) a 23-measure coda.



Example 8. WAB 103/II-1889Z[Nowak]&[Schalk]: Exposition

Exposition (mm. 1–96)		**Development (mm. 96–153)**	**Truncated Recapitulation (mm. 154–199)**	**Coda (mm. 200–222)**
First Part (P/TR) (mm. 1–40)	Second Part (S/C) (mm. 41–96) II:PAC EEC	Half Rotation (S/C)	First Part (P) No S = No ESC (Premature Sonata Failure)	(P)

Example 9. WAB 103/II-1889Z[Nowak]&[Schalk]: Overall Outward Form

[14] On recapitulations with suppressed S/C space, see ibid., 247–249, and Caplin, *Classical Form*, 216.

From a structural-expressive viewpoint, the truncated recapitulation constitutes an unexpected turn in the movement's dramatic trajectory: the absence of recapitulatory S- and C-spaces thwarts the attainment of ESC, thus producing *sonata failure*. Interestingly, the lack of the recapitulatory second part in 1889Z rules out not only *attaining* ESC but even *the very possibility of attempting* it. This compositional strategy conveys a distinctive dramatic effect: the movement's implicit *persona* (the sonata itself),[15] so to speak, prematurely concedes either the inability to deliver or lack of interest in accomplishing a successful sonata trajectory, and thus decides to pursue a different path (one entailing a structural deformation). To distinguish this specific dramatic trajectory (no recapitulatory S-space) from milder instances of sonata failure, I characterize it as an instance of *premature failure*. Inasmuch as the conditions of sonata failure can be said to have been prematurely accepted or foreshadowed, this entails, both expressively and structurally, a trajectory of *collapse.*

The form displayed in the outward dimension of 1889Z is indeed striking. The excision of S/C-space, and the unsettlingly developmental character when P material returns in mm. 154ff raise more questions than answers. Because WAB 103/II-1889Z constitutes just one slice of the movement's inward identity, a consideration of all its previous *Zustände* may help us find some clues as to the broader formal meaning of this truncated structure. Before further discussion of the outward form of 1889Z, I will

[15] On the work/movement-persona, see Seth Monahan, "Action and Agency Revisited," *Journal of Music Theory* 52 (2013): 321–371; especially 328–329.

explore an alternative interpretation that shifts the focus from the outwardness of the specific *Zustand* to the inwardness of the movement's multiple versions.

4.2.3 WAB 103/II: Inward Space

Early Stage: 1873Z[Nowak]

As shown in Figure 10, the earliest *Zustand* of the movement (1873Z[Nowak]) is in dialogue with the Type 3 sonata. Here, however, a peculiar formal twist problematizes (deforms) an otherwise straightforward form: following the end of the recapitulation, an appended formal space encompasses an extended iteration of the P-theme followed by a coda. As this appendage will reappear in nearly all of Bruckner's remaining slow movements,[16] a brief digression to consider its characteristic features and formal function is in order.

Exposition (mm. 1–88)		**Development (mm. 89–128)**	**Recapitulation (mm. 129–224)**		**Vollendung (mm. 225–278)**	
First Part (P/TR) (mm. 1–32)	Second Part (S/C) (mm. 33–88)	Half Rotation (S/C)	Frist Part (P/TR) (mm. 129–160)	Second Part (S) (mm. 161–224)	P^{Voll} (P) (mm. 225–256)	Coda (P) (mm. 257–278)

Example 10. WAB 103/II-1873Z[Nowak]: Overall Form

A Momentary Lapse of Reason: The *Vollendung* as an Illusory State of Fulfillment

At its most characteristic, this formal idiom comprises a two-stage process. The first stage is the above-mentioned third and final extended presentation of the P-theme. As discussed in Chapter 3, this formal space appeared for the first time as the inserted

[16] The main exception is the Sixth Symphony, whose recapitulatory P-theme nonetheless draws on rhetorical aspects characteristic of this post-recapitulatory thematic iteration.

rotation of WAB 102/II-1872bZ. This P-based zone is distinguished from those in the exposition and recapitulation by its steady process of goal-directed textural, dynamic, and harmonic intensification (*Steigerung*).[17]

Dramatically speaking, the P-based insertion as a whole, and its climax or apex in particular, are central to Bruckner's mature slow-movement formal conception. In WAB 103/II-1873Z, for example, the recapitulation, despite engaging S modules, is unable to secure the tonic, let alone attain ESC.[18] The resulting nonresolving recapitulation ("failed sonata") then places the burden of restoring and securing the tonic on the next available formal space: the P-based *Steigerung*, lying beyond the boundary of the sonata process. As Warren Darcy writes in connection with the Bruckner's outer movements, once sonata failure has occurred, "the coda is the music's final chance to attain the redemption that traditional sonata methods have been unable to secure. . . . It is a 'do or die' situation: somehow the music must draw strength from outside the sonata form proper and, in a sense, transcend that form in order to achieve a breakthrough from darkness into light."[19] Similarly, in the context of 1873Z, the recapitulation's generic failure triggers a new rotation and a renewed opportunity to achieve structural completion. As it turns out,

[17] The exception is WAB 102/II (1872bZ and subsequent *Zustände*), which exhibits the process in an early, incompletely realized variant. Here the two P-modules are treated separately ($P^{1.1}$, mm. 150ff; $P^{1.2}$, mm. 170ff); moreover, neither module gathers momentum towards a climactic apotheosis as the Adagios from WAB 103 onwards do.

[18] Note that the recapitulatory $S^{1.1}$ "plugs into" the home-key tonic at m. 177. Attainment of this tonal level nonetheless fails to secure a corresponding authentic cadence. See also mm. 213–224 ($S^{1.2}$), and compare with mm. 65ff (their expositional equivalent), which eventually do succeed in articulating EEC (PAC at m. 78).

[19] Darcy, "*Bruckner's Sonata Deformations*," 275–276.

though, this proves incapable of accomplishing its task, and in the end only succeeds in sealing the movement's tragic fate.

The P-based *Steigerung*, however, leaves a strong mark on the movement's unfolding drama: In attempting to deliver generic completion, it gradually builds momentum towards a dramatic apex (see mm. 233–240), which rescues the movement's trajectory from the lost path of the preceding failed recapitulation. In the midst of a triumphant tutti *fortissimo*, the immediate impression created is that of finally having attained the movement's long-delayed dramatic completion; a moment of revelation, in which the sonorous splendor of the redemptive brass choir leads the orchestral body's sublime breakthrough into the light.[20]

Dramatic fulfillment, however, is a delusion. As became Bruckner's custom in these P-based *Steigerungen*, the climax in 1873Z is supported by a 6/4 chord in C major.[21] Since both key and chordal inversion are harmonically irrational in this context, I construe the *Steigerung*'s dramatic apex as a momentary "lapse of reason": a temporary, illusory state of fulfillment, or vision of an ideal world yet to come.[22]

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[20] As discussed in Chapter 3 (p. 176), the deployment of this post-recapitulatory P-based *Steigerung* infuses Bruckner's Adagios with a broader ritualistic narrative characterized by the emergence of gradually intensified rebeginnings. Here, each return to the P-theme is a structural pillar within a sonata-formal dramatic trajectory in which a process of gradual revelation fuels the large-scale teleological drive underlying Bruckner's Adagios from WAB 102 onwards.

[21] See, the C-major 6/4s in WAB 104, 105, and 107. In WAB 108 (1887Z), the C-major chord appears in first inversion.

[22] C major, the breakthrough key, is alien to the home key of the Adagios of WAB 103 (E-flat major), 107 (C-sharp minor), and 108 (D-flat major), the three clearest examples of the *Steigerung*/dramatic trajectory I am describing here. This suggests that a pitch-specific association of C major with the idea of transcendence, regardless of surrounding context, is central to the formal content and expressive import of the P-based *Steigerung*.

Following the P-based *Steigerung* comes the second stage of the movement's conclusion, the coda proper, a shorter segment of recessive character that compensates for the monumental, energy-gaining profile of the first stage. It is at the end of this section that the movement finally restores the home-key tonic (see the Ton.^{Aus} in mm. 273–278). Cadential confirmation (mm. 271–273) brings no sense of overcoming, though; instead, as in WAB 100/II-1869bZ,[23] an atmosphere of benediction or peaceful resignation[24] (see the plagal progression and recessive dynamic).

Although locally the P-based *Steigerung* and coda are distinct units, at a higher level they combine to form a single formal section (equivalent to exposition, development, and recapitulation). I characterize this large-scale formal space as the *Vollendung* (completion). Furthermore, in order to differentiate the role of the P-theme in its first part from those in the exposition and recapitulation, I add a new term to Hepokoski and Darcy's standard Sonata Theory terminology: P^{Voll}, or the *Vollendungshauptthema*, to capture its effect of a climactic, cathartic version of the P-theme.[25]

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[23] See Chapter 3, pp. 151–152.

[24] More to the point, as Constantin Floros notes, "towards the end of the Adagio, Bruckner quotes the sleep motif from Wagner's *Walküre* [mm. 266–269], surely no coincidence: my sense is that the quotation refers to the memory of the deceased mother [i.e., Bruckner's mother], conveying the concrete meaning of 'Rest in peace.'" (Constantin Floros, *Anton Bruckner: The Man and the Work,* trans. Ernest Bernhardt-Kabisch [New York: Peter Lang, 2011], 116). Floros's argument is compelling, all the more so considering that Bruckner explicitly associated the S-theme ($S^{1.1}$) of WAB 103/II with the memory of his mother (see Chapter 3, pp. 180–181).

[25] For a paradigmatic example of the Brucknerian *Vollendung*, see the slow movement of WAB 107 (P^{Voll}, mm. 157–193; coda, mm. 193–219).

An important rhetorical aspect of the P^{Voll} is its dialogical engagement with the large-scale architectural principle of rotation, which, as Hepokoski and Darcy explain, "underpins a generous diversity of forms that may be distinguished from one another on more surface-oriented levels."[26] It is precisely the presence of this phenomenon that explains the prevailing analytical tradition associating Bruckner's slow movements with such circular-oriented forms as 5-part rondo, song form, and double variations. Although some such forms (e.g., Type 4 sonata-rondo hybrids) are indeed part of the dialogic environment of many Bruckner slow movements, I view the generic expectations of the Type 3 sonata as more fundamental for WAB 103/II.[27]

Middle and Late Stages: 1877Z & 1879Z, and 1889Z

To resume tracing the movement's compositional history, we may bypass 1874Z[Carragan] and 1876Z[Nowak], and move directly to its middle stage. As Figure 14 illustrates, the modifications found in 1874Z and 1876Z[28] do not fundamentally alter the overall plan of 1873Z. A completely different situation, however, is encountered in

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[26] Hepokoski and Darcy, *Elements of Sonata Theory*, 612.

[27] WAB 103/II-1873Z[Nowak] presents three potential interpretative choices: 1) the first stage of the *Vollendung* might be interpreted as the fifth part of a 5-part song form (A-B-A'-B'-A") with coda; 2) the *Vollendung's* P-theme may be thought of as the final iteration of a Type 4 sonata-rondo refrain (P^{rf}); and 3) the P^{Voll} may be thought of as a "parageneric space" that does not fundamentally challenge the movement's Type 3 status. The first interpretation (5-part song form) is unpersuasive, in the light of the movement's strong sonata-generic markers (among other features, the S-based developmental half-rotation, mm. 89–128). Between the second and third interpretations, the latter seems stronger, given the lack of a P-theme return immediately after the exposition, and the general absence of any rondo-like character.

[28] The changes are more extensive in 1876Z[Nowak], which is 11 measures longer than its predecessors and includes important textural modifications (see, e.g., the violins' descending pattern, mm. 230ff, recalling the overture to Wagner's *Tannhäuser*).

1877Z[Nowak] and 1878Z[Oeser], where the modifications involve extensive formal reworking: Bruckner makes a huge cut from the beginning of the recapitulation (deleting the P-theme, the transition, and the beginning of the S-theme—mm.132–183 in 1876Z[Carragan]), the drastic result of which is to alter the sonata from Type 3 to Type 2.[29] In light of these cuts, the modifications of the late stage (1889Z[Nowak]&[Schalk]) represent a further step along the same path. As shown at the bottom of Figure 14, Bruckner essentially took apart what in 1877Z and 1878Z functions as the Type 2 sonata's Tonal Resolution.[30] As a result, in the inward form of 1889Z, the end of the development connects directly to the *Vollendung*, completely bypassing the recapitulatory space and thus consummating a carefully scaffolded process of recapitulatory disintegration.

[29] On the Type 2 sonata, see Hepokoski and Darcy, *Elements of Sonata Theory*, 353–387. This sonata type, although rare by this time, is found in at least one other movement by Bruckner, the finale of the Seventh Symphony.

[30] On tonal resolution, see ibid., 353–355 and 380. To be more precise, Bruckner deleted mm. 136–143 and 166–181, and recomposed mm. 144–165 in 1878Z[Oeser].

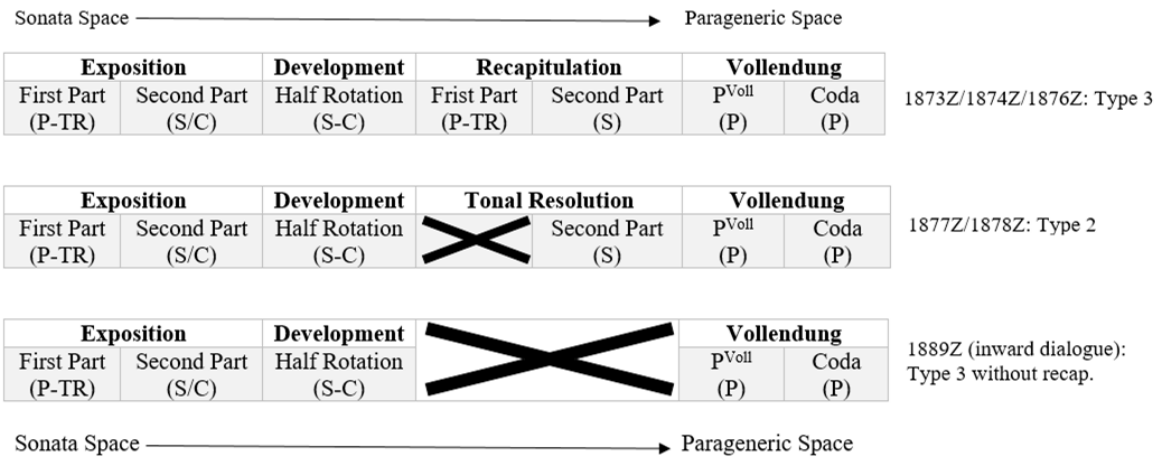


Figure 14. Recapitulatory Disintegration in WAB 103/II

4.2.4 In and Out: 1889Z[Nowak]&[Schalk]

In the early and middle stages of the movement's compositional history, the nonresolving recapitulation transfers the burden of resolution to the *Vollendung.* In its late stage (inward space), the absence of recapitulatory space does nothing to change that: just as in 1873Z, the *Vollendung* in 1889Z fails to provide a parageneric solution to the sonata-formal crisis, thus sealing the movement's fate. The absent recapitulation entails a modification of the movement's expressive narrative, though; a twist, whose expressive import is best captured by a comparison of inward and outward forms in the movement's late stage.

I conclude this overview of WAB 103/II by considering, from a two-dimensional dialogic perspective, the expressive outcome of the formal plan of 1889Z[Nowak]&[Schalk]. As shown in Figure 15, interpretation of formal functionality here depends upon which dialogic dimension is in play. While the sonata-formal crisis in the *outward dialogue* takes shape only *after* the recapitulation begins, in the *inward*

dialogue this crisis is triggered by suppressing the recapitulation altogether. Thus, although both dialogic dimensions produce a "prematurely failed" sonata process, in the inward dialogue the entire sonata (as opposed to only the recapitulation) is aborted. As a result, inward and outward dialogic perspectives each carry their own interpretative implications.

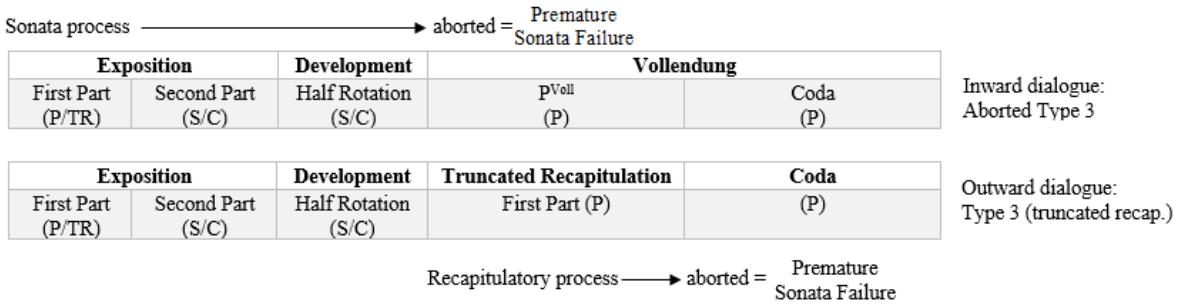


Figure 15. WAB 103/II-1889Z[Nowak]&[Schalk]: Processes of Sonata Failure

Dialogical Synergy: The Region of Dialogical Play

It does not seem too far-fetched to suppose that, for a particular listener with knowledge of both sonata-generic expectations (the outward regulative principle) and the movement's compositional history (the evolving *Anlage* or inward regulative principle), the experience of 1889Z[Nowak]&[Schalk] will subsume both dialogical dimensions. If so, the resulting two-dimensional dialogue would inhabit a conceptual space between the two kinds of dialogue, a zone of interaction that I characterize as a *region of dialogical play*.[31]

[31] My concept adapts Kofi Agawu's *region of play,* in his semiotic theory of Classical-period music, where it characterizes the zone of interaction between structural (harmonic) and expressive (topical) dimensions. Agawu (after Roman Jakobson) refers to these respectively as *introversive* and *extroversive* semiosis (see Agawu, *Playing with Signs,* 23–25 and 127–134). In my adaptation, these translate to inward and outward formal dialogues.

This space of interpretative confluence is of special interest when the overlapping interpretations are not the same, thus yielding a compound, richer interpretation. In the case of 1889Z, the two intersecting interpretations—truncated recapitulation and truncated sonata—reinforce a dramatic trajectory characterized by the exacerbation of sonata-failure conditions. As Hepokoski and Darcy explain, "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."[32] From a broader interpretative perspective, then, sonata failure is far from signifying a lack of strength or self-assurance, even though it is construed within the music's drama as the movement's inability to attain generic completion. Following this logic, in WAB 103/II the connection between the exacerbation of sonata-failure conditions and compositional reworking takes on a larger significance for the assessment of Bruckner's oeuvre: Since, as shown in this chapter, the gradually reinforced sonata-failure trajectory of WAB 103/II is contingent upon compositional reworking, we may as well take Bruckner's penchant for revision (often casted in a negative light as his "weakness") and construe it as one of his foremost acts of self-determination.

4.3 Closing Remarks: Criticizing the Critics—An Analytical Perspective

As noted in Chapter 1, Bruckner's treatment of large-scale form and the textual idiosyncrasies of his symphonies loom large in his music's reception history. Because the

[32] Hepokoski and Darcy, *Elements of Sonata Theory*, 254.

textual multiplicity often associated with Bruckner's works does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his's oeuvre. Moreover, in addressing traditional and innovative formal aspects of Bruckner's music, critics have tended to overemphasize one side or the other, consequentially portraying his handling of large-scale form as either whimsical or schematic.

The present study showed, however, that influential lines of criticism in the reception history of Bruckner's handling of large-scale form, although certainly significant from a historical viewpoint, find little substantiation in the acoustical surface of Bruckner's music and its dialogic engagement with mid- and late-19th-century generic expectations. As my analytical reconstruction in Chapter 3 of the development of Bruckner's early approach to slow-movement form demonstrated, it is possible to account for the dialogic environments of all his slow movements composed between 1862 and 1873. This holds true even for the unusual formal patterns deployed by Bruckner in the slow movements of WAB 102 and 103. Moreover, lines of continuity between the different phases of experimentation suggest that the forms attained at each level were Bruckner's internally coherent reactions to an apprehensible preoccupation with 1) large-scale formal organization and 2) the tonal/thematic processes found in the dramatic plot of Enlightenment formal teleology (that of sonata form above all). Thus, to claim, as some have done, that his forms are puzzling to the point of formlessness is, at least in the case of his slow movements, analytically unjustified. Along similar lines, the

variety of forms deployed by Bruckner in his slow movements and their significant mixture of conventional and deformational procedures, render inaccurate their characterization as "too formal in their reliance on classical models," or "excessively similar and predictable" (see section 1.1.2).

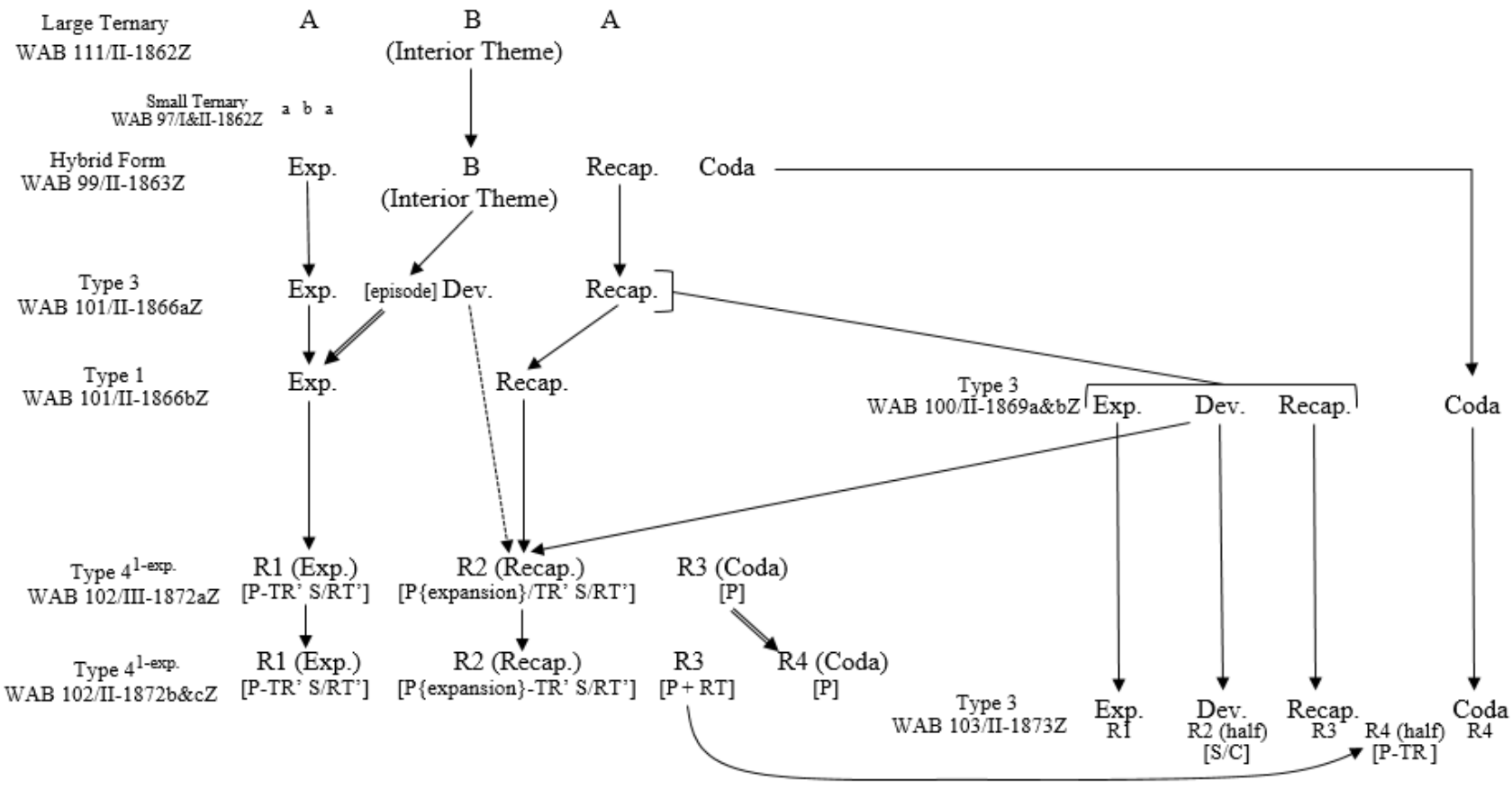
By adopting a broader outlook on the actors and processes involved in the formation of musical works, I laid the conceptual groundwork for a radical break from the traditional framing of the "Bruckner Problem." As I elaborated in detail in Chapter 2 (and further in Chapter 4), most past engagements with the issue of textual multiplicity in Bruckner's works have operated under philological and text-critical premises that, implicitly or explicitly, construe his music as somewhat defective. My conception of the work as a never-ending formative process involving multiple creative agents circumvents this shortcoming, thus turning the "Bruckner Problem" into the Bruckner Potential.

Furthermore, as developed in Chapter 4, textual multiplicity in Bruckner's works represents an excellent opportunity for musical analysts to engage with the endeavors of composers and editors, both in terms of processes and outcomes. Building on that premise, and my dual-dimensional dialogic approach to formal matters, I demonstrated in Chapter 4 that it is possible to account for both 1) the dialogic synergies between different *Zustände* of a single Bruckner movement and a larger established repertoire, and 2) the formal/expressive trajectory (the evolving *Anlage*) created by the multiple *Zustände* of one individual movement.

In the present study, I have focused solely in Bruckner's early slow movements for practical reasons. The ideas here presented, however, could just as well be applied to

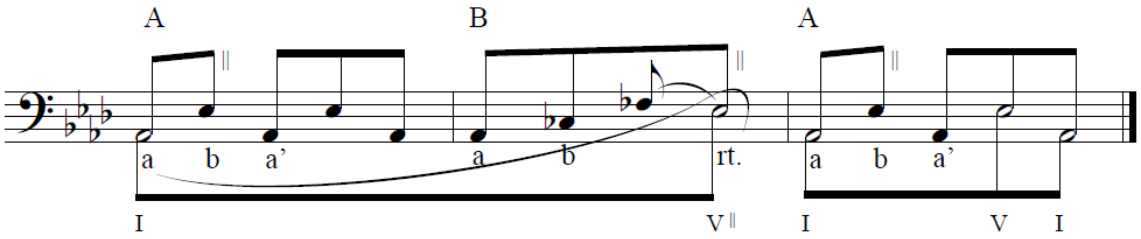
any other composer. Needless to say, a broader and fuller consideration of these topics necessarily entails an investigation of the fast-tempo movements of Bruckner's symphonies, a much-needed task that, combined with the ideas presented in this study, will hopefully lead us to a better grasp of Bruckner's compositional world, and thus, to a more nuanced and sympathetic understanding of his symphonic forms and their textual characteristics.

APPENDIX A: NETWORK

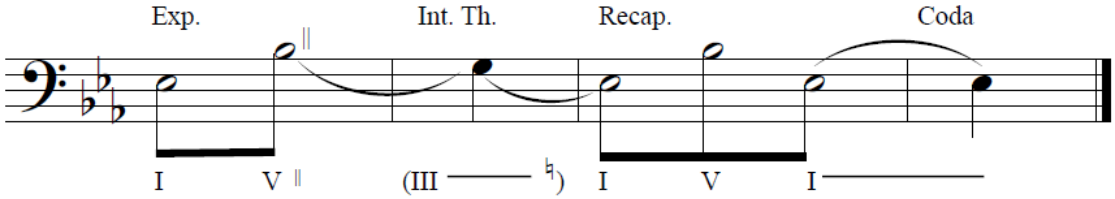


APPENDIX B: GRAPHS

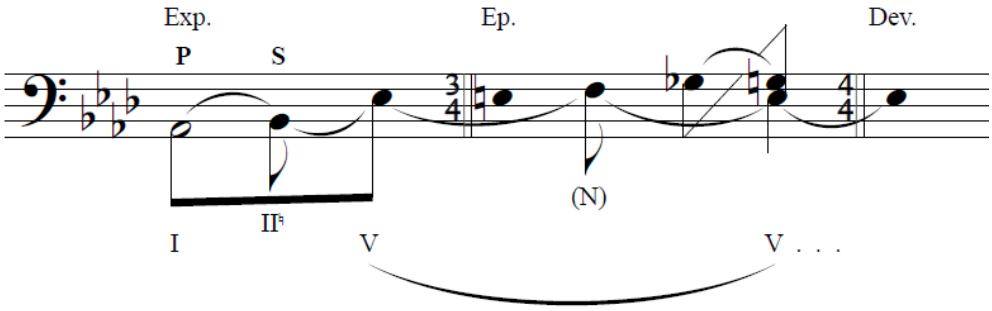
Graph 1: WAB 111/II



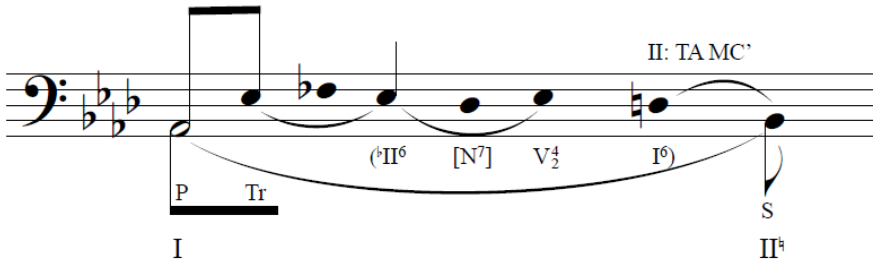
Graph 2: WAB 99/II



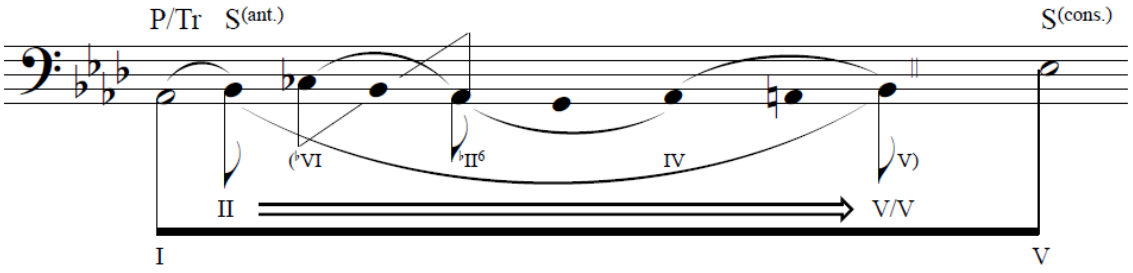
Graph 3: WAB 101/II-1866aZ



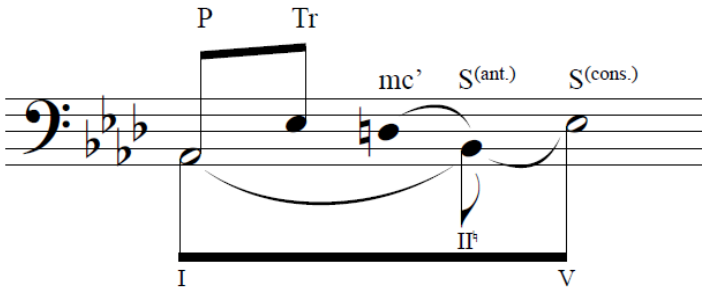
Graph 4: WAB 101/II-1866aZ



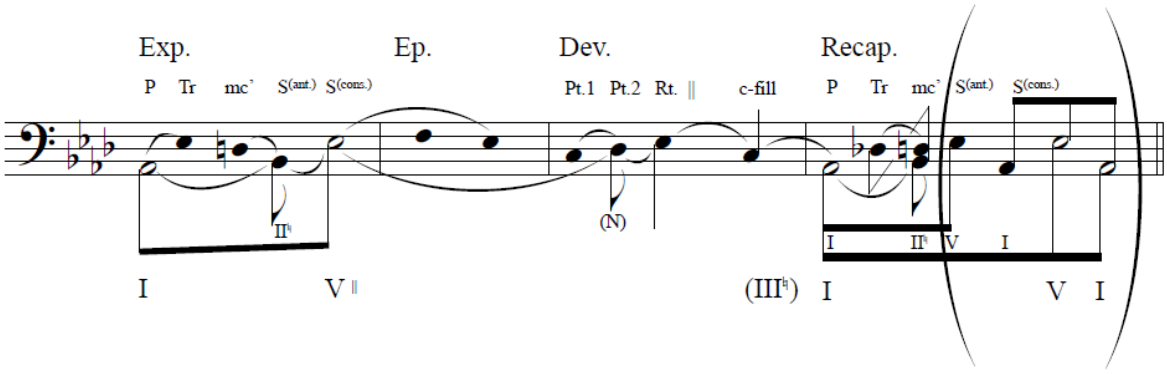
Graph 5: WAB 101/II-1866aZ



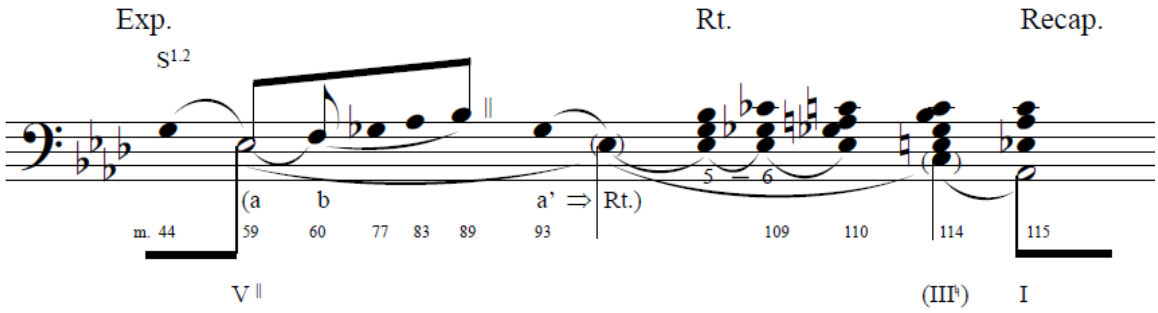
Graph 6: WAB 101/II-1866aZ



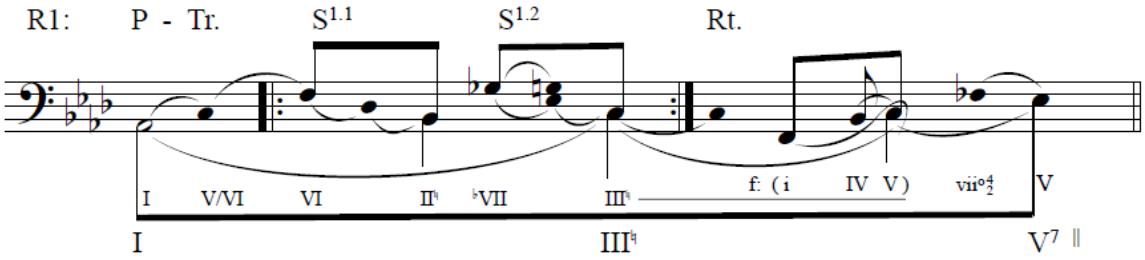
Graph 7: WAB 101/II-1866aZ



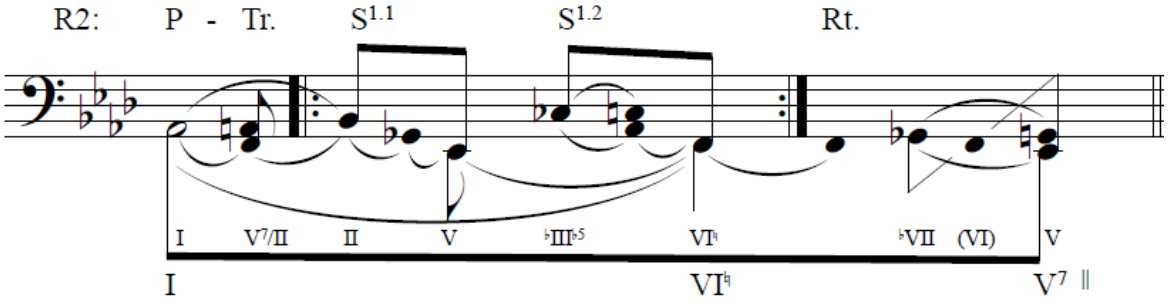
Graph 8: WAB 101/II-1866bZ



Graph 9: WAB 102/III-1872aZ



Graph 10: WAB 102/III-1872aZ



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