

**Towards a hermeneutic understanding of
Schubert's 1825 piano sonatas:
constructing and deconstructing interpretation from
expressive opposition**

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ABSTRACT

Scholars in the last fifteen years have engaged with Schubert's late instrumental music with greater sympathy and rigour than earlier generations. Of the different genres to have benefited from this engagement, the sonatas for piano have received most attention, particularly the trilogy from the composer's last year, 1828. By comparison the response to the three sonatas of 1825 has been less committed: outside general stylistic studies and biographies, discussion is often limited to a single sonata and rarely stretches beyond a movement.

From this perspective of relative neglect, and building on a personal familiarity with the sonatas from performance, the thesis offers a detailed analytical scrutiny. Each work is addressed in separate chapters with interpretative criteria derived from older reception. The criteria, in turn, is deconstructed with analysis that groups a wide range of musical components into patterns of opposition. For each sonata the analytical reading is from left-to-right: for D850 and D845, from the beginning of the first movement through to the end of the fourth; for D840, from passages where there is a build-up through to a retreat from an expressive peak. From tracing an interpretative trajectory, hierarchical shifts between opposition are revealed and significance is drawn from how the sonata or passage ends. Although topics, gestures, and narrative contexts are identified in the main analytical discussions, a more specific hermeneutic reading is reserved for the concluding commentaries to each sonata.

The final chapter addresses in detail, and in the context of Schubert reception, issues

of tension, resolution and gesture raised in earlier discussion. To conclude, Robert Hatten's theoretical discourse on gesture will offer principles applicable to the expressive opposition and interpretative trajectories identified in the thesis. Drawing upon some of the recent reception of other Schubert works will help the 1825 sonatas to emerge from their relative isolation.

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LAYOUT OF MOVEMENTS

Unfinished Sonata in C ('Reliquie', D840) : autograph dated April 1825

1. Moderato, C major, C
2. Andante, C minor, 6/8
3. *Menuetto*, A-flat major, 3/4 (composition breaks off after few sketched bars of the reprise); Trio, G-sharp minor, 3/4 (complete)
4. Finale, C major, 2/4 (composition breaks off at bar 272 of development)

Sonata in A minor (D845): autograph lost; first edition published as op.42 by Anton Pennauer in 1826 with a dedication to Cardinal Rudolph, Archduke of Austria

1. Moderato, A minor, *alla breve*
2. Theme and Variations: Andante con moto, C major, 3/8
3. Scherzo, A minor, allegro vivace, 3/4; Trio, un poco più lento, F major, 3/4
4. Finale, allegro vivace, A minor, 2/4

Sonata in D major (D850): autograph dated August 1825 with place of composition (Gastein) given; published by Mathias Artaria as op.53 with dedication to Karl Maria von Bocklet.

1. Allegro, D major, *alla breve*
2. Andante poco moto, A major, 3/4
3. Scherzo, D major, 3/4; Trio, G major, 3/4
4. Finale, allegro moderato, C

A note on editions

For the three sonatas, the following editions have been used:

Walburga Litschauer (ed.), *Werke für Klavier zu zwei Händen, Band 2, Klaviersonaten II, Neue Ausgabe sämtlicher Werke*, (Bärenreiter, 2003);

Howard Ferguson (ed.), *Schubert. Complete Pianoforte Sonatas, vol II and III, The Associated Board of the Royal Schools of Music*, (1980)

Martino Tirimo (ed.), *Franz Schubert. Sämtliche Klaviersonaten Band 2 und 3, Schott/Universal Urtext edition*, (1999)

Preface

Despite the lack of a specific performance agenda, this thesis has benefited and been influenced by performance. From 1999 to 2001, the three sonatas Schubert composed in 1825 were part of my repertoire as a pianist. During this time I became very familiar with the music, a strong factor in my decision to write a thesis. The knowledge I acquired from preparing and giving concerts has consequently been developed and channelled into an analytical discussion; it has been useful for providing some of the detail of the analysis and for deconstructing some of the reception of the sonatas.

A further influence has been the piano teaching I received, in particular the importance one teacher, Roy Howat, placed in deriving expression from a perception of the musical text. In lessons it was often stressed to me that musical feeling should be guided by the ‘aural and visual awareness, skill and sensitivity’ to the score and should never ‘ignore or override a composer’s indications’.¹ In providing interpretation from a close reading of the text, I have tried to adhere to this advice.

With my analytical approach I have also tried to adopt the effectiveness of a good performance, one where interpretation of a particular passage gains conviction when it is clearly differentiated from a contrasting passage. The contrast in Schubert’s music (both vocal and instrumental) has been explored in more depth in recent years, and, as a result, there has been more analytical engagement with musical components that have often been overlooked in the past. It is perhaps no coincidence that some of the writers who have addressed texture, dynamic, register and articulation in Schubert’s sonatas have also

¹ Roy Howat, ‘What do we perform?’, *The practice of performance: studies in musical interpretation*, ed. J Rink (Cambridge, 1995), pp. 3-4.

been pianists. Their writing has shown me how these components, either in a contrasting context or as isolated examples, might be included in an analytical discussion.²

In addressing every movement of the 1825 sonatas in this study, I have also tried to apply the open mind and positive attitude of a performer. When preparing a sonata for a concert, a musician will naturally have to pay some attention to each movement. As well as the technical obstacles, the interpretation of a particular movement has to be thought through and related to the overall interpretation offered for the sonata. Any reservations or negative reception known has to be put to one side; for the interpretation to convince, the performer must have a certain belief in the work. This attitude has helped me construct interpretation for each movement and come to terms with some of the deficiencies and prejudices of an inherited reception: in particular the top-heaviness of sonata literature (with its traditional emphasis of first movements) and the often dismissive and unsubstantiated reception to Schubert's finales.³

A further factor in choosing to write a thesis on the 1825 sonatas was the relative lack of engagement by pianists and scholars with the works. Of the eight sonatas from the composer's last five years (1823-8), the three from 1825 are the least performed and compared to the final trilogy have received less writing. Yet, curiously, apart from the unfinished movements of the *Reliquie* sonata (D840), the works have seldom attracted

² These include: Robert S. Hatten, 'Thematic Gesture in Schubert: The Piano Sonatas in A Major, D.959, and A Minor, D.784', Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert (Indiana, 2004); Charles Fisk, Returning cycles: contexts for the interpretation of Schubert's impromptus and last sonatas (California, 2001); William Kinderman, 'Wandering Archetypes in Schubert's Instrumental Music', 19th-Century Music, vol. XXI, no.2 (1997), pp.208-222; and Jeffrey Perry, 'The Wanderer's Many Returns: Schubert's Variations Reconsidered', Journal of Musicology, XIX, no.2 (Spring 2002), pp.374-416.

³ The latter has been rarely encountered since Thomas Denny, 'Too Long? Too Loose? Too Light?- Critical Thoughts About Schubert's Mature Finales', Studies In Music (Aus), XXIII (1989), pp.35-52. Denny argues persuasively that the problems in Schubert's finales should be less exaggerated and considered in the context of the stylistic directions his music was taking up until his death.

negative criticism from performers or scholars. The primary aim of this thesis is not to offer speculation on why these sonatas are not played or written about as much as others; nor does it attempt to make out a case for the works to be placed more centrally in the Schubert canon. Rather, it takes the opportunity to explore in detail works that have seldom received sustained analytical engagement, and by doing so, claims that they deserve more attention.

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Of other staff members, I would like to especially thank Gillian Jones and Judith Hurford, both of whom have helped me find important source material, whether from the music library, the internet or abroad. In the context of the relatively little amount of writing on the sonatas in recent years, their input has been invaluable.

For IT support, I would also like to mention John Pugh and especially Julian Green. Through their efforts, many of the examples of the PhD have been made possible.

Lastly, I would like to thank Valerie, Michael and Emma. As the most important people in my life, they have been enormously kind and sympathetic during a time when most of my attention has been with this thesis. All three, and especially my partner Emma, have provided me with support that has allowed me to write and continue to explore my understanding of Schubert. In acknowledgement of this, I would like to dedicate my thesis to them.

Chapter 1 Introduction

General Summary

An examination of expressive opposition in the piano sonatas Schubert wrote in 1825 helps to bring a sense of purpose and coherence to a study of three independent works. Although the sonatas date from the same year, there is no evidence to suggest that the composer considered them as a group: nowhere in the Deutsch documents is there any reference made by Schubert to ‘the sonata trilogy of 1825’ or mention of a performance he or a friend gave in a single sitting. Nor does he use the titles *Sonate I*, *Sonate II*, *Sonate III* on the autographs or proof editions as he did on the autographs of the three sonatas of 1828. With the occasional exception, scholars have not attempted to link the works.¹

Partly out of respect for this lack of grouping, a chapter is devoted to each sonata and comparisons between the works are generally avoided. (From most of the comparisons, expressive opposition is usually revealed.) To cue analytical discussion and provide some interpretative criteria, however, each chapter takes a comment from the reception of the

¹ In a neat turn of phrase, Andreas Krause has grouped them with the G-major sonata of 1826 (D894) as examples of ‘diversity in unity’. He draws attention to the works as embodying a middle-period sonata style that anticipates the later style of the final trilogy (for Krause a more unified set of sonatas), and comments briefly on shared contexts of dance, nature, biography and symphony. Andreas Krause, *Schubert-Handbuch* (Bärenreiter, 1997), pp. 392-420. Elsewhere, Krause has traced motivic connections between corresponding parts of the sonatas, between different parts of the sonatas, and between different parts of a particular movement: see Walther Dürr and Andreas Krause (eds.), *Die Klaviersonaten Franz Schuberts. Form. Gattung. Aesthetik* (Bärenreiter, 1992), pp.84-92.

work under consideration: with D840 and D850 this is derived from a particular scholar; with D845, from the reputation of the work. Deconstruction of the criteria is then undertaken following analysis that compares musical examples. The comparison might be between examples juxtaposed in a movement or from a corresponding part of two works or a corresponding part between two movements of a single work. Although occasionally a subtle difference or similarity will be shown, most comparisons will reveal difference, in particular, opposition. This will not only help to deconstruct the interpretative criteria derived from others, but also offer the possibility of new and more nuanced interpretation.

Although the focus of the analysis varies from one sonata to the next (as the music differs and certain interpretative criteria are explored), for all three a comprehensive range of musical components is considered. These include components that have traditionally enjoyed primacy of place in sonata-form analysis (tonality, harmony, mode, melodic and rhythmic motifs) and those that have been devalued as surface details (register, pitch, contour, texture, and dynamics). On a more hermeneutic level, these components will sometimes help to convey a contrast of topic (for example, between heroic and pastoral or tragic and pastoral) or a contrast of narrative (past, present or future).

For D850 and D845, the analysis covers virtually the entire work by systematically moving from the beginning of the first movement through to the end of the fourth. For D840, although part of the analytical discussion is concerned with specific musical examples (namely a build-up and retreat from an expressive peak), these examples are examined in chronological order of appearance. For D850 and D845, the advantage of a

detailed left-to-right reading is twofold: first, it allows the expressive opposition to be observed in different shifting contexts, so avoiding the over simplistic meaning that is sometimes derived from binary opposition; second, it reveals an expressive trajectory to the work that invites significance to be drawn from how the sonata ends. For D850 the main interpretative claim is taken from the finale, in particular from the final reprise of the principal theme and the coda; for D845, from the coda of the first movement, particularly from the final phrase and the related coda of the finale. Although the focus of the chapter on D840 is on four examples (three from the first movement, one from the minuet), the main interpretations are similarly derived: from the end of each example.

Context and Critical Reception

Reception is important to this study, not least in providing commentary that stimulates analytical discussion and offers interpretative criteria for each work. The chapter on D840 takes its departure from discussion of the sonata by Elizabeth Norman McKay, from her biography of the composer; for D850, Hans Gál's writing from his stylistic study Franz Schubert and the Essence of Melody is used.² Both sets of commentary are brief, with little analytical illustration, and provocative: from the expressive shape of some musical passages in D840, McKay claims an unprecedented epic quality that prefigures the Ninth Symphony (D944); whilst Gál views the first movement of D850 as a convincing example of Beethoven's heroic style. The process of deconstructing their

² Elizabeth Norman McKay, Franz Schubert. A Biography (Oxford, 1996) pp.214-5 and 260-1; Hans Gál, Franz Schubert and the Essence of Melody (Gollancz, 1974), p.111. The latter was translated by the author from originally Franz Schubert oder die Melodie (Frankfurt, 1970).

interpretations is applied to the musical examples they address and to the other parts of the sonatas they overlook. For the latter, their respective criteria (for example, an epic narrative or heroic topic) will either be adapted to a different musical context or will prove impossible to sustain, in which case new more appropriate criteria will be suggested.

The analytical focus of **Chapter 2** is on passages in D840 that build up and then retreat from an expressive peak. Four main examples are addressed and interpreted in the context of earlier Schubert works, the later Ninth Symphony (D944), and different narrative types. These musical and interpretative contexts derive from discussion of the sonata from Elizabeth Norman McKay. McKay provides a brief verbal description of two of the examples with mention of some rhythmic, melodic, textural and modulatory details. More importantly, however, is the expressive shape of the examples (a build-up, peak and retreat) which prefigures the Ninth Symphony and suggests ‘an epic character’ for both works. For McKay this ‘epic character’ marks a new development in the instrumental music of the composer.

Passages of a build-up, peak and retreat, located by McKay in the development of the first movement and the central section of the minuet, offer a juxtaposition of three distinct stages that can be examined in other parts of the sonata and can be understood in the context of a particular form. The two other examples where all three or at least two of these stages can be found are in the transition between the first and second group of the first movement. The expressive shape of the examples is also applicable to the level of

contrast in the second movement, a rondo/variation form. This will highlight the build-up in quantity of contrast that peaks in the central section and returns to a level proportionate to the beginning of the movement. As a result, the greatest degree of contrast will be highlighted between the central and outer A sections, not between the A and B sections. This view qualifies and moves away from the traditional one of Schubert's slow movements that stresses a juxtaposition of contrasting sections.

To understand the expressive shape of each example, register, pitch and quantity of bars will be examined, as well as dynamics and texture. Through comparing examples, differences of trajectory will be highlighted, revealing either a symmetrical build-up and retreat ('a musical arc') or a sudden change of register and dynamic following a brief climax. Where possible, discussion will draw upon a comparable example from Schubert's earlier instrumental works (piano sonatas and chamber music). This will challenge McKay's assumption that the build-ups and retreats from a climax in D840 represent something new in Schubert's music. The scale of comparative moments in earlier works will further undermine or offer some degree of support for McKay.

Regardless of conclusions drawn, by comparing D840 to earlier works, passages of a build-up, peak and retreat will be viewed in less isolation and will not be considered as a phenomenon that suddenly appeared in 1825. Indeed for the first chapter on the sonata probably written first and for a thesis on three sonatas written in the same year, the comparison with earlier works provides some historical context. With the comparison to the Ninth Symphony, a later context is offered, one which prompts further analysis of the four examples and discussion of their tonal and harmonic details.

The importance of the symphony to Schubert's development as a composer of

instrumental music is widely recognized, with many scholars referring to his letter to Kupelwieser where he states his intent ‘to pave my way towards a grand symphony’ with instrumental works.³ Of these instrumental works, Schubert cites the Octet (D803) and the String Quartets in A minor (D804) and D minor (D810) and the possibility of another quartet, but gives no further indication in the letter or elsewhere to how he would musically prepare for a symphony. These comments from the letter are often quoted or referred to before the Octet and quartets are discussed.⁴ Any kind of specific or sustained comparison between these chamber works and the symphony is rarely undertaken, however. A similar situation exists with the 1825 sonatas, despite the works being closer in date to the symphony than either the Octet or quartets.⁵

Elizabeth Norman McKay’s own comparison between D840 and the symphony is brief, limited to detailing musical characteristics (rhythmic motifs, antiphonal textures and harmonic progressions) and draws on no specific example from the orchestral work. Although her discussion of rhythmic motifs and antiphonal textures in the sonata invites further interpretation of the orchestral sound of the work, this is not the primary concern of the chapter.⁶ Rather, the aim is to compare the four examples of the sonata with specific and sometimes corresponding parts of the symphony. From similarities revealed, relationships will be drawn which will suggest some influence for D840; while

³ Schubert to Leopold Kupelwieser, Letter of 31 March 1824, O. E. Deutsch (ed.), Schubert. A Documentary Biography, trans. E. Blom (London, 1946), pp.338-41.

⁴ See Martin Chusid, ‘Schubert’s chamber music’, The Cambridge Companion to Schubert, ed. C. H. Gibbs (Cambridge, 1997), p. 179; and Krause, Schubert-Handbuch, p.392.

⁵ The composition of D850 and the first movement of the ninth probably overlapped. D840 and D845 preceded both works by a few months.

⁶ Although there is an ‘orchestration’ suggested for part of the first example (see chapter 2, p.54-5), and an antiphonal exchange noted in the third. Andreas Krause has recognized the need for a systematic approach to scrutinize the orchestral sounds of work such as D840. Although he does not specify the approach, he compares the opening motif of the sonata to the opening of the ninth. For him the sound and interval of a sixth in the motif is comparable to the pair of horns playing in unison at the beginning of the symphony. Krause, Schubert-Handbuch, pp. 414/419.

differences will clarify the particular qualities of the sonata, namely its unconventional harmonic/tonal design.

In the concluding commentary to each of the four examples, a complex relationship is noted between different musical components. This complexity is often conveyed from the difference between a clearly defined expressive shape and a less than straightforward harmonic/tonal design. A related situation can be found at the end of some of the examples, where a registral and dynamic retreat reaches a clear moment of arrival (a recapitulation or second subject) and a resolution to a key distant from the tonic. Parallels will be drawn with Beethoven (expressive build-up to a peak, repetitive rhythmic motifs and foreshortening of motifs), only for distance to be claimed from the composer through harmonic/tonal contexts rarely found in his music.⁷ Only occasionally (following the peak of the development of the first movement) is there a less than complementary relationship between register and dynamic.

The main conclusion of the chapter reiterates and in most cases takes these interpretations further. Important to a thesis which examines most of the music of each sonata chronologically and draws meaning from how each movement ends, the order of each expressive stage of the examples and their eventual outcome is also focused on more strongly. The relationship between the expressive stages (a build-up, peak and retreat) and harmony/tonality, which was viewed earlier as complex, will be understood as one of conflict or tension. The earlier recognition of Beethovenian material will be more strongly interpreted as a deliberate attempt by Schubert to conjure up the older composer in order to negate him. To support this interpretation, earlier discussion of

⁷ Despite her recognition of the expressive shape and the repetition and foreshortening of rhythmic motifs, McKay draws no analogy to Beethoven.

harmony/tonality will be recalled and further attention will be drawn to the introspective outcome of each example, the antithesis of a moment of heroic triumphant. As most of these outcomes are reached at a point of structural arrival and with resolution to a key distant from the tonic, most tension will be claimed here.

A summary and more specific interpretation of each example will then be contextualised with one or more temporal and narrative type. (Although earlier in the chapter a problematic narrative was sometimes noted, this was merely to underline the complex relationship between different musical components.) Three different types will be considered: past/lyric, present/epic, and future/drama. Each of these derives from Emil Staiger, in particular his correlations between different levels of consciousness (as defined by Martin Heidegger) with different genres of poetry. Further discussion in the chapter will draw upon John Daverio's critique and translation of Staiger and Heidegger.⁸

Taking some of the narrative contexts Schumann applied to Schubert, John Daverio has constructed detailed interpretations of some of the late instrumental works. His epic reading of the Trio in E flat (D929), for example, is indebted to Schumann's review, in particular the 'active' and 'masculine' descriptions given to the work.⁹ For the set of four Impromptus (D935) Daverio draws upon a different set of metaphors, those of memory and of the past. Prior to his critique of the review and his own analysis of the Impromptus, Daverio notes the consistency with which Schumann uses metaphors of pastness to describe Schubert's music, citing a diary entry where the slow movement of

⁸ John Daverio, *Crossing Paths: Schubert, Schumann, Brahms* (Oxford, 2002), p.48. For original Emil Staiger source see *Basic Concepts of Poetics*, trans. J C Hudson and L T Frank, eds. M Burkhard and L T Frank (Pennsylvania, 1991, trans. of *Grundebegegriffe der Poetik*, [1946]), pp.186-8.

⁹ *Ibid*, pp. 19-31.

the 'Wanderer' Fantasy (D760) is likened to a 'gentle reflection on lived experience' and the *Sehnsuchtswalzer* to 'memories of lost youth and a thousand loves'.¹⁰

Daverio's writing on the Impromptus not only appears as a chapter in his recent book, Crossing Paths: Schubert, Schumann, Brahms, but also as part of a collection of essays.¹¹

The purpose of these essays is to explore associative conditions of memory such as 'recollection, retrospection ... nostalgia' in late works.¹² Although the writers (Walter Frisch, Scott Burnham, Charles Fisk, John Gingerich, as well as Daverio) are aware that concepts of memory and pastness have been characteristic of Schubert criticism since Schumann, their writing is distinguished from preceding generations in two respects: one, the comprehensiveness of their analytical discussion; and two, an awareness that the past is a useful metaphorical tool for understanding Schubert's music. All five of the writers acknowledge the growing recognition that 'the language developed for analyzing the music of Schubert's great "other", Beethoven, is inadequate for the younger composer' and that 'the vocabulary of memory offers a plausible alternative'.¹³

In musical content and application of more than one temporal/narrative type, the examples of D840 differ from those given in Daverio's book and in the collection of essays detailed above. Although Schubert reception often recognises a shift in temporality/narrative (for example, in Daverio's discussion of the first Impromptu), this is often after a prolonged formal section where only one type is considered. The suggestion of two contrasting types over a relatively short period (which will be

¹⁰ Ibid, p.49. Translation from Tagebücher, vol. 1: 1827-38, ed. Gerd Nauhaus. Leipzig: VEB Deutscher Verlag für Musik (1987) and 'Der Psychometer', Neue Zeitschrift für Musik 1 (26 May 1834), p.63.

¹¹ John M. Gingerich, 'Remembrance and Consciousness in Schubert's C-major String Quintet, D956'. This essay is part of a collection, 'Music and Culture. Memory and Schubert's Mature Instrumental Music', ed. Walter Frisch, Musical Quarterly, vol. 84, no.4 (Winter 2000), pp.619-634.

¹² Walter Frisch, 'Music and Culture', p.581.

¹³ Ibid.

interpreted from the build-up and retreats from a peak in D840) does not feature in any of the works examined. (These works include the C-minor Piano Sonata, D958, the G-major String Quartet, D887, the String Quintet, D956, the four set of Impromptus, D935, and the E-flat Piano Trio, D929.)

The musical parallels drawn with Beethoven are also different. Most of the scholars make a specific musical link between a Beethoven and Schubert work in order to reveal temporal/narrative opposition. In the examples of D840, no specific musical comparison is made with Beethoven; rather attention is drawn to material that is characteristic of the older composer. (This includes, to reiterate, a build-up to a peak, repetitive rhythmic motifs and foreshortening of motifs.) The suggestion of invoking Beethoven for one-half of each example (during the build-up) only to suppress him with uncharacteristic harmonic/tonal contexts and an eventual goal of introspection encapsulates, perhaps, the narrative opposition addressed in the 'Memory and Schubert' essays. As this process of suppression begins in the build-up, however, applying an epic or dramatic narrative will prove to be problematic. Consequently a less simplistic and more asymmetric narrative opposition will emerge, one which favours the past.

Although John Daverio and the other scholars do not address D840, their writing, as far as analytical approach and interpretation is concerned, provides some precedent for the chapter on the sonata. Each one examines a particular work chronologically and places a wide range of musical components within the context of a past narrative. Importantly they show how it is possible to apply a particular narrative to specific parts of Schubert's music, which has not always been the case when narrative issues have been

raised with regard to the composer.¹⁴ Together with Staiger and Heidegger's definitions, this engagement with concepts of memory and the past is one that will be adapted to the examples of D840.

Although in chapter 2 distance from Beethoven's heroic music is suggested in the main analytical discussion and more assertively in the conclusion, it is primarily used to highlight the narrative contexts of D840. In **chapter 3**, however, distance from the heroic topic is claimed as the overriding expressive trajectory of D850. Within this trajectory it is possible to view different degrees of distancing and trace a cumulative process by which the distancing is increased in later movements. The interpretation of the examples of D840 as deliberate attempts to invoke Beethoven in order to suppress and move away from him is therefore applied to the whole of D850.

The expressive trajectory of D850 negotiates two opposing views of Hans Gál (1890-1987). In his book Franz Schubert and the Essence of Melody, these views are expressed independently of each other and offer a conflicting critique of the sonata that is neither recognised nor resolved. Gál's first view asserts a heroic status for the first movement; while the second draws attention to the gentle and localised qualities of the other

¹⁴ McKay suggests that the narrative content in the development section of the first movement and the corresponding part of the minuet is reminiscent of Walter Scott and Romantic expression in general. Further analogy is suggested from a scenario where a 'battle scene is followed by the bleak, tragic stillness of the battlefield after the fight'. For McKay, such interpretation of D840 is more revealing than the similarity between motifs in the sonata and the 'Lady of the Lake' song cycle based on Scott's poetry. See Franz Schubert, pp.214-5. Susan McClary has also drawn parallels between Schubert and narrative, her purpose being to suggest a shared context of homosexual identity. For McClary, the composer with Marcel Proust, André Gide, Radclyffe Hall, Tennessee Williams, and James Baldwin, conveys a narrative that 'often presents a tragic vision of the world in which the self and its pleasures are mutilated by an uncomprehending and hostile society'. 'Constructions of Subjectivity in Schubert's Music', Queering the Pitch: The New Gay and Lesbian Musicology, eds. Philip Brett, Elizabeth Wood, Gary C. Thomas (Routledge, 1994), p.227.

movements, particularly the third and fourth. For each opinion, there is some support in the reception of D850. In some of the reception contemporary to Gál, the heroic topic is identified in the first movement.¹⁵ In recent writing, however, no heroic context has been claimed; rather, attention has been given to the vernacular characteristics of the sonata, for example the folk and Viennese dance topics of the third and fourth movements.¹⁶

Hans Gál places the first movement of D850 in a privileged position with those of the ‘Unfinished’ Symphony (D759), the String Quartet in D minor (D810) and the Piano Trio in B-flat major (D898) as the only examples where Schubert ‘completely adheres’ to a heroic model. Preceding this assertion, he gives a brief critique of the heroic ideals of ‘a fully-developed sonata form’. The critique concentrates on thematic presentation and treatment, with attention drawn to the strong definition of a theme and its rigorous development in the course of a movement. For Gál this is evident in every Beethoven symphony and helps to create ‘a vital tension of form’. Although the heroic principles outlined in the critique will offer some context for the opening motif of D850 and its treatment in the first movement, Gál himself does not make any specific comparison between the sonata and Beethoven.

For a more comprehensive and rigorous assessment of the heroic topic which will be used to help identify heroic characteristics in the first movement of D850 and compare them to Beethoven, the chapter will rely on Ludwig van Beethoven: Approaches to His Music by Carl Dahlhaus and especially Beethoven Hero by Scott Burnham.¹⁷ Part of

¹⁵ See Philip Radcliffe, ‘Schubert Piano Sonatas’, BBC Music Guides (1967), p.28. Arthur Hutchings offers some qualified support for Gál noting that D850, like many of Schubert sonatas, begins with ‘a heroic gesture’ but then ‘falls back on stock triplet figures’ only to return in the ‘long-overdue recapitulation’, ‘Schubert’, The Master Musicians (London, 1945), p.143.

¹⁶ Krause, Die Klaviersonaten, pp.210-11; Dieter Schnebel, ‘Schuberts Ländler’, Dialekt ohne Erde (Studien zur Wertungsforschung, 1998), p.34

¹⁷ Carl Dahlhaus, Ludwig van Beethoven: approaches to his music, trans. Mary Whittall (Oxford, 1991); S Burnham, Beethoven Hero (Princeton, 1995).

Dahlhaus' discussion on Beethoven's heroic period from his chapter 'New Paths' will build on Gál's brief critique: it will provide a more detailed understanding of thematic transformation and development and a more nuanced view of the main theme, one which stresses its initial harmonic and structural instability.¹⁸ In response to Dahlhaus, evidence from the first movement will support, subtly detract or oppose his views.

For the opening main theme (where most of Dahlhaus' ideas are applied), 'thematic configuration' or 'a grouping of elements' is suggested through the identification of motif *a* and triplet motifs. As the motifs appear later in the movement and are inflected with chromatic elements that hint at later tonal regions, it will be possible to claim 'anticipation' for the first eight bars. A brief comparison between bb. 1-4 with bb. 5-8 will also suggest 'a developmental process'. In a heroic work, Dahlhaus notes that this process is continued throughout; for the first movement of D850, however, subsequent discussion will emphasise a lack of development. Later in the movement, attention will be drawn to a rare example of a transformation that adheres to Dahlhaus' definition, the textural and dynamic change to the second subject forming part of a theme at the beginning of the development. This will only serve, however, to emphasise the relative lack of transformation of other material. One other passage of thematic transformation in the development will be cited: the main theme prior to the dominant preparation for the recapitulation. For this passage, the final Dahlhaus reference will emphasise the dynamic and registral contrast to the original theme and to corresponding parts of Beethoven. The transformation encountered will be understood as one distinctly different from those of the older composer, and will importantly provide an example in the movement where a

¹⁸ Dahlhaus, Beethoven: approaches, p.171.

clear sense of distance is taken from the heroic.

For his second chapter 'Musical Values' from his book Beethoven Hero, Scott Burnham provides interpretative criteria that will be used to further clarify the relationship of the first movement to the heroic topic.¹⁹ The interpretative criteria are 'the conflation of linear and cyclical time', emphasised by Burnham as being crucial to the topic. In the concluding commentary to the movement, examples from the coda and from earlier sections will be compared to those from Beethoven's music which signify either linear or cyclical time. Of particular significance will be the structural downbeats at the beginning of the movement, the point of reprise and at the end. As these are all in the tonic and get progressively more powerful (*f-ff-fff*), a cyclic formal design and the possibility of a linear narrative is suggested.

As well as the structural downbeats, the return of the development theme at the beginning of the coda will further convey a cyclic design. Evidence of a sustained linear narrative will prove more problematic, however. From recalling discussion of earlier moments in the movement and comparing these to Beethoven examples of a linear design (provided by Burnham), subtle differences will be mostly revealed. While some aspect of the design will be considered in the movement (for example, 'the undercutting of intensity at the outset of the recapitulation' and an element of mystery before the recapitulation),²⁰ this will often be put into a context not found in a corresponding part of Beethoven. The following stage (to return to the tonic and powerful dynamics) will either be shown to be short-lived or only partially conveyed. The sustaining of momentum 'following a lowered energy level', a crucial factor in a linear process, is therefore not

¹⁹ Burnham, Beethoven Hero, pp.29-65.

²⁰ *Ibid*, p.51.

adhered to in the movement.²¹

With the relative lack of passages where there is a build-up to a climax or subsidence from one, further departure from a linear narrative is suggested. Such passages, Burnham notes, can be found ‘at any given point’ in Beethoven’s heroic works and in D840 were juxtaposed.²² For the first movement, however, Andreas Krause has drawn attention to a different expressive design, one where contrasting dynamics are juxtaposed over long spans of music.²³ Only twice are there two build-ups to a climactic moment and these will be shown to be either brief or problematised by a sudden dynamic reversal. The process of problematising a linear narrative will also be understood as one of tension, where either contrasting temporalities are evoked at the same time or there is a conflict between rhythmic speed and lack of motivic transformation, slow harmonic rhythm or dynamic reversal to a *pp*.

From these interpretations, it will be possible to suggest that a linear trajectory is not convincingly conveyed. Consequently, the structural downbeats and powerful coda will be considered as gestures of a cyclic design left unsupported, their heroic status de-emphasised. These gestures, along with heroic themes of the movement, will be further de-emphasised through forming an expressive opposition to corresponding parts of the remainder of the sonata. For the purpose, however, of attempting a carefully nuanced interpretation of the first movement, one which suggests a subtle degree of distance from the heroic, commentary by Scott Burnham and Carl Dahlhaus will prove useful.

²¹ Ibid.

²² Ibid, p.45. To reiterate, the tonal/harmonic contexts of the build-up and the tonal resolution to a key distant from the tonic and introspective outcome of the retreat, were significant in problematising a relationship to Beethoven in D840. The structural arrival of the outcome, at either the recapitulation or second subject, suggested further complication.

²³ Krause, *Die Klaviersonaten*, p.195.

Two features of the first movement, the development theme and the writing for the piano, have also failed to illicit much of a heroic response from scholars. Although the combination of assertive dynamics with thick textures is understood as heroic throughout the chapter on the sonata, this understanding might be further conveyed through the physical rendition of such passages. In the first movement, assertive dynamics, chordal textures, triplet runs (mostly in octave unison) and hand-crossings make considerable demands on the pianist. With these demands heightened in the context of an ‘allegro alla breve’ tempo (one of the fastest for an opening movement of a Schubert sonata), it is little surprise to find that D850 is the first sonata of the composer’s to be dedicated to a professional pianist, Karl Maria von Bocklet (1801-1881). The piano writing in later chamber works written for Bocklet (and other musician friends of the composer’s) is marked by a similar degree of virtuosity and shares some of the specific features detailed above.²⁴ Of piano sonatas before D850, however, only the ‘allegro vivace’ finale of the A-minor sonata (D784) is as ambitious pianistically; a claim that for later sonatas can only be made for the one in C minor (D958).²⁵ From this perspective, therefore, there is support for Alfred Brendel’s assessment that D850 is probably one of Schubert’s ‘most physical’ sonatas, an assessment that can be associated with a heroic condition.²⁶

For the theme that opens the development of the first movement, the heroic will be

²⁴ These works include the Rondo in B Minor for Violin and Piano (D895), the Fantasy in C for Violin and Piano (D934) and the Piano Trio in E flat (D929).

²⁵ Howard Ferguson has drawn attention to the double-octave triplets in the final phrase of D784 as ‘the toughest technical problem in the Sonatas’, one of the reasons, perhaps, for the work’s popularity with pianists at international competitions. (Editorial notes to sonata in A minor, D784, Schubert. *Complete Pianoforte Sonatas*. Volume II, The Associated Board of the Royal Schools of Music (Southampton, 1980), p.46. The Wanderer Fantasy (D760), like D850, was dedicated to a virtuoso (Karl Emanuel von Liebenberg de Zsittin, 1796-1856) and is arguably more challenging than anything in the sonatas.

²⁶ The Veil of Order, Alfred Brendel *in conversation with* Martin Meyer (Faber and Faber, 2002), p.130.

given a more explicit hermeneutic reading. Within the theme, following motif *a*, a motif derived from the second subject will be identified. The motif (a chordal texture that outlines a sixth interval, then perfect fifth, then third) texturally and dynamically transforms material from the beginning of the second subject to suggest a change to the heroic topic. Comparing the motif to its version at the opening of Beethoven's 'Les Adieux' sonata (op.81.a) will provide expressive opposition from which it will be possible to contextualise more specific interpretation. As the 'Les Adieux' motif is commonly understood as a horn-call denoting absence, memory and the past, the version in D850 will be read differently, as a horn-call denoting immediacy and active engagement. Suggesting the sound of hunting-horns in close proximity, the motif will be likened to a hunter protagonist. To highlight the heroic connotations of the hunter and to draw attention to examples of the motif in songs where a hunter is specifically alluded to, discussion will draw upon Susan Youens.²⁷ Whilst it will be shown that the 'Les Adieux' motif is frequently used in Schubert's songs, the one from D850 will be identified in only one song, '*Der Alpenjäger*' (D524). As a pair of expressive oppositions, the hunter theme and the 'Les Adieux' motif offer a rare opportunity to reverse the traditional view that Beethoven's music is dynamic and Schubert's is reflective.

Although Andreas Krause has also noted the motif's derivation from the second subject and its later appearance in the B sections of the second movement,²⁸ his analysis and interpretation of the motif at the beginning of the development is in keeping with his emphasis of motivic connectedness and pastoral evocation. The 6th-5th-3rd intervallic connection between the motif and the second subject is commented on and a

²⁷ Susan Youens, *Schubert, Müller, and Die schöne Müllerin* (Cambridge, 1997), p.52.

²⁸ Krause, *Die Klaviersonaten*, p.209.

degree of morphing (*'amorphen'*) is acknowledged.²⁹ The transformation, however, is not described with any specific details and no interpretative significance is drawn from it.

While his interpretation of the passage alludes to the sound of horns and hunting, this is contextualised as part of a communal engagement with nature that other German scholars find in the work. (This interpretation is also in keeping with the pastoral narrative that Krause suggests in his conclusion, where he gives a programmatic title to each movement.)³⁰ In contrast to Krause, difference rather than similarity is the focus of the analytical discussion of the chapter, and the subjective reading of the motif is both more specific and provides opposition to the process of distancing the heroic.

In the remaining movements, distancing the heroic is primarily suggested through the position of a particular expressive condition in the formal structure. In most cases, the particular expressive condition in a part or whole of a section will be described as either passive or assertive; where there is no clear predominance, a varied character will be noted. Each coda (where often the quietest dynamic in the movement is sustained for the longest time) will be viewed as introspective. This will suggest an important shift away from the heroic, not only from the movement of the respective coda but also from the first movement.

The assertive parts of each movement, recognised from powerful dynamics and often thick textures, will suggest the heroic topic. For both the slow movement and scherzo, a heroic theme will be identified: in the B part of the slow movement, the 6th-5th-3rd 'hunter' motif is re-encountered and the scherzo begins with an energetic and powerful theme. In the finale, the heroic is understood through the inverted counterpoint of the

²⁹ Ibid., pp.207-9.

³⁰ Ibid., p.211.

central sections of B and C. These invoke similar passages in the development of the first movement and provide a more energised context for the finale, one that is often supported with a strong dynamic.

To draw attention to passive parts of the sonata, characteristics of quiet dynamics, sparse textures, small registral range and slow rhythms will be noted. For the second movement and trio, these characteristics will suggest the pastoral topic. Expressive opposition in D850 will therefore be understood from contrast of musical components and, where possible, from contrast of topic. In the conclusion of the chapter, the expressive character of the formal structures of movements 2-4 will be tabulated to reveal a clear sense of opposition and where an assertive or passive condition is placed. Nevertheless, discussion will stress that the process of distancing the heroic is neither straightforward nor simple.

In the second movement this process is particularly complex and only reaches a decisive outcome in the coda. Interpretation builds from the traditional view of Schubert's slow rondo/variations that the repeats of A (a section originally calm) are disturbed by the B sections. (The disturbance is understood through rhythmic, textural and dynamic details.) Only in the coda is the relationship between the sections reversed, so that characteristics of B are subsumed within the quiet dynamics of A. Distance from the heroic qualities of B (its thick texture, powerful dynamics and 'hunter' motif derived from the first movement) will be argued. The pivotal moment in the sonata, one from which the heroic in the following movements will no longer dominate and threaten to destabilise music of a passive nature, will be identified in the coda.

Although primacy of place is given to the heroic topic in the first and central section

of the scherzo (A and B), the fortissimo-piano order of these sections is reversed in the reprise (A'). This not only puts the quiet passages in a more structurally important position, but also suggests a negation of the heroic theme that opened the movement. Further significance is read into the dance (*Ländler*) theme that appears in B and throughout the coda. Discussion will draw attention to its shared tonality and comparative structural position with the hunter theme of the first movement. This will allow for the themes to be connected as a pair of expressive and topical oppositions, and will lead to an interpretative conclusion that the hunter theme has been displaced by the dance-inflected one. Although the dance theme will provide a particularly strong example of distancing the heroic, the dynamic reversal in the reprise, the answering phrases of A and closure will also be considered again in the concluding commentary to the movement. As all these examples create a shift away from the heroic topic, the heroic in the scherzo will be viewed with hindsight as something transitory and unconvincing.

With the finale (a sonata-rondo form), a further example of displacing earlier heroic themes (from the first and third movements) with dance-inflected ones will be suggested by drawing attention to the *Ecossaise*-like main theme. For the whole movement, there is a greater preponderance of unassertive passages than before. Similarly to the second movement, each section will be broken down into a smaller ternary form; however, in contrast to the second movement, it will be noted that every section is framed by music of a reflective quality and that the contrasting sections (B and C) do not disturb the returns of A but heighten its original graceful character. To draw attention to this heightening, diminution and the composer's markings of 'con delicatezza' (for A') and 'leggiermente' (A'') will be remarked upon. With the final appearance of the main theme also put into a

quieter dynamic (a pianissimo) and the following coda marked by a *ppp* and ‘un poco più lento’, the distancing of the heroic is emphasised as a continuous process. The very end of the coda (where the head of the main theme is quoted *ppp*) will form an expressive opposition to the corresponding place of the first movement (where motif *a* is presented *fff* and is augmented). This will encapsulate the trajectory of the sonata, from a subtle distancing through a lack of a sustained linear narrative in the first movement to a distancing in the final bars that suggests liquidation of the heroic topic.

Although other scholars have noted the expressive trajectory of D850, only Philip Radcliffe has given a similar interpretation, noting the ‘curious emotional scheme in which the heroically strenuous gradually gives place to the affectionately convivial’.³¹ For Radcliffe, the heroic is mostly prominent in the first movement, is presented in mock fashion at the beginning of the scherzo and is entirely absent from the finale. Compared to earlier reception, Radcliffe’s discussion of D850 is more comprehensive, with a lengthy paragraph devoted to each movement. However, as part of a chapter in a BBC Music Guide on the piano sonatas, whilst the writing is engaging, the analytical detail is limited: few musical examples are given and rigorously scrutinized to support or nuance interpretation. There is also little reference to source material.

Radcliffe’s understanding of the heroic in the sonata, like Hutchings’, is general with no mention of Beethoven or his music. The idea of the ‘mock-heroic’ in the scherzo is similar to the one offered in the chapter, but is only applied to the opening bars.³² Although he notes the contrasting passages that follow, their alternation with assertive phrases and the later appearance of a dance theme, these details are not used to suggest a

³¹ Radcliffe, BBC Music Guides, p.28.

³² *Ibid*, p.30.

parodic interpretation of the main theme. In the chapter, such an interpretation is only offered in the concluding commentary of the scherzo, after an alternation of oppositions has been traced throughout the movement. Although Radcliffe's description of the opening of the scherzo as 'mock-heroic' is valid, it only gains credence in the context of expressive opposition and he overlooks the possibility of applying it elsewhere.

Radcliffe's identification of the coda of the scherzo as the turning point of the sonata (from which 'heroics are to be banned' in the following finale), also differs from the stance taken in the chapter. Although the scherzo's coda will be understood as significant (especially its contribution to distancing the heroic from the movement and displacing the hunter theme from the first movement), the coda of the second movement (to reiterate) will be designated as the critical moment of the work. The tension between a heroic and passive condition will not suggest a humorous context (as in the comparative parts of the scherzo), but one of conflict where assertive and agitated elements of B mar the reprises of A. Only in the coda is it possible to claim that these elements are subdued and controlled. The degree of assertive passages in the first movement and the situation conveyed for most of the second will not be found in the subsequent movements.

The identification of heroic aspects in the finale (though admittedly in a less structurally important position and in the tragic context of the minor mode) will depart from Radcliffe's view that the topic is absent from the movement. Later in his discussion Radcliffe almost contradicts this view when he describes the 'invertible counterpoint' of B as 'strenuous', an adjective he has used earlier with 'heroically' to describe part of the work's trajectory. In the chapter, these passages will be related to comparative ones in the first movement and will be considered as one of the few examples in the finale where the

heroic topic is invoked.

Of more recent scholars, Andreas Krause in his chapter on D850 from his monograph of the piano sonatas and Dieter Schnebel from a short article, 'Schuberts Ländler', have also recognized the dynamic trajectory of the work.³³ In contrast to the chapter, however, both scholars view this trajectory from primarily a rural perspective: Krause emphasises an evocation of people (in particular town-dwellers) engaged with nature and landscape; whilst Schnebel likens the music to a dialect or mother-tongue. Of the two, only Schnebel associates a specific musical example with a heroic-like quality: the transformation of the second theme into a 'manly subject' ('*mannigfache*') at the beginning of the development of the first movement.³⁴ No further discussion that might suggest a more specific interpretation for the transformation is forthcoming, however. This differs from the response of the chapter to the beginning of the development which suggests that a 'hunter' is evoked.

For the trajectory, both detail a similar process to the one given in the chapter: Krause observes the importance of quiet dynamics in the finale as a means to dissolve the 'fortissimo structure of before' and Schnebel notes that the whole sonata is conceived as a 'formal diminuendo'.³⁵ Only Schnebel, however, draws attention to difference from Beethoven, describing the form of the finale as 'fairly un-Beethovenian' and unconventional.³⁶ This stance enables him to return to his main interpretative focus of suggesting that the sonata embodies a dialect of some kind. The refrains of the finale which become quieter on each return are offered as examples of the dialect as something

³³ For details of the former, refer to fn. 1; for the latter, fn. 16.

³⁴ Schnebel, 'Schuberts Ländler', p.32.

³⁵ Krause, *Die Klaviersonaten*, p. 195; Schnebel, 'Schuberts Ländler', p.37.

³⁶ Schnebel, 'Schuberts Ländler', p.37.

‘otherworldly’ (*‘Exterritoriales’*); with the *pp* of the final refrain, the dialect becomes ‘sublimated’.³⁷

Krause offers a more detailed analysis of the dynamics of the finale. For the refrains and contrasting sections, difference of rhythmic character or colouring (*‘Farbrhythmus’*) is highlighted in oppositional categories of bright (*‘hell’*) and dark (*‘dunkel’*).³⁸ For the C section (*‘un poco più lento’*), these categories are applied to dynamics and major/minor modality. Although a similar pair of oppositional terms (*‘passive’* and *‘assertive’*) are used in the chapter, this covers not only the fourth movement but the second and third as well. In tabulated form in the conclusion of the chapter, these oppositions not only reveal how the movements might be expressively shaped, but show how a form might be defined through dynamic contrast. It also reveals more clearly and comprehensively the trajectory of the work (the evolution to a more intimate sound sphere) than either Krause or Schnebel detail in their writing. Although Krause gives the dynamic range of each movement, the opportunity to highlight the trajectory by drawing attention to the *fff* end of the first movement and the *ppp* end of the finale is not taken.

Krause’s construction of a tonal discourse for the sonata and in particular his interpretation that it affects the discourse for both rhythm and subjective concerns is also not convincing. Granting primacy of place to tonality, Krause then attempts to trace complementary processes of dissonance-resolution in the metric organisation and the dynamics of the work. These discourses are presented independently, however, despite the claims that they are bound by a common goal; and only one example of a simultaneous tonal, rhythmic and dynamic dissonance-resolution is offered (bar 79 of the

³⁷ Ibid.

³⁸ Krause, *Die Klaviersonaten*, pp.204-5.

second movement).³⁹

Using an analytical system where a particular tonality is part of a circle of fifths from either the dominant or subdominant key, Krause draws attention to the B flat tonality at the centre of the subdominant group.⁴⁰ For him, B flat at the beginning of the development of the first movement and in the comparative part of the scherzo is particularly dissonant, a quality which is reduced in the finale when B flat is given a subsidiary harmonic role. Although his theoretical interpretation of B flat is handled with a degree of flexibility (its appearance after an expositional close on the dominant is considered as important as its inclusion in the IV group), the interpretation of the key as a dissonance is not a strong one, especially as the sonata is in D. The first and, for Krause, most explicit example (the beginning of the development) is neither particularly Schubertian nor a particularly extreme example from his tonal designs. William Caplin has shown that the flattened-VI can be found in Haydn and Mozart and particularly Beethoven.⁴¹ Of the other 1825 sonatas, the beginning of the development of D845 is modally inflected and D840's is in VI. Both have a more dissonant tonal design in their first movements: the recapitulation of D845 is in #vi, D840's in VII.⁴² The tonal design

³⁹ Ibid., p.194.

⁴⁰ Ibid., p.179-80.

⁴¹ Caplin, *Classical form*, p.141.

⁴² The recognition of recapitulations in a non-tonic key in both D850 and D840 is drawn from Thomas A. Denny, 'Articulation, Elision, and Ambiguity in Schubert's Mature Sonata Forms: The op.99 Trio Finale in its context', *Journal of Musicology* (1988), p.348. Denny supports his identification through the following discussion: 'There simply are *no* examples in his output in which Schubert provided extensive harmonic and textural preparation, followed this with the powerful articulative reinforcement of a reprise of the first theme, only then to wander off into additional developmental excursions, with the "real" recapitulation arriving still later. (A "real" recapitulation, in this sense, would be one which began with a tonic repose of the opening theme from the exposition.)...The consistency of Schubert's practice in this area gives axiomatic force to the following summarizing equation:

$$\begin{array}{rcccl} \text{RETRANSITIONAL} & & \text{THEMATIC} & & \text{the beginning of} \\ \text{PREPARATION} & + & \text{RETURN} & = & \text{RECAPITULATION} \\ & & \text{(in whatever key)} & & \text{(however complex).} \end{array}$$

Later, Denny notes the elided features of reprises from the early and middle 1820s, as 'strikingly unpredictable, fanciful even, in their intermingling of "developmental" features with the "recapitulatory"

of D840 is one of Schubert's most unconventional, as shown in the A-major reprise of the A-flat minuet; and the relationship of the sonata's tonal design to the contour of a build-up, peak and retreat will be an important part of the interpretation offered in chapter 2.

Compared to the 1825 sonatas, particularly D840, the tonal design of D850 is more conservative and less striking: virtually all the reprises are in the home key and most secondary groups are in the dominant. With this evidence, tonality and harmony are considered less important and will receive less attention in the chapter. Nevertheless, one tonal/harmonic example will be addressed in the first, second and third movements: the juxtaposition of G major and C major, sometimes interpreted as V7/C and C. This examples offers a more extreme dissonance than Krause's B flat and fulfils his criteria that different discourses (of tonality, rhythm, dynamics) share a similar process of dissonance-resolution. The first appearance of the G/C dissonance marks a dynamic reversal (to a *ff*), change of tempo ('un poco più lento') and metric emphasis (to the second and fourth beat), and the use of dampers. Following the A-major second subject in the first movement, this will be understood as arguably the most disruptive and most dissonant example. In the A-major second movement, V7/C and C arrive at the most climactic moment of the movement; and then in the final reprise of the main section, near the end of the movement, V7/C threatens to disrupt the home key only for it to resolve, belatedly, to V7/I. As the final example of V7/C and C is in a G-major trio, resolution of what were previously dissonances will be claimed. Comparative to Krause's interpretation of the lessening of the dissonant status of B flat with a corresponding lowering of dynamic energy in the finale, the resolution of V7/C and C identified in the

ones.' Thomas A. Denny, 'Schubert as self-critic: the problematic case of the unfinished sonata in C major, D840', *Journal of Musicological Research* VIII (vol. 1-2, 1988), pp.91-117.

trio is followed by a dynamic and registral reversal.

For the chapter, this example of dissonance-resolution will be the only one that will receive sustained discussion. This would suggest that the degree of significance Krause gives to tonal dissonance, its resolution in later movements and effect on rhythm and dynamics, is misjudged. Although the trajectory of a protracted diminuendo is recognised by both Schnebel and Krause, they understand it less in terms of sound and more within their interpretative contexts: for Schnebel, this is dialect; for Krause, resolution. For the chapter, however, the most salient feature of the trajectory is its sonic manifestation, understood as a means to distance the heroic. The presence of the heroic topic in the first movement and elsewhere is acknowledged by neither scholar, both of whom claim for D850 a deep-rootedness to the Volk. Although pastoral and dance topics are recognised in the chapter, they are considered only as part of the distancing process. Where there is potential for ambiguity, such as the theme of the first and second movement which is likened to a figure both heroic and connected to a rural environment (the hunter), assertive characteristics of dynamics and texture will be decisive for the interpretation. These will suggest a heroic rather than a pastoral context for the hunter theme, in contrast to Schnebel and Krause, and show how discussion might move smoothly from a technical to a metaphorical sphere. Although Krause's discussion of D850 is one of the longest devoted to any of the 1825 sonatas by recent scholars, in segregating tonality, metric organisation, and subjective issues to different parts of his chapter, he often fails to reconcile analysis with a hermeneutic reading.

Considering that Schubert scholarship in recent years has been receptive to relating the composer's instrumental works to those of Beethoven, it is hard to understand why

the heroic topic in D850 and in the earlier reception to the work has been neglected. This neglect, however, applies to Schubert's music in general. In his discussion of the A-minor sonata (D784) and the A-major sonata (D959), Robert Hatten occasionally views a passage as heroic when he notes a reversal to the minor mode accompanied with a fullness of sound created by a chordal texture or strong dynamic. Having drawn attention to the heroic musical feature, Hatten then provides a subjective reading which sometimes differs little from Beethoven reception: 'determined will of a persona', 'self-willed projection of force'.⁴³ On other occasions, the interpretation differs subtly from Beethoven and heroic ideals. In these instances, the interpretation is often labelled as an example of 'stoic-heroism'. Whilst a 'stoic-heroic' interpretation is not undertaken in the chapter on D850, one context Hatten has identified is comparative to the interpretation of the sonata. At the end of the first movement of D959, Hatten notes the octave displacement and, in particular, the *pp* dynamic of the main theme. As the dynamic reverses the original *f*, 'the heroic physical component' of the theme 'is severely attenuated'.⁴⁴ Whilst such an interpretation is rare for Schubert, Hatten has suggested how the composer might treat and respond to the heroic topic in some of his piano sonatas.

Compared to Hatten and other Schubert reception, however, there is more sustained identification of the heroic topic in the chapter on D850. Although there has been a proliferation in recent years of scholars claiming Beethoven references in Schubert's music, this has often been limited to a particular theme.⁴⁵ Comparison to the original

⁴³ Hatten, 'Thematic Gesture in Schubert: The Piano Sonatas in A Major, D959, and A Minor, D784', Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert (Indiana, 2004), pp.184/192.

⁴⁴ *Ibid.*, pp. 185-6.

source and its appearance in Schubert often acts as a springboard for defining difference (usually of tonality and harmony). Discussion of the remainder of a Schubert movement or work then seldom alludes to Beethoven again. The chapter differs from other writing in providing a sustained comparison with Beethoven (particularly in the first movement) that does draw not from a specific model but from the heroic topic derived from his music.

Susan McClary has argued that a heroic model was ‘already available’ by the time Schubert came to write his instrumental works in the 1820s,⁴⁶ and the introduction in the chapter will draw attention to the relevance of the topic to the composer. For this, evidence from the composer’s lifetime will be cited: his own works that have a heroic title and those of Beethoven he admired, the critical reception of E.T.A Hoffmann and A.B. Marx (the first writer to combine a consistent heroic reading of the ‘Eroica’ Symphony with analysis), and the concert reviews of Beethoven’s Ninth Symphony. The introduction will convey that the heroic topic was recognised and considered important by the time Schubert wrote D850, a stance different from the one taken by Burnham, who has concentrated almost exclusively on the topic from the perspective of later theoretical reception.

⁴⁵ One of the most explicit references, to Beethoven’s theme of the Thirty-two Variations in C minor (WoO 80), can be found in the opening of Schubert’s Piano Sonata in the same key (D958). This reference has consequently become the most discussed. For a detailed examination, see Charles Fisk, Returning cycles: contexts for the interpretation of Schubert’s impromptus and last sonatas (California, 2001), pp.181-4.

⁴⁶ McClary, Queering the Pitch, p.213.

Chapter 4 on D845 does not build from any specific written commentary but from the work's associations with tragedy.⁴⁷ From these associations it will be possible to construct a detailed analytical discussion and claim an overriding tragic trajectory. In the context of this trajectory, movements and passages that in isolation are non-tragic will be reconsidered by the end of the chapter; in the conclusion, Robert Hatten's views of comparative passages in the A minor sonata (D784) will be applied.⁴⁸ The musical and topical opposition of D845 will consequently be made problematic by any reconsideration suggested.

To support the tragic interpretation of D845, part of the semiotic theory as used by Robert Hatten has proved helpful. From his book Musical meaning in Beethoven: markedness, correlation, and interpretation, two sets of ideas have been taken. The first is the 'frame' that can support a particular interpretation of a work when a particular topic predominates in the outer movements. For D845, the tragic topic provides the interpretative frame, an idea strengthened by the sharing of specific musical details in the codas of the outer movements.⁴⁹ The second is Hatten's correlation of upwards motion with 'yearning' and downwards motion with 'resigning', an interpretation he has applied to Beethoven but not to Schubert.⁵⁰ This correlation not only supports the tragic interpretation of the outer movements of D845, but also the interpretation of the second movement and trio as transcendent.

Compared to Hatten's identification of registral opposition in Beethoven, more

⁴⁷ For Alfred Brendel, the sonata 'is perhaps, on the whole, the most tragic'. The Veil of Order, p.122.

⁴⁸ Hatten, Interpreting musical gestures, topics, and tropes, p.200.

⁴⁹ For a definition that draws on specific musical examples, see Hatten, Musical Meaning in Beethoven (Indiana, 1994), pp.91-2.

⁵⁰ For more detailed discussion, see *Ibid.*, pp. 56-63.

passages of juxtaposed ascending and descending motion are addressed in the first movement and throughout the remainder of the sonata (especially the ends of the trio and finale). The tension between contrasting motion, correlated as a tension between yearning and resignation, is arguably taken further in the first movement with the presence of the minor mode and a process whereby registral rise and fall is extended in successive phrases. As this process culminates in the coda of the first movement, particular significance can be drawn from the tension between positive gestures of upwards motion and negative ones of registral fall and the minor mode. From a detailed analysis of the final ascent and a comparison with the preceding rise and fall, it will be possible to suggest a more heightened sense of denial to a tragic situation, a situation that is then powerfully confirmed in the last phrase of the movement. With the close musical parallels of the coda of the finale, the interpretation of the end of the first movement will be considered as the main one of the sonata.

In contrast to the first movement, the closing bars of the second reveal displacement to a higher octave. This different registral outcome, together with the major mode, suggests an interpretation of transcendence. In the trio, although the registral pattern of up/down and the taking of this opposition to greater extremes at the end is shared with the first movement, because of the major mode, a different interpretation of yearning and resigning is offered. This suggests abnegation: a process of resigning to a higher spiritual power that can lead, like the end of the second movement, to a positive outcome of transcendence. As a transcendent state is understood from the inner and not the outer movements, this will take secondary status (at least until the end of the chapter) to the overriding tragic reading. At no point in the discussion, however, will it be possible to

suggest that a tragic outcome is overcome through abnegation. This stance contrasts with some of Hatten's interpretations of late Beethoven where he argues that a 'tragic-to-transcendent trajectory' is achieved through self-realization and 'yielding in response to unconquerable tragedy'.⁵¹

The appropriateness of yearning and resigning to the tragic and transcendent interpretations can be justified by the significance the concepts held for Schubert. Indeed, from his songs, it is possible to claim they held greater significance for him than they did for Beethoven, whose song output is comparatively smaller and less varied. In view of this, it is curious that Hatten has not explored yearning and resigning in his recent discussion of Schubert's sonatas, especially as he has applied other concepts to the younger composer from his earlier writing on Beethoven.⁵²

The opposing interpretations of the outer and inner movements can be further contextualised with discussion of '*Todtengräbers Heimwehe*' (D842), a song that has a motivic connection to the first movement. Although much of the recent writing on the sonata acknowledges this connection, as most of it comes from a biography or a general stylistic study, discussion is often limited and seldom illustrated with analysis. Despite being mentioned in an early monograph of the sonatas, recognition of the link has also been slow to materialize.⁵³ From the end of the Second World War up until a generation ago, it was either briefly acknowledged or in most cases (as studies of the sonatas by Arthur Hutchings, Kathleen Dale, Philip Radcliffe and Ernst G. Porter testify) completely

⁵¹ This interpretation is applied to the slow movement of the 'Hammerklavier', *Ibid.*, p.18.

⁵² In one of the three sonatas Hatten has addressed, the Sonata in G major (D894), some attention is brought to registral opposition in the outer movements, but this is never correlated with 'yearning' and 'resignation'. (See *Musical gestures, topics, and tropes*, p.59 and p.65.) For his tragic interpretation of the A-minor Sonata (D784), these concepts are never used or alluded to.

⁵³ Hans Költzsch, *Franz Schuberts Klaviersonaten*, Dissertation of Erlangen (Leipzig 1927), p.108.

ignored.⁵⁴ In the last twenty years, the situation has improved a little with most discussions of D845 including some reference to the motivic link and using it to briefly exemplify the tragic character of the work.

Amongst scholars there is some inconsistency and overlooking of where the link to '*Todtengräbers Heimwehe*' is in the first movement. Some like John Reed and William Kinderman draw attention to specific parts such as the development or the coda, while others like Andreas Krause only acknowledge a connection and give no indication of where it can be found.⁵⁵ Some draw attention to the same parts where the motif appears, but its first and every appearance is virtually never addressed.⁵⁶ When the motivic link is mentioned, it is often referred to as a quotation from '*Todtengräbers Heimwehe*', the presumption being that the sonata (or at least the first movement) was composed after the song. Exact chronological order is impossible to determine, however, since no autographs or sketches survive of the sonata. This has led scholars to approximate its date of completion, with consensus suggesting the end of spring 1825. As this overlaps with the date of April 1825 on the autograph of '*Todtengräbers Heimwehe*', the works are considered as contemporary.

While chronological indeterminacy would suggest caution to identifying a quote from '*Todtengräbers Heimwehe*', chronological proximity and the motivic link invite

⁵⁴ K. Dale, 'The Piano Music', *Schubert. A Symposium*, ed. Gerald Abraham (London, 1946), pp.142-44; E.G. Porter, *Schubert's Piano Works* (London, 1980), pp.80-2. For Hutchings and Radcliffe source, refer to fn. 14.

⁵⁵ John Reed, 'Schubert', *The Master Musicians* (London, 1987), pp.136-7; William Kinderman, 'Schubert's piano music: probing the human condition', *Cambridge Companion*, p.159; Krause, *Schubert-Handbuch*, p. 420.

⁵⁶ Christophe von Blumröder is one of the few scholars to mention the motif's first appearance, bars 81-3 of the exposition; see C von Blumröder, 'Klaviersonate in a-moll, op.42., Zur analyse vor Schuberts', *Musikforschung* XL/3 1991, pp. 216-8. The motif's subsequent appearances are in the opening period of the development, the end of the recapitulation and for most of the coda.

comparison, and, for D845, a hermeneutic reading. The main interpretation of the sonata is derived from comparing the coda of the first movement with the final verse of the song; from differences revealed, interpretative opposition is suggested. Particular significance is drawn from comparing where and how frequently the motif appears in the two works. In '*Todtengräbers Heimwehe*', the motif is used twice in the penultimate verse where the gravedigger expresses his longing for death; it does not appear in the final verse where he journeys to and eventually reaches heaven. Taking the motif's connotations with death (as revealed in the song), its pervasiveness in the coda (compared to its absence in the final verse) and its relationship to other motifs in the movement, a non-transcendent outcome is interpreted. This interpretation will be further contextualised by comparing certain tonal regions, registral patterns and intervals.

Although the motivic link is not carried through to the second movement and trio, an interpretation of transcendence is applied to them. With the sharing of musical features between the final section of the trio and the corresponding place of '*Todtengräbers Heimwehe*', the possibility of sharing the same interpretation arises. The brief comparison to the song in the concluding commentary to both movements, however, highlights a fundamental difference of structure that in turn helps to nuance interpretation and reaffirm the main interpretative stance of the sonata. As '*Todtengräbers Heimwehe*' is an independent song and not part of a larger cycle, its final verse can be said to represent the attaining of transcendence; as the second movement and trio are framed by tragic movements, a different perspective is suggested, that of transcendence idealized.

Considering it has become fairly common to contextualise interpretation of an instrumental work by Schubert with one of his songs, it is curious that scholars have been

reluctant to discuss at length one of the most explicit links between a sonata movement and song. Indeed, although the motivic link to ‘*Todtengräbers Heimwehe*’ is often acknowledged in the first movement of D845, seldom do discussions extend to more than a brief paragraph. This comparative neglect offers an opportunity to construct an analytical comparison of musical material and provide interpretation from differences revealed. ‘*Todtengräbers Heimwehe*’ will be used, therefore, to elaborate on the tragic associations of the sonata and draw out more specific meaning for it. As well as providing interpretative focus, the song will also help negotiate the demands of the chapter, in particular the need to move smoothly from a musical analysis to a hermeneutic reading. Within this process, issues of yearning and resigning (as understood through Hatten’s correlation of registral opposition) will be integrated and contextualised.

To further support the interpretation of the sonata, older compositional features in the first movement and variation 3 of the second will be discussed. These include the tetrachord, modal elements and characteristics of the *ombra* topic. The tetrachord has been recognized in various Schubert instrumental works from the 1820s, but the examples in the first movement of D845 have been almost entirely overlooked. When the tetrachord is addressed in his music, it is usually from a purely theoretical perspective; its associations with death and lamenting are sometimes mentioned, but never within a broader hermeneutic understanding.⁵⁷

To support the view that certain passages in the first movement are characteristic of the *ombra* topic, studies of Clive McClelland, Wye Allanbrook and Birgitte Moyer have

⁵⁷ Peter Williams, *The Chromatic Fourth During Four Centuries of Music* (Oxford, 1997), pp.172-5; David W. Beach, ‘Modal Mixture and Schubert’s Harmonic Practice’, *Journal of Musical Theory*, vol.42, no.1 (Spring 1998), pp.87-99.

been used.⁵⁸ Of the three, only Clive McClelland has argued that the topic is pervasive in Schubert's music, from early to late vocal works. All three, however, have discussed *ombra* scenes from eighteenth-century operas that Schubert would have known through his early studies with Salieri and from attending performances in Vienna.⁵⁹

The very specific context of an *ombra* scene, identified by the three scholars as a revelatory moment involving the supernatural, informs the interpretation of the sonata offered at the end of the first movement. Earlier in the movement, at different moments, specific musical characteristics of the topic are cited. Interpretation of these draws upon some of the views of *ombra* shared by Moyer, Allanbrook and McClelland and also from some of the eighteenth- and nineteenth-century theorists they reference. (The latter provide an early example of musical semiotics, where a particular musical effect is linked to a specific expressive and psychological state). As the *ombra* topic is associated with the supernatural, these earlier *ombra* moments could be briefly considered as a premonition of the interpretative outcome of the movement. They also create tension with the continued attempts to rise to a higher register throughout the movement; together with the registral descent that always follows and the minor mode, this helps to define the rising gestures as a denial of a tragic situation.

In choosing to describe certain passages as suggestive of the *ombra* topic and

⁵⁸ Clive McClelland, 'Death and the Composer: The Context of Schubert's Supernatural Lieder', Schubert the progressive: history, performance practice, analysis, ed. Brian Newbould (Ashgate, 2003), pp. 21-36; Wye J Allanbrook, Rhythmic gesture in Mozart (Chicago, 1983), pp. 292-318; Brigitte Moyer, 'Ombra and Fantasia in Late Eighteenth-Century Theory and Practice', Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honour of Leonard G Ratner, eds. W J Allanbrook, J M Levy and W P Mahrt (New York, 1992), pp. 282-306.

⁵⁹ Schubert studied with Salieri from 1812-16 during and after his time at the Stadtkonvikt. The lessons were almost entirely devoted to writing in the medium of Italian opera. For a complete list of operatic performances Schubert is reported to have attended, see Peter Branscombe, 'Schubert and the melodrama', Schubert Studies: Problems of style and chronology, eds. Eva Badura-Skoda and Peter Branscombe (Cambridge, 1982), pp.110-1.

integrating the interpretation of these passages in the main one of the work, the chapter has been careful to distinguish between topics and some of the writing about them. Often when a particular piece or passage of music is likened by one scholar to an *ombra* scene, another will view the same example as indicative of *Sturm und Drang*.⁶⁰ Others, like Leonard Ratner, will claim that the *fantasia* style is used in eighteenth-century opera to invoke the supernatural, while *ombra* provides the means musically to represent ghosts, gods and oracles.⁶¹ With Allanbrook, a different (mostly opposing) view is offered: *fantasia* is defined through specific musical material, while *ombra* is understood as a general topic that can ‘control’ such material.⁶² Clive McClelland takes a similar stance by noting the ‘cross-fertilization’ between the *ombra*, *fantasia* and *Sturm und Drang* styles, and concentrates on *ombra* to the exclusivity of the others.⁶³

To help justify choosing the *ombra* topic as an interpretative tool over the *fantasia* and *Sturm und Drang* style, the chapter will draw on views which are more consistent and rooted in musical examples applicable to those discussed in D845. While it recognizes the possibility of using the other topics and the problematic nature of trying to distinguish between them, its primary concern (to reiterate) is to argue that the *ombra* topic informs certain passages of the first movement to support the hermeneutic understanding of the

⁶⁰ For example, the Ballad ‘*Hagars Klage*’ has been interpreted by David Schroeder as belonging to the *Sturm und Drang* style, by McClelland as *ombra*; the D-minor finale of *Don Giovanni* and Gluck’s *Orfeo et Euridice* scene of the furies by Moyer as *ombra*, by Daniel Hertz and Bruce Alan Brown as *Sturm und Drang*; the introduction to the Fourth Symphony (‘*Tragische*’) as *Sturm und Drang* by Brian Newbould, by McClelland as *ombra*. For further discussion, see D. Schroeder, ‘*Sturm und Drang* in early Schubert songs’, *The Music Review*, vol.55 (1994), p.186-7; McClelland, ‘Death and the Composer: The Context of Schubert’s Supernatural Lieder’, p.26/34; Moyer, ‘*Ombra* and *Fantasia* in Late Eighteenth-Century Theory and Practice’, pp. 288-303; Hertz and Alan Brown, Grove entry on *Sturm und Drang*, p.632; Brian Newbould, *Schubert and the Symphony: a new perspective* (Toccata,1992), pp.86-109.

⁶¹ Leonard G. Ratner, *Classic Music* (New York, 1980), p.24.

⁶² Allanbrook, *Rhythmic gesture in Mozart*, p.293.

⁶³ Indeed, McClelland’s claim is both too ambitious and too simplistic, ‘Death and the Composer: The Context of Schubert’s Supernatural Lieder’, pp.28-9.

work. Through discussion of a particular part of the movement (the development) and the interpretative outcome offered at the end, the following paragraphs will reveal the possibility of considering more than one stylistic context. For the former, Birgitte Moyer's distinction between the *fantasia* and *ombra* topics will be used, and for the latter, the specific associations of *ombra* music shared by Moyer, Allanbrook and McClelland will be drawn upon. This will help to make the choice of *ombra* a clearer and more convincing one.

For some of the *ombra* examples discussed in the development of the first movement (where most of the examples are identified), the *fantasia* style is briefly considered. As these examples are underpinned by a strong harmonic structure and are located in a section of a sonata, however, the *fantasia* style is not applicable. This view draws on Birgitte Moyer's general distinction between the topics, with *ombra* features (regularity of rhythm and phrase structure and cadential drive) being far more appropriate to a sonata form than those of the *fantasia* (characterized by a sense of improvisation). The reluctance of scholars to identify *fantasia* characteristics in Schubert's sonata forms compared to the willingness of some to identify the *ombra* topic also influences the choice of stylistic context.⁶⁴

For the interpretation offered at the end of the movement, the consistency with which the *ombra* topic has been associated with the supernatural is significant. This association is also found in the *Sturm und Drang* style, which shares many of its musical features

⁶⁴ Andreas Krause is one of the few exceptions, drawing attention to the Leipzig review of D845 which likened the work to a Fantasy (SDB 632), *Schubert-Handbuch*, pp.392-5. John Gingerich and Clive McClelland have compared extended introductions of Schubert's music to the *ombra* style: Gingerich with the introduction of the finale of the Octet in *Schubert's Beethoven Project. The Chamber Music, 1824-1828*, PhD diss. (Yale, 1996), pp.283-90 and Clive McClelland with the introduction to the Fourth Symphony (see fn. 60).

with the *ombra* topic and inhabits a similar emotional sphere. *Sturm und Drang*, however, covers a broader and more varied range of interpretative contexts. As well as the supernatural and the macabre, music of this topic often depicts and is connected to storms, shipwrecks, flights and the effect of these events on people. Compared to *ombra*, it is more firmly rooted in dramatic realism. For this reason and its breadth of associations, *Sturm und Drang* is therefore not addressed in the chapter. It is possible to use it, however, to briefly support the literary context offered in the conclusion. Traditionally, *Sturm und Drang* music has been related to the Gothic novel: both appeared at roughly the same time (late 1760s-early 1770s) and both are concerned with similar themes and modes of expression. In view of this, and the comparative relationship of the *ombra* to the *Sturm und Drang* style, *ombra* might therefore be associated with the ghost story, a sub-genre of the Gothic novel. It is from such a story that a final context is offered for the interpretation of D845 in the conclusion of the chapter.

The interpretation and analytical approach of the second movement (a theme and variations) is indebted to an article by Jeffrey Perry and the beginning of a chapter ‘Towards a Theory of Musical Gesture’ by Robert Hatten.⁶⁵ With brief discussion, both scholars share a similar view of the expressive trajectory of the movement and draw similar interpretative conclusions. Robert Hatten provides a topical analysis of the theme (noting the pastoral and *Ländler* topics) and comments on its treatment ‘to a progressive series of diminutions that ultimately flower in transcendent fashion’.⁶⁶ Jeffrey Perry focuses on patterns of phrase repetition an octave higher, for him ‘a distance trope special

⁶⁵ J. Perry, ‘The Wanderer’s Many Returns: Schubert’s Variations Reconsidered’, *The Journal of Musicology*, vol. XIX, no.2 (Spring 2002), pp.400-8; Hatten, *Interpreting musical gestures, tropes, and topics*, pp.111-2.

⁶⁶ Hatten, *Interpreting musical gestures, tropes, and topics*, p.111.

to the composer's music'.⁶⁷ Although Perry only examines a few passages, he notes that this registral pattern is carried through to the final variation and coda. Here he identifies, with the presence of the *Waldhorn* topic, musical and metaphorical 'distance' from the original theme. Although he does not describe the outcome as 'transcendent', his description of the end of the movement as representing 'an acceptance of distance' implies that higher spiritual insight is reached.⁶⁸

Hatten's view that the movement ends in 'transcendent fashion', Perry's pitch and registral analysis and the topics they identify, provide opposition to the main interpretation of the sonata and to the first movement in particular. As neither scholar discusses the rest of the work in any detail (only Perry briefly mentions the other movements), this will provide an opportunity to relate their interpretation and analytical approaches to those of the first movement. One clear opposition is the registral pattern of the respective movements: in the first, an up and down motion (often extended in subsequent phrases); in the second, the displacement of the melodic line to the octave above. From this, interpretative opposition between the first movement (tragic) and the second (transcendent) is highlighted. Further identification of pastoral characteristics (only detailed in the theme by Hatten and in the opening phrase of the final variation and the closing phrase of the coda by Perry) will also draw attention to the interpretative differences with the first movement. Hatten's interpretation of transcendence (proposed as the outcome of the movement by the scholar with no analysis or specific reference to the musical text) will be applied to the closing bars. His view will be supported by Perry's pitch analysis and observation that the final phrase is displaced an octave higher.

⁶⁷ Perry, 'The Wanderer's Many Returns: Schubert's Variations Reconsidered', p.404.

⁶⁸ Ibid.

From comparing the outcome of the second movement with that of the first, an important part of the criteria of the thesis (to reveal interpretative opposition from contrasting codas) is fulfilled.

From tracing relationships to earlier variations and to the coda that follows, significance is also claimed for the final variation. Using Perry's system of pitch identification for each variation (which he only applies to the theme, the end of Variation 3, the beginning of Variation 5 and the end of the coda), it will be possible to see a registral culmination in the final variation. Here the apex and the widest registral extreme of the movement are reached. As well as from a registral extreme, tension is also conveyed from juxtaposing the major and minor mode; indeed with the return of C-minor harmony (recalling Variation 3), contrast to the elevated pastoral characteristics of the outer sections is provided. As the pastoral topic is carried through to the coda where tragic elements (namely the minor mode) do not appear, a closer position to a transcendent state can be understood.⁶⁹

The tension between pastoral and tragic characteristics (between a positive and negative condition) is comparable to the tension between the dying body and rising soul of the gravedigger in the final verse of '*Todtengräbers Heimwehe*'. As a further progression towards a transcendent goal is suggested for the coda, the interpretative

⁶⁹ Whilst discussion has recognised the juxtaposition of pastoral and powerful passages throughout the three sonatas, particularly in D840/I and D850/II, the brief middle part of the final variation of D845/II perhaps comes closest to evoking a sub-genre of the pastoral topic: the storm. Framed by pastoral passages, distinguished by chromaticism (both melodically and harmonically), scalar movement, and repetition, and having a more sustained suggestion of a minor key (unlike comparative parts of the other sonatas) with V/C minor, the middle part encapsulates some of the features recognised in a storm. Further interpretation might claim an onomatopoeic evocation of thunder, lightening, and rain for some of these features. Since the sonata is understood primarily from a tragic perspective, however, and the pastoral is not the overriding topic of the work and rarely makes an appearance in the outer movements from which the main interpretative stance is taken, the eight-bar middle part of variation 5 will not be burdened with the significance of representing 'a storm'. For such a passage, 'stormy' is a more convincing description and does not draw too much attention away from the main interpretative concerns of the movement and the sonata.

trajectory of the remainder of the movement is analogous to the next and last stage of the verse, where the gravedigger makes his final ascent into heaven. This comparative trajectory accounts for contrasting passages in the minor mode and provides a sense of purpose and direction to the final variation and coda. Consequently, 'transcendence' might be saved for the final phrase of the movement. This differs from Perry, for whom 'distance' and transformation is reached by the beginning of the final variation and maintained through to the close. His interpretation overlooks passages of C-minor harmony (which surely qualify any sense of 'distance') and does not address other differences between the final two sections. Indeed, despite being supported with analysis and some of the composer's song reception, Perry's interpretation of 'distance' is applied too generally and arguably too prematurely.

Except for a brief quotation used in the discussion of the finale, the comments by Perry and Hatten are the only sources used in the chapter which offer interpretation of one of the movements of D845. Although both are brief, they offer contexts which are used and elaborated on, and eventually put into the broader interpretative perspective of the sonata. Discussion of the final variation and coda deconstructs Perry's 'distance' and Hatten's 'transcendence' by providing a more detailed and nuanced discussion. (Earlier a strong sense of deconstruction is conveyed in the analysis of Variation 3, which, ignored by both scholars, conforms to neither the topics nor diminutional process they mention). While the most significant part of the movement is reserved for the coda (a view shared by Perry and Hatten), the final phrase will be considered as the moment of transcendence. Although this differs from both scholars, who are vague over where such a state might be reached, it does offer the opportunity to use Hatten's interpretation of transcendence with

Perry's registral analysis to provide direct opposition (musically and interpretatively) to the corresponding part of the first movement. The final variation as a turning point in the movement is also given particular significance which neither scholar considers. (The significance of the variation is understood through its relationship to earlier variations and to the coda that follows.) To help construct the interpretation of the final variation and coda, Perry and Hatten's comments are negotiated with '*Todtengräbers Heimwehe*'.

Although in the following chapters each sonata is analysed in more detail, the Introduction has addressed the reception that will have relevance, either generally or specifically, to later discussion. It has also taken the opportunity to reveal the contexts from which the sonatas will be understood hermeneutically: narrative, intertextuality, topics, and gesture.

Chapter 2

The *Reliquie* in context: precedence, the Ninth Symphony (D944), and narrative

Introduction

In her biography of the composer, Elizabeth Norman McKay has drawn attention to some of the most memorable music in the unfinished piano sonata in C major (D840), the so-called *Reliquie*.¹ Two specific passages are mentioned, one from the development of the first movement and the other from the central section of the minuet: ‘In each case, Schubert builds up the tension to a mighty climax, following it with a passage of almost identical length, as the tension subsides into a deathly calm.’² For McKay such passages are indicative of the narrative quality of the work, in particular ‘its epic character, of a kind not found in any of his music before 1825’.³ Later in the biography these comments are reiterated to help suggest that the sonata was influential on the Ninth Symphony (D944).

Distilling McKay’s brief commentary to precedence, the Ninth Symphony and narrative, offers criteria from which it is possible to build a more comprehensive study of the sonata. Musical examples will include the two discussed by McKay, as well as passages from the transition between the first and second group of the first movement. The expressive trajectory of these examples will then be applied to the level of contrast in the second movement, a rondo/variation form. For the remaining movement, the unfinished finale, two examples will be discussed and related to earlier discussion. (The

¹This name was given to the work as part of the title, ‘*Reliquie*. Letzte Sonate (unvollendet)’ in the first edition where the unfinished movements were included. This edition was published by F. Whistling of Leipzig in 1861.

² Elizabeth Norman McKay, *Franz Schubert: A Biography* (Oxford, 1996), p.215.

³ *Ibid*, p.214.

trio and portions of the minuet and finale will not be addressed since they are not characterised by an expressive shape of a build-up, peak, and retreat. Neither is it possible to adapt this shape to their structures, as with the sections of the slow movement.) The analysis will concentrate on specific characteristics of register, texture, pitch, contour and dynamic; motivic material (melodic and rhythmic); and harmonic/tonal details. Where appropriate, the analysis of different examples will be contextualised with examples from earlier works and the Ninth Symphony.

The main examples discussed in this chapter will be simply labelled as Ex. I, II, III, and IV. Ex. I concerns a build-up to an assertive return of the main theme and tonic in the first transition of the first movement; Ex. II, the build-up to a peak on dominant harmony at the end of the same transition; Ex. III and Ex. IV, the build up, peak, and retreat in the second half of the development of the first movement and the central part of the minuet, respectively. What follows after each example will also be addressed. Precedence from earlier instrumental works (mostly those written between 1822-4) and any passages from the later Ninth Symphony will be labelled with lower-case letters when they are related to an example from D840. Therefore if part of an earlier sonata or the symphony is quoted in relation to Ex. I of the sonata, and it is the first comparison made, it will be labelled 'Ex. I.a'.

In revealing precedence, this study will qualify Elizabeth Norman McKay's assumption that the 'epic character' of the *Reliquie* cannot be found in earlier works. (Of the examples only Ex. IV from the minuet marks a radical new departure, with little tonal relation to any other minuet written by the composer). The extent of this precedence, however, will either lend credence or detract further from McKay's

assumption. In an article published before the biography, ‘Schuberts Klaviersonaten von 1815 bis 1825-dem Jahr der „Reliquie” ’, McKay offers a general stylistic survey stressing the evolution and change of the composer’s forms.⁴ Although D840 is given more attention here than in the biography (where only two paragraphs are devoted to the work), within the longer analytical discussion the same musical examples are addressed and an ‘epic character’ and sense of narrative are also emphasised. In an article that places D840 within the context of earlier sonatas, it is perhaps more surprising that little effort is made to distinguish its ‘epic character’ from what appeared before. This oversight, however, provides further opportunity to explore precedence in earlier works and in genres other than piano sonatas.

In the biography, while some specific musical comparison with the Ninth Symphony is offered (rhythmic motifs, antiphonal textures, harmonic progressions, and the expressive contour of a rise and fall from a climax), no specific passage from the symphony is cited. Each of the four main examples of D840 addressed in this chapter, however, will be compared to certain and sometimes corresponding parts of the symphony. This comparison will reveal both similarities and differences. The similarities will suggest, if not always a model, a least an influential role for the sonata, and the differences will clarify its particular qualities. Some of the more in-depth discussion will be reserved for details (mostly tonal and harmonic) that are shared between the works, and through comparing D840 to the Ninth Symphony it will be possible to challenge McKay’s description of the work as one of an ‘epic character’.

In both her article and biography McKay links this ‘epic character’ to narrative, in

⁴ E. N. McKay, ‘Schuberts Klaviersonaten von 1815 bis 1825-dem Jahr der „Reliquie” ’, Franz Schubert: Reliquie Sonata, mit Beitragen, ed. Hans-Joachim Hinrichsen, facs. edn. (Tutzing, 1992), pp. 43-66.

particular ‘the context of Romantic expression and the influence of Scott’ whose ‘Lady of the Lake’ poems Schubert was setting to music at about the same time he was composing the sonata.⁵ The idea that Schubert’s music embodies a narrative of some kind is not new, however. One of the first to read a narrating quality into Schubert’s music was Robert Schumann. In his critiques of several of the instrumental works,⁶ Schumann realised that while different works could embody different types of narrative, a past narrative was more consistently invoked in the music than any other. For John Daverio this seemed particularly appropriate to Schubert and offered a means to assert his independence from Beethoven, in particular from heroic narratives with their emphasis on forward motion and teleological drive.⁷ Unfortunately this did not lead to the beginning of a tradition of Schubert scholarship distinct from the one already flourishing for Beethoven, and only recently have scholars taken Schumann’s temporal metaphors of pastness and memory and developed them more fully.⁸

⁵ McKay, *Schubert*, pp.214-5. It is hard to think of where McKay hears motifs from the songs in the sonata. Motif c (see p. 49) is similar to the opening bars of the piano introduction of *Bootgesang* and the retreat to the second subject (bars 45-52) is rhythmically and texturally related to the accompaniment of the *Maßig* sections of the first *Ellens Gesang*. Elsewhere, though, it is difficult to draw further analogy.

⁶ Most of these were written between 1835-40 and appeared in the *Neue Zeitschrift für Musik* (originally *Neue Leipziger Zeitschrift für Musik*). Of Schubert’s instrumental compositions, the keyboard works were given most attention, with Schumann critiquing the Impromptus (D935) and *16 Deutsche und 2 Ecossoisen* (D783); the sonatas in A minor (D845), D (D850), G (D894), C minor (D958), A (D959), and B-flat (D960); and the ‘Grand Duo’ for four hands (D812). In a diary entry (19 August 1828), Schumann had already compared Schubert’s music to literary narratives, when he wrote that the Variations on a Theme from Hérold’s *Marie* (D908) embodied a ‘perfect novel in tones’ [‘ein vollkommener Tonroman’]. Robert Schumann, *Tagebücher, vol.1: 1827-1838*, ed. Georg Eismann (Leipzig: VEB Deutscher Verlag für Musik, 1971), p.119. On December 10 of the same year, a review of the E-flat Trio (D929) by Gottfried Wilhelm Fink (the editor of the *Allgemeine Musikalische Zeitung*) noted that the ‘voices of recollection’ (the theme of the second movement) are ‘drowned out by the turbulence of the present moment’. [‘und wieder lassen sich mancherley Stimmen der Erinnerung freemen (Deren Anklang schnell wieder überträubt wird von der Unruhe der Gegenwart,’], *AmZ* 30, cols. 841-2.

⁷ See John Daverio, *Crossing Paths: Schubert, Schumann and Brahms* (Oxford, 2002), pp.48-9.

⁸ See especially a collection of essays, ‘Music and Culture. Memory and Schubert’s Instrumental Music’, *Musical Quarterly*, vol.48, No.4 (2000), pp. 581-664. Collection includes: Walter Frisch, ‘“You Must Remember This”: Memory and Structure in Schubert’s String Quartet in G major (D887)’, pp. 582-603; John Daverio, ‘“One More Beautiful Memory of Schubert”: Schumann’s Critique of the Impromptus (D935)’, pp.603-618; John M. Gingerich, ‘Remembrance and Consciousness in Schubert’s C-major String Quintet (D956)’, pp.619-634; Charles Fisk, ‘Schubert Recollects Himself: The Piano Sonata in C minor (D958)’, pp.635-654; Scott Burnham, ‘Schubert and the Sound of Memory’, pp.655-664.

Following detailed analytical discussion in the chapter, the narrative quality of the main examples from the first movement (Exs.I-III) will be addressed. Other examples (including Ex.IV) will be similarly treated, but only in the main conclusion where salient details have been summarised and it is possible to correlate information. The aim will not be to place the work within a specific context, as McKay does with her brief comparison to Walter Scott, (although with one musical example, an analogy is made to Proustian narratives); rather, to contextualise musical examples with a more general set of different narrative types. This will allow for more than one narrative type to be applied to D840 and the possibility of granting primacy of place to one particular type.

The First Movement (Moderato, C major, C)

The transition between the first and second group (Exs. I and II); return of motifs a and b; and retreat to second subject.

For the following discussion of the first movement, the division of the opening theme into four separate two-bar units (labelled motifs a, b, c, and d) will be used. This labelling is taken from Edward Cone's short analytical essay of the movement:

Between the first and second group of the first movement, the transition is marked by two expressive build-ups: the first (Ex. I) leads to an assertive return of the opening motif in the tonic; the second (Ex. II) to a climax on the dominant that is then followed by a bridge passage to the second subject. First transitions containing two build-ups were still relatively new in Schubert's instrumental works. Only the first movement of the 'Grand Duo' for Four Hands (D812), written a year earlier, has two comparative examples, and neither is as extended as those in the sonata.¹⁰ The contrast in tempo between the works makes the difference of length more acute:

⁹ Edward T. Cone, 'Schubert's Unfinished Business', *19th-Century Music*, vi (1983-4), pp.22

¹⁰ The D-minor string quartet has two build ups, but the second one leads to, rather than follows, the assertive return of the main theme in the tonic.

Build-up

D840/I. Bars:
Moderato

I. (Leading to return of main theme and tonic) II.

19-27 (almost 9 bars)

35-42 (8 bars)

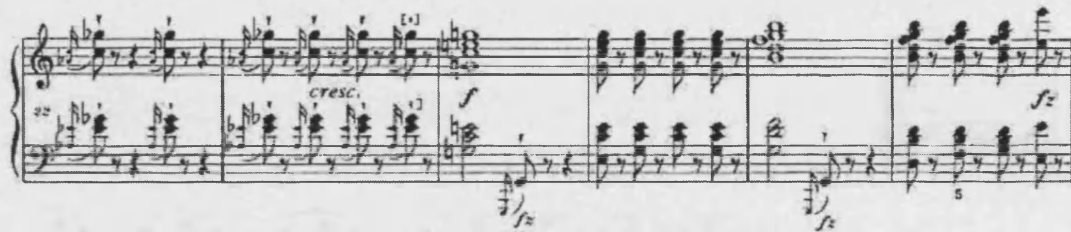
D812/I. Bars:

15-19 (5 bars)

28-33 (6 bars)

Allegro moderato alla breve

Fig. i



Ex. I: bars 19-27



Ex. I.a: 'Grand Duo' (bb. 15-19)

Ex. II: bars 35-42

Ex. II.a: 'Grand Duo' (bb.28-33)

The first build-up which leads to the return of the main theme and tonic was, however, becoming more widespread. Of the major instrumental works written before the sonata, comparative examples can be found not only in the first movement of the 'Grand Duo', but also in those of the A-minor sonata (D784) and the D-minor string quartet (D810):

D784/I

Bars: 22-5 (4 bars)

D810/I

32-40 (9 bars)

Fig. ii: Build-up to return of main theme and tonic

Ex. I.b: A-minor piano sonata (D784), bb. 22-25

Ex. I.c: D-minor string quartet (D810), bb. 32-40

Of these, the example from the quartet comes closest in length to the one of the sonata; however, like the 'Grand Duo', its quicker tempo makes the duration briefer. The other two sonatas of 1825 also have a build-up that leads to a return of the opening in the

tonic, although in the case of the first movement of the A-minor sonata (D845) the first motif is reduced to an octave outline and the alternate tonic/dominant chords of motif b.

The assertive tonic return of the main theme a little after the beginning of a work is a feature that can be traced back to some of the earliest piano sonatas. In the unfinished E-major sonata (D157) composed in 1815, there is a straightforward repeat of the forte opening at bars 23-26; in a completed E-major sonata (D459, 1816), the main theme returns in octaves with a quicker accompaniment and louder dynamic. However in certain respects these earlier examples differ from those of the 1825 sonatas, particularly with their lack of tonal digression and expressive build-up. Another difference is the placement of the main theme return in the later E-major sonata, which is not halfway through the transition but immediately after the opening phrase (bb. 1-8). From the perspective of these earlier sonatas, the extent to which Schubert by the mid-1820s had developed the structure and expressive range of his transitions can be further appreciated.

The first return of main themes and tonic of early sonatas:

Unfinished Sonata in E (D157), bb. 23-26



Sonata in E (D459), bb. 9-12

Example I (bars 19-27):

This represents the first significant and prolonged build-up of the sonata. With a pianissimo beginning, the crescendo of the previous bars where naturally some build-up has already occurred is negated.¹¹ A bar later an important motif ($\text{♩} \text{♩} \text{♩}$) reappears with its last chord embellished with grace-notes.¹² This decoration is clearly modelled on

¹¹ Earlier precedents can be found in the first movements of the D-minor string quartet and the 'Grand Duo'. In both cases, before the change of dynamic, the build-up is longer: in the quartet, it lasts for ten bars and is supported with registral expansion (bb. 15-25); in the four-hand work, for five bars with some textural thickening at the very end (bb. 9-14).

¹² This was originally encountered in bar 8, but rhythmically was anticipated, as Cone has noted, in bar 5 as part of motif c. See, Cone, *Unfinished Business*, p. 228.

string double-stopping and the wedge articulation above (indicating a semi-staccato accent) suggests a possible *pizzicato* context. The rhythmic motif (| 7 ♪♪♪) is immediately repeated. Then in the following bars only the double-stopping chord remains, falling on every second beat in b. 22, then on every beat in b. 23. Together with a crescendo marking this helps generate the first half of Ex. I's build-up.

In the following bar with a change of harmony to Ic (the beginning of a cadential progression that reasserts the tonic and motif a), the expressive build-up of Ex. I is intensified with textural thickening and a *forte* dynamic. These features are maintained throughout the progression with a rise in register in the upper part. In bb. 24 and 26 the octave separation between the hands that has so far characterised the texture is departed from, as the left hand plummets down two octaves to a low dominant. Here the grace-note and wedge articulation with a rare *fz* marking suggest the sound of timpani.¹³ Together with the full chordal textures above, an orchestral moment is conveyed. In terms of expressive features and length of progression, this passage has little precedence in transitions of earlier sonatas.

Before the cadential progression, a prolongation of A-flat major has been taking place (bb. 13-23). For Harold Truscott, who in an essay on the sonata devoted considerable attention to the prolongation, it represents, 'one of the largest results of Schubert's deep digging into the well of new expression'.¹⁴ Comparison with earlier

¹³ Indeed the quick movement from the fifth finger to the fleshier thumb not only captures the rasping sound, but also the deftness of stick movement a timpanist would employ to realise this moment.

¹⁴ Harold Truscott, 'Schubert's unfinished piano sonata in C major (1825)', *Music Review*, XVIII (1957), pp.116. For Harold Truscott this prolongation is rare and is closely emulated by the neapolitan harmony at the beginning of the finale of Beethoven's String Quartet in E minor (op.59, no.2). Although he offers no precedence from Schubert's works, his analogy with Beethoven does not result, as it did in most of the critical reception of the time, with the younger composer emerging as inferior. Indeed the analogy is very much in Schubert's favour, as Truscott argues that the A-flat major7 harmony is on a larger scale and is more disruptive than the use of the neapolitan in the Beethoven string quartet.

works reveals little, if any, precedence for the A-flat major prolongation, and the autograph suggests that it had some degree of importance for the composer. Indeed from the autograph, Schubert seems to have made a conscious decision to extend the first transition with the prolongation: originally he was going to put b. 20 where b. 16 was, but deciding against it, crossed it out and placed it instead after bb. 16-19; (see facsimile below). Consequently the prolongation stretches from the brief build-up before Ex. I, b. 15, up until the start of the cadential progression at b. 24.¹⁵



facsimile frontispiece of bars 15-24 from Hinrichsen, Reliquie Sonata, mit Beitragen.

In the brief build-up (bb. 15-18), the prolongation is clearly conveyed through an inner A-flat pedal, passing dominant (E-flat) and scalar movement. Peaking twice but briefly on G-flat, the harmony here is tinged with an inflection of the neapolitan key, D-flat major. Continuing in Ex. I the prolongation would seem to move closer to the neapolitan and further away from the tonic, as the G-flat as part of an A-flat 7 chord ('the double-stopping chord') is repeated with growing intensity. The presence of D naturals just before, however, negates this interpretation, and the move to a second inversion tonic chord at b. 24 confirms there will be no resolution to the neapolitan key.

The resolution to second inversion tonic harmony suggests, in retrospect, an

¹⁵ With-flattening of the A and B notes of motif c in bars 13-4, this prolongation might be said to stretch back even further.

enharmonic interpretation for the preceding A-flat 7 harmony; indeed through its voice-leading, the harmony behaves and sounds like an augmented sixth. This interpretation can be contextualised with an example from the first movement of the A-minor sonata (D845). Here, at b. 23, an expected F major 7 chord (which has been alternating with B-flat major harmony in the previous three bars) has been re-spelt as an augmented sixth. As well as the bar, the structural context is the same, with the enharmonic change placed in the first transition just before a cadential progression for the tonic return. The two examples are also related expressively through the repetition of thick chordal textures and powerful dynamics.

Ex.I/d: sonata in A minor (D845), bb. 20-4

bb. 22-24 of Ex. I


Analysis of bb. 15-23 has revealed an unusual prolongation, where instead of the presence of intervening chords of different harmonic meaning, the harmonic implication of the actual prolongation changes subtly. For the first four bars the A-flat major prolongation inflected with the neapolitan key has seemed distant from the tonic; in b. 19

the presence of passing D naturals marks a small, but perceptible shift towards the tonic (C major). As a result, the following A-flat 7 chords do not convince as dominant sevenths that will resolve to the neapolitan key; with the resolution to a second inversion of the tonic, these chords, as enharmonic augmented sixths, seem in retrospect closer to C major.

This perspective nuances the momentum of the prolongation. Confirmation that the tonic has not been replaced is therefore conveyed from both a backwards and forward-facing direction. Unfortunately these aspects of the prolongation and its unusual location in the movement are often overlooked when the passage is only regarded as transitional. The prolongation also provides an opportunity to discuss the flattened sixth as a harmony, rather than as a tonality, which is more frequently addressed by Schubert scholars.

Return of motifs a and b (bars 28-31):



Following the build-up of Ex. I, motifs a and b return, transformed expressively. From originally being legato and in quiet octave unison, they are now energised into heavily accented and syncopated double octaves.¹⁶ The upbeat to motif a has also changed, now marked *fz* and registrally displaced from the rest of the phrase. The  motif (including a crotchet prefix) reappears at b. 29 to link for the first time motifs a and b, which previously were phrased separately. Despite phrasal and expressive transformation, though, motif a remains unharmonised and motif b remains chordal, with the latter keeping some of the same voice-leading between the chords (cf. the lowest part of the right-hand chord bb. 2-3 to the corresponding part of bb. 29-30).

From the build-up and cadential preparation of Ex. I, a sense of arrival is conveyed with the tonic return of motif a. This, however, is short lived, as motif b and then the repeat of both motifs follow in melodic sequence down a step. Eliding with the repeat of motif b, the second build-up (Ex. II) then rises sequentially through a circle of thirds. This varied sequential treatment, sustained virtually uninterrupted for fourteen bars, cannot be matched in the equivalent parts of earlier transitions, and is another example of the exploratory range of the work's tonality.¹⁷

In returning again at b. 28, motif a has appeared three times in the exposition. This is not entirely unprecedented in Schubert's piano sonatas, or in instrumental works of this

¹⁶ The transformation here to a syncopated texture, also contrasts with the rhythmic unison used so far in the movement.

¹⁷ Comparative examples in the first movements of the Octet (bb. 40-2) and the D-minor string quartet (bb. 45-50) are significantly shorter. In the Octet the main theme is partly constructed on a rising sequence of dotted rhythms, which is extended by a further two bars following the return of the main theme halfway through the first transition. This does not lead to further sequencing, as in the second build-up of the sonata, but to harmonic preparation for the key of the second subject, D minor. In the example in the quartet, the three upper parts move in descending chromatic sequence around V/V, V, I and i harmony. The intensity from the powerful return of the main theme in the preceding phrase is maintained until the change to a *piano* dynamic in b. 49. This lowering of volume, together with the descending motion, contrasts with the sequential rise of the sonata's second build-up.

period. By coincidence, two earlier unfinished sonatas in C major (D279 of 1815 and D613 of 1818) contain two repetitions of the opening motif/theme. The first repeat in both sonatas comes after the opening twelve bars: in the earlier sonata, the main theme is returned to piano and with a scalar accompaniment in staccato quavers; the later one places the main theme in the left hand an octave lower than before, with an accompaniment of syncopated chords (bb. 13-20).¹⁸ The opening motif of the earlier sonata is then immediately repeated in fortissimo octaves, with the accompaniment similarly transformed into octaves; in the later sonata, the second repeat is delayed a little to arrive at bb. 24-28, and is raised an octave higher with broken chords, dotted rhythms and an alberti-bass accompaniment. Although repeating the main theme in the C-major tonic twice in the exposition offers an early model for D840, the lack of space between the first and second repetition does not allow for the tonal digression and intensification of expression that is found in the later sonata.¹⁹

Of piano sonatas written in the same period as D840, the D-major sonata (D850) provides a close comparison of motivic placement with its opening motif (motif *a*) repeated immediately at the beginning of the second phrase and then again at halfway through the transition. Further comparison is provided by the second repetition of the opening motif, which in both works is treated assertively. While this marks a considerable transformation of motif *a* (from piano octave unison to forte syncopated double octaves) in D840, in D850, however, there is only a change from a forte to a

¹⁸ Only in the unfinished sonata in C-sharp minor (D655 of 1819) does an opening motif reappear in the left hand and an octave lower. This example, though, appears earlier in the transition, at bar 6.

¹⁹ A later work which repeats his main theme twice in immediate succession is the A-minor string quartet (bb. 1-32). The only significant change to the theme occurs on the second repetition (bb. 23-32), when it is transposed to the tonic major and given a crescendo marking. In the opening thirty-two bars, though, there is no real change to the texture, register and dynamic that characterises motif *a* midway through the transition of D840/I.

fortissimo with a slight thickening of the bass. A further difference in D850 can be found with the change to the minor mode on the first reappearance of motif *a* at the beginning of the answering phrase (bars 5-6).



First reappearance of motif *a* (D850/I)



Second reappearance

A comparison between bars 1-35 of the sonata and bars 1-37 of the Ninth Symphony

A closer equivalent not only to the tonality, expression and structural position of motif *a*, but to the harmonic/tonal details on the first page of D840 can be found in the opening Andante of the Ninth Symphony. Like motif *a* (and *c*) of the sonata, the opening theme of the symphony is unharmonised (played by unison horns) and given a piano dynamic:



In the answering phrase (bb. 9-16) the main theme is then harmonised, but remains and closes in the tonic. In contrast, the corresponding part of D840 shows a clear digression from the tonic as motif *c* (at bb. 13-14) has its A and B notes-flattened and emphasised with an *mf* dynamic. Further difference is made with motif *d* that follows,

which builds from the chromatic inflections to begin the A-flat prolongation; with repetition of the motif, greater momentum is suggested.

The contrast of the harmony and phrase structure reflects the different forms of the two works: bars 9-16 of the symphony are part of the introduction (albeit an unusually long introduction) to the main *Allegro ma non troppo*; after the tonic repetition of motifs a and b in bars 9-12 of the sonata, the following bars are more clearly part of a transition. The closed tonic phrases of the symphony create a static quality appropriate to an early part of an introduction that still has some way to go; while in the sonata, the lack of closure and digression away from the tonic helps to convey a more forward-facing narrative, suitable for a transition.

The image shows a page of musical notation for the first movement of Beethoven's Ninth Symphony, specifically bars 9 through 16. The score is arranged in a system with six staves. From top to bottom, the staves are labeled: Ob. (Oboe), Cl. (Clarinet), Tr. (Trumpet), Vl. (Violin), Va. (Viola), and Cb. (Cello/Double Bass). The notation includes various rhythmic values, accidentals, and dynamic markings such as *pp* (pianissimo) and *sfz* (sforzando). The music is in a major key and 3/4 time, as indicated by the clefs and time signature.

bars 9-16 of the Ninth Symphony

Comparing the second and third appearance of the opening theme/motif between the two works reveals further contrast, as both foreshorten and repeat motivic material but treat their non-tonic regions differently. Covering only a few bars (bb. 24-27) and within a decrescendo, the E-minor harmony and its dominant are neither as striking nor as sustained as the A-flat prolongation of the sonata:



Bars 24-27 of the Ninth Symphony

As far as later use in the symphony is concerned, E minor is also less structurally important than the A-flat major of the sonata; indeed despite being the key of the second subject of the following *Allegro ma non troppo*, E minor is mostly treated in later movements as part of a sequence.²⁰ (In contrast, A-flat major appears more often as a tonality than as part of a sequence in the sonata.)²¹ Shortly after the E-minor bars of the *Andante* introduction, A-flat major is introduced, however, in the symphony (bb. 48-52). Parallels with the sonata become stronger with analysis that reveals A-flat major as an important key for the later movements.²² The presence of the flattened submediant as part of the long-range tonal design of the sonata, therefore, seems to have partly influenced Schubert's decision to include it again in another C-major work. This offers one example

²⁰ E minor can be found in the *Allegro ma non troppo*, as part of a thirds sequence leading to the dominant closing group of the exposition, as a passing harmony leading to the climax of the development; in the second movement, as a brief echo at b. 60-1 (repeated bb. 214-5) of an E-major passage; and in the finale, as part of a sequence of the second subject (bb. 209-216).

²¹ As a tonality, A-flat major can be found at the beginning of the coda of the first movement, and is used for the first B section of the second movement and for the first part of the minuet. As part of a sequence, it appears at bb. 34-5 when motif b is repeated down a step and elides with the beginning of the second build-up, and in bb. 40-1 near the peak of the second build-up.

²² First encountered at bb. 48-52, A-flat major is used in the *Allegro ma non troppo* at the beginning of the development, the climax of the development (bb. 315-324), the retreat to the recapitulation; also in the scherzo at the beginning of the development; and in the finale as part of a sequence leading to the dominant closing group of the exposition (bb. 321-4) and for much of the second half of the first part of the development (bb. 409-426).

of how way the composer might have intended 'to pave the way towards a grand symphony'.²³

Before the third appearance of the opening theme of the symphony and motif a of the sonata are examined, a comparison of the cadential progressions just before will be made. Again differences are revealed and support earlier comments of the length and expressive power of the sonata's cadential progression. In the symphony, on dominant seventh harmony, the progression lasts for just one bar; in the sonata, it lasts for four. The dissonant chord before is similarly different in length, with the B-major harmony lasting a single bar in the symphony, and the A-flat 7 chords three bars in the sonata. In terms of the expressive context of the cadential progressions, the contrast between the two works is particularly telling: in the symphony, without any build-up before, the strings, oboes and clarinets have to make a crescendo from a pianissimo to a fortissimo in the space of just one bar; in the sonata, a build-up has already started before the progression and is continued through it (discussed earlier as Ex. I).

The third appearance of the opening theme/motif in both works marks an assertive return. Texturally the passages are closely related, with the octave doublings followed by a bar of harmonisation in the symphony recalling motifs a and b at bb. 28-30 of the sonata. However these harmonised bars (played by the woodwind) are marked piano and interject twice after only two bars of fortissimo. The power of the passage is therefore dissipated a little. From the return of motif a in the sonata, on the other hand, there is no change of dynamic or thinning out of texture for a further sixteen bars.

²³ This is taken from the composer's famous letter to Kupelwieser (of 31 March 1824) where he details his recently completed the string quartets in A and D minor and the Octet, and expresses his desire to prepare for a new 'grand symphony' with another quartet. Original source: O. E. Deutsch (ed.), Schubert. A Documentary Biography, trans. E. Blom (London, 1946), pp.338-41.

The third appearance of the main theme in the symphony and motif a in the sonata are initially in the tonic, C major. However in the symphony, the main theme is extended by an extra bar with repetition of E-major harmony. This then moves to the dominant, B major, and marks the first time the main theme does not close in the tonic. In the sonata, as has already been discussed, the destabilising of the tonic is made much sooner, immediately after the first return of motif a.

third appearance of Andante theme (bb. 29-37)

Contextualised with specific expressive features and non-tonic regions of bb. 28-35 of the sonata, the third appearance of the main theme in the symphony seems less powerful and driven. Certainly the piano interjections and the lack of tonal digression, until briefly

at the end of the phrase, would support this assessment. Following another repeat of the main theme, though, the first sustained build-up of the symphony is provided at bb. 67-77. Conveyed through an increase in instrumentation and a rise in dynamic and register, this is placed at the end of the Andante to lead straight into the Allegro ma non troppo. Here is the main goal-directed passage of the introduction.

Comparing the first 35 bars of the sonata with the first 37 of the symphony, therefore, reveals both similarities and differences. While the similarities (the tonality, expression and placement of the main theme) suggest possible modelling, the differences (speed of harmonic rhythm, treatment of non-tonic regions and position of expressive build-ups) reflect the different forms of a transition and an introduction. Through such a comparison, attention is once again drawn to the scale and harmonic content of the build-ups in the transition of the sonata.

Example II (bars 35-45):

The musical score for Example II (bars 35-45) is presented in three systems. The first system consists of two staves: a treble clef staff with a key signature of two flats and a common time signature, and a bass clef staff. The second system also consists of two staves, with the treble clef staff starting at bar 32 and the bass clef staff continuing from the previous system. The third system consists of two staves, with the treble clef staff starting at bar 42 and the bass clef staff continuing from the previous system. The score includes various musical notations such as notes, rests, and dynamic markings like *sfz*.

The second build-up of the transition (Ex. II) begins by eliding with the end of the repeat of motif b in A-flat major. The sequential melodic movement that characterised bb. 28-35 is now continued in the opposite direction, as b. 35 is repeated in rising sequence for six bars. Shortly after, a peak on dominant harmony is reached (bb. 43-5), signifying that the upper part, since the beginning of Ex. II, has covered almost two octaves. With a comparative lack of dynamic marking and textural thickening, this registral ascent forms the expressive trajectory of Ex. II and, for duration and distance, is unmatched in transitions of earlier sonatas and chamber works. In the sonata only in the development of the first movement and the minuet are there longer build-ups, and neither rises as far. In terms of being the second build-up of the transition, there is also little precedence for Ex. II; bb. 28-33 of the first movement of the 'Grand Duo' being one of the few exceptions (quoted as Ex. II.a, p.50).²⁴

The rising sequence of bars 35-41 is conveyed both melodically and harmonically through the stepwise movement of the upper part and the non-tonic regions. The rate of change of the non-tonic regions is more varied, and, in most cases, halved from the preceding bars where motif a and b were returned to:

Bars: 28-9	30-1	32-3	34-5							
C major	B-flat major	D minor	A-flat major							
				Bars: 35	36	37	38	39	40	41
				A-flat major	B minor		D minor	F minor	A-flat major	
				(Approach: enh. vii	V		vii	V	vii)	

Fig. iii. Harmonic analysis of return of motifs a and b and Ex. II.

Compared to the transitions between the first and second group of earlier sonatas, the speed of change here is unusually fast, but not unprecedented in Schubert. In

²⁴ This expressive build-up is conveyed through repetition of material, some rhythmic foreshortening and a crescendo, but lacks a sustained rise in register and is briefer than Ex. II.

celebrated songs such as ‘*Erlkönig*’ and ‘*Gretchen am Spinnrade*’, composed almost a decade before D840, passages of quick, rising sequences can also be found. In terms of the speed and halving of harmonic rhythm, though, a comparison with a passage of expressive build-up in the Ninth Symphony (from the trombones’ motif to the assertive return of the dominant, bb. 200-27) is instructive. Up to b. 219 of the symphony the harmonic rhythm changes every fourth bar; after, it is every second. Similarly from the return of motifs a and b to the second build-up of the sonata, the harmonic rhythm is halved from every second bar to mostly every one. Since the ‘*alla breve*’ beat of the first movement of the symphony is about the same as the C of the sonata, the pace of harmonic rhythm in the two works sounds virtually identical.

Symphony no.9/I

Bars: 200-203	204-207	208-211	212-215	216-219					
A-flat minor (2 nd inv.)	E-flat major	A-flat minor (2 nd inv.)	B minor	E minor					
					220-1	222-3	224-5	226-7	228-
					C major	dim.7 th	V	Aug 7 th	V-
					(with E minor on C#	(2 nd inv.)	on C#		
					in trombones’ part)				

D840/I

Bars: 28-9	30-1	32-3	34-5						
C major	B-flat major	D minor	A-flat major						
				(Ex. II)					
				35	36-7	38	39	40-2	43-
				A-flat major	B minor	D minor	F minor	A-flat major	V-

Fig. iv

As well as the harmonic rhythm, the two passages also have a comparative organisation of non-tonic regions and motivic foreshortening. Both use a circle of thirds, a favourite device of Schubert’s. In the symphony, a circle of major thirds is framed by a

circle of fifths that, from bb. 181-240, begins before and continues after **Fig. iv.**²⁵ In bb. 35-40 of the sonata a circle of minor thirds is framed by A-flat major, a tonal region that has already appeared in the first half of the transition. Both examples, therefore, have cyclic organisation of non-tonic regions on both a local and a deeper structural level.

The two examples above also support Elizabeth Norman McKay's observation that both works repeat short fragmentary motifs in their build-ups. In the symphony the trombones' motif is itself a fragment, derived from b. 2 of the opening theme of the Andante. With the registral and dynamic rise and halving of harmonic rhythm, the motif is then shortened: first, losing its minim upbeat from b. 222, and then, two bars later, having its rhythm halved. In the comparative example of the sonata, although a process of foreshortening does not take place within the course of the build-up, the material of the upper part, 'the joins' of motif a (a dotted minim) and motif b (a *fz* upbeat), is fragmentary.

In both works there then follows an expressive peak on dominant harmony. In the sonata, following a brief interruption to the sequential rise, the dominant is reached at a registral peak with both hands moving in contrary motion: at this point in the movement the right hand is at its most highest and distant from the left. Without cadential confirmation or a clear caesura, though, the dominant is not established as a tonality and marks, at bb. 43-5, the end of the sequence. There then follows an abrupt change of dynamic and register, as the dominant is retained in a passage that leads tentatively to the second subject and the new key of B minor. The example in the symphony reveals the dominant in a different structural and expressive context. From bb. 228-240 of the first

²⁵ For a more detailed discussion of this passage in the Ninth Symphony, see Richard Taruskin, 'Chernomer to Kaschei: Harmonic Sorcery; or, Stravinsky's "Angle"', *Journal of the American Musicological Society*, Volume XXXVIII (Spring 1985 No.1), p.81

movement, the dominant forms a powerful tonal and thematic group near the end of the exposition. The expressive context then becomes more heightened, as a cadential figure derived from bb. 59-61 of the Andante is repeated with variation to culminate in a registral and *fff* peak. Following a long build-up from the appearance of the trombones' theme at b. 200, a sense of triumph is exuded.

The image displays a page of a musical score for the Ninth Symphony, I, specifically the dominant group (bb. 228-240). The score is arranged in two systems of staves. The left system includes parts for Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Cor Anglais (Cor.), Trumpet (Tpt.), Trombone (Tbn.), Violin (Vl.), Viola (Vla.), Violoncello (Vcl.), and Contrabass (Cb.). The right system includes parts for Violin (Vl.), Viola (Vla.), Violoncello (Vcl.), and Contrabass (Cb.). The music is written in a grand staff format with various dynamics and articulations. A rehearsal mark '230' is visible at the top of the first system.

Dominant group of Ninth Symphony/I (bb. 228-240)



Dominant peak following Ex. II (bb. 43-5)

In comparing the short peak and the second build-up of the sonata (Ex. II) to bb. 200-240 of the symphony, a more complex narrative is highlighted. Despite the rising sequences creating a sense of tonal flux and momentum, Ex. II seems directionless, its goal unclear. When an expressive goal is reached at bb. 43-5, this is problematised by a lack of tonal arrival. With the first build-up of the transition (Ex. I), a clearer narrative might have been conveyed as the tonic is reasserted. This, though, prompted a shift in perception over the preceding A-flat prolongation, throwing insight back onto something that had already passed. The process of sequencing that then started immediately after the return of the tonic and motif undermines the powerful expressive context of the return and its cadential progression just before. This creates a complex narrative where not only an expressive goal has been superseded, but a tonal one as well.

Retreat to second subject (bars 45-52)

Following the expressive peak of bb. 43-5, the retreat to the second subject takes immediate effect with a drop in register and dynamic volume. There is no change of

motif or harmony, however, as both the $\text{♩} \text{♩} \text{♩} \text{♩}$ rhythm and the dominant are sustained. In the first four bars, the dominant harmony is built up with minor third intervals resulting in a rise to the dominant ninth. This rise with the rhythmic motif clearly mirrors Ex. II that has just taken place, but the decrescendo, significantly, provides distance from it. From this perspective, bars 45-8 seem to reflect ironically on Ex. II.



Bars 45-8 of part of the retreat

In the following few bars of the retreat (bb.45-8), another example of ironic distancing where the composer self-consciously adapts an earlier passage (bb. 21-4) can be found. Both passages are characterised by tonal obscurity and share virtually the same rhythm.²⁶ One small but significant difference, however, involves the crotchet prefix attached to the rhythmic motif in the later example. This has an effect of displacing the repeated chords that follow onto weaker beats, and delaying the first strong downbeat until b. 51 (an important point in the transition to B minor). Within the context of the earlier passage, this metric displacement and avoidance of a strong downbeat makes bb. 48-50 seem less sure-footed. With the enharmonic change and then resolution onto a six-four B-minor chord at b. 51, further distance is provided from the earlier example that resolved onto six-four of C major. This rhythmic and tonal distancing tinges another part of the retreat with ironic inflection.

²⁶ For Richard Kramer the rhythm of the two passages 'is of a piece' (i.e., entirely consistent). See, 'The Hedgehog: Of Fragments Finished and Unfinished', *19th-Century Music*, XXI, no.2 (1997), pp.142-3.



Bars 48-52 of retreat

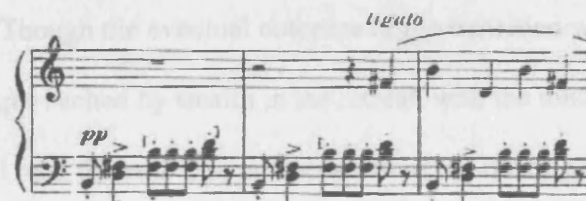


Bars 21-4 of Ex. I

On the occasion scholars respond to the harmonic and tonal qualities of the sonata, b. 51 is often considered as an exceptional moment in an exceptional transition. For Richard Kramer the change from the A-flat to the G-sharp represents not so much a resolution, but a 'transmutation', a Schlegelian process of 'becoming'.²⁷ For Susan

²⁷ Kramer, *The Hedgehog: Of Fragments Finished and Unfinished*, p.142. From the harmonic tensions of the lower semibreves, Kramer also hears C-sharp as a root. This note is related to the transmuted G-sharp from the distance of a fifth, a significant interval with regard to the tonal organisation of the development. The implied C-sharp illustrates can be understood through another construct of Schlegel's, that of fragmentary or unfinished art having to be, 'quite separated from its surroundings and complete in itself.' ['Ein Fragment muss gleich einem kleinen Kunstwerke von der umgebende Welt ganz abgesondert'], 'Fragmente', *Athenäum: Eine Zeitschrift von August Wilhelm Schlegel und Friedrich Schlegel*. vol.1, part 2 (Berlin, 1978).

Wollenberg the enharmonic changes are 'magical'; not recapitulated they 'mark the first appearance of the truly elliptical enharmonic transition within a sonata-form structure'.²⁸ The unconventionality of this moment is then followed by a cadence that gently confirms B-minor tonality.²⁹ In the next two bars the $\text{♩} \text{♩} \text{♩} \text{♩}$ motif as an accompaniment 'sets the scene' for the entry of the second subject, a derivative and expansion of motif a:



Throughout the different parts of the transition, the $\text{♩} \text{♩} \text{♩} \text{♩}$ motif (sometimes with a ♭-prefix or, as with the second subject above, a ♩-prefix) has been pervasive. It has appeared in Ex. I with the return of motifs a and b, in Ex. II with the retreat to the second subject, and as the accompaniment to the second subject.³⁰ Although $\text{♩} \text{♩} \text{♩} \text{♩}$ might be said to derive from middle-period Beethoven, its placement within a transition of considerable harmonic and expressive change is not characteristic of the older composer. Indeed, as an ostinato and in various harmonic and tonal contexts (the prolongation of the flattened submediant, the sequential rise away from the tonic, the retreat to the minor key on the leading-note) there is little equivalent in his transitions.

²⁸ The change from G-sharp to A-flat, for Wollenberg, is also part of the wider influence of A-flat major harmony on the tonal design of the exposition. See chapter 'Schubert's Transitions' from *Schubert Studies*, ed. B Newbould (Ashgate, 1998), pp.55-56.

²⁹ Placing the second subject in the minor key of the leading note was something Schubert had never done before and was to never repeat. Only in the A-minor *Lebensstürme* for four hands composed in 1828 did he come close, with a second subject in the major key of the leading-note.

³⁰ The motif also appears later in the exposition, as part of the transition between the second and third group (bb. 71-80), as well as an accompaniment to the third theme (from b. 86).

On a broader level, the narrative contexts discussed earlier are also removed from those traditionally associated with Beethoven. For Ex. I, the return of motifs a and b and Ex. II, the narrative was shown to be problematic. While both build-ups were forward-facing, for Ex. I this perception relied partly on hindsight, and for Ex. II there was a lack of clear direction. The goal of Ex. I (to return to motif a and the tonic) was quickly displaced by sequential momentum, and the goal of Ex. II (a registral peak on the dominant) lacked tonal confirmation. Though the eventual outcome of the transition was to reach the second subject, this was approached by stealth in the retreat, with the tonal goal of B minor remaining veiled until near the end. The introspection of the retreat was further nuanced with links found to earlier passages.

In terms of unifying long stretches of music with repetition of a short rhythmic figure, another source of inspiration can be found in the composer's 'Lady of the Lake' song cycle. In several of these songs, rhythmic ostinati in the piano accompaniment are used to cover an entire section, and in two cases ('*Norman's Gesang*' and '*Ellen's Gesang, III*') an entire song. Often these ostinati accompany a text that describes a defiant and determined frame of mind. Appearing throughout most of the transition, by the time the motif in the sonata becomes an accompaniment to the second subject it arguably conveys a more extreme condition, one that András Schiff views as 'manic'.³¹ Together with the melodic second subject, the mediant harmony at the first cadence, the modulation to the

³¹ András Schiff, 'Schubert's piano sonatas: thoughts about interpretation and performance', *Schubert studies*, ed. B Newbould (Ashgate, 1998), p.198. In comparison with repetitive rhythmic figures in Beethoven's A-minor String Quartet (op.132), James Webster draws a similar conclusion to Schiff, 'And to my ear, the accompanimental ostinati in certain Schubert movements, such as the finale of the D-minor string quartet and the slow movement and finale of the G-major String Quartet, seem obsessive: at once trivial and frightening'. Compared to Beethoven where repetitive figures 'are taken as serving an artistic purpose', those in Schubert seem to discharge 'a cathexis', as discussed in James Webster, 'Music, Pathology, Sexuality, Beethoven, Schubert', *19th-Century Music*, XVII/1 (Summer 1993), p.91

minor key of the leading-note, it is indeed hard to disagree with Schiff's assessment that here is 'a uniquely Schubertian' moment.³² Certainly the presence of Beethoven could not be further away.

The image displays three systems of musical notation for a piano piece. The first system, at the top, is marked with a piano (*pp*) dynamic and the instruction *ligato*. It shows a treble clef staff with a few notes and a bass clef staff with a dense, rhythmic accompaniment of chords and eighth notes. The second system, marked with the number 66, continues the piece with a more active treble line and a similar bass accompaniment. The third system, marked with the number 61, shows further development of the musical ideas, with both hands featuring more complex rhythmic patterns and chordal structures.

antecedent and consequent of second subject (bb. 53-62)

³² Schiff, *Ibid.*

The Development (bars 105-150)

The first two periods of the development: Proustian narrative

Following the second subject, the opening period of the development offers another example of introspection, one that with neighbouring passages can be contextualised with narrative processes in Proust, as demonstrated in A la recherche du temps perdu.

D840/I	Proustian narrative
dominant group + triplet linking passage (exposition, bars 86-104)	present
triplets + opening chord (Development, bar 104)	<i>moments bienheureux</i>
opening period (bars 104-115)	past
Second period (bars 115-127)	present (and forward facing)

Fig. v

In switching the narrative from the present to the past, the *moments bienheureux* are crucial in Proust's novel. Forming a highly sensual experience in the present, they stimulate memories of the past through what the author calls a 'miracle of analogy'.³³ One of the best known *moments bienheureux* occurs in the Prologue, where from the taste of a madeleine dipped in lime-blossom tea, the narrator recalls scenes from his childhood. With this evocation of the past and the series of reminiscences that follow, the writing becomes more poeticised than it was for the present. After, there is a return to the present.

Applying Proust's representation of different temporal conditions to different parts of Schubert's music is rarely undertaken, even though the composer has been linked to the writer in recent years by writers such as Susan McClary and John Gingerich.³⁴ One

³³ Quoted from Proust's analysis of the *mémoire involontaire* in Remembrance of Things Past, part 8: The Past Recaptured, trans. Stephen Hudson and Andreas Meyer (New York: Vintage, 1982), pp.903-8.

³⁴ John M. Gingerich, Schubert's Beethoven Project. The Chamber Music, 1824-1828, PhD diss. (Yale, 1996), p.106; Susan McClary, 'Constructions of Subjectivity in Schubert's Music', Queering the Pitch: The

notable exception, however, is John Daverio, whose analysis of the F-minor Impromptu (D935, no.1) shows how 'each phase' of a Proustian narrative (the present, *moments bienheureux*, past and return to the present) might be 'mapped onto a corresponding phrase' in Schubert's Impromptu.³⁵ Quoting bars 66-71 at the point where there is a switch from A-flat major to A-flat minor in the second group, Daverio offers the following analogy:

Impromptu in F minor (D935/1)

'cascading' A-flat major arpeggios (bb. 66-68)

accompaniment emerging from previous arpeggiation (from bar 69)

'evocative dialogue without words' (bars 69-111)

return of opening section (from bar 115)

Proustian narrative

present

moments bienheureux

past

present

Fig. vi

The image shows three systems of musical notation for Schubert's Impromptu in F minor (D935/1). The first system (bars 66-68) features a treble clef with a melodic line of cascading arpeggios and a bass clef with a simple accompaniment. The second system (bars 69-71) shows a change in the bass line, with a treble clef line that is mostly rests. Performance markings include 'pizz.' and 'cres. pròle'. The third system (bars 72-74) continues the melodic and accompanimental lines. Performance markings include 'pizz.', 'cres. pròle', and 'rit.'. The page number '36' is visible in the bottom right corner of the score area.

New Gay and Lesbian Musicology, eds. Philip Brett, Elizabeth Wood, Gary C. Thomas (Routledge, 1994), p.227.

³⁵ Ibid., pp.55-6.

³⁶ Ibid., example taken from p.57.

From the end of the exposition, going into the development and reaching the second period of the section, a comparative Proustian analogy can be made in D840/I, outlined in **Fig.v** above. A narrative in the present is conveyed through the functionality of the dominant group and the lack of clear tonal direction in the linking passage that follows. The dominant group importantly restores tonal balance to the exposition after the B minor of the second subject, but is less striking melodically and in general expressive effect. This comparative ordinariness also suggests a moment in the present.³⁷ The linking passage, in retaining the triplet rhythm of the dominant group in octave unison, remains unharmonised, and as a result, gives little clue to the tonality of the development. Despite the decrescendo near the end, the reiteration of the E's maintains the static quality of the narrative.

The image shows four systems of musical notation for piano. The first system (measures 101-103) shows a triplet in the right hand and octave unison in the left hand, with a 'decresc.' marking. The second system (measures 104-106) shows a triplet in the right hand and octave unison in the left hand, with a 'pp' marking. The third system (measures 107-109) shows a triplet in the right hand and octave unison in the left hand. The fourth system (measures 110-115) shows a triplet in the right hand and octave unison in the left hand, with a 'pp' marking.

linking passage (bb. 101-3) and opening period of the development (bb. 104-115)

³⁷ Although there is no dominant group at the end of the exposition of the first movement of the Unfinished symphony, Schubert virtually always has one at this point in the structure, even if earlier he has put the second group in a remote key. In this respect he is more conventional than Beethoven who feels less obliged to end his expositions in the dominant when he has been elsewhere in his second group.

With no cadential preparation, the tonal arrival of A major at the beginning of the development seems to have appeared from almost nowhere: a fortuitous (*bienheureux*) moment indeed.³⁸ Here the E's in the inner part of the right and left hand and the triplet rhythm in the bass can be said to embody 'a miracle of analogy', since they have appeared just before in the present narrative of the linking passage and will appear again in the past narrative with the return to motif a (see first chord of the next bar). Following the relatively prosaic music at the end of the exposition, a sensual quality to both the ear and touch is also conveyed with this chord. Together these features support the idea of a *moments bienheureux* being represented.

As with the next stage of Proust's narrative, motifs a and b that follow are presented as idealised reminiscences. As part of an opening period, they are transformed lyrically and placed together for the first time in an antecedent phrase.³⁹ This new lyrical context is imbued with pastoral characteristics: melodic parallel motion in thirds, horn-like fifths in the bass, subdominant harmony, a hushed dynamic and the major mode. Importantly, further interpretation of these characteristics complements the comparison with Proust. The melodic parallel motion in thirds, which fills in the octaves of motif a, is indicative of simplicity, grace and a harmonious existence: 'a duet between two singers in complete accord'.⁴⁰ Also, the horn-like fifths in the bass at the beginning of the antecedent and


³⁸ The repeated Es before can be viewed as dominant notes, but this perception is made with hindsight after the development is underway.

³⁹ For Cone this transformation, 'sounds like the definitive statement of which the original was only a preliminary sketch. Thus, ... not until the development section throws new and welcome light on the first subject do we become conscious of having longed for such an illumination.', *Unfinished Business*, p.228. The occasional identification of antecedents and consequents conforms to the standard definitions given by William Caplin: an antecedent is 'An initiating intrathematic function consisting of a unit that closes with a weak cadence' and a consequent is 'A concluding intrathematic function that repeats a prior antecedent but ends with a stronger cadential closure.' William E. Caplin, *Classical form: a theory of formal functions for the instrumental music of Haydn, Mozart, and Beethoven* (Oxford, 1998), pp.253-4.

⁴⁰ This is one characteristic of the pastoral topic that Robert Hatten lists with regard to the first movement of Beethoven's A major Sonata (op.101). See *Musical Meaning in Beethoven: markedness, correlation, and interpretation* (Indiana, 1994), p.98.

consequent signify distance, the subdominant colouring of the harmony in the consequent, an indication of ‘mollified tension and intensity’,⁴¹ and the pianissimo and A- major tonality create a suitably hushed and rarefied context for the passage.

Although one of the central tenets of the pastoral genre, to find simplicity away from complexity, seems foreign to a work as notoriously difficult as A la recherche du temps perdu, one of the ways in which that simplicity is found is also explored in the novel. This is the retreat from an adult existence through idyllic recollections of childhood, something already mentioned with regard to the first *moments bienheureux*. This sharing of the same narrative content (i.e. memory) between the pastoral literary genre and Proust’s novel, therefore, indicates a degree of compatibility between the two. The opening period of the development shows how that compatibility might be represented musically.

The final stage of the Proustian analogy, where following an evocation of the past there is always a return to the present, will be made with the second period of the development. Following the repeated pianissimo close of the opening period, motif a in the bass signifies an immediate change of temporal direction. Compared to the passive state of the motif in the opening period, here it is more actively engaged. The triplet rhythm is also retained and transformed, no longer subservient accompaniment but put into  and texturally thickened. Its assertive presence can be felt especially in the first half of the antecedent and consequent (as it is registrally juxtaposed with motif a) and also at the ends of each phrase where it appears in double octaves. Both motifs are

⁴¹ This definition has been taken from Hatten, ‘From Topic to Premise and Mode: The Pastoral in Schubert’s Piano Sonata in G major, D894’ in Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert (Indiana, 2004), p.56. For Cone the subdominant inflection here suggests the influence of motif d, Unfinished Business, p. 229.

marked fortissimo, with an added *fz* given to the upbeat to motif a when it is played by the right hand in the consequent.

The musical score consists of three systems of piano notation. The first system (measures 115-119) features a right hand with a triplet of eighth notes and a left hand with a steady eighth-note accompaniment. The second system (measures 120-124) continues the eighth-note accompaniment in the left hand and features a right hand with a series of chords and eighth notes. The third system (measures 125-127) shows a right hand with chords and a left hand with eighth notes. Dynamics include *ff* and *fz*.

second period of the development (bb. 115-127)


The temporal immediacy of the second period is tinged with harmonic motion: within each phrase, motif a is repeated in higher sequence; then there is rising chromaticism to lead to a tonal area. The harmonic relationship of each phrase to the preceding one also emphasises action, rather than passivity. Indeed, while the first half of the antecedent maintains the A major of the opening period, the added seventh conveys a forward projection; likewise, the consequent takes the tonal region at the end of the antecedent, C major, and adds a seventh. As a higher sequence of the antecedent, the consequent

suggests further momentum.


From the perspective of the opening period the second period suggests active engagement, a return to a present state that can be found in Proust's narratives following a recollection. The period, however, is also strongly suggestive of a future temporality, its close on F-sharp major being important for the rest of the development and for the moment of recapitulation.

Example III (bars 127-150): a musical arc

For the remainder of the development there is an expressive build-up to a peak, followed by a retreat that eventually reaches the recapitulation. For the first time in the movement a retreat does not begin immediately with a significant change in register or dynamic.

Rather, there is a long decrescendo and a thinning out of texture as first the  motif in the left hand (from b. 139) is reduced from octaves to single notes, and then four bars later, is treated the same way in the right hand.⁴² The register, as far as the fragmented remainder of motif a is concerned, does not always conform to the trajectory of the decrescendo. In the build-up there is a steady registral rise of motif a in thirds until a peak at the beginning of b. 138 is reached; at this point, the motif has been reduced to an accented upbeat moving in step to a downbeat.⁴³ Following the peak there is an initial drop in register, as the motif a fragment moves downwards with the *decresc.* marking.

However just over a bar later, this motion is reversed and the registral peak of b. 138 is returned to at the beginning of b. 141. By this stage the dynamic volume has dropped to a

⁴² This motif, as Elizabeth Norman McKay has pointed out, is related to  in the exposition. Hinrichsen, *Reliquie Sonata, mit Beitragen*, p.60.

⁴³ It should be stressed that the registral expansion is created primarily by motif a in thirds. So even though the accented upbeat at the end of bar 131 is the highest pitch reached in Ex. III, it is an isolated incident that does not detract from the ongoing process of expansion.

piano. Here, therefore, for a short moment is some conflict between the trajectory of the dynamic and the direction taken by the motif a fragment. The motif then moves downwards again, and, following some repetition, drops an octave and comes to rest with a pianissimo. Through a drop in register and dynamic volume that has been mostly complementary despite the earlier conflict, the expressive goal has now been reached. To balance the build-up with the same amount of bars, there are a further four bars where only the rhythmic motif (| ♪♪♪♪) remains. This importantly, with the general expressive contour, provides some symmetry:

registral build-up
bars 128-139 (eleven bars)

peak
bar 139 (at beginning of bar)

dynamic and registral retreat
bars 139-151 (just over eleven bars)

Ex. III



The musical score consists of three systems of piano accompaniment. The first system (bars 128-131) shows a build-up in dynamics and register. The second system (bars 132-135) continues the build-up. The third system (bars 136-139) shows the peak and the beginning of the retreat, with dynamics marked 'f' and 'decresc.'

The image shows three systems of musical notation for piano. The first system (measures 128-131) features a treble clef with a complex, rhythmic melody and a bass clef with a steady eighth-note accompaniment. The second system (measures 132-135) continues the melody and accompaniment, with a *pp* dynamic marking. The third system (measures 136-139) shows the melody and accompaniment concluding with a final chord and a fermata over the final note.

Ex. III (bb. 128-151)

In a development of a first movement there will of course be passages of a similar expressive nature, and in major instrumental works written before the D840 Schubert sometimes even includes two passages of build-up and retreat. Most retreats, however, begin with an immediate contrast of register and dynamic; and examples where the change is more gradual are either disproportionately briefer than the build-up, or following a longer climactic passage do not lead to the recapitulation.⁴⁴

A comparison between Ex. III and a musical arc in the Ninth Symphony





As with earlier examples in the sonata, a corresponding place of the Ninth Symphony offers a closer comparison. Here in the symphony the duration and expressive contour

⁴⁴ In the first movement of the 'Grand Duo', following nine bars of build-up (bb. 126-135), there is less than three bars of retreat (bb. 140-3); similarly in the first movement of the 'Unfinished Symphony', following eighteen bars of build-up (bb. 128-146) there is only three bars of retreat (bb. 147-50). A later moment in the 'Grand Duo', offers a rare moment where following a long climactic passage 'a false' recapitulation is reached in E major (b. 159); this delays, for sixteen bars, the eventual return of the main theme and the tonic.

of the retreat is proportionate to the build-up, and leads eventually to the reprise. In between the climactic passage is also shorter:

build-up	climactic passage	retreat
bb. 280-314 (35 bars)	bb. 316-325 (10 bars)	bb. 326-356 (30 bars)

Fig. vi: the development of the Ninth Symphony

Of these three stages, the expressive details of the retreat and the retaining of motifs from the previous climactic passage bears close comparison to those of Ex. III. The continuation of the  motif in the clarinets' part links the end of the climactic passage with the retreat, a feature that is also found, though not as isolated bridge, in the sonata with the  motif. Also in the retreat of the symphony there is a reduction of instrumentation; in the comparative part of Ex. III, the  motif from initially appearing in double octaves is reduced to single notes, first in the left hand and then a little later in the right, and by the time a pianissimo is reached, motif a is removed as well. The decrescendo in the symphony begins at virtually the same place as the sonata's (i.e., immediately after the peak), and it takes about the same time to reach a pianissimo. As far as a registral descent is concerned, this can be found in the string parts, in particular the  accompaniment in the violins which descends steadily to the recapitulation of the first theme. Here the trajectory, along with the trombones' motif played by the woodwind and lower strings, is smoother than the registral descent of motif a in the sonata.

and as a result fragment about the peak and in the next few lines. Although there is
 throughout the first up in bars with initially in / other defined in other higher
 accompaniment figure which is the recognition, that is also extensive, appearing
 in present throughout over the end of the record it is augmented for, correct, and as
 thereby in Ex. III, the (1) will then encountered in the preceding second period
 (1) derived from the first group are considered right through to the recognition
 plate, in the lower range of the example from the synthesis, two groups (1) 2 and
 and multiple forces of the synthesis group were instead than a two-kind means the
 further changes can be made with the use of words, even though the latter design

Musical score for strings and bassoon, measures 1-40. The score is written for Violin I (VI), Violin II (VII), Viola (VI), Violoncello (VI), Contrabasso (VI), and Bassoon (Bass). The notation includes various musical symbols such as notes, rests, and dynamic markings.

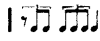


Musical score for strings, measures 41-50. The score is written for Violin I (VI), Violin II (VII), Viola (VI), Violoncello (VI), and Contrabasso (VI). The notation includes various musical symbols such as notes, rests, and dynamic markings.

The image displays two systems of musical notation for the Ninth Symphony, I. The first system (measures 315-340) shows a climactic passage with increasing dynamics and intensity. The second system (measures 340-356) shows a retreat followed by a recapitulation. The instruments listed include Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Trumpet (Tr.), Trombone (Tbn.), Violin (Vl.), Viola (Vla.), Violoncello (Vcl.), and Contrabass (Cb.).

Ex. III.a: climactic passage and retreat, the development-recapitulation of the Ninth Symphony/I (bb. 315-56)

Further comparison can be made with the use of motifs, even though the larger design and multiple forces of the symphony permit more material than a two-hand sonata for piano. In the three stages of the example from the symphony, two motifs (| ♩ ♩ ♩ and | ♩ ♩ ♩) derived from the first group are sustained right through to the recapitulation. Similarly in Ex. III, the | ♩ ♩ ♩ motif first encountered in the preceding second period is present throughout; near the end of the retreat it is augmented into quavers, and as an accompaniment figure ushers in the recapitulation. Motif a is also pervasive, appearing throughout the build-up in thirds with initially its *fz* upbeat displaced an octave higher, and as a small fragment nearer the peak and in the retreat that follows. Although absent in

the final four bars of the retreat, motif a reappears at the beginning of the recapitulation.

As well as repeating motifs for long stretches, both works also present them antiphonally. In Ex. III of the sonata this occurs in every bar, as motif a and the  motif are continuously swapped back and forth between the hands. (This was also a feature of the preceding second period of the development, where material in the antecedent was placed in the other hand in the consequent.) In the symphony a similar occurrence happens between the opening A-flat paragraph of the development and the build-up that follows. In the former, material derived from the second subject is given to the woodwind and a little later a rising scalic figure in  rhythm (derived from the first transition) is heard in the upper strings. In the build-up this is reversed, so the woodwind and lower strings have the scalic figure and the upper strings have the second subject material. Within both parts there is also antiphonal treatment: the second subject is alternated between upper and lower woodwind in the A-flat paragraph; in the build-up, the lower strings echo the scalic figure of the woodwind and the  rhythm is alternated between the trumpets and horns.

The image displays two systems of musical notation for an orchestra. The first system on the left contains staves for Flute (Fl.), Oboe (Ob.), Clarinet in C (Cl.), Bassoon (Fg.), Violin I (Vl.), Violin II (Vla.), Viola (Via.), Violoncello (Vc.), and Double Bass (Cb.). The second system on the right includes the same instruments plus Cor Anglais (Cor. Angl.), Trumpet (Tr.), Trombone (Tbn.), and Tuba (Tub.). The notation includes various musical symbols such as notes, rests, and dynamic markings. The page number '90' is located at the top right.

Ex. III.b: of opening A-flat paragraph (bb. 254-270)


Ex. III.c: part of build-up (bb. 280-299)

During the climactic passage, the trombones' motif is echoed by unison strings, something which is maintained when the motif is rhythmically halved five bars later (bb. 319-321). Although diminution does not affect motif a in Ex. III, attention has already been drawn to its fragmented state. This can be seen in the bars approaching the peak, where the motif is reduced to an upbeat and downbeat figure. (In this form, the motif is retained to almost the end of Ex. III.)

During the approach to the peak, the foreshortening of motif a is complemented by the change of harmonic rhythm:

Bars:	135	136	137	138
Harmony:	A major 7	C major 7	E-flat 7	(return to) F-sharp.

Fig. vii: local harmonies within the F-sharp prolongation of Ex. III

This also affects the antiphonal exchange between motif a and the  motif: before this took place after every bar; from b. 135 onwards it is every half bar. Further momentum is provided by the harmonies themselves: on a local level, they appear to provide some distance from the F-sharp prolongation of Ex. III; however, collectively as a rising progression in minor thirds, they reassert F sharp in time for the registral peak. In the symphony the build-up and climactic passage have different tonal regions and use of harmonic rhythm. There is no quickening of harmonic rhythm approaching the climactic passage, for example, and there is no harmonic prolongation until the climactic passage.

In both works, though, the minor mode and a possible resolution to the tonic minor when the recapitulation begins is suggested. In the symphony, A-flat major, a tonal region closer to C minor than the tonic C major, is sustained throughout the climactic passage (bb. 315-324). It also appears at the beginning of the development (bb. 254-275), in the retreat to the recapitulation juxtaposed and framed by C minor (bb. 337-352), and as A-flat minor with the introduction of the celebrated trombones' theme (from b. 303). In Ex. III of the sonata, with the presence throughout of more D naturals than D sharps, an eventual resolution to the minor mode is hinted at; indeed for Richard Kramer the F-sharp prolongation is 'a dominant...decidedly in B minor.'⁴⁵ With the resolution to B major at the moment of recapitulation, however, there is an unexpected change.

Once again, comparison between the symphony and the sonata suggests not only a close relationship but also draws attention to the particular qualities of the sonata. The close relationship can be seen in the motivic treatment, the three expressive stages and

⁴⁵ Kramer, *The Hedgehog: Of Fragments Finished and Unfinished*, p.140.

some of the harmonic contexts discussed above.⁴⁶ In using an F-sharp prolongation and a resolution to B major, though, the tonal design of the latter half of the development and the beginning of the recapitulation is more striking and adventurous than the one for bb. 280-354 of the symphony. From the distance of a tritone, F-sharp major is one of the most dissonant tonal regions from the C-major tonic; the tension between the two is heightened through the length of the prolongation and the reassertion, following local harmonies, of F-sharp at the registral peak. In the retreat where there is further suggestion of eventual resolution to B minor and initially some tension between the return to the registral peak and the ongoing decrescendo, the narrative is complex. This complexity is maintained through to the beginning of the recapitulation, where the tonal goal of B minor is frustrated, and there is a return to the consequent of the opening period of the development. The return to a phrase of introspection provides a satisfying conclusion to the retreat, but the resolution to the major mode subverts the expectation of B minor derived from the presence of D naturals in the retreat. The former helps to further dissipate the expressive power of the build-up; the latter, to thwart the suggestion of a resolution to B minor.

⁴⁶ The foreshortening, antiphonal presentation, repetition of motifs can be found, of course, in developments of preceding works. Such treatment, however, is not placed in the expressive and harmonic context of Ex. III and bb. 280-354 of the first movement of the symphony.

The Minuet (Allegretto, A-flat major, 3/4)

Ex. IV (central section of the minuet, bars 42-74)

Following Ex. III, the next place where a build-up and retreat are proportionate to one another and lead to and from a climactic point can be found in the second part of the minuet:

Build-up

bb. 42-56 (15 bars)

Climactic point

b. 57 (at beginning of bar)

Retreat

bb. 57-74 (just over 17 bars);
includes bridge passage bb. 65-74.

Ex. IV

Other features shared with Ex. III include: repetition of a short rhythmic motif, the placement of the reprise after the retreat, and dominant prolongation for the non-tonic key of the reprise. The reprise itself begins in A major, a neighbouring tonality to the A-flat major tonic; together with the earlier use of A major to repeat the opening twelve bars and the *accelerando* indication for the central section of the movement, this creates a highly unusual minuet. Indeed, for Brian Newbould, the movement represents, 'one of the most daring technical experiments ever undertaken by Schubert, as audacious in its way as the palindrome in *Die Zauberharfe*'.⁴⁷ The fact that this experimenting takes place in a minuet is particularly significant, 'A second subject in the minor key on the leading note is one thing. But tinkering with minuet form is another, for no movement type found in multi-movement works is so hidebound by tradition as the minuet/scherzo'.⁴⁸

⁴⁷ B Newbould, *Schubert: The Music and the Man* (Gollancz, 1997), p.322.

⁴⁸ *Ibid*, p.323. The minuet of the A-minor string quartet has a subtle but no less daring tonal design with the movement beginning with a suggestion of the dominant of A minor, a tonality that is only reached at the very end of the movement after tonal digressions to C major, A-flat major and a recapitulation in C-sharp minor.

41 *cresc.* *f*

47

52 *f*

58 *fz* *fz* *decresc.*

62 *pp*

68 *v* [Tempo I]

Ex. IV, bars 42-74

Aside from these exceptional features, subtle differences with Ex. III can also be found in Ex. IV. The contour of the build-up is less even; whilst that of the retreat is more straightforward, with no return to the registral peak that happened in Ex. III.



Although both have motivic foreshortening, this occurs in different places: in Ex. III, motif a is shortened near the peak and retained until virtually the end of the retreat; in Ex. IV the shortening of the ♪♪♪ | ♩ motif to ♪♪ | ♩ happens later, in the bridge passage in the last nine bars of the retreat.⁴⁹ Further difference with Ex. III can be found through comparing harmonies. In the build-up of Ex. IV, unlike the equivalent part of Ex. III, there is no harmonic prolongation with local harmonies occasionally added; rather, there is harmonic change throughout. At the climactic point a V7/A major is reached and is then prolonged until the reprise. Local harmonies do occur in this prolongation, both in the registral descent and the bridge passage, but the prolongation itself only begins from the climactic point at b. 57. It is not sustained throughout the three expressive stages, as the F-sharp prolongation is in Ex. III.

Compared to earlier minuets/scherzos, the expressive shape of Ex. IV has little precedence; in those movements from earlier piano sonatas, there is no precedence at all. However in the scherzos of at least two other works (one written before the D840, the other after), a sustained build-up to the reprise of the main theme can be found. The scherzo from the Octet (D803) has a twelve-bar crescendo where the clarinets, bassoons and first violins initially sequence the preceding phrase up half a step and then the clarinets and violins rise higher to eventually reach a c'' (bb. 67-78). Covering almost forty bars (bb. 113-152) the scherzo of the Ninth Symphony provides a longer example than either the Octet or the build-up of Ex. IV. Up to b. 145 the strings sequentially develop a broken chord figure, while repetitive rhythmic motifs are heard in the

⁴⁹ This motif is also found in the first section of the minuet and is closely related to the rhythmic motif in Ex. I and Ex. II of the first movement: ♪♪ ♩

feature of the build-up of Ex. IV.

At the beginning of the build-up of the Ninth Symphony's scherzo and Ex. IV, D-flat major harmony is used. The harmonic design of each work then diverges, offering an opportunity to compare differences. Up to b. 137 the harmonic rhythm in the symphony changes every seven bars; after it is less consistent, changing at a quicker and then slower pace. Throughout Ex. IV there is a mixture of fast and slower harmonic rhythm.

Ninth Symphony: scherzo

Bars: 113	119	125	131	137	141	145	153
D-flat maj.	C-sharp min.	A maj.	D min.	G maj.	Dim. 7 th on F~	V	I (C maj: recap)
<i>p</i>		<i>cresc.</i>		<i>f</i>	<i>ff</i>	<i>ff</i>	<i>p</i>

Ex. IV

Bars: 42	43	44	45	46	47	49	51	52	53	55	57
D-flat maj.	G-flat min,	Bbb maj,	D-flat min,	"	D-flat min.	A maj.	D maj,	"	D maj	D min	V/A
	F-flat maj.	A-flat maj.	A-flat maj.	"			A maj.	"			maj
<i>p</i>	<i>cresc.</i>		<i>f</i>								

Fig. viii

As a neapolitan relation, D-flat major is distant from the C major tonic of the symphony's scherzo. Placed in the second part of the movement, though, it has been preceded by an opening paragraph in A-flat major and an F-minor passage just before.⁵⁰ The material of the D-flat major phrase, a rising and falling broken chord, has also been anticipated by the cellos in the A-flat major paragraph (bb. 70-8).⁵¹ From this local perspective, D-flat major and the broken chord figure emerge as neither obtrusive nor random events.

In the ensuing sequences, the relationship between tonal direction and a rise in

⁵⁰ Between these two tonal regions, C major is used: first to sequence the C-flat major theme and then as a dominant to F minor. In neither case does it function as the tonic.

⁵¹ Motivically this originates from the first few bars of the second subject.

dynamic volume (and register in the woodwinds) is complementary. Nearer the recapitulation of the main theme and the tonic, there is an intensification of these features. The dominant sequence is accompanied by a forte; the final sequence, on diminished seventh harmony on F-sharp, by a fortissimo. With the diminished seventh and its resolution to a dominant prolongation, there is strong suggestion of an imminent return to the tonic. Anticipation of the return of the main theme is provided by repetition of its head, which, having appeared throughout the second part of the movement, now reverts almost entirely to its original form. Still with the recapitulation a few bars away, Schubert also reintroduces a part of the second subject that he has not yet used, the downwards scalic run. This is alternated twice with the head of the main theme.

The image shows a page of a musical score for the scherzo of the Ninth Symphony, specifically measures 137-144. The score is arranged in a grand staff format with multiple staves for woodwinds, strings, and piano. The woodwinds (Flute, Oboe, Clarinet, Bassoon) and strings (Violin I, Violin II, Viola, Violoncello) are shown with various dynamics and articulations. The piano part is also visible at the bottom of the score.

Dominant and diminished-seventh sequence, scherzo of Ninth Symphony (bb.137-144)

A page of musical notation for the Ninth Symphony, Third Movement. The score is arranged in a system of staves. From top to bottom, the staves are: Flute I (Fl.), Flute II (Fl.), Oboe (Ob.), Bassoon (Fg.), Clarinet in B-flat (Cl.), Trumpet (Trp.), Trombone (Tbn.), Violin I (Vln.), Violin II (Vla.), Viola (Vla.), and Cello/Double Bass (Vcl./Cb.). The notation includes various musical symbols such as notes, rests, dynamics (ff, f), and articulation marks. The piece is in 3/4 time, as indicated by the time signature at the beginning of the first staff.

Final phrase of middle section of Ninth Symphony/III: alternation of main theme head and second subject scalic motif

In Ex. IV, an immediate but slight difference can be found in the treatment of D-flat major. In the symphony this was shown to be a localised tonal region; in the sonata, it is cadentially confirmed as a tonality. Greater difference can be found in the harmonic rhythm of the build-ups and the overall tonal design. The harmonic rhythm of the build-up of Ex. IV, even at its slowest, is quicker than that of the comparative example in the symphony. Together with alternation between the major and minor mode and the chromatic shift from the D-flat major/minor and A-flat major region to D major/minor and A major, a restless quality is conveyed. This chromatic shift results in a clear but abrupt change of tonal direction; in the symphony, the build-up to the dominant is more sustained and cumulative.

In terms of the eventual tonal goal of the two examples, the resolution to A major in the reprise of the minuet is clearly a bolder, less conventional choice of tonality than the return of the tonic in the scherzo of the symphony. Although A major has been juxtaposed with A flat before (in both the first and central sections of the movement), at the significant moment of recapitulatory return it replaces the tonic. Ex. IV is therefore related to Ex. III not only in expressive shape but also from its outcome: to a recapitulation that starts in a neighbouring tonality to the tonic.

The slow movement (Andante, C minor, 6/8)

Identifying a movement as being in ABA'B'A'' form helps to distinguish not only the different thematic/tonal sections, but also the different expressive contexts of those sections. Section B will therefore have a rhythmic, registral, dynamic and textural character different from section A. In the slow movements of Schubert's instrumental works, several of which are in a rondo/variation form, such differences are often emphasised. One widely held view is that the B sections always influence the returns of A. This influence is often understood as an invasion, whereby the agitated elements of B disturb the calm of A. With the slow movement of D840, however, most of these agitated elements can be traced back to the original A and the greatest degree of contrast exists not between B and A sections, but between the outer A sections and A' in the middle of the movement. The contrast can be tabulated as follows:

A and A''	B and B'	A'
predominantly introspective	more extremes with twice as many assertive passages	most contrast
	fig.ix	

The trajectory here, where there is an increase and decrease of contrast over a similar time peaking with the central A' section, is analogous to the build-up and retreat from a climax in the first and third movements. In the coda with the abrupt juxtaposition of two different expressive states, contrast is represented very literally. As these two different states remain irreconcilable to the very end of the movement, neither synthesis nor transcendence in the full Hegelian sense can be claimed.

Like the other movements of the sonata, the slow movement begins with an introspective theme. This is repeated in the consequent with little change to dynamic, register and texture. Occasionally, with an accent on the apex of each phrase and scalic

unison texture, nuance is provided. A greater variety of expression, however, is reserved for the second part. Here, at the beginning, there are dramatic leaps down a seventh that contrast with the predominant stepwise movement of the first part. This is then juxtaposed with a registral extreme. In the final four bars, further change is made as assertive dynamics are introduced. With the repetition of the scalic and cadential figure, the dynamic level grows to a *ff*. Compared to the expressive context of the material when it originally appeared in the first part, the textural thickening here, as well as the dynamic, clearly reveal transformation. (This transformation helps with the other expressive details discussed in the second part to lessen some of the stasis and tentativeness of the first part.) The cadential close, as elsewhere in the sonata, is subdued.

Andante

A (bb. 1-22)

The B section opens with a theme that is partly contrasted but also shares some of its features with the A section. Comparing the beginning of each theme, the semiquavers of B provide a sense of forward motion that contrasts with the hesitancy of A, which initially is broken up with rests and moves in quavers. From this comparison and within the brighter tonality of A-flat major, the B theme could be said to communicate greater confidence; within a quieter dynamic, this confidence can be said to be of an inner kind.⁵² Further comparison reveals a close relationship with A, as the particular constituents of the B theme (the semiquaver and dotted rhythm, the four-part texture and octave unison) can also be found in the preceding section.

B Theme (bb. 23-30)

Following the initial antecedent and consequent phrase of B, the consequent is then repeated with an exchange of material between the hands. This inverted counterpoint lasts only briefly, however, before being interrupted with a dramatic change in register

⁵² Of piano sonatas which have a slow movement in rondo-variation form, only D840 has a B theme that does not dynamically contrast with the A.

(in the upper part), dynamic and texture. Although there has been a drop in register and thinning of texture before (at the beginning of the second part of A), the contrast of rhythm and dynamic from the preceding passage is greater. Within a forte dynamic, the dotted rhythm is heavily accented and a little later there are rapid triplet hemidemisequavers. Between the dotted and triplet hemidemisequaver rhythms, there is a huge leap and change from octave unison to a powerful chord. This moment is, for Brendel, one that should be pedalled through so that the orchestral quality is more fully conveyed; without pedal, he argues, the passages loses its power.⁵³ One could also add that a lack of pedal also reduces the intensity of contrast with neighbouring passages.

The image displays two systems of musical notation for piano. The first system, labeled 'bars 30-4', consists of two staves (treble and bass clef). It features a complex rhythmic structure with dotted rhythms, triplets, and hemidemisequavers. Dynamic markings include 'fz' and '>' (accents). The second system, labeled 'bars 35-8', continues the piece with similar rhythmic complexity and dynamic markings. The notation includes various rhythmic values, accidentals, and dynamic markings such as 'fz' and '>'.

bars 30-4

With these details, the passage from bb. 32-4 could therefore be said to represent

⁵³ Alfred Brendel, *Musical Thoughts and Afterthoughts* (Robson Books, 1976), p.65.

an outburst. A second one follows a few bars later and provides further contrast by touching on the minor mode. Here (bb. 37-8) an enharmonic change to F-sharp minor is complemented by a crescendo that reaches a fortissimo at the point when unison F-sharp is reached. The previous time a fortissimo was indicated (in the penultimate bar of A), this was approached with a steady rise in dynamic that effectively acted as a crescendo:

see bars 19 20 21

mf f ff.

In comparison the fortissimo in b. 38 emerges much more suddenly, from a crescendo that has lasted less than one bar. Along with the first outburst, the second one provides a level of contrast with the rest of B that has no equivalent in A:

bars 35-39

The common assumption that elements of B invigorate the returns of A can be seen at the beginning of A'. Here with the return of the main theme, the opening of the B theme is utilised as an accompaniment. By filling in the rests with semiquavers, the second theme helps to energise the previous static texture:

A' (bb. 52-61)

The dotted rhythm, also encountered here, is pervasive throughout the section, often placed alongside syncopation. These two rhythmic features can be seen in the remainder of the antecedent (bb. 54-56) and the equivalent part of the following consequent. In each phrase, the dotted rhythm is heightened with a *fz* or an accent. The scalar material is also intensified, not only with syncopated *staccato*, but also with an added rising sequence and a steady thickening of texture. In the return of the second part of the section, the dotted rhythm is retained, still positioned on weak upbeats and, in most cases, still followed by syncopation. Later it forms an accompaniment (bb. 66 and 68) and part of a cadential figure (bb. 70, 73 and 74). Leading from the final cadential figure, the dotted rhythm is placed at the very beginning of the B' section to subtly link the main sections of the movement.

The image shows a musical score for the second part of section A' (measures 61-74). The score is in G major, 4/4 time, and consists of five systems of piano accompaniment. Each system has a treble and bass clef staff. Measure numbers 62, 65, 68, 70, and 72 are indicated at the start of their respective systems. Dynamics include *f*, *p*, and *mf*. The music features a prominent dotted rhythm in the bass line and complex chordal textures in the treble.

A': second part (bb. 61-74)

While there is no doubt that the dotted rhythm, along with the B theme as an accompaniment, seem to effect A', the relationship between the two sections is closer and more complex than is often assumed with Schubert's slow movements. Indeed,

through revealing relationships between the two the common and simplistic view that A and B contrast is problematised. In earlier discussion the semiquaver and dotted rhythms, four-part and octave unison texture of the main theme of B were traced back to the previous A section. (To this can be added heightened articulation.) With such evidence, therefore, the extent to which the two sections could be said to contrast and B influence the first return of A is qualified. On the other hand, more quicker and dotted rhythms and greater expressive contrast can be found in B than in A, its themes are more fluid, and on two occasions (bb. 30-9) there are dramatic changes of dynamic, register and texture. Most of these characteristics are then carried through and increased in A'. As these derive from A and there is some contrast in the second part of this section, the B section could be said to bring out and intensify what was already there. This suggests a more reciprocal relationship between A and B than is commonly understood.

With the following sections, the return of B sees little change (except for tonality) and A'' reverts to some extent to the original expressive context of A. B', in fact, is a repetition of the original section a major third higher, in C major, and A'', shorter than its earlier appearances, repeats the first part with cadential alteration and some rhythmic embellishment.⁵⁴ With little other changes, though, the variation tag that scholars often attach to Schubert's slow rondo movements only really applies to A'.

Earlier, the B theme was used as a means to link the end of the B section with the first return of A. In approaching the second and final return of A, it is again used in a linking passage, but only its dotted rhythm upbeat is retained as an inner part when A'' begins. When more of the B theme (as an accompaniment) was used in A', this seemed to

⁵⁴ Of other piano sonatas that have rondo/variation slow movements, only the G major Sonata (D894) repeats the B section in a different key with little other change. All the examples have a shorter A'' section than A and A', however.

inspire greater rhythmic vigour to the section. Now in A'' with the return to the introspective and static quality of the original A, little of the B theme is needed. Its presence as a dotted rhythm upbeat, though, serves as a reminder of A'. Further interpretation could suggest a full return to the reflective state of the first nine bars of the original A is impossible in A'', tinged as it is with this brief recollection of the more extreme and troubled A'.

The musical score is presented in three systems, each with a grand staff (treble and bass clefs).
 - The first system (measures 101-104) begins with a piano (*pp*) dynamic. It features a melodic line in the treble clef with dotted rhythms and a more active bass line.
 - The second system (measures 105-107) starts with a mezzo-forte (*mf*) dynamic. The texture becomes more complex with overlapping melodic and harmonic lines.
 - The third system (measures 108-111) is marked fortissimo (*ff*). It shows a continuation of the melodic motifs with a strong rhythmic drive.

linking passage and A'' (bb. 101-111)

Related to both A and B, the dotted-rhythm upbeats briefly highlight the complex

nature of the movement and reveal, with earlier analysis, that contrast lies not as much with difference of material, as with difference of expressive context. In A' there is a greater amount of expressive difference compared to other sections: this has been shown in the variety and juxtaposition of dynamic, register and texture, and the greater amount of dotted and syncopated rhythm. In the outer A sections, on the other hand, there is the least amount of contrast. This rise and fall of amount of contrast is comparative to the expressive shape of passages discussed in the first and third movements, and offers, with motivic connections between different sections, a detailed and nuanced understanding of a slow rondo/variation movement by Schubert.

The Finale (Allegro, C major, 2/4): resolving earlier dissonance

The striking harmonic progression leading to the second subject in the first movement (V9/C – B minor) is reversed in the finale (B major – V7/C). With this reversal of order of harmony and to the major mode, some resolution can be claimed from the earlier movement. (Only the enharmonic switch in between the harmonies in the first movement where the dominant ninth was respelt as a diminished seventh over a dominant pedal is missing in the finale.) In the last movement the progression is placed in a B major tonicised region, shortly before the first return of the main theme and the tonic. Here an ascending scalar run reaches F-sharp which soon becomes harmonised as a B-major chord (bb. 81-6):

D840/IV: end of transition leading to return of A (bb. 80-93)

D840/I: bars 50-1

The expressive context where the resolution is emphasised at the dynamic and registral peak of a phrase is also comparable. With the return of the main theme and the C-major tonic a few bars later, further resolution from the dominant ninth/C major - B minor progression from the first movement can be said to have been taken.

The B major-dominant seventh progression of the finale has been described by Paul Badura-Skoda as a 'resolution of the dominant of the mediant chord on to the dominant seventh of the tonic' and, more significantly, as 'characteristically Schubertian'.⁵⁵ As well as the example in D840, Badura-Skoda gives other instances of the progression,

⁵⁵ P Badura-Skoda, 'Possibilities and limitations of stylistic criticism in the dating of Schubert's 'Great' C major Symphony', *Schubert Studies: Problems of style and chronology*, eds. Eva Badura-Skoda and Peter Branscombe (Cambridge, 1982), p.200.

noting its virtual exclusivity to works in C major. Three examples from the Ninth Symphony are cited, with the structural placement of the first offering comparison with the one of the sonata's finale. This example (bb. 27-9 of the opening Andante) involves a change from B major to dominant-seventh harmony, culminating in a return to the main theme and the C-major tonic. In contrast to the example in the sonata, though, B major is confined to a single bar of the progression and has not been prolonged before as a tonicised region.

Later in the finale of D840, a lengthier portion of the movement can be said to resolve the de-emphasised status of the dominant from the first movement, conveyed by Ex.II, the retreat to the second subject, and the second subject itself. The pattern of a rising sequence to a registral peak on dominant harmony (bb. 210-7) recalls Ex.II. Within a quicker tempo and, after a few bars, a halving of harmonic rhythm to four changes per bar, a more manic quality is suggested. Indeed, the passage seems more comparable to the rising sequences of '*Erlkönig*' and '*Gretchen am Spinnrade*' than Ex.II did. The registral fall that follows (bb. 217-20) does not begin with an immediate drop to a lower octave (as in the corresponding part of the retreat), but rather descends more gradually to balance with the preceding registral rise (a shape closer to the musical arcs of Ex.III and Ex.IV). Further difference from the first movement is suggested with the more stable contexts of the dominant. In the registral fall, the dominant alternates with V/V harmony and, at the end (bb. 219-20), is cadentially confirmed; unlike the end of the retreat in the first movement, there is no enharmonic change to B minor. With a modified repeat of the second subject, the dominant is then retained and once more cadentially confirmed. These differences with the treatment and status of the dominant in the first movement,

particularly its replacement with B minor, suggest further resolution of earlier instability. The quiet return of the previously assertive second subject and the final four bars of the Rondo's exposition maintain the character of introspection that defines closing passages of the sonata.

The coda of the first movement: the final two phrases

Further comparison with the Ninth Symphony can be drawn from the final two phrases of the first movement. In the penultimate phrase, the rise of a tonic chord through successive positions of the same harmony to reach the same chord an octave higher briefly prefigures some of the material in the coda of the Ninth Symphony's first movement. Indeed at the beginning of the three build-ups of the symphony's coda, tonic harmony is registrally treated in a similar way.

The image displays two systems of musical notation for the penultimate phrase of D840/I (bb. 305-311). The first system consists of two staves: a treble clef staff with a series of chords and a bass clef staff with a rhythmic pattern of eighth notes. A piano (p) dynamic marking is present. The second system, starting at measure 310, continues the same musical material. A forte (f) dynamic marking is present in the treble staff of the second system.

Part of penultimate phrase of D840/I (bb. 305-311)

Beginning of first build-up of coda (Ninth Symphony/I: bb. 589-592)

Near the end of the first build-up this rise up the notes of the tonic triad is given to lower instruments (trumpets, trombones, and cellos and double-basses) and reduced to single notes. When the passage returns at the end of the second build-up it is repeated twice in immediate succession, the final time in augmentation (bb. 641-646). Here the rhythm of the trombones and lower strings is closer to bb. 305-11 of the sonata's coda cited above:

augmentation of tonic triad (trombones' and lower strings), bb. 641-6 of Ninth Symphony/I

Following the registral peak of the penultimate phrase in the sonata's first movement, there is a bass-line that descends through each note of the tonic triad (bb. 311-3). This provides some symmetry with the rise before and was to be used again near the end of the symphony.



D840/I: remainder of penultimate phrase (bb. 310-313)

Bars 1144-47 of Ninth Symphony/finale

With the sharing of similar material in a similar expressive and structural context,

further connection is found between the two works. In the final phrase of the sonata's first movement, motif b returns in the tonic. Although the motif has been encountered earlier in the coda and recapitulation, this is the first time since the exposition it has appeared in the home key. Following the preceding phrase where tonal harmony was assertively emphasised, there is contrast of dynamic here, as well as (in the upper part) register. The introspectiveness of this final phrase is further emphasised through comparison with the powerful return of a theme in the same place of the other 1825 sonatas and the Ninth Symphony.

A musical score for the final phrase of D840/I. The score is in G major and 3/4 time. It begins at measure 311. The upper staff (treble clef) features a melodic line with a dynamic marking of *pp* (pianissimo). The lower staff (bass clef) provides a harmonic accompaniment with chords and moving lines. The phrase concludes with a double bar line.

final phrase of D840/I: motif b (*pp*)

A musical score for the final phrase of D845/I. The score is in G major and 3/4 time. It begins at measure 304. The upper staff (treble clef) features a melodic line with a dynamic marking of *f* (forte). The lower staff (bass clef) provides a harmonic accompaniment with chords and moving lines. The phrase concludes with a double bar line.

final phrase of D845/I

A musical score for piano, measures 261-264. The score is written for both treble and bass clefs. It begins with a treble clef and a key signature of one sharp (F#). The music features a series of chords and a melodic line in the bass clef. Dynamic markings include *ff* and *fff*. The score is enclosed in a rectangular box.

close of D850/1

A musical score for orchestra, showing the final phrase of the Ninth Symphony/I. The score is written for a full orchestra, including Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Cor Anglais (Cor), Trumpet (Tbn.), Trombone (Tbn.), Timpani (Timp.), Violin (Vl.), Viola (Vla.), and Cello/Double Bass (Cb.). The score is written in a grand staff format, with multiple staves for each instrument. The music is in a key signature of one sharp (F#) and features a complex arrangement of notes and rests. Dynamic markings include *f* and *ff*. The score is enclosed in a rectangular box.

final phrase of the Ninth Symphony/I: the return of the Andante theme

Conclusion

From contextualisation with earlier works and the Ninth Symphony, the one aspect of D840 to have emerged as particular to that sonata is the harmonic/tonal design. From contextualisation with earlier works alone, the examples discussed in the sonata have been shown to be longer, something which conforms to the definition of an epic artwork being of lengthy duration.⁵⁶ The use of short, repetitive rhythmic figures in the examples discussed in the first and third movements, virtually the same or at least closely related to the ♩ ♪ figure used in Beethoven's heroic works, could also illustrate Elizabeth Norman McKay's description of the work being 'epic' in character. When these repetitive figures are placed in an exciting expressive context, such as the build-ups of Exs. I-IV, the epic character is very much evident on a surface level. However with a close examination of the harmonic/tonal details and design, a more complex situation arises. The A-flat prolongation of Ex. I has been shown to shift subtly in harmonic meaning with its later enharmonic implication; this has been conveyed from both a backwards and forwards perspective. In Ex. II, the rising sequences have moved quickly away from the assertive return of motif a in the tonic, and in so doing have undermined the rhetorical power of that earlier moment. The expressive goal of Ex. II is then itself undermined by the lack of tonal arrival. In Ex. III, the tonal resolution to B minor is frustrated with the parallel major and there is a return to a phrase of introspection originally used as the consequent of the opening period of the development. Ex. IV, from beginning in D-flat major, eventually resolves to A major.

Although the expressive shape of these last two examples (a musical arc) is matched

⁵⁶ In terms of size of movements and sections within the movements, though, the 'Grand Duo' is bigger than the *Reliquie*, and therefore can also be also described as epic.

in the equivalent places of the Ninth Symphony, the harmonic characteristics and resolution to a neighbouring key of the tonic, together with an introspective outcome, seems to embody an anti-triumphant, anti-heroic gesture. In the exposition of the first movement, tension was shown between the forward motions of the two build-ups, Ex. I and II, and the particular harmonic/tonal contexts of these passages; the retreat following Ex. II, though, through its relationship to both Ex. II and I, suggested more clearly (and from an ironic perspective) distance from earlier build-ups. The resolution of the retreat and eventual goal of the transition, to reach the second subject in B minor, then offered another anti-triumphant gesture. The use of repetitive rhythmic figures associated with Beethoven and the dynamism of the expressive build-ups would suggest that Schubert has deliberately evoked the older composer. With the expressive and harmonic/tonal details outlined above, and especially with the resolution to non-tonic keys, this evocation could then be said to have been neutered. Further still, these tonal resolutions at important structural moments (i.e., the recapitulation and the second group) could be said to provide tension with sonata form itself. The most striking example of this is the unfinished A-flat major minuet, which with only five bars of its recapitulation sketched, is left permanently unresolved in A major. In such places, the idea of Schubert the quiet political subversive could be interpreted.⁵⁷

⁵⁷ Where Schubert has differed from conventional models of sonata form, derived from either Beethoven, Haydn or Mozart, some scholars have contextualised this with the widely held belief that the composer (with his friends) disliked and was highly critical of the repressive Metternich regime in Vienna. See, Charles Fisk, *Returning Cycles*, p.282; John M Gingerich, *Schubert's Beethoven Project: The Chamber Music 1824-1828*, PhD. diss. (Yale, 1996.), pp. 99-100; Charles Rosen, 'Explaining the Obvious', *The Frontiers of Meaning: Three Informal Lectures on Music* (New York: Hill and Wang, 1994), pp.124-5.

Temporal and Narrative contexts

Of the three temporal modes, the past, present and future, the first and last can be applied to this study of D840. The philosopher Martin Heidegger used each one to explain different levels of consciousness or existence; the aesthete Emil Staiger applied and adapted these to the main genres of poetry: lyric, epos and drama. For this concluding part of the chapter, where a narrative context will be claimed for each of the main examples and the sonata as a whole, Staiger's categories will be used and some of his and Heidegger's definitions will be quoted.⁵⁸

Example I embodies a dramatic narrative or what Heidegger calls, the 'resoluteness or purpose... a frame of mind directed at the future.'⁵⁹ This, though, as discussed earlier, is tinged with a past perspective. Ex. II on purely an expressive level also suggests a dramatic narrative, but with harmonic flux and no tonal resolution at the peak, lacks purpose, a clear goal. The retreat to the second subject in B minor puts the forward-facing dimension of the two passages into further perspective. McKay's view that in the aftermath of the build-up and retreats of the 'development' of the first and third movement, there is a representation of a 'bleak, tragic stillness of the battlefield after the fight',⁶⁰ seems more appropriate here. In Ex. III, the dramatic narrative shifts direction with the decrescendo, but still seems tonally goal-directed to reach B minor. With the resolution to B major, there is a further shift, complemented by the return to an earlier phrase of introspection. In Ex. IV, though there is a change of tonal direction before the peak, there is also a return to a theme of introspection.


For those examples or parts of the examples that were likened to a dramatic narrative,

⁵⁸ For a translation and summary of these, discussion relies on John Daverio, *Crossing Paths*, p.48

⁵⁹ Ibid.

⁶⁰ McKay, *Schubert*, p.215.

these were either (in the case of Ex. I) troped with the past, or were characterised by a tonal design different from Beethoven. The narrative shift and the lyrical outcome that followed can be likened, then, to Heidegger's comments that an 'individual is totally absorbed in contemplation and hence removed from the present into the past'.⁶¹ Coupled with closure that is always subdued, whether in the completed movements or completed sections of the unfinished movements, these parts of the sonata therefore embody the opposite of heroic narratives.⁶²

For the one remaining category, the epic, only two passages from the sonata could be described in this way. The first and most convincing example is the return of motifs a and b halfway through the first transition of the opening movement. Here the assertive return of the motifs, which have not been heard since the very beginning of the transition, can be likened to Staiger's description that an 'epic poet summons what is far and away into the here-and-now, allowing it to stand before our eyes as a vivid presence'.⁶³ The second period of the development can also be likened to an epic narrative, complementing the earlier comparison of the passage to the Proustian narrative of the present. Here the powerful expressive guise of motif a and the  motif fits Staiger's criteria of a 'vivid presence', but the appearance of motif a so soon before, in the preceding phrase, can hardly be described as from the 'far and away'. The epic quality is further tempered with the harmonic details, which with their rising sequences and establishment of F-sharp (that is prolonged for the remainder of the development) create a sense of momentum.

⁶¹ Daverio, *Crossing Paths*, p.48.

⁶² This forms the main topic of discussion in the following chapter on the D-major piano sonata (D850).

⁶³ Daverio, *Crossing Paths*, p.48.

With such little evidence, part of which is not entirely unproblematic, it becomes hard to justify McKay's description of the sonata as epic in character; indeed with this close and more comprehensive scrutiny of the music, the different narrative types of drama and the lyric seem more appropriate. With further discussion that has suggested tension between the expressive build-ups and their tonal contexts, however, the dramatic narrative has also been problematised. As there is always a sudden or gradual retreat to a lyrical theme of quiet reflection, this dramatic narrative is always superseded. In this respect, Schubert goes further than Proust who always allows the present to triumph over his poeticised evocations of the past.

Of course if Schubert had completed his minuet and finale, he might have ended his sonata with a rhetorical triumphant gesture. However, with the music that he has left it is possible to claim that a lyrical reflective condition always triumphs over a more dramatised one. This not only challenges McKay's epic comparison, but also nuances Carl Dahlhaus' view that Schubert's late sonatas (from the 1820s) embody an epic-lyric structure,⁶⁴ and puts the orchestral reputation of the work, principally derived from the first and third movements, into perspective.⁶⁵ As a summary for the outcome of the four examples discussed in D840 and of the completed first and second movements, Emil Staiger's view of lyric poetry is particularly apt:

its essential character...lay not only in its disclosure of a mood but also in its tendency to represent a mental state that favoured contemplation of and, ultimately, complete immersion in the past.⁶⁶

⁶⁴ C Dahlhaus, trans. Siegmund Laverie, *Analysis and Value Judgement* (New York, 1983), pp. 71-5.

⁶⁵ Alfred Brendel has described the first movement as the closest the composer came, 'to a piano reduction of a symphonic movement', *Musical Thoughts and Afterthoughts*, p.66. Elizabeth Norman McKay similarly as noted that, 'The *Reliquie* sonata, in its contents and textures, is in many respects symphonic rather than pianistic...', *Schubert*, p.260.

⁶⁶ Daverio, *Crossing Paths*, p.48.

Chapter 3 Distancing the heroic: the Sonata in D major (D850)

Introduction

While the first movement of D850 has often been described by earlier generations of scholars as ‘heroic’, any specific Beethovenian agenda has seldom been explored. Hans Gál, however, claims that the movement is a rare example where Schubert successfully emulates the heroic style of the older composer, a status he confers on only three other first movements: those of the ‘Unfinished’ Symphony (D759), the String Quartet in D minor (D810), and the Piano Trio in B flat (D898).¹ For the remainder of the sonata, Gál no longer alludes to the heroic but emphasises other qualities: passiveness and ‘local colour’.²

These opposing views of D850 are expressed independently of each other in Franz Schubert and the Essence of Melody, and offer a conflicting critique of the sonata that is neither recognised nor resolved. The interpretative trajectory of the sonata offered in the following discussion, however, builds from these views to suggest that an introspective condition provides distance from the heroic. In the first movement, the most overtly heroic, the distancing is understood as a subtle process whereby the possibility of a linear narrative is problematised by tension, either between contrasting temporalities or between rhythmic speed and contexts removed from Beethoven. In the remainder of the sonata,

¹ Hans Gál, Franz Schubert and the Essence of Melody (London, 1974), p.111. The latter was translated by the author from originally Franz Schubert oder die Melodie (Frankfurt, 1970). Gal’s heroic comments are cited later in the discussion of the first movement.

² *Ibid.*, p.132. These views are quoted in the conclusion where the expressive formal structures of movements 2-4 are tabulated.

the distancing is primarily understood from the position of a particular expressive condition. Of particular significance will be the codas of movements 2-4, where often the quietest dynamic of the movement is sustained for the longest duration. This will suggest a condition of introspection and an important shift away from the heroic, not only from the movement of the respective coda but also from the first movement.

Hans Gál and Franz Schubert and the Essence of Melody

Despite being widely known for some time and its continued presence in studies and biographies, Franz Schubert and the Essence of Melody has seldom been quoted or critiqued in the last fifteen years.³ In light of this recent neglect and the importance of Gál's commentary to the chapter, particularly his heroic commentary, a potted biography and critique of his book will now be given.

Hans Gál (1890-1987) was born and educated in Vienna. At the University he studied composition with Eusebius Mandyczewski and music history with Guido Adler, finishing a doctorate in 1913 on the style of early Beethoven. From 1915 to 1933 he enjoyed success as a composer and scholar. During the 1920s he co-edited with Mandyczewski the first complete edition of Brahms' works, and was a music theory lecturer in the University. From 1929-1933, until Hitler came to power, he was director of the Mainz

³ Paul Badura-Skoda and Leo Black provide two exceptions, however. The former refers to the book's 'striking way' of discussing the influence of religion and landscape, via some of Schumann's descriptions, on Schubert's instrumental works. The latter is even more reverential: 'the most beautiful of all books about Schubert...one bows the knee in face of such insight'. See Paul Badura-Skoda, 'The dating of the 'Great' C major Symphony', Schubert Studies: Problems of style and chronology, eds. Eva Badura-Skoda and Peter Branscombe (Cambridge, 1982), pp.196-7; and Leo Black, Franz Schubert: music and belief (Boydell Press, 2003), pp.18-9. Gál's book is also mentioned but not discussed in any detail in the following: B Newbould, Schubert. The Music and the Man (Gollancz, 1997); Ernst Hilmar, Franz Schubert in his Time, trans. Reinhard G. Pauly (Amadeus Press, 1988); John Reed, Franz Schubert. The final Years (London 1972); Christopher Gibbs, The Life of Schubert (Cambridge, 2000); and Walter Frisch (ed.), Schubert: Critical and Analytical Studies (Nebraska, 1986).

Conservatory. As a Jew, Gál was forced to relinquish his position, and performances of his music were banned. Finally with the Anschluss of 1938, he fled Austria and a year later took up Donald Francis Tovey's invitation to live and work in Edinburgh. When the war had finished, he began to lecture at Edinburgh University. Although Gál continued to compose in Scotland, he never managed to regain the public success for his music that he had had in Austria, and today little of it is known. His musical style remained essentially conservative, reflecting his education in Vienna, as well as the city's musical values. As a commentary on the Austro-German tradition he inherited, his works are interesting for their mix of the First Viennese School, Schubertian and Brahmsian lyricism, contrapuntal writing, and a sprinkling of the chromatic harmony and the enlarged tonality of the first decade of the twentieth century. His literary style also remained consistent, as can be seen in his publications since the war which combine biography, historical, cultural and social issues with some analysis.⁴

Like much of the post-war literature on the composer, Franz Schubert and the Essence of Melody is careful not to alienate either the layman or the scholar; musical terminology and examples are used, but kept deliberately simple. As the title suggests, melody is central to the discussion, the very essence of Schubert's compositional style. The lieder naturally receive much attention, with two chapters; but there is also one each for the mature instrumental works and the unfinished works. The opening and closing chapters ('A Humble Life' and 'Character with Destiny') are devoted to biographical and reception issues, offer psychological insights and sometimes contextualise interpretation with some of the Deutsch documents. The other chapter, 'Melody', is placed within a

⁴ This biographical note has mostly relied on the recent Grove entry on 'Hans Gál', The New Grove Dictionary of Music and Musicians (London, 2001), vol.9, pp.428-9.

social, historical and generic context.

Gál views melody in Schubert's time as a cultural phenomenon, a means in post-Napoleonic Europe to engage with the masses, most of whom lacked a musical education. By the early 1820s opera was popular because it placed an emphasis on melody, rather than form; in short, opera gave the people what they most wanted, a medley of catchy tunes. However the melodies of Rossini and his imitators were historically dated, merely eighteenth-century constructs with richer and more detailed ornamentation. The time was ripe for a style of melody and music more suited to contemporary tastes. Schubert's lied was significant, says Gál, because it communicated its dramatic and expressive essence almost entirely through a melody and text-setting that was thoroughly modern, which in turn could communicate to someone who was not musically educated. Lieder's interaction with German literary art, Gál continues, was a decisive historical moment, an example of a new genre cultivating and reflecting a new age.

Few would dispute these broad-brush assertions, though Schubert's lieder obviously did not just appeal to the musically uneducated. Gál recognises, however, the dilemma of melody as a subject for study, being a 'natural' and pervasive phenomenon of music that does not lend itself to academic theorising. This might explain his approach and style of writing which avoids detailed and complex analysis. With the intrinsic proletarian appeal he ascribes to melody, Gál might also feel that his prose has to be easily understood.

Beethoven in recent Schubert reception

At about the same time when the original German version of Franz Schubert and the

Essence of Melody was published, Charles Rosen and Edward T. Cone wrote (independently of each other) of the use of the finale of Beethoven's piano sonata in G major (op.31, no.1) in the last movement of Schubert's A-major piano sonata (D959).⁵ Although this was widely recognised, Rosen, and particularly Cone, were responsible for the first sustained examination of a Beethoven model in Schubert's music. Both writers offer a comparative analysis of the two movements, revealing near identical thematic, formal and tonal details. Rosen notes that the structure has been stretched and loosened in order to accommodate Schubert's lyricism. For him this lessens the excitement which Beethoven's finale, with its more terse and dynamic structure, conveys. In light of these remarks, Rosen's conclusion that Schubert's finale is greater than its model is somewhat contradictory. Not surprisingly the conclusion is left unexplained. Cone goes into more comparative detail than Rosen and notes the bigger structure in the Schubert finale, which has three themes and tonal groups to Beethoven's two. His speculation on why a model was used is essentially negative: Schubert needed Beethoven because he had problems with rondo form. Although Rosen and Cone's studies of the finale of D959 were important for understanding Schubert's use of a Beethoven movement, their perception that Schubert's works are formally inferior compared to his older contemporary unfortunately repeats an old prejudice.⁶

Since the appearance of Rosen and Cone's studies, particularly from the 1990s

⁵ Charles Rosen, The Classical Style (Faber & Faber, 1971), pp.518-520; Edward T. Cone, 'Schubert's Beethoven', Musical Quarterly, 56, no.4 (1970), pp.779-793.

⁶ As well as a relationship to Beethoven's finale, there are also connections to earlier movements and to an earlier Schubert sonata that Rosen overlooks and Cone mentions in passing. Throughout the finale motivic material from earlier movements is recalled and its main theme is based on the one from the central movement of the A-minor sonata (D537). These perspectives provide a more complex movement than either Rosen or Cone care to admit. For a sustained cyclic analysis that engages with the Beethoven model and the theme from the earlier Schubert sonata, see Charles Fisk, Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas (California, 2001), pp.204-236.

onwards, more Beethovenian references have been identified in Schubert's instrumental music. These references have been either veiled or explicit, ranging from part of a theme to an entire work.⁷ As an act of 'self-conscious historicism' and 'aestheticism', Schubert's use of a Beethoven model no longer has negative implications, and where he departs from such models he is seldom disparaged.⁸ Within this shift in value judgment, scholars have distinguished a musical style different from the one traditionally associated with Beethoven. Consequently Schubert has emerged from under the shadow of not only his older contemporary, but also an analytical outlook that earlier scholars frequently imposed on him and to which his music is essentially unsuited.

General summary

In the first movement of D850, Schubert evokes, to an unusually high degree and without drawing on a specific model, aspects of Beethoven's heroic works. To help bring attention to these, commentary by Hans Gál, as well as Carl Dahlhaus and Scott Burnham, will be used. Gál's heroic views are limited to the opening theme and a brief critique where heroic ideals (a 'strongly-defined theme' and its rigorous development in the course of a movement) are detailed.⁹ Dahlhaus and Burnham, on the other hand, offer a more comprehensive and rigorous assessment of the heroic topic. Drawing on Ludwig van Beethoven: Approaches to His Music by Dahlhaus and especially Beethoven

⁷ For the most in-depth analytical comparison between Schubert and Beethoven, see John M. Gingerich, Schubert's Beethoven Project. The Chamber Music, 1824-1828, PhD diss. (Yale, 1996); especially Chapter 4: 'Ambition, Modeling, and the Incitement to Direct Comparison: Schubert's Octet and Beethoven's Septet', pp.229-292. For a rare analogy between early Schubert works (symphonies no. 3 and 4) to Beethoven, see Maynard Solomon, 'Schubert and Beethoven', 19th-Century Music, vol.3, no.2 (1979), p.124.

⁸ The first definition is taken from Robert S. Hatten, 'Schubert the Progressive: The Role of Resonance and Gesture in the Piano Sonata in A, D.959', Intégral 7 (1993), p.40; the second from Andreas Krause, Die Klaviersonaten Franz Schuberts, (Tutzing: Hans Schneider, 1994), p.322.

⁹ Gál, Franz Schubert and the Essence of Melody, p.111.

Hero by Scott Burnham will help to identify more heroic characteristics in the movement and construct comparative interpretations with Beethoven's music.¹⁰ Together with this reception, detailed analysis will reveal the location, means and extent to which distance is provided from the heroic topic. From interpretative conclusions drawn, the heroic status given to the movement by Gál will be challenged.

Then, moving through the work in order of movement, a clearer sense of distancing through a hierarchic shift of expression will be claimed. In the first movement an expressive hierarchy favours assertive passages, reflected by the powerful tonic downbeats at the opening, recapitulation and very end that normatively characterise Beethoven's middle-period works such as the 'Eroica' Symphony (op.55).¹¹ Although these structural downbeats are undermined by narrative contexts different from those found in Beethoven, it is only with the following movements, and in particular from the coda of the slow movement onwards, that a significant shift in expression is made. By the final movement the heroic topic framed by introspective passages is contained as a vivid memory, and by the coda is entirely removed. To help sustain the interpretation of distancing the heroic, themes within and between movements that correspond structurally and tonally will also be analysed. For those that form a pair of expressive (including topical) oppositions, particular significance will be drawn.

The heroic in Schubert's time

Although comparing a Schubert sonata to the heroic topic that took theoretical form only after the composer had died might invite accusations of anachronism, it is possible to

¹⁰ Carl Dahlhaus, Ludwig van Beethoven: approaches to his music, trans. Mary Whittall (Oxford, 1991); Scott Burnham, Beethoven Hero (Princeton, 1995).

¹¹ Only two other first movements from the 1820s have these particular structural downbeats: the Octet (D803) and the E-flat major Piano Trio (D929).

defend the comparison on several fronts. First, Schubert would have been familiar with the Beethoven works that in his time were beginning to acquire heroic significance. In a biographical note, Josef von Spaun draws attention to the composer's liking for one such work: Beethoven's Fifth Symphony (op.67).¹² Later commentaries by von Spaun and Anslem Hüttenbrenner stress Schubert's comprehensive knowledge of Beethoven, suggesting he would have been familiar with several heroic works.¹³

Second, Schubert himself used the word 'heroic' for two piano works for four hands: *Trois Marches Héroiques*, D602 (probably written Summer/Autumn 1818) and the *Grande Marche Héroique*, D885 (September 1826). The earlier Marches are slight works limited to evoking the heroic style through repetitive dotted rhythms, phrase sequences, shortness of themes and a certain grandness of character. The later March is more ambitious in scope and design having been written for the coronation of Tsar Nicholas I of Russia. Here Schubert presents two marches separated by trios, followed by a return of the second march and then a coda that juxtaposes motifs from the first march and trio. There is a greater variety of rhythmic motifs than the earlier Marches, that tended to rely on dotted rhythms, and more sustained, thicker textures. The ceremonial connotations of the heroic is very much invoked, especially in the opening March marked 'Maestoso', which is punctuated with grace-note figures similar to those used for the main theme of the slow movement of the 'Eroica'.

Third and finally, Schubert would have known the associations of heroism not only through specific Beethoven compositions that make the association apparent through a

¹² O. E. Deutsch (ed.), *Schubert. Memoirs by his friends*, trans. R. Ley and J. Nowell (London, 1958), pp.126.

¹³ Deutsch (ed.), *Memoirs*, pp.180/363.

programmatic title, but probably also through some of the critical reception published during his lifetime.

In 1810 when Schubert wrote the Fantasy in G for four hands (D1, the first of his works to have survived), E.T.A Hoffmann (1776-1822) wrote his celebrated essay on Beethoven's Fifth Symphony in the Allgemeine Musikalische Zeitung.¹⁴ This not only set new standards of musical criticism, something that Hoffmann himself was keen to establish, but also anticipated some of the later theoretical writing of A.B. Marx, the scholar largely responsible for institutionalising sonata-form analysis. Indeed Hoffmann's analysis of the Fifth Symphony, with its emphasis on motivic connectedness, unity, organicism and forward-facing narrative, was to prefigure Marx's sonata paradigm.

Hoffmann's description of the powerful effect of Beethoven's symphony on the listener was also prophetic of later critical reception. However the response it engenders, one of longing, did not become part of the critical tradition; indeed for Glenn Stanley, the metaphysical concepts read into the symphony by Hoffmann, in particular the passive state of Sehnsucht, is anomalous with later interpretations and is quite possibly a misreading of the work.¹⁵

By 1821, Hoffmann's influence on critical writing of Beethoven was even reaching minor journals outside Vienna. In an article from the Beiblatt der Kölnischen Zeitung, the essay on the Fifth Symphony was paraphrased and, in some parts, quoted directly. One sentence from the two concluding paragraphs, which seem to be the author's own, reveals the extent to which Beethoven and his music was becoming associated

¹⁴ E.T.A Hoffmann, 'Review', Allgemeine musikalische Zeitung 12 (4 and 11 July 1810): 630-42 and 652-59 from The Critical Reception of Beethoven's Compositions by his German Contemporaries, vol. 2, trans R Wallace (Nebraska, 2001), pp.95-112.

¹⁵ Glenn Stanley, review of Beethoven Hero by Scott Burnham, Journal of the American Musicological Society, vol. 50, nos. 2-3 (Summer-Fall 1997), p.468.

with notions of heroism: 'In the year 1792, he travelled to Vienna, where he made himself into one of the foremost heroes of art.'¹⁶

Although Schubert would probably not have read Hoffmann's essay as it originally appeared, since he was only thirteen and studying and living at Vienna's Stadtkonvikt in 1810, it was published in 1814 under the title 'Beethovens Instrumentalmusik', as part of a collection Fantasiestücke in Callot's Manier.¹⁷ The essays soon became part of the critical outlook of Vienna and two further editions of Fantasiestücke came out in 1819 and 1825. Throughout this time, the book would have been available or probably owned by Schubert or one of his friends, when the composer was living and working in the city. In his conversation books, Beethoven reveals he had read the Fantasiestücke during February or March 1820 and his affectionate letter to Hoffmann shortly afterwards is indication, for Martin Chusid, of possible approval of Hoffmann's discussion of his music.¹⁸ Chusid mentions the high reputation and popularity of the book amongst other musicians, and suggests two factors that would have interested Schubert in particular: one, its emphasis on the importance of art and the role of the artist in society; and two, its analytical discussion of the Beethoven's Fifth symphony that was well liked by Schubert and, according to Chusid, was the principal model for the composer's instrumental works of 1824.

In his first year as editor of the Berliner Allgemeine Musikalische Zeitung, A.B. Marx wrote an extended essay which concentrated on the Third, Fifth and Seventh symphonies,

¹⁶ The Critical Reception, vol. 1 p.117. The name of the author is unknown.

¹⁷ English translation as 'Beethoven Instrumental Music' can be found in The Musical Quarterly, 3 (New York, 1917), pp. 127-133.

¹⁸ Martin Chusid, 'Schubert's Cyclic Compositions of 1824', Acta Musicologica, vol. XXXVI (1964), p.42.

‘A Few Words on the Symphony and Beethoven’s Achievements in This Field’.¹⁹ This essay was important for a number of reasons. First, it placed Beethoven, and in particular the unity of his instrumental works, into a privileged historical context. For Marx, the history of instrumental music before Beethoven was interpreted as the gradual evolution of unity; with Beethoven this evolution reached its culmination, its music-historical telos. Marx’s emphasis on unity or wholeness would later become the central tenet of his theory of musical form, and reflected the spiritual ideals of the early nineteenth century and the sense of the greatness and grandeur that had become associated with Beethoven.

Second and leading on from the first, Marx’s description of the form is remarkably close to what would eventually become the standard definition of a sonata, in particular its ternary construction that unifies a diverse range of material. The work begins with ‘a principal idea’ and then moves to a ‘secondary modulating section’. There follows, ‘various directions (keys) and configurations (fragmentations and so forth) until it assumed its most appropriate position again in the principal key. To this richly developed section was added as further confirmation, a concluding section, repeating the principal idea.’²⁰

Third and finally, although Marx was not the first to read heroic connotations into Beethoven’s music, as his comment on the ‘Eroica’ ‘there is no need for reference in the title to know that a hero is being celebrated here’ suggests,²¹ he was the first to combine a sustained and consistent heroic reading with analysis. This he applies mostly to the

¹⁹ ‘Etwas über die Symphonie und Beethovens Leistung in diesem Fache’ Berliner Allgemeine Musikalische Zeitung 1 (1824): 165-68, 173-76, and 181-84 in The Critical Reception, vol. 1, pp. 59-77.

²⁰ *Ibid.*, pp.63-4.

²¹ *Ibid.*, p.66. The earliest example of a heroic interpretation dates from 1805, although Beethoven shares it with Mozart and Haydn: ‘in some of the grand symphonies by Haydn, Mozart and Beethoven one finds a design and spirit comparable to the grand plan and character of a heroic poem’ anon, ‘Einige Bemerkungen über die Erhabene der Musik’, Berlinische musikalische Zeitung 1 (1805).

Third and Fifth Symphonies. For the first idea, pervasive throughout the first movement of the Fifth Symphony, he offers the interpretation of ‘a struggle of a strong being against an almost overwhelming fate. A hard battle in the disconnected beats.’ The second subject is then described as ‘a painful lament of a deeply wounded and yet an unweakened soul’.

For the Andante movement, the epithets ‘longing’ and ‘sublime’ are used. However, rather than allow these to prevail and underline his interpretation of the symphony, as Hoffmann does, ideas of ‘struggling against dark fate’ are returned to in the minuet to lead to an eventual ‘victory of the spirit’ in the finale’.²²

The Third Symphony receives more detailed analysis, but a similar interpretation: the first movement represents, ‘the successful image of heroic life, and also the painful lament over much loss’; the second movement, ‘a bloody battlefield’. The overall trajectory offered for both symphonies, from a battle to a funeral, then celebration and transcendence, is important for prefiguring most of the subsequent critical reception, not least Marx’s hermeneutic reading of the Third Symphony published thirty years later.²³ From this perspective, Marx’s concluding comments that his essay be understood as prompting a recognition of a higher manifestation in music, which cannot be revealed by theorising or general feelings, gains further significance.

Although these concluding comments are comparative to Hoffmann’s view that the momentum of the symphony ‘sweeps the listener irresistibly into the wonderful spirit

²² Interestingly, following a conclusion different from Hoffmann, Marx praises his contemporary’s earlier essay on the Fifth. The Critical Reception, vol.1, p.66.

²³ A.B. Marx, Ludwig van Beethoven: Leben und Schaffen, 3rd ed. (Berlin, 1875). The first edition where Marx’s essay on the first movement of the *Eroica* appeared was in 1859. The earliest interpretation of the *Eroica* as a battle-scene was made, according to Martin Geck, in 1811 in the ‘Hand-Spenersche Zeitung’ of Berlin by anon. Geck and Schleuning, ‘Geschrieben auf Bonaparte’, p226.

kingdom of the infinite', the journey of a heroic figure who overcomes difficulties to eventually triumph is fundamentally different to 'the longing' that Hoffmann stresses in his essay.²⁴ This interpretation not only consolidated the heroic associations with Beethoven that had been growing in the early nineteenth century, but gave them greater articulacy and engagement with the music.

Beethoven's canonic status and reputation as Europe's greatest living composer rose even further in 1824, with two performances in Vienna (7th and 23rd May) of his Ninth Symphony. Though no mention of Schubert's attendance is given in the Deutsch documents, the well-known letter to Leopold Kupelwieser of 31st March 1824 reveals that Schubert knew of an impending performance of a new Symphony, with part of a new Mass (the *Missa Solemnis*) and a new Overture ('Consecration of the House', op.124).²⁵ As an event inspiring Schubert's plan for a similar concert, the composer's enthusiasm stands out in a letter of mostly unrelenting despair. It would be a surprise with such a programme (a new Beethoven symphony had not been heard for over ten years) and with Schubert's known reverence for his older contemporary, if he did not attend one or even both concerts. The Wiener Allgemeine Musikalische Zeitung devoted three successive issues to the concerts, including an extended essay of about 5,500 words. Never before and never again in the journal (it closed later in 1824) would so much writing be devoted to a single composer.

Although there is no evidence to prove that Schubert actually read the issues devoted to the two Beethoven concerts, or Marx's and Hoffmann's essays, it is hard to imagine that at the very least he did not know of them by the time he began to compose the D-

²⁴ The Critical Reception, p.116.

²⁵ O. E. Deutsch (ed.), Schubert. A Documentary Biography, trans. E. Blom (London, 1946), pp.338-41.

major sonata.²⁶ Indeed, as musical material that would later embody a set of theoretical ideals and as a contemporary cultural, aesthetic and critical phenomenon that implemented Beethoven's institutionalisation, the heroic was surely something Schubert was not unaware of.

The First Movement: (Allegro, D major, alla breve)

The heroic opening group (bars 1-8)

Examining the opening few bars, it is hard to fault Gal's assessment that here is part of, 'a strongly-defined main subject, distinguished by vitality of rhythm and motif...such a subject is marked by energetic articulation and a clear,-sharply defined succession of intervals'.²⁷



Ex.3.1 motif *a*

These characteristics are brought into-sharper relief when compared to the opening motifs of the three piano sonatas that precede D850:

²⁶ There is no evidence in the Deutsch documents that Schubert read the above. However his description of Beethoven's musical style as 'eccentric' from a diary extract (16th June 1816) suggests, at least, a degree of familiarity with contemporary criticism, since the same description appeared in the *Leipziger Allgemeine Musikalische Zeitung* a year earlier. Deutsch (ed.) *Documentary biography*, p.64 (LAMZ cols. 387-9.)

²⁷ Gál, *Franz Schubert and the Essence of Melody*, p.111.

Allegro giusto

sonata in A minor, D784/I

Moderato

sonata in C, D840/I

Moderato

sonata in A minor, D845/I

These three earlier examples, all cast in quiet octave unison, communicate an inert quality. Here it is possible to apply John Daverio's view that in many of Schubert's opening ideas reminiscence is already evoked.²⁸ The thick harmonised texture of motif *a* (Ex.4.1), on the other hand, suggests with a more powerful dynamic and faster tempo, a more active self. Here is, to recall Gál, a clearly defined heroic figure.

Looking further from the opening few bars to the first eight, it is possible to argue that a heroic model is evoked:

Allegro

Ex.3.2 (bars 1-8)

Clearly the lack of a solid tonic and cadence does not fit a normative antecedent/consequent phrase structure derived from Haydn or Mozart. However the sequences, absence of cadence, the open-ended phrase structure, and the tonal and

²⁸ John Daverio, *Crossing Paths: Schubert, Schumann, and Brahms* (Oxford, 2002), p.54.

harmonic digressions from the tonic, conform to an understanding of heroic works beginning with an unstable, forward-projected opening.

More specific contextualisation is provided from Carl Dahlhaus's discussion of the opening of Beethoven's heroic works, particularly certain processes and features he identifies. One feature, 'thematic configuration' (i.e. 'a grouping of elements' rather than a theme *per se*), can be applied to motif *a* and the triplet motifs of bars 3 and 4.²⁹ With the appearance of these motifs later in the movement and their inflection with chromatic elements that hint at later tonal regions, they also signify 'anticipation'.³⁰ A further objective, to begin a 'developmental process' from the outset of a work, can be applied to the extension of the sequential pattern of bb. 1-3 in bb. 5-8.³¹ As subsequent discussion will reveal, however, the sustaining of this process throughout a movement, an important factor for Dahlhaus and other scholars of Beethoven, is not adhered to in D850/I.

Despite the heroic characteristics of the first eight bars, two aspects of the opening are not common to Beethoven. The first is the repeat of motif *a* in D minor, the tonic minor; the second is the elision into the start of the transition at bar 8 in F major, the flattened mediant. In Beethoven, there is no equivalent in a piano sonata, or any other work in sonata form, of an opening motif being repeated in the tonic minor so soon into a movement. Nor despite his frequent use of eliding the opening of the transition into the end of the opening group, is this ever done in the flattened mediant. In Schubert, while the structural placement of these two tonal areas is admittedly unusual, the tonal areas

²⁹ Dahlhaus, *Beethoven: approaches*, p.171.

³⁰ *Ibid.* The B-flat chromatic inflections help to anticipate D minor (b. 5) and F major (b. 8). As the end of the opening group elides with the transition, F major is continued and also returns in the development.

Although D minor does not appear again, there are shifts to the minor mode in the development.

³¹ *Ibid.*

themselves are not.³² The switch between the major and minor mode has been traditionally recognised in his music, and in recent years his mediant relations have been emphasised. With the first eight bars of the movement, therefore, a heroic opening can be said to have been evoked but nuanced with tonal characteristics of the composer.

The development 'hunter' theme (bars 95-111)

The beginning of the development is notable for its motivic treatment: following and eliding with motif *a* is material derived from the beginning of the second subject. Examples where there is a joining of the head of the first group with that of the second are very rare in Schubert and Beethoven. While there are occasions in other Schubert sonatas where different themes are presented in successive order at the beginning of the development, such as the three themes of the later B-flat Sonata (D960), it is hard to think of an equivalent to the treatment of motifs, detailed below :

The image displays two musical staves. The top staff is labeled 'Beginning of second subject' and shows a melodic line in treble clef with a piano (*p*) dynamic. The bottom staff is labeled 'Hunter's theme' and starts at bar 95. It features a bass line with a forte (*ff*) dynamic and the instruction 'ben marcato'. The two staves are aligned to show the overlapping of the 'Hunter's theme' with the beginning of the second subject.

Ex.3.3.: head of second subject and 'Hunter' theme

Overlapping and leading on from motif *a* are a sequence of chords based on part of the second subject, printed in alignment above. Indeed with chords outlining the intervals of

³² Only in his G-major string quartet (D887), written a year after D850, is the tonic minor reached sooner: b. 3.

a sixth, fifth and third that separated each note of the beginning of the second subject, the connection is intervallic. From this connection it is possible to form a pair of expressive oppositions and apply the active/passive distinction made earlier between the opening of D850 with those of preceding sonatas. Originally, the second subject (a 'frankly rather facile' theme according to Brian Newbould)³³ is presented in octave unison ; in the development, keeping the same articulation and register, its head is transformed fortissimo and with chord doublings.

The fortissimo dynamic and density of texture is then maintained for more than twenty bars, longer than any previous assertive passage. A similar degree of intensity is found later in the development and at the start of the recapitulation, but it is not matched for as long a duration until the coda. The 'ben marcato' marking is used for the first and only time in the sonata, and is itself quite unusual in Schubert, reserved for moments of powerful thematic presentation.³⁴

Dahlhaus' objective that a theme is constantly transforming throughout a middle-period Beethoven movement, something that Gál believes to be the case in the first movement of D850, is really only applicable to the transformation of the second subject here in the development.³⁵ The heroic connotations of the dynamic and chordal transformation, however, may be further interpreted on a subjective level, as a representation of an archetype from German cultural tradition, stretching from the Middle Ages, through Schubert's time, to the Second World War: the hunter.

The intervals of a third and sixth (in fewer cases a sixth and third), separated by a

³³ Newbould, *Schubert*, p.325.

³⁴ A celebrated example, dating from the same time as D850, can be found at the end of the first movement of the Ninth Symphony (D944) with the return of the opening theme in an orchestral tutti (bb. 661-683).

³⁵ Dahlhaus, *Beethoven: approaches*, p.171; Gál, *Franz Schubert and the Essence of Melody*, p.111.

passing perfect fifth, are frequently associated with the sound of hunting-horns. The opening of Beethoven's 'Les Adieux' Piano Sonata (op.81a) and the *An die Ferne Geliebte* song cycle (op.98), as Charles Rosen has suggested, provide precedence for Schubert's songs.³⁶ Cast in a veiled dynamic, Rosen draws attention to the motif at the beginning and in the coda of the Beethoven sonata as an embodiment of memory, in particular 'distance, absence and regret'.³⁷ In a similar expressive context Schubert often uses the motif to evoke an idealised past, whether from childhood, an early love affair, or a time when future hopes seemed possible. Susan Youens has examined the hunter as a cultural archetype with regard to Schubert's *Die schöne Müllerin* and Müller's original text, and has given a representative list of six songs where the motif occurs. From different periods these songs show that the hunting-horn motif was a pervasive presence.³⁸

One example given by Youens which stands apart from the others in being an assertive figure, is from 'Der Alpenjäger' (D524). The motif in this song, in fact, shares the same 6th-5th-3rd order, ascending motion and a similar dynamic and speed to the one of D850. Together these two examples form an expressive opposition to the 'Les Adieux' model:

³⁶ See Chapter 3, 'Mountains and Song Cycles', especially under sub-headings, 'Horn calls' and 'Music and Memory' in Charles Rosen, *The Romantic Generation* (HarperCollins, 1996), pp.116-124 and 166-174. Schubert was an admirer of Beethoven's songs and studied and performed them when he was a pupil at Vienna Stadtkonvikt, see Deutsch, *Memoirs*, p.82.

³⁷ Rosen, *The Romantic Generation*, p.117.

³⁸ S Youens, *Schubert, Müller, and Die schöne Müllerin* (Cambridge, 1997), p.52 and fn. 27. The other five are: 'Die Böse Farbe' from the Müller song-cycle, 'Ellens Gesang II-Jäger, ruhe von der Jagd' (D838), *Der Lindenbaum* from 'Winterreise', and two songs written before the 1820's, 'Jagdlid' (D521) and 'Antigone und Oedip' (D542). Other examples, not given by Youens, include: 'Pause' and 'Die liebe Farbe' from the *Die schöne Müllerin*, the later 'Jägers Liebeslied' (D909), and the two versions of 'Jägers Abendlied' (D. 215 and D. 368) written when the composer was still in his teens.

The image contains three musical score excerpts. The top excerpt is titled 'DAS LEBEWohl. Les Adieux' and 'Adagio', with the tempo marking 'Le - be wold!'. It shows a piano introduction in 2/4 time with a key signature of two flats (B-flat and E-flat). The bottom-left excerpt is labeled '95. Singstimme' and 'Pianoforte', with the tempo marking 'Feinlich, doch nicht zu schnell.' and the lyrics 'Auf ha - her'. The bottom-right excerpt is labeled '95. Hunter's theme' and 'ff', with the tempo marking 'ben marcato'.

Ex.3.3a: (clockwise) opening of 'Les Adieux', the 'hunter' theme and 'Der Alpenjäger'

Contextualised with the distance topic of the 'Les Adieux' example, the hunting-horn motif of 'Der Alpenjäger' and of the sonata emerge as topics of immediacy and active engagement. Preceded and joined with motif *a*, whose orchestral minim chord enacts as a call to attention, the hunting-horn motif in D850 could be said to represent a fanfare, a rare moment when Schubert explicitly evokes a hunter.³⁹

The remainder of the development, bars 111-162: (two sequential progressions, premature return of main theme, and dominant prolongation)

For most of the remainder of the development, part of a phrase originally encountered at the beginning of the section (bb. 99-101) is used. As this involves a sequential repetition of motif *a* where the motif undergoes little change, Gal's assertion that the

³⁹ In a rare extended piece of writing on the sonata, Andreas Krause also relates the second subject to the beginning of the development, and goes as far as likening the sound of the development theme to horns and nature. He does not find any heroic connotation to the theme, however, and specify this as evocation of a hunter protagonist. Dieter Schnebel, however, notes the transformation of the second subject into a masculine figure ('mannigfache') at the beginning of the development. For a more detailed critique of Krause's and Schnebel's comments, see Chapter 1, pp.17-8, 23-7. Original sources: Andreas Krause, *Die Klaviersonaten*, pp.208-209; Dieter Schnebel, 'Schuberts Ländler', *Dialekt ohne Erde* (Studien zur Wertungsforschung, 1998), p.32.

movement develops ‘thematic potentialities’ to create ‘a vital tension of form’ does not convince.⁴⁰ Although sequences are common in the developments of Beethoven’s heroic works, there is often far more transformation and foreshortening of motifs to create a forward-facing and goal-directed narrative. In the development of D850/I, sequential repetition rather than sequential development creates a static condition, one that provides tension with the dynamic tempo of the movement, an allegro ‘alla breve’.

In Ex.3.4 given below, the first phrase of the sequence is initially given in full (bb. 111-15), and then its repetition in the three tonal regions of A-flat, B minor and C-sharp minor is annotated as a progression. Schubert avoids the sequential repetition becoming predictable by varying the approach and dynamics of each phrase, shifting to the minor mode, exchanging material between the hands and making slight changes to the voicing of the chordal texture. As another sequence follows (bb. 140-3), a comparison suggests a foreshortening process, one which does not so much effect motivic material but harmonic rhythm. For the first sequence, a change of tonal region is made every seven or eight bars; for the later one, a change every bar: E-flat minor in b. 141, E minor in b. 142, and F minor in b. 143.

⁴⁰ Gál, *Franz Schubert and the Essence of Melody*, p.111.

111

112

115

117

Ex.3.4: first sequential progression of development (bb. 111-139)

140

143

144

Eb minor

E minor

F minor

Ex.3.5: second sequential progression (bb. 140-3)

Continued in strict sequence, the next chord should be one of F-sharp minor (annotated in broken lines in b. 144). Schubert displaces this local goal, however, with the return of the tonic and the opening of the main theme. The main theme is now presented in extreme augmentation, where each chord is tied across two bars. (This extends what originally was condensed in bb. 1-3 to over seven bars.) Together with the subdued context of low register and piano dynamic, an expressive opposition to the heroic opening is formed. This transformation not only differs from those identified by Dahlhaus in Beethoven, but further undermines Gál's assertion that the movement adheres to 'a vital tension of form'.⁴¹

Ex.3.6: penultimate phrase of development-return of the main theme (bb. 144-151)

The main theme in Ex.3.6 suggests a complex narrative. On the one hand, as an expressive opposition it provides distance from the heroic opening; but on the other, as

⁴¹ Ibid.

the penultimate episode of the development it anticipates the recapitulation where the chords will return in their original guise. The triplet runs above suggest further complexity by creating, as fast rhythms, tension with the slowness of the theme underneath. In light of these considerations, the passage might be said to partly conform to John Gingerich's view that, 'Schubert's narratives probe the relationship between identity and context...in circling back to reconsider and re-evaluate'.⁴²

A dominant prolongation: the final passage of the development (bars 152-62)

Following the premature return of the main theme and an augmented sixth, powerful dominant preparation for the recapitulation is undertaken. Although such passages are traditionally associated with Beethoven's heroic works, of the major instrumental works that precede D850 only the first movement of the string quartet in D minor offers a comparative example. In the three preceding piano sonatas, the A-minor sonata of 1823 (D784) has a dominant prolongation of similar length to those of the quartet and D850/I. This is placed, however, in a context where an extended diminuendo and registral descent leads to a *pp* recapitulation. The two earlier sonatas of 1825, the unfinished C major (D840) and the A minor (D845), are characterised in a similar way, and offer further deviation from Beethoven with non-tonic recapitulations elided with developmental features. Set against these sonatas, therefore, the dominant prolongation of D850/I emerges as relatively unusual.

⁴² John M. Gingerich, Schubert's Beethoven Project. The Chamber Music, 1824-1828 (PhD. diss, Yale, 1996), p.104.

Ex.3.7: dominant prolongation for the recapitulation (bb. 152-162)

Although the content and trajectory of the passage evokes Beethoven, particularly through the repetitions of a rhythmic figure within a long crescendo, the first few bars (bb. 152-5) might be understood differently. Here the placement of motif *a* (minus its minim prefix) in alternate registers recalls the inverted counterpoint of the B minor and C-sharp minor phrases found in the first and longest sequential progression of the development (both annotated in Ex.3.4; part of the B-minor phrase, bb. 125-9, is given below). As an expressive opposition to these phrases (conveyed in contrast of dynamic and mode) and with more abrupt changes of register, the first four bars of dominant prolongation might be understood as a witty and light-hearted response to what was earlier robust and serious in character. This humorous context briefly distances the prolongation, before the drama of the crescendo, from Beethoven.

Ex.3.7a: beginning of dominant prolongation (bb. 152-5) cf. to earlier B-minor passage (bb. 125-8)

The recapitulation: a powerful return and 'lowering of energy level'⁴³

Initially the beginning of the recapitulation seems relatively straightforward, as the tonic and the main theme are returned to *ff*. After four bars, however, a 'sempre *pp*' is indicated and is then sustained for thirteen bars (bb.167-80) to not only displace the preceding *ff*, but also the *ff* marking of the passage when it first appeared in the exposition (bb. 16-29). The triumphant return of the main theme now seems hollow, and the 'sempre *pp*' indication, by providing distance from the beginning of the recapitulation and from the passage's appearance in the exposition, seems ironic.

⁴³ Description from Burnham, *Beethoven Hero*, p.51.

Ex.3.8: bars 163-80 of recapitulation

Whilst it is tempting to cite this as a further example of distancing the heroic, ‘the undercutting of intensity at the outset of the recapitulation’ is a process that Scott Burnham has identified in Beethoven’s heroic style.⁴⁴ Schubert puts this into a

⁴⁴ Ibid.

particular context whereby tension is generated between the sustained rhythmic energy and the veiled dynamic. (The significance of constructing a narrative distinct from those associated with Beethoven will be addressed shortly in the final part of the discussion of the movement.) Further difference is suggested by the following events, which in Beethoven's heroic works often include a prolonged crescendo and a strong structural downbeat where the tonic and the main theme are powerfully reasserted. In the corresponding part of D850/I, a crescendo lasts for less than three bars, and although it leads to a strong downbeat, this is on the dominant (b. 183). Further distance from the heroic is then suggested by the immediate reversal of dynamic and further juxtaposition of contrasting dynamics (bb. 183-88 of Ex.3.9 below), and the following reprise of the long second group (bb. 191-224).

The image shows a musical score for piano, consisting of four systems of staves. The first system starts at bar 179 and ends at bar 181, with a 'cresc.' marking. The second system starts at bar 182 and ends at bar 184, with a strong downbeat at bar 183. The third system starts at bar 185 and ends at bar 187, with a 'p' marking. The fourth system starts at bar 188 and ends at bar 188, with a 'p' marking. The score is in G major and 2/4 time.

Ex.3.9: bars 179-88

Heroic characteristics of the coda (bars 246-267)

To some extent the coda conforms to heroic models: the tonic is strongly emphasised and a perfect authentic cadence provides closure. The sense of completion is reinforced by the *fff* end, that, like heroic works, is louder than the start of the movement. As a tonic downbeat, the final chord also balances with the one at the beginning of the movement, a characteristic of the heroic style that Scott Burnham has highlighted.⁴⁵ The return of the first eight bars of the development at the start of the coda also recalls the development-recapitulation repeat that had become virtually obsolete by the 1800s. Elsewhere, there is a brief moment where Schubert fulfils the goal evaded in the development: the F-sharp minor chord that was replaced by the tonic at b. 144 at the end of a sequence, is now, in the major, inserted at b. 265 (asterisked in Ex.3.10 below). In light of the F-sharp minor evasion in the development, the F-sharp major chord can be considered as either ‘compensatory’ (as defined by William Caplin) or ‘unfinished business’ (Charles Rosen).⁴⁶

⁴⁵ Ibid., pp.54-5.

⁴⁶ W E Caplin, Classical form: a theory of formal functions for the instrumental music of Haydn, Mozart and Beethoven (Oxford, 1998), pp.186-191; Charles Rosen, Sonata Forms, rev. ed (New York, 1988), p.324.

The image displays a page of musical notation for piano, spanning measures 237 to 246. The score is written in treble and bass clefs with a key signature of two sharps (F# and C#). The first system (measures 237-239) begins with a dynamic marking of *p* (piano). The second system (measures 240-242) features a *cresc.* (crescendo) marking in the right hand and a *f cresc.* (fortissimo crescendo) marking in the left hand. The third system (measures 243-245) continues the musical development. The final system (measures 246) is labeled **Coda** and *più Allegro* (faster), starting with a *ff* (fortissimo) dynamic marking. The notation includes various rhythmic patterns, such as eighth and sixteenth notes, and rests, with some notes marked with accents.

Ex.3.10: build-up to coda (bb. 238-45) and complete coda (bb. 246-267)

The quicker tempo, chord doublings, registral expansion, triplet unison of the penultimate phrase, and the assertive end maintain the level of virtuosity from the preceding bravura section (bb. 222-245), and, indeed, from much of the movement. On a performance level, therefore, the coda provides a sense of triumph. The powerful dynamic, registral and textural context also amend the dynamic reversal of the

recapitulation, where an *ff* return was quickly replaced by the prolonged ‘sempre *pp*’.

These features of the coda provide further evidence of compensation.

Problematising a heroic narrative

So far discussion of the coda has strongly suggested that the section is the most heroic of the movement. Indeed, the return of the development theme (where the hunter is again invoked) and the closing tonic satisfies one of two fundamental requirements Burnham has assigned to heroic codas: to provide a ‘cyclical formal design’.⁴⁷ The other requirement, to convey a linear climax, is also suggested by the strong downbeat at the end. In a heroic coda, this event is understood as providing a reminder of the instability of the opening while at the same time transcending any previous tonal uncertainty with unequivocal closure. ‘Such completion spreads its finality backward over the rest of the movement and comes to seem necessary, the predetermined self-consumption of a process of destiny.’⁴⁸ Certainly in Schubert’s movement a sense of linear climax is suggested by the progressively louder dynamics given to the tonic downbeat at the beginning, recapitulation, and end (*f-ff-fff*). On a local level, a climax is also reached by the beginning of the coda with the convergence of the hands and a *ff* following a six-bar crescendo. On a deeper structural level, however, it has not been possible to claim a sustained linear process throughout the movement.

Interpretation of earlier sections highlighted the difference from Beethoven even when some aspects brought to mind the more subtle contexts of his narratives. The development section was mostly characterised by sequential repetition, rather than

⁴⁷ Burnham, *Beethoven Hero*, p.55.

⁴⁸ *Ibid.*

continual transformation, of motif *a*. In the context of triplet runs and a brisk tempo, the sequential repetition created tension and suggested an underlying static quality for the narrative. Two other passages, the premature return of the main theme augmented (Ex.3.6, bb. 144-151) and the beginning of the dominant prolongation that followed (Ex.3.7a, bb. 152-5), were each considered anticipatory and reflective. While the first passage could be understood as evoking mystery, an interpretation common to corresponding parts of Beethoven, the tension engendered between the augmented theme and the triplet runs was clearly different from the tension identified in the older composer. Indeed, there was little of the ‘terror’ that imbues passages before the recapitulation of heroic works. With the following passage, the first four bars of the dominant prolongation, interpretation was even further removed from the heroic style as a humorous rather than mysterious context was suggested.

A little later in the movement another potential Beethovenian moment, the ‘undercutting of intensity at the outset of the recapitulation’ with the thirteen-bar ‘sempre *pp*’, was briefly considered. The crucial next stage, to return to a sustained momentum, was, however, relatively lacking: the crescendo was short and there was no powerful return to the tonic and the main theme. This lack of building to a climax as well as subsiding from one is generally symptomatic, however, of the expressive shape of the movement, where, as Krause has noted, contrasted dynamics are juxtaposed over long spans of music.⁴⁹ Lacking a narrative which is shaped around climactic passages, the dynamic design of D850/I therefore provides further divergence from Beethoven.

With aspects of the linear trajectory either lacking or problematised, the ‘coda as

⁴⁹ Krause, *Die Klaviersonaten*, p.151.

culmination' (to borrow Robert Morgan's phrase) cannot be applied unequivocally to the final section of the movement.⁵⁰ While the possibility of linear time is suggested in the fast tempo and rhythms, this is often complicated (to reiterate) by the lack of motivic transformation, slow harmonic rhythm or introverted dynamic. Narrative tension has also been conveyed in contrasting temporalities of reflection and anticipation; and the recapitulation, as a transposed version of the exposition, suggests little sense of continuation.

With these interpretations, the gestures in the coda of a cyclic design (the *fff* closing tonic and the return of the beginning of the development) are not supported by a sustained linear narrative throughout the movement. Burnham's interpretation of a heroic coda as enacting a double closure, a symbiosis of cyclic and linear time, therefore cannot be applied.

The Second Movement (andante con moto, A major, 3/4): conflict between opposition

The tension in the first movement between heroic gestures and musical contexts that undermined the possibility of a linear narrative is carried over and heightened in the second movement. Here it is adapted to the rondo/variation form (ABA'B'A'' + coda) as a duality of contrasted expressive states, which juxtapose, react and engage with one another. The assertive dynamics and thick textures that typically characterise the heroic topic, such as in the first movement, are now found mostly in the B sections. These

⁵⁰ Robert P. Morgan, 'Coda as Culmination: The First Movement of the 'Eroica' Symphony', *Music Theory and the Exploration of the Past*, eds. Christopher Hatch and David W Bernstein (Chicago, 1993), pp.357-76.

characteristics, together with the syncopated rhythms, affect the returns of A, a general pattern in most of Schubert's rondo/variation slow movements. Consequently A's original homophonic texture is disturbed, with some of its quiet dynamics reversed and some of its powerful dynamics heightened.

Although slow movements of Schubert works in the 1820s are often in a rondo-variation form, especially those of his piano sonatas, the A and B sections of D850/II can be broken down further, as Andreas Krause has recognised, into a smaller **aba'** framework.⁵¹ In the A sections, the outer **a** parts are mostly introspective and the central **b** is more varied. In the B section, the contrast between **a** and **b** is both more extreme and sustained, the outer **a** parts are assertive and the inner **b** is subdued. On the returns of both sections, A' has more extreme and greater amount of contrast than originally and B' has the widest dynamic range in the movement.

From a similar register and texture, the opening chord of the second movement seems to emerge from the final one of the first. This connection is made stronger between later adjacent movements with the sharing of the same harmony, and in the case of the scherzo and finale, the sharing of a similar dynamic as well.⁵² In the second movement, the link with the end of the first, heightens the extreme change of dynamic and texture.

⁵¹ Krause, *Die Klaviersonaten*, p.183.

⁵² Only in one other piano sonata, the A major (D959) written three years later, did Schubert suggest a link between movements. In this work, he did not repeat his device of starting a movement in the same register and texture where the previous one had left off (as in D850), but through more subtle means: a shared melodic note, motif or articulation. For further discussion, see Fisk, *Returning cycles*, pp.227-8.

first movement close



second motif



16 **Andante con moto**
lento

5 *cres.* *f* *p* *f*

Ex.3.12: A theme (bb. 1-8)

On examination of the opening eight-bar theme, further contrast with the first movement is revealed, in particular with its first group (Ex. 3.2). In the second movement there is no assertive downbeat, but a fairly long and passive anacrusis. Within a conventional and tonally stable phrase structure, the tonic is confirmed in both a feminine and perfect authentic cadence, and is repeated in the bass at the beginning of the antecedent and consequent. In the first group of the preceding movement, the structure was open-ended and the tonic unstable with lack of cadential confirmation. Already at this early stage, motif *a* seemed driven and obsessive; the main theme of the second movement, though rhythmically repetitive, lacks these qualities, having neither repeated

chords, an assertive dynamic nor quick tempo.

Expressive (including topical) opposition between the main themes of A and B

Although within the movement, the A and B themes share a similar 4+4 phrase structure with a full-close in their respective tonics and an anacrusis at the start of each phrase; as expressive oppositions they help stimulate and contextualise further interpretation. The B theme (bb. 41-50, Ex.3.13) is mostly syncopated, with strong accents and de-synchronisation between the hands. The bass moves in wide, angular leaps, and the voice-leading between the chords of the cadential progression (at bb. 49-50) is also bold and uninhibited. All of this communicates a restless, agitated character, especially when compared to the A theme whose bass moves mostly within an octave and whose final cadence has smoother voice-leading. The expressive character of the themes, in particular their dynamics and textures, also reveals their opposition. For Alfred Brendel, the opening of the A theme suggests, ‘a rather strange combination of a narrating male choir’.⁵³ The B theme, on the other hand, is clearly less vocal and more instrumental and orchestral in evocation:

⁵³ A Brendel, Musical Thoughts and Afterthoughts (Robson Books, 1976), p.69.

Ex.3.13: B theme (bb. 41-50)

Although both themes are characterised by aspects of the pastoral topic, further opposition can be suggested by the different treatment of the topic, in particular its combination with the heroic in the B theme. Within a mostly quiet dynamic, the A theme is partly cast in thirds and sixths with gentle appoggiaturas and occasional horn-fifth accompaniment in the bass. This pastoral context is enhanced with modulation to flattened tonalities, C major (bb. 10-12) and B-flat major (bb. 21-27) in A's middle part. Such-flattened tonalities, as Robert Hatten has discussed, help convey the 'mollified tension and intensity' of the pastoral topic, a process only reversed in the middle of the B-flat passage (bb. 22-3) where an assertive dynamic and thicker texture are introduced.⁵⁴

⁵⁴ Robert S Hatten, *Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert*, (Indiana, 2004), p.56.

Cast in slow harmonic rhythm and the key of the subdominant (D major), the B theme is also coloured with the pastoral topic. However, the powerful expressive context conveyed by the return of the hunter motif in 6th-5th-3rd and reverse order and the repetitive and syncopated rhythm suggests more explicitly a heroic evocation. In the following bars (see bb. 45-9 of Ex.3.13 above), the thick fanfare-like chords and fortissimo dynamic recall the expressive context of the hunter theme in the first movement and the sequential treatment of the opening and closing part of the B section is reminiscent of the heroic opening of the sonata. The hunter motif is the primary material for the B theme and most of the section. It does not merge with an earlier motif (as at the start of the development of the first movement), but is used throughout, including the contrasting central part (Bb).

Contextualised with the four-square appearance of the hunter motif in the first movement, the repetition, rhythmic and expressive context of the motif in the outer parts of B suggests obsessive and disturbed aspects of the hunter. Susan Youens has examined this archetype in songs of Schubert and his predecessors and in a wider cultural and literary context;⁵⁵ however in concentrating on lied, Youens overlooks examples such as here in the second movement, as well as the first, which suggest different possible representations of the hunter. If the phrase structure, rhythmic character and merge with motif a made the hunter motif seem a more regimented and militaristic figure in the first movement, here in the second, it arguably seems more uncompromising and unbalanced.

⁵⁵ Youens, *Schubert, Müller, and Die schöne Müllerin*, pp.46-82.

Further representation of the heroic and pastoral topic in B and B'

The central part of B (part of which is quoted in Ex.3.14 below) offers some retreat from the disturbance of the outer parts of the section. This retreat is suggested with the retaining of the hunter motif in a more conventional pastoral setting, one that contrasts with the dramatised version of the topic in the outer parts. The pastoral is conveyed in 'fifth' drones in the bass, parallel melodic thirds, the slow harmonic rhythm, and the subdominant key of the section. Together with the pianissimo dynamic, a rare 'una corda' pedal marking ('mit Verschiebung'), and an elegant duet texture, the sound and expressivity is close to the 'Les Adieux' model exploited in many of Schubert's songs. The hunter motif in bb. 50-1 and bb. 53 forms an expressive opposition to not only its appearance in the outer parts of B, but also in the first movement:



Ex.3.14: part of Bb (bb. 150-9)

Although extended discussion of this sonata is rare, most commentaries will often make some reference to Bad Gastein, the town where Schubert wrote the work. Indeed, some analogy is often drawn between some aspect of the sonata with Gastein's surrounding landscape and with sounds of nature in general. Such commentary usually comes in biographies, studies of the composer that combine biography with general stylistic analysis, and in programme notes. The second movement, in particular the first return of the A section, has received most of the comparisons, something that supports and extends the pastoral associations in earlier sections (detailed above). Both András Schiff and Leo Black have likened the ornamentation, decoration and high register of the right hand in A' to bird-song. Black has also argued that the presence of mountains can be felt in the B sections, especially to the C major climax in B'.⁵⁶ Here the dramatic rising/falling contours, for him, evoke those of the mountains Schubert would have

⁵⁶ Black, *Franz Schubert: music and belief*, p.123.

climbed. Although Schiff is less specific and offers no musical example, he nevertheless views the whole sonata as being inspired by ‘mountains, brooks and forests’.⁵⁷ Dieter Schnebel, also, likens the second movement to, ‘the distant sounds of nature, as if under a spell- and with the tone of dialect into the bargain’.⁵⁸ Brian Newbould and Hans Gál, both skilled pianists as well as musicologists, stress the enjoyment to be had from playing the movement; for Newbould, this enjoyment is primarily tactile.⁵⁹

Unlike the second movement of D840, the B’ section is not a straightforward transposition of B but has its a’ part rewritten (bb. 153-69 of Ex.3.15 below). Here within a context of textural thickness and assertive dynamics, the hunter motif is further developed sequentially. This leads to an even more powerful passage where chordal textures are sustained and the dynamic level peaks with a *fff* (bb. 165-66), for Black the peak of a mountain.

⁵⁷ András Schiff, ‘Schubert’s piano sonatas: thoughts about interpretation and performance’, Schubert Studies, ed. B Newbould (Ashgate, 1998), p.207.

⁵⁸ Schnebel, ‘Schuberts Ländler’, p.28

⁵⁹ Newbould, Schubert, p.325.

Ex.3.15: B' (bb. 153-169)

Tonally as well as expressively bars 163-66 almost unbalance the movement, and have further repercussions in the following A'' section. The energy is diffused for a while though. Immediately after, at the beginning of the final phrase of B', there is a distant echo in the same C-major harmony; then through further dynamic and registral retraction, the phrase closes on the dominant in preparation for the final return of A and the tonic.

A'' (bars 169-86)

In the opening antecedent of A'' the syncopated chords used in the preceding bars at the end of B' are placed as an outer accompaniment. However with the repeat of this phrase starting at b. 173, the delicate pianissimo textures are transformed. Now the registral difference between the two parts is increased and both are filled out texturally and sounded fortissimo. The assertive passages of B' are recalled, particularly bb. 163-66.

Ex.3.16: A'' (bb. 166-186)

The return of the middle part of A from the end of b. 177 to the dominant seventh at b. 184 sees a sudden juxtaposition and alternation between two different expressive states. Here tension between the broadly contrasting A and B and between the *aba'* parts of each

of those sections is presented in microcosm with a juxtaposition of contrasting dynamics and register.

The Coda (bars 187-96): moment of significance

The coda that follows resolves this tension and indeed that of the movement's, as the gestures of B are sublimated into the introspection of A for a whole section. For the first time in the movement B does not threaten to unbalance A, rather the rhythmic and textural gestures of the former are subsumed into the quiet dynamics of the latter.

Together with the transformation of the main theme into a single-voiced part built on and around the tonic (replacing the dominant degrees of before) and its repeat in the final phrase in a more subdued dynamic and register, an important turning point in the interpretation of the sonata has been reached. The heroic character of B suggested through powerful and energetic rhythms and expression, as well as the pervasive hunter motif, is now pacified. Further distance from the heroic, a process subtly implied in the first movement, has been taken.

Ex.3.17: coda (bb. 187-196)

The Scherzo ('allegro vivace', D major, 3/4): a return to the heroic?

In the scherzo, the juxtaposition between heroic and passive passages is continued. For the A and B sections heroic passages are always followed by passive ones; in the reprise of A, this order is reversed so that the main theme is returned to *p*, de-emphasising its previous heroic status. The de-emphasis of the topic is also claimed on a broader level, through forming expressive opposition between a theme of the movement and one from the first.

Initially the main theme shows a return to a more active sphere, one that can be highlighted by relating parts of the theme to material cast in a different expressive context in the second movement. The opening chord, for example, marks a dynamic reversal from the end of the preceding movement:

The image shows two musical staves. The top staff is labeled "end of slow movement" and shows a piano chord in D major with a dynamic marking of *ppp*. The bottom staff is labeled "scherzo" and shows the beginning of the scherzo movement in D major, 3/4 time, with a dynamic marking of *ff*.

Similar opposition can also be found between the extended anacrusis of the scherzo theme and that of the second movement:

The image contains two musical excerpts side-by-side. The left excerpt is titled "SCHERZO Allegro vivace" and shows a piano introduction with a dotted rhythm and powerful dynamics (ff, fz). The right excerpt is titled "Andante con moto legato" and shows a piano introduction with a dotted rhythm and powerful dynamics (p, fz).

Ex.3.19: the head of the scherzo theme cf. to that of the slow mvt

From a different perspective, from expressive similarity, the opening of the first movement provides another means to emphasise the return to an assertive condition at the beginning of the scherzo. Examined together it is possible to see that the themes share chordal repetition, thick textures and powerful dynamics. Nuance is also provided for the heroic theme of the scherzo, with the dotted rhythm suggesting a militaristic context.

The image contains two musical excerpts side-by-side. The left excerpt is titled "SCHERZO Allegro vivace" and shows a piano introduction with a dotted rhythm and powerful dynamics (ff, fz). The right excerpt is titled "Allegro" and shows a piano introduction with a dotted rhythm and powerful dynamics (f).

Ex.3.20: the head of the scherzo cf. to motif *a* from the first mvt

Apart from the dotted rhythm, these assertive features are also common to the second movement; the repeated fanfare chords and powerful dynamics, for example, have characterised the B theme.

B theme of second mvt: (Ex.3.13)

SCHERZO
Allegro vivace

Ex.3.21: main theme (bb. 1-8) and answering phrase (bb. 8-20)

The extended answering phrase (bb. 8-20) cast in a high register and a quiet dynamic offers immediate distance from the opening theme. Indeed, through an undulating

contour, dance-like accompaniment, and alternation between triplet and dotted rhythm, a *giocoso* character is conveyed to contrast with the heroic character before. Further distance is provided by the closing idea, where the head of the main theme is placed in a high register, *pp* dynamic and in F-sharp major.

Following the F-sharp major close, the main theme then returns in the relative minor, B minor. The theme is relatively unchanged and the answering phrase is repeated a fourth lower to enable a close on the dominant and to tonally balance with the first section.

The middle section (B) begins with a transitional passage that characterised by repeated fanfare-chords, dotted rhythms and assertive dynamics acts as a dramatic introduction to the new theme. Tonally the passage also anticipates and helps to prepare key of the theme, B-flat major. With the theme's entry, however, any expectation that it will be as energetic as its introduction is immediately countered:

The image displays a musical score for a piano piece, specifically the part B section, introduction, and dance (Ländler) theme. The score is written in 2/4 time and is divided into five systems of music. The first system starts at measure 40 and includes a piano introduction with fanfare-chords and dotted rhythms. The second system starts at measure 47 and continues the introduction. The third system starts at measure 54 and includes a piano introduction with fanfare-chords and dotted rhythms. The fourth system starts at measure 60 and continues the introduction. The fifth system starts at measure 67 and includes a piano introduction with fanfare-chords and dotted rhythms. The score is in B-flat major and features a piano introduction with fanfare-chords and dotted rhythms, followed by the main theme in B-flat major.

Ex.3.22: part of B section, introduction and dance (*Ländler*) theme

The new theme (from b. 50) is characterised by a reversal of dynamic and change of topic; following a *ff* heroic introduction there is now a *p* evocation of a dance. Further interpretation might suggest that the theme not only provides distance from its introduction but displaces heroic themes earlier in the movement and earlier in the sonata.⁶⁰ To understand a process of displacement, the themes have first to be related, then differentiated, and then the order of appearance and structural position will determine which theme has been displaced.

The dance theme is related to the opening of the scherzo through shared features of an anacrusis, dotted rhythm, and repeated hemiola chords. As with the preceding heroic introduction, difference is conveyed through dynamics, and displacement is ultimately achieved by the dance theme forming the entire coda. A similar process can be identified between the 'hunter' theme of the first movement and the dance theme: both share the same tonality and structural position (B-flat major in the middle/development section and D major in the coda); both are dynamically contrasted; and because of the appearance of the dance theme in a later movement, the 'hunter' might be said to have been displaced.

The interpretative significance given to the dance theme offers further evidence of distancing the heroic, alongside the quiet answering phrases of the A section, the reversal of the *ff-p* order of preceding sections in the reprise of A, the closure before the trio and at the end of the movement. As a result the assertive passages seem transient and contrived, a mere posturing of the heroic.⁶¹

⁶⁰ Whilst the dance-like theme has often been commented on, and scholars such as Dieter Schnebel and Andreas Krause have been more specific over which dance it evokes (for Schnebel, 'a waltz'; for Krause, 'a ländler'), any relationship to earlier themes, either in the scherzo or earlier movements, has been overlooked. See Schnebel, 'Schuberts Ländler', p.34; Krause, *Die Klaviersonaten*, p.210.

⁶¹ Philip Radcliffe has given a similar interpretation to the scherzo, 'mock-heroic', and has drawn attention to similar details of the movement. However these details are not related to the interpretation which is reserved for just the opening theme. For this chapter, a 'posturing of the heroic' only convinces following discussion of expressive opposition. For a fuller comparison between Radcliffe and the interpretation of the

The Trio: (G major; 3/4)

In the second movement the pastoral topic marked the B sections: throughout most of the outer parts it was integrated with the heroic style, and in the central parts it was conventionally presented as a distance topic. In the trio this order is reversed so that the pastoral frames an assertive middle section.⁶² This reversal of structure reveals the weaker hierarchic status that heroic passages now have in the sonata, something which is consolidated and taken further in the finale. The pastoral topic also provides a retreat from the scherzo, before the movement is repeated.

In the outer sections of the trio, the pastoral topic is conveyed through the subdominant key, consonant harmony, melodic movement in parallel sixths and compound thirds, horn-fifth chords in the bass, and quiet dynamics. (The latter is occasionally disturbed with powerful crescendos and accents.) With the homophonic chordal texture and static bass at the beginning of the antecedent and consequent, the opening theme of the second movement, an earlier example of the pastoral, is recalled.

chapter, see Chapter 1, pp. 21-3. Original source of 'mock-heroic' quotation is in Philip Radcliffe, 'Schubert Piano Sonatas', *BBC Music Guides* (1967), p.30.

⁶² Only in chordal texture can the assertive middle section be considered pastoral. A more precise interpretation might suggest that the chords are a texture derived from a hymn/chorale, itself related to the pastoral topic, and are amplified with assertive expressive features into a more heroic context.

Ex.3.23: the first section of the trio (A), bars 118-136

The predominant consonant harmony of the outer sections of the trio is sometimes complicated by harmonic digressions from the tonic. Some of the more striking digressions are derived from corresponding places of earlier movements. The sudden move to F-sharp major harmony near the close of the first section of the trio (bb. 130-1) recalls the closing idea of the answering phrase of the scherzo where F-sharp major was emphasised (bb. 15-20 of Ex.3.21 above). A stronger connection can be found between the return to the central theme of B in the second movement and the return to the main theme in the trio, which both use B-major harmony to defer resolution to G major. For the second movement, B major 7 suspends harmonic and melodic motion (bb. 56-8) before the return to the G major theme; while in the trio, B major is used at the moment of reprise, to displace for a few bars the G-major tonic: see bars 163-4 of Ex.3.27 below.

Resolution of dissonance from the first and second movements

While the central section of the trio is characterised by further harmonic digression, one passage is understood as a resolution of what was previous dissonant in earlier movements. The passage in question concerns a progression at an expressive peak (bb. 151-3) that was encountered, in a similar dynamic context, in the first and second movements: G major (7)-C major. Aware of the significance that was to be drawn from relating the progression in the trio to those in the preceding movements, discussion of the first and second movements deliberately ignored or only briefly engaged with the progression. Now, however, each example will be addressed in order of appearance. This will help convey the earlier dissonant status of the progression and the trajectory that culminates in the context of resolution in the trio.

In the first movement following the second subject, Schubert inserts a passage marked 'un poco più lento e con capriccio' where he juxtaposes three bars of G major with three of C major (Ex.3.24 below). For Brian Newbould, 'the statuesque' context of these harmonies almost allows them 'to acquire the meaning of two self-sufficient tonics'.⁶³ In the context of the second subject just before and the variational treatment of it that follows, the passage illustrates Robert Hatten's concept of a clear 'shift in discourse'.⁶⁴ This is conveyed in the abrupt change of tempo, harmony, harmonic rhythm, placement of accents, and dynamic. Also the use of the dampers ('pedale') creates a new sound for the movement, one which contrasts with the crisp articulation elsewhere. The pedals on an instrument of Schubert's day would have emphasised this different sound, creating a

⁶³ Newbould, *Schubert*, p.325.

⁶⁴ Robert S Hatten, *Musical Meaning in Beethoven: markedness, correlation, and interpretation* (Indiana, 1994), definition given on p.289.

blurred series of overtones more wide ranging than today's modern pianos.⁶⁵

Ex.3.24: juxtaposition of G major and C major harmonies (first mvt. bb. 49-55)

Confronted with such a passage, several scholars including Newbould have responded with an onomatopoeic and pictorial interpretation, drawing on Schubert's description (contemporary to the sonata) of the sound of a yodeller in the mountains of Bad Gastein.⁶⁶ One feature offers a brief but further example of the heroic topic being undermined, the interval of a tenth reached on the accent in the G-major bars (bb. 49-50). In opposition to the rising tenth at the beginning of Beethoven's 'Hammerklavier' Sonata (op.106), the falling motion of the Schubert example could be said to embody an anti-heroic gesture.

In the second movement, the G major-C major progression is explored in several passages in both the A and B sections. Only two examples, in sharing the climactic context of the progression in the first movement and trio, merit attention however: one is at the end of the B' section (bb. 164-66, Ex.3.25), the other in A'' (bb. 180-3, Ex.3.26).

⁶⁵ For a fuller discussion on Schubert's exploitation of overtones, see Hatten, 'Schubert the Progressive: The Role of Resonance and Gesture in the Piano Sonata in A, D959', pp.38-81.

⁶⁶ Newbould, *Schubert*, p.325

The first, as has been mentioned earlier, marks the expressive peak of the movement, a context that for Leo Black evokes the overwhelming presence of the mountains Schubert experienced on his holiday to Upper Austria in the summer of 1825.⁶⁷ On a less pictorial level, C major (the-flattened mediant) could also be said to almost overwhelm the tonality of the movement.



Ex.3.25: G-C at climax of B' of second mvt. (bb. 164-66)

Near the end of the shortened A'' section, there is a heightened passage of V/C major on the leading-note of C major that stalls on an assertive V7 harmony. The expressive context reminds the attentive listener of the previous appearance of G major harmony (in Ex.3.25 above) and suggest that C major should follow. This goal, however, is frustrated with a first inversion dominant seventh of the tonic of the movement, A major.

⁶⁷ Black, *Franz Schubert: music and belief*, p.123.

181 *accel.* *a tempo* *ff* *ff* *p*

un poco *ff*

Ex.3.26: G-major appearance in second mvt. (bb. 181-4)

In the trio, the final expressive peak of the G major (7) - C major progression is reached. Placed in the central section of the movement whose tonic is G major, the progression does not threaten to destabilise the tonality as with earlier examples. Rather, at the end of a sequence it helps to prepare for the eventual return of the main theme and the tonic.

140 *ff* *ffz*

142 *ff*

147 *ff* *ffz*

The image shows a musical score for piano, measures 153-160. The score is in G major and 3/4 time. It shows a sequence of chords in the right hand and a bass line in the left hand. Dynamics include 'decresc.', 'p', and 'pp'. The progression is G7-C.

Ex.3.27: middle section of trio (B)-reprise; consonant status for G7-C (bb.151-55)

In using G major (7) - C major to negate rather than provoke harmonic/tonal tension, resolution locally and of the dissonant context of the progression in earlier movements is conveyed. With a dynamic and registral reversal accompanying the repeat of the C-major chords (bb. 153-7), there is a lowering of energy commensurate with the consonant status of the harmony.⁶⁸

Although claiming a resolution of dissonance later in a work is familiar from an understanding of heroic narratives, it is hard to think of a comparative example in Beethoven (or, indeed, Mozart or Haydn) to the G major (7)-C major progression in D850. In a work where the tonal design is relatively conservative, however, the progression's shift to a consonant status in the trio marks a moment of significance.

⁶⁸ Although such a process has been identified by Krause as significant, he has only offered one example: b. 79 from the second movement. For a fuller critique of Krause's multi-faceted dissonant-resolution trajectory, see Chapter 1, pp. 23-8. Original source: Krause, *Die Klaviersonaten*, p.194.

The Finale (Allegro moderato, D major, C): the triumph of introspection

The main theme

For the first time in the sonata a movement begins with not only the same harmony and register as the final chord of the preceding movement, but also with a similar dynamic; from the *pp* close of the scherzo, the finale begins quietly:

close of scherzo



beginning of finale

RONDO
Allegro moderato

Ex.3.28: main theme of finale (bb. 1-10)

Although a small detail, the similarity of dynamic hints at the higher proportion of quiet passages in the movement compared to earlier movements, in particular the first. When assertive passages do occur, such as in the central part of the B and C sections, they are

framed by passages of a passive character.⁶⁹ This pattern helps to break down each section of the rondo-sonata structure into a smaller **aba'** design, as in the second movement.⁷⁰

Different from the rondo slow movements of this and other sonatas, however, is the way the main theme of the finale is affected by neighbouring sections. While the rhythmic energy of the contrasting sections still spills into the refrains, the influence is not to disturb, as in the second movement, but to heighten the grace and introspection of the main theme each time it reappears. The first reappearance is marked 'con delicatezza', the second and final one *pp* and 'leggiermente':

RONDO
Allegro moderato

con delicatezza

79

⁶⁹ There is a brief respite in the stormy middle part of the C section, where Schubert inserts a quiet F-major passage. This, however, lasts for less than five bars (bb. 126-131).

⁷⁰ A similar ternary system is used by Krause to detail changes between dynamics and major/minor modality; this is only applied to the C section, however. For fuller discussion, see Chapter 1, p.24. Original source: Krause, *Die Klaviersonaten*, pp.204-5.



Ex3.28a: head of the main theme at the beginning of A, A', A''

From an examination of other features of the opening theme, it is possible to offer a comparison with the corresponding one of the scherzo, and, in turn, suggest further displacement of the heroic. As contrasted themes that share specific features (extended anacrusis, dotted rhythm, longer repeat notes), the opening of the scherzo and finale form a pair of expressive oppositions. Since the finale theme is comparatively introspective and arrives later in the work, it might be said to have displaced the heroic theme of the preceding movement.

Another new context is the one and a half bar introduction to the finale theme. For Leonard Ratner this is understood as 'a curtain', and is of particular significance in creating,

a climate of sound for the tune; it draws attention to the ambience it establishes so that the tune to follow its accompaniment, to chime in, rather than to lead to the action. This curtain represents a minimal addition of sound as a controlling element, yet its trace effect, with the slight shift of declamatory emphasis that it provokes, places the rondo theme squarely in the early Romantic piano world. Curtains do not appear in the sonatas of Joseph Haydn and Wolfgang Mozart; their music sets out immediately to say something melodic. The very sound of the piano in Schubert's time, whatever it might have been, was different from that of the instruments for which Haydn and Mozart wrote. With its resonant, perhaps more "aggressive" sound, it could impart a piquant character to the strumming accompaniment, as if Schubert were imitating a mandolin.⁷¹

The observation made in the first sentence, of the theme passively joining in with the opening accompaniment, helps in the context of the opening of the sonata to underline difference; indeed as the introduction forms an opposition to the beginning of the first movement where a strong downbeat was articulated, further displacement of the heroic is

⁷¹ Leonard Ratner, *Romantic music: sound and syntax* (New York: Schirmer, 1992), p.39.

suggested.

For Alfred Einstein the main theme of the Rondo is derived from an *Ecossaise*, no.6 from a set of 8 (D977) quoted below as Ex.3.28b.⁷² Despite the high Deutsch number, the dances were probably written in the same year as the sonata, 1825. Given the lack of unambiguous evidence which confirms the date of the *Ecossaise*, however, any influence claimed for the work must be treated cautiously. The following comparison will reveal both differences and similarities: while the former will suggest that the *Ecossaise* is not a specific model, any similarities will at least convey that the finale is inflected with ecossaise-like features.

The image displays two musical excerpts. The top excerpt, labeled 'Nº 6', is an *Ecossaise* in 3/4 time, marked *p* and *cresc.* leading to *f*. The bottom excerpt, labeled 'RONDO', is in 3/4 time, marked 'Allegro moderato' and *p*, with a 'simile' marking. Both excerpts show piano and bass staves with treble clefs.

Ex3.28c: *Ecossaise* (D977, no.6) cf. to main theme of finale

⁷² Alfred Einstein, *Schubert* (London, 1951), p.282.

Both examples share the same key and time signature, and have a similar rhythmic structure and accompaniment. The accompaniments for the first eight bars of the *Ecosaise* and most of the antecedent of the finale theme are governed by simple tonic and dominant alternations in the treble clef. The melodic range of the *Ecosaise* and the opening nine bars of the finale is also very close. In other respects, however, the two differ. The brief circle of fifths which leads to E-minor harmony in the *Ecosaise* (bb. 9-12) has no equivalent in the finale. Also, the expressive shape of the last six bars of the former is not shared by the sonata; indeed, the dynamic and melodic contour that peaks with an E in b. 14 to move down the scale to a tonic close fits uneasily with what has gone on before.⁷³ In the equivalent part of the finale (bb. 8-10), although a new rhythm is introduced in the upper part just before the tonic close, this complements the undulating shape of the previous melodic contour. As part of a sequence, these bars also bring the consequent to a more satisfying and elegant close than in the *Ecosaise*. Examining the melodies of both examples, it is also hard to find a close relationship, even where the harmonies are virtually the same.

Despite these differences, the opening of the finale is in many ways close to a conventional *ecossaise*. Indeed, the rhythmic repetition and regularity conveyed by the accented crotchets in the bass and in the melody, the simple quadruple time, and the simple harmony and normative phrase structure clearly evoke a dance of the early nineteenth century.

⁷³ To the present writer's ear, the peak on E with dominant seventh harmony underneath also does not entirely convince. Such a heightened dissonance, though brief, has not appeared before; on only two earlier occasions (bb. 2 and 13) has Schubert used a passing dissonance. Within this context, the E at b. 14, together with the melodic and dynamic shape, jars with the rest of the *Ecosaise*.

Connections to the first movement

In the outer parts of the later C section, Schubert draws upon material from his first movement and places it in a different expressive context. This material is derived from the repetitive quaver rhythms that characterised motif *a* of the first movement. The rhythms are sustained throughout, in both melodic and inner parts. With a *pp* dynamic and a slower tempo ('un poco più lento'), a more withdrawn intimate world from the beginning of the first movement is suggested in the outer parts:

The musical score for Ex. 3.29 shows the opening of section C. It is written for piano in G major, 3/4 time. The tempo is marked 'un poco più lento' and the dynamic is 'pp'. The score consists of two systems. The first system starts at measure 104 and ends at measure 107. The second system starts at measure 107 and ends at measure 110. The right hand features a melodic line with a quaver rhythm, while the left hand provides a steady accompaniment of eighth notes.

Ex.3.29: opening of C

Further connection to earlier movements can be found in the central parts of the main sections where Schubert treats his material contrapuntally. In the middle part of the A section (bb. 10-18, Ex.3.31 below), the swapping of material between the hands recalls the reprise of the scherzo and the development of the first movement. Each example exploits an inverted counterpoint texture, one that is never treated in a strict literal way. The example in the development of the first movement in B minor and C-sharp minor (the former quoted again below) shows inversion between motif *a* and the triplet rhythm. With motif *a* not being given to the left hand in its entirety (the first and last chord is

placed in the upper part), the inversion in both instances is not divided equally. In the counterstatement in the reprise of the scherzo there is not only a reversal of parts from the original appearance, but the melody (placed in the bass) is also inverted and the bass-line (in the upper part) is thickened with chords.

(Ex.3.7a, B-minor passage of first sequential progression of D850/I, bb. 125-9)

Ex.3.30: contrapuntal treatment of part of answering phrase in scherzo (bb. 8-15 cf. to version in reprise)

Ex.3.31: middle part of A (bb. 10-8)

The inverted counterpoint in the central part of the A sections of the finale is removed on an expressive level from those in the scherzo and first movement, however. Cast in a slower movement the triplets in the first A section (Ex.3.31 above) maintain the graceful undulating shape of those introduced at bars 8-9, and cast in a *p* dynamic, contrast with the triplets in the contrapuntal passages from earlier movements (cited above). Again an inversion of material is not literal, as the triplets in the left hand are subverted into an accompanimental role near the end of the phrase (bb. 17-8) having initially been more melodic in character (bb.14-6).

Two other examples, in the central parts of the B and C section, recall more explicitly the robust character of the counterpoint passages in the development of the first movement and the reprise of the scherzo. With running semiquavers and heavily accented octaves, the first example (Ex.3.32 below) clearly evokes the earlier passage, and lasting from bars 50-9 is one of the longer moments of counterpoint in the sonata. For Brian Newbould such a passage ‘calls to mind the abrasive linear conflicts of third-period Beethoven’.⁷⁴

Ex.3.33: part of outer section of B (bb. 50-9); D850/IV

⁷⁴ Newbould, *Schubert*, p.327.

A similar robust quality (although without the same degree of tension) can be found throughout most of the central part of the C section. Here the counterpoint is not sustained as long as before, with imitation rather than inversion of parts informing most of the passages (bb.128-41, Ex.3.34 below). The abruptness of tonal juxtaposition, however, recalls contrapuntal passages from earlier movements; in particular, the switch from B minor to G minor in one bar (b.122 and b.136) and D minor to F-sharp minor in two bars (bb. 139-141) is comparative to the one from B minor (bb.125-9) to C-sharp minor (bb. 133-7) in the first sequential progression in the development of the first movement.

The image shows a musical score for piano, measures 128-141. The score is in 2/4 time and features complex counterpoint with frequent tonal shifts. Dynamics include *f*, *ff*, and *p*. The key signature changes from B minor to G minor and then to F-sharp minor. The score is presented in a single system with five systems of music, each with a treble and bass clef staff.

Ex.3.34: central part of C section (bb. 128-141)

The energetic counterpoint of ‘developmental’ sections throughout the sonata reveals not only a liking for such passages but also provides a means to unify the work. By the finale these passages are framed by music of a more withdrawn character, a placement that suggests the heroic is contained as a vivid memory, as something less threatening to an introspective state.

Final reprise of A and coda: liquidation of the heroic

Before the final reappearance of the A section, Schubert recalls another heroic gesture from the first movement. Following the closing episode of the C section, Schubert inserts a passage of dominant prolongation for only the second time in the sonata. The passage (bb. 165-171, Ex.3.35 below) begins similarly to the one in the first movement: with a pianissimo and a rise in register and volume. After five bars, however, a piano is inserted and the registral rise stalls on the dominant note and its neighbours. The effect of this dynamic reversal and relatively static motion suggests not only negation of the expressive build-up just before, but of the dominant prolongation of the first movement as well.

Ex.3.35: Dominant prolongation for final reprise of A (bb. 165-71)

(Ex.3.7: dominant prolongation for recapitulation of first mvt, bb. 152-62)

With the return of the main theme pianissimo in the finale, further distance from the assertive return of the main theme in the recapitulation of the first movement is suggested. Here on an expressive level is an antithesis of the strong structural downbeat found in the recapitulations of Beethoven's heroic works and in the first movement of this sonata:

(Part of Ex3.28a: head of main theme at opening of A'')

In the coda there is further withdrawal into introspection. Although the tonic emphasis and registral rise recollect the coda of the first movement, the reduced tempo ('un poco più lento') and *ppp* dynamic suggests that the previous coda has now been replaced by an

expressive opposition. Together with the lack of a sustained linear narrative in the first movement, the coda in the finale could be said to further displace the heroic gestures of the first. The final gestures of each coda, where the head of each theme is quoted, also form a pair of expressive oppositions that encapsulate the interpretative trajectory of the work. From the *fff* end of the first movement where motif *a* was augmented to the end of the sonata where the head of the finale theme is sounded *ppp*, the heroic has finally been liquidated.

The musical score for the coda (bb. 202-211) is presented in three systems. The first system (bb. 202-204) is marked '(un poco più lento)' and 'ppp'. The second system (bb. 205-207) is marked 'dimin.'. The third system (bb. 208-211) is marked 'ppp'. The score features various musical notations including slurs, ties, and dynamic markings.

Ex.3.36: coda (bb. 202-211)

Conclusion

The outcome reached in the finale's coda and the hierarchic shift between expressive opposition has been mostly traced within a ternary structure. In the second and last movement the ternary division was applied to each main section; in the scherzo and trio, to the whole movement:

slow mvt.	A	B	A'	B'	A''	+coda
	a b a'	a b a'	a b a'	a b a'	a b	
	passive varied passive	assertive passive assertive	varied	assertive passive assertive	varied	introspective
Scherzo.	A	B	A'	+coda		
	Main theme. assertive	Second theme. passive	Main theme. passive			
	Counterstatement. passive		Counterstatement. assertive			introspective
Trio.	A	B	A'			
	passive	assertive	passive			
Finale.	A	B (fast surface rhythm)	A'	C (un poco più lento)	A''	+coda
	a b a'	a b a'	a b a'	a b a'	a b a'	
	passive sustained	passive passive assertive passive	passive Sus passive	passive mostly passive	passive	intro-
	quicker rhythms		quicker rhythms	assertive		spective

Fig,i

Earlier in the chapter, discussion of each movement naturally gave a fuller and more nuanced account of the expressive form than the above table. Throughout most of the second movement, B influenced the returns of A, disturbing its original homophonic texture and quiet dynamics. This influence was only calmed in the coda, the turning point in the interpretative trajectory. The a' part of B' was also rewritten from the original section so that the assertive passages were prolonged to reach a peak in C major (Ex.3.25). The second movement, therefore, represented a shifting hierarchic change in expression.

In the following scherzo the original expressive context of the main theme and answering phrase was reversed with the return of A. Although the middle part was dominated by a gentle dance theme, this was framed by dramatic passages. The finale

differed from the rondo slow movement with the B and C sections heightening, rather than disturbing, the original characteristics of A on its subsequent returns. The expressive trajectory in this movement was therefore moving in a clear direction. By the time of the coda, as the sonata was winding down to a hushed close, the tension between assertive and passive passages were further dissolved.

Opposition between thematic, structural and tonal/harmonic links has also helped define an interpretative trajectory for D850, and has suggested means by which the heroic might be displaced in later movements. Tracing connections between and within movements have been important too for claiming a degree of unity for the work.

Robert Schumann felt ambivalent about the third and fourth movements: for him, 'the last movement hardly fits into the whole, and is a bit comical'.⁷⁵ Hans Gál, on the other hand, does not see the finale or the third movement as compositionally inferior to the first; on the contrary, he celebrates their vernacular qualities:

a scherzo full of the delicious freshness of local colour, and not without a touch of tipsiness; and the much maligned finale, which crowns all... Schubert's marches for piano duet have deservedly become popular; this is a march tune of the same kind, as light-hearted as soldiers in peace-time. The relaxed way in which this melody strolls along, the way the local Viennese idiom turns pensive in a quieter episode and the march tune finally dissolves in a rosy cloud of happiness, all this reflects a day of undisturbed contentment.⁷⁶

Aware perhaps that the critical reception to the finale had suffered following the use of the main theme in the operetta '*Dreimäderlhaus*', Gál seems keen to not shy away from the vernacular qualities of the work. A generation after Gál, Leon Botstein went further:

Perhaps Schubert's greatness lies in the extent to which he was unabashedly local. We seem not to object to such admission in the cases of Stephen Foster, Duke Ellington, George Gershwin, and Béla Bartók. We accept the local circumstances of cultural and society in *fin-de-siècle* Prague as crucial to

⁷⁵ William S Newman, *The Sonata Since Beethoven*, vol. 3 (North Carolina, 1969), p.214.

⁷⁶ Gál, *Franz Schubert and the Essence of Melody*, p.132.

an understanding of Kafka without sensing any sacrifice to our appreciation of his greatness.⁷⁷

For this chapter, however, the most salient feature of D850 has been the trajectory from the heroic topic to a passive and intimate sphere. The self-consciousness and distance with which Beethoven manipulates the sonata forms he inherited, for Scott Burnham the origin of the 'telling presence', can also be applied to Schubert. In D850 the sense of 'self' is no less compelling for distancing itself from the heroic.

⁷⁷ Leon Botstein, 'Realism Transformed: Franz Schubert and Vienna', The Cambridge Companion to Schubert, ed. C H Gibbs (Cambridge, 1997), p.20.

Chapter 4

The A-minor Sonata (D845): constructing a tragic interpretation from registral opposition and from 'Todtengräbers Heimwehe' (D842)

Introduction

For Robert Hatten when the outer movements of a sonata are of the same expressive topic, this particular topic 'frames and governs' the interpretation of the work.¹ Applying Hatten's principle to the A-minor Sonata (D845) brings attention to the predominantly tragic character of the outer movements and helps to sustain the tragic reputation of the work. The movements in between are non-tragic: the second movement and trio are characterised by the pastoral and transcendent topics, and these and the tragic are parodied in the scherzo.

For the first movement a tragic interpretation will be shaped by (1) characteristics of the *ombra* and archaic style,² (2) a motivic link to the song 'Todtengräbers Heimwehe' (D842), and (3) patterns of registral ascent and descent. The presence of the *ombra* and archaic style is analogous to dramatic tragedy that traditionally 'deals with characters from the higher classes with the highest (serious, elevated) verse.'³ The associations of the *ombra* style with death and the macabre also complement a motivic connection to 'Todtengräbers Heimwehe' ('The Gravedigger's Homesickness'), a song contemporary

¹ Robert S. Hatten, Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation (Indiana, 1994), pp.91-2.

² Although some of these characteristics are also indicative of the *fantasia* and *Sturm und Drang* styles, neither would seem appropriate since the music is neither improvisatory nor fast, but a first movement of a sonata in a *moderato* tempo. The identification of *ombra* characteristics has been supported by studies of the style by Clive McClelland, 'Death and the Composer: The Context of Schubert's Supernatural Lieder', Schubert the progressive: history, performance practice, analysis, ed. Brian Newbould (Ashgate, 2003), pp. 21-36; Wye J Allanbrook, Rhythmic gesture in Mozart (Chicago, 1983) pp. 292-318; Brigitte Moyer, 'Ombra and Fantasia in Late Eighteenth-Century Theory and Practice' in, Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honour of Leonard G Ratner, eds. W J Allanbrook, J M Levy and W P Mahrt (New York, 1992), pp. 282-306. For a more detailed critique of these sources and a fuller explanation for choosing to identify *ombra* over other styles, see Chapter 1, pp. 35-9.

³ Hatten, Musical Meaning in Beethoven, p.77.

to the sonata.⁴ In the song, the motif is used lines 3 and 6 of the third verse:

<p><i>'Von allen verlassen Dem Tod nur verwandt Verweil' ich am Rande- Das Kreuz in der Hand, Und starre mit sehndem Blick, Hinab, ins tiefe Grab!-</i></p>	<p>By all forsaken, kin to death alone, I tarry on the brink, Cross in hand, Staring longingly down Into the deep grave!'⁵</p>
---	---

Noch langsamer.

Von
allen verlassen, dem Tod nur verwandt, ver-weil' ich am Rande, das Kreuz in der Hand,
und starre mit seh-nendem Blick hin - ab in's tie - fe, in's tie-fe Grab!

Ex.4.i: third verse of 'Todtengräbers Heimweh' (bb. 41-8)

⁴ The title is that used in the first edition of the song (Volume 24 of the *Nachlass* published in 1833), the poem, the Deutsch catalogue and the *Neue Schubert Ausgabe*. Only the Peters Edition gives 'Heimweh', which unfortunately has become widely used.

⁵ Translated by Richard Wigmore, *Schubert: The Complete Song Texts* (Gollancz, London, 1988).



Ex.4.ii: first appearance of *Todtengräbers Heimwehe* motif in first mvt. of D845 (bb. 81-2)⁶

Compared to other instrumental works that borrow material from a song, the use of the motif from '*Todtengräbers Heimwehe*' is unusual: it does not appear as a clear quotation until near the end of the exposition (bars 81-2) and is alluded to in the opening motifs (*a* and *b*). By the coda it dominates and its relationship to motif *b* becomes closer. This shifting relationship between material opens up potential expressive meaning for a movement whose motifs are often described as variants of each other.⁷

In keeping with the sentiment of longing expressed in verse 3 of '*Todtengräbers Heimwehe*', Hatten's description of a registral ascent as 'yearning' and a descent as 'resignation' will be used throughout the movement.⁸ For each registral ascent and descent, characteristic of the *ombra* and archaic style and appearance of the *Todtengräbers Heimwehe* motif, the musical context will also be examined. This context will include tonality/harmony, pitch, dynamic and articulation, and will help nuance the interpretation at particular moments in the movement.

Drawing on the associations of the three groups of features with the supernatural, death, yearning and resignation, a fuller hermeneutic reading will be offered for the coda

⁶ In an *alla breve moderato* movement, the crotchets sound at virtually the same speed as the quavers in the '*Unruhige Bewegung, doch nicht schnell*' indication of the song.

⁷ Alfred Brendel, *Musical Thoughts and Afterthoughts* (Robson Books, 1976), pp.59-60; Charles Fisk, *Returning cycles: contexts for interpretation of Schubert's impromptus and last sonatas* (California, 2001), p.297; Walther Dürr, '*Wer vermag nach Beethoven noch etwas zu machen ?*', in: *Musik-Konzepte*, Sonderbd., p. 20.

⁸ Hatten provides further description: 'Yearning might correlate with "upward" motion, since upward motions are iconic with "reaching", and "reaching" relates to yearning through metaphors such as reaching for a higher existence.' Hatten, *Musical Meaning in Beethoven*, p. 56.

and contextualised with the different ending of '*Todtengräbers Heimwehe*'. This reading will claim a significance for the final phrase of the movement, a significance that will prove to be the interpretative crux of the sonata.

Analysis of register and comparison with '*Todtengräbers Heimwehe*' will be used again in the second movement and trio. With the presence of pastoral characteristics and a similar ending to the song, however, it will be possible to suggest a different interpretation, one that suggests an evocation of transcendence. With a different registral outcome for each movement, it will be possible to nuance this interpretation.

Roughly halfway through both movements there is also a return to a tragic sphere: in variation 3 of the second movement this is suggested by the minor tonality and older stylistic features; and in the middle section of the trio, a downwards sequence, minor harmony, and a reversal of a yearning gesture. A similar pattern informs the scherzo: the outer sections are comic and the middle one is subdued dynamically and with the minor mode. This pattern is reversed in the finale, so that the middle section is positive (marking the last time the pastoral topic is used) and the surrounding sections are negative. The last movement therefore reasserts the tragic as the primary topic of the work, and the coda re-emphasises the interpretation of the end of the first movement through shared characteristics.

movement	expressive topic
first	tragic
second	pastoral to transcendence (variation 3: tragic)
scherzo	comic (B: tragic)
trio	pastoral to transcendence (B: tragic)
finale	tragic (C: pastoral).

fig.i

The First Movement (moderato, A minor, *alla breve*)

The exposition (bars 1-90)

The opening group (bars 1-10)

From analysis of motifs *a* and *b* at the beginning of the work, it is already possible to claim a tragic interpretation. With motif *a*, the octave unison texture in the minor mode is one commonly associated with death, as demonstrated by the above quote from 'Todtengräbers Heimwehe'. Its trajectory also has tragic connotations, as there is an attempt to ascend to an E that then drops down the triad to reach the E an octave below. This rise and fall could be interpreted more specifically as a gesture of yearning then resignation, and anticipates in miniature the trajectory of the codas of the first and fourth movements.

The image shows a musical score for the first movement, 'Moderato', in A minor, 2/4 time. The score is for two staves, treble and bass. The tempo is marked 'Moderato'. The dynamics are marked 'pp' (pianissimo) and '>' (accent). The melody in the treble clef starts on G4, rises to A4, and then falls to G3. The bass line provides harmonic support with a dominant pedal point on G.

Ex.4.1: motif *a* (bb. 1-2)

Motif *b* has a more restricted range of register in its upper part and provides contrast of dynamic and texture. The emphasis of the dominant degree in motif *a* is here carried through to the harmony, as tonic and dominant chords are alternated over a repeated dominant pedal. An augmented ('Italian') sixth breaks up the alternations at the end of b. 3, only to resolve to the dominant in the following bar. Normally such dominant emphasis at the beginning of a sonata conveys a sense of forward motion. However despite the presence of an *mf* dynamic, potential drive is negated by the 'un poco ritard'.

This tempo modification together with the *portato* articulation colours the processional feel of motif *b* (derived from the homophonic chordal texture, alternate harmony and crotchet rhythm) with a fatigued quality.



Ex.4.2: motif *b* (bb. 2-4)

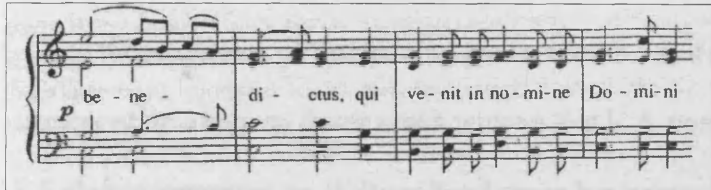
From a horizontal perspective, the voice-leading of the motif's chords are also revealing. The bass-line descends stepwise from C to E, from tonic to dominant harmony. Part of this descent includes a tetrachord A-G-sharp-F-E, a progression derived from the Baroque which Schubert used in both songs and instrumental works. In The Schubert Song Companion John Reed has draw attention to the progression as a motif of death and Sehnsucht,⁹ and in motif *b* these two concepts are suggested from not only the bass-line but also the outwards motion of the outer parts and the registral ('yearning') leap to an A in the upper part at bar 3.

As an archaic or 'antique topic',¹⁰ the tetrachord also has ecclesiastical associations. Brian Newbould has taken these associations further to compare the texture and the top

⁹ This is applied to the falling tetrachord in bars 23-30 from 'Der Wanderer' (D489), used later by the composer in 'The Wanderer' Fantasy for piano (D760). The Schubert Song Companion (Manchester 1985), p.138. For discussion of the use of the tetrachord or chromatic fourth in Schubert's instrumental music, see Peter Williams, The Chromatic Fourth During Four Centuries of Music (Oxford, 1997), pp.172-5; David Beach, 'Harmony and Linear Progression in Schubert's Music', Journal of Music Theory, vol. 38, no. 1 (Spring 2004), pp.1-20; Carl Dahlhaus, 'Sonata Form in Schubert: The First Movement of the G-Major Quartet, op.161 (D887)', trans. T Reinhard, Schubert: Critical and Analytical Studies, ed. Walther Frisch (Nebraska, 1986), pp. 1-12.

¹⁰ Allanbrook's term, Rhythmic Gesture in Mozart, p.300.

part of motif *b* ('a near monotone') to the *Benedictus* alternative of a Mass in C (D452).¹¹ Even without Newbould's comparison, though, motif *b* as a chordal response to motif *a* (itself more declamatory than vocal in style)¹² is suggestive of a 'learned' ecclesiastic style of writing.



Ex.4.3: Consequent phrase from opening of revised *Benedictus* (Mass in C, D452)

Before discussion moves on from the opening two motifs, further significance can be revealed. In both motifs there is an anticipation of the '*Todtengräbers Heimwehe*' motif. The head of motif *a*, with descending stepwise movement and the mordent 'shudder'¹³ on the downbeat, is virtually identical to the example in the song and they share the same texture of octave unison. In motif *b* the reference is less explicit, embedded in the right hand chords. Here in the voice-leading of the lowest part, the song motif a tone lower than its later presentation is hidden:



¹¹ This alternative version was written in 1828, some twelve years after the original Mass, and the shared tonality of A minor and the sonata form of the new *Benedictus* could even suggest, perhaps, that D845 was an influence. Brian Newbould, *Schubert: The Music and the Man* (Gollancz, 1997), p.138.

¹² With the presence of a mordent, a dotted crotchet and a pair of semiquavers, and its octave range, motif *a* is harder to sing than the similar motif *a* of D840.

¹³ Graham Johnson's description from his booklet notes on '*Todtengräbers Heimwehe*', *Hyperion Schubert Edition 35*, CDJ33035 (2000), p.77.



Ex.4.4: Motifs *a* and *b* (above) cf. to later appearance (below) of *Todtengräbers Heimwehe* motif.

For the remainder of the opening group, motifs *a* and *b* are repeated. Motif *a* is sequenced up a step so that it peaks with an F at b. 5, corresponding to the E of b. 1. This E-F shift is important, as William Kinderman has pointed out, for the thematic material, tonal structure and harmony of the movement.¹⁴ As this peak yields to reach again the dominant degree, the repeat of motif *a* could be said to embody a more heightened feeling of Sehnsucht and resignation than its original version.



Ex.4.5: repeat of motif *a* (bb. 5-6)

With greater transformation of motif *b* on its repeat, this interpretation can be taken further. Now the ‘un poco ritard’ takes effect over an expanded phrase length, twice as long as before (bb. 6-10, Ex.4.6 below). This is sustained until the transition to provide further tension with the powerful dominant harmony. From the registral confinement of the previous bars, space is opened up with contrary motion between the descending bass-line and the rising upper chords. The alternate chords, now in dominant/tonic order,

¹⁴ William Kindermann, ‘Schubert’s piano music: probing the human condition’, *The Cambridge Companion to Schubert*, ed. C H Gibbs (Cambridge, 1997), p.158. Restricted to a general survey of the sonatas, Kinderman only draws specific attention to the E-F shift in the coda of the first movement. Other parts include the following transition, the accompaniment of the second group, the beginning of the development and the head of the main themes of the second and third movements.

illustrate Hatten's idea that chord repetition can colour a tragic work with a degree of obsessiveness, and this quality becomes more acute as the chord alternations become pervasive in the movement.¹⁵ With the modal shift to the dominant minor at the end of b. 7, the tragic is also momentarily heightened.

The climax of the opening group occurs in the repeat of motif *b* just before the half-close, as an upper-part decoration of the 'Italian' sixth breaks out from the homophonic texture. Such a moment might be understood as a rhetorical gesture of melodic anguish. The hands then fall in parallel motion onto dominant harmony, the right hand succumbing to the descending movement of the left.

The image shows a musical score for a piano piece. It consists of two staves: a treble clef staff for the right hand and a bass clef staff for the left hand. The music is in 4/4 time. The right hand has a melodic line with a trill-like figure in bar 8, and the left hand has a steady accompaniment. The tempo marking 'poco ritard.' is present at the beginning, and 'a tempo' is marked at the end of the phrase. A dynamic marking of 'mf' is also visible.

Ex.4.6: repeat of motif *b* (bb. 6-10)

As with motif *a*, the trajectory of the right hand here mirrors the coda. With the registral collapse to the dominant pedal further parallels can be drawn with the end of the movement, as the final phrase is approached from a similar distance. The above analysis of bars 1-10 takes the traditional view that the musical and aesthetic essence of a sonata is distilled in its opening, and adapts it to the tragic interpretation claimed for this sonata.

¹⁵ Hatten, *Musical Meaning in Beethoven*, p.15.

The transition between the first group and the return of the tonic (bars 10-25)

For the first ten bars an intensifying of yearning and resignation has been suggested; in the following transition, it is possible to argue that this process is even more heightened. By eliding into the end of the group at b. 10 the transition undercuts the climax (of the bar before) and the half-close. By the second beat the undercutting is continued, with not only a registral collapse but also a thinning of texture and change to a piano dynamic. From such change, Schubert then builds dynamically, texturally and registrally, and quickens the rhythm and sustains a repetitive dominant pedal. The first phrase is repeated once in its entirety (bb. 14-8 of Ex.4.7), then again for only half its length (bb. 18-9); with each subsequent repetition, the phrase begins in a higher register and thicker texture than before. The expressive build-up is communicated, therefore, on both a local level (within the phrase), as well as on a broader level (across most of the transition).

Ex.4.7: bars 10-19

Complementing this trajectory is the E-F motif, sounded simultaneously so that the F forms a dissonant with the dominant pedal below. The F does not resolve with a change of harmony, though, but maintains its dissonant status until the half-close at the end of the phrases (bars 14 and 18 of Ex.4.7 above). Just before the half-close there is a yearning gesture, as the right hand leaps up an augmented fourth to a B. Forming the apex of the phrases, this is heightened with a forte that is then immediately undercut by a piano and a registral descent across the bar-line to dominant harmony. As the dominant is also effected by the dynamic reversal, its capacity to project has been once again impeded by a particular expressive context. This only provides, however, a momentary brake on the ongoing build-up of the transition.

Breaking off the first phrase midway through its second repetition, the expressive peak of the transition begins (Ex.4.8 below). Here at b. 20 there is a leap up a fourth in the right hand, and below, in parallel motion, a shift from the E (dominant pedal) to F (the dominant pedal of the neapolitan). In the following passage there is an alternation of the upper chords in different registers. Together with heavily accented syncopation, the powerful expressive context of the chords is belied by the low hierarchic status of the neapolitan. In b. 24 although the expressive context remains, some of the tension with the neapolitan is dissipated with an enharmonic change from a previous V7/II chord to an augmented sixth. This leads to further resolution with a return to E in the bass and a cadential progression that reasserts the tonic. In the cadence the dominant is put into a more goal-directed context than before, with no attempts made to diminish its power.

Ex.4.8: bars 19-26

The expressive build-up to the neapolitan passage has involved a prolonged yearning gesture, the registral rise detailed in Ex.4.7 and 4.8. The neapolitan passage from bars 20-3 has, however, be shown to represent a hollow triumph, an occasion where a positive outcome (the powerful emphasis of the major mode) is undermined by the relative unimportance of the neapolitan tonicisation. With the inwards motion to the cadential progression and lapsing down in both hands at the moment of tonic return, a tragic outcome has befallen the first half of the transition. As the cadence and registral drop here (Ex. 4.9) prefigures those leading into the last phrase of the coda (Ex.4.10), such an outcome is prophetic of the one interpreted for the end of the movement.

Ex.4.9: registral collapse to local climax of transition (bb. 24-6)



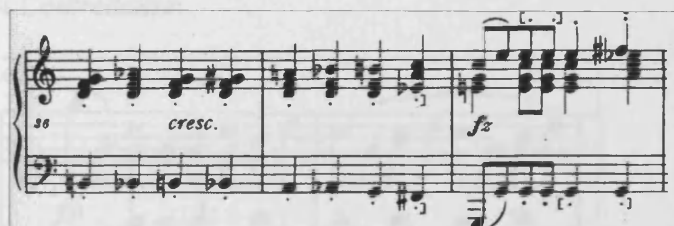
Ex.4.10: registrational collapse to final phrase of mvt. (bb. 301-3)

Local climax and transition to second group (bars 26-39)

With the return of the tonic a new rhythmic motif (| ♪♪♪) is introduced, one which unites together, through contrary motion, a yearning and a yielding motion. This partly reconciles the trajectory of the preceding sixteen bars and tempers the tragic connotations of the minor mode. Coupled with the | ♪♪♪ motif are the alternate dominant/tonic chords of motif *b*, their obsessiveness veiled, though not entirely removed, with a piano dynamic. These two motifs are then used in the remainder of the transition and are sustained through to the second subject. This pervasiveness might suggest too, with the repetitive content of the motifs, an obsessiveness. This quality, however, loses its darker connotations from b. 30 with the modulation to the relative major (cadentially confirmed later with the arrival of the second subject).

Ex.4.11: bars 26-35

From bars 36 to the beginning of bar 38, a non-tragic interpretation can also be made for the chromatic contrary motion of an enlarged motif *b*. In the original motif a descending tetrachord was revealed from the bass-line that moved from tonic to dominant harmony (see Ex.4.2). Although a descending bass-line is retained here in the transition, the chromatic fourth of the lament progression is only, strictly speaking, in the upper part, since it moves from the dominant to the tonic. Placed in the upper part at b. 36 and moving upwards to reach the relative major at b. 38, the progression forms an expressive opposition to its traditional context.



Ex.4.12: bars 36-8

The powerful and prolonged cadential progression that follows accentuates the positive evolvment of the transition. Here the upper part continues to rise and there is an upwards leap in the bass (b. 39). With the lack of registral collapse at the beginning of the second subject and the resolution to C major, contrast is provided with the previous cadential progression which descended into A minor (Ex.4.9 above). From about halfway in the transition to the second subject, it is therefore possible to trace a progression from a negative to a positive state.



Ex.4.13: bars 38-40

The second group (bars 40-60)

Further distance from a tragic condition is suggested by the expressive context and the treatment of the $\text{♩} \text{♪} \text{♪} \text{♪} \text{♪}$ motif and motif b at the beginning of the second subject. Here the motifs evoke a dance. The $\text{♩} \text{♪} \text{♪} \text{♪} \text{♪}$ motif is dynamically undercut with an *fp* indication to contrast with its *martellato* character in the transition, and its rhythm is subsumed into a perpetual motion of quavers. Underneath the alternate tonic/dominant chords are exploited as an accompaniment, with a rhythm characteristic of an *Ecossaise* or *Contredanse*:



Ex.4.14: bars 40-1

In the following bars, the hands move outwards in an extravagant display of yearning. This movement culminates in the hands being separated by four octaves. Such is the quickness with which registral space is opened up here (bb. 42-3, Ex.4.15) that the yearning identity could be said to threaten to lose control. With a registral collapse and a return to the minor mode afterwards, an uneasy compromise seems to have been reached. When the yearning gesture returns in the sequenced repeat of the second subject, its outward motion is taken further so that the separation between the hands is over four octaves (bb. 46-8, Ex. 4.15). The greater energy here seems to affect the phrase structure, as an added bar follows (in the tonic A minor) to delay the return of the C-major second subject:

Ex. 4.15: bars 42-51.

In the modified repeat of the above antecedent and consequent, the yearning gesture is divided between the hands so that a rising trajectory can be traced over two bars, from the bass through to the upper part played by the right hand. This affects the harmony at the end of the repeated antecedent to create a prolongation of V/ii for a whole bar (b. 54), twice as long as before (see second half of b. 44, Ex.4.15). In turn, this prolongation emphasises the supertonic minor (which arrives in the following bar). In terms of distance, the trajectory of bars 53-4 compared to bars 43-4 (Ex.4.15) suggests an intensification of yearning:

Ex.4.16: bars 53-4

The final display of yearning in the second group is brought to an abrupt end with a registral collapse in the right hand and a syncopated exchange with the descending bass-line (b. 59). The diminished seventh harmony here has tragic implications, hinting at a modulation to C minor. Following a bar's rest, a closer move to this tonality is made with the ii7c-V7 progression (b. 61). After further silence, there is resolution to C minor and the return of the opening group (b. 64).

The image displays two musical staves. The upper staff shows a piano score for the right hand, starting with a fortissimo (ff) dynamic. It features a diminished seventh chord in bar 59, followed by a bar rest in bar 60. The lower staff shows the left hand with a descending bass line. The notation includes various rhythmic values and articulation marks.

Ex.4.17: bars 59-beginning of bar 65.

The return of a minor tonality further undermines with the earlier D-minor phrases (bb. 46-7 of Ex.4.15, and bars 55-7, not quoted) and added bar in A minor (b. 49 of Ex.4.15), the C-major key of the second subject and suggest reversion to a tragic state. From the end of the second group to the return of the opening, this reversion is tinged with *ombra* inflections: the abrupt stop on the diminished seventh at b. 59, the unexpected bar of silence that follows, and the dynamic contrast. As an event that is unexpected (usually at this point in the exposition, Schubert is going towards the dominant), the return of the opening motifs in C minor also evokes the spirit of *ombra*. Further interpretation might suggest that Ex. 4.17 conveys a scene of hushed awe, where a familiar character reappears as a spectral vision.

C-minor return of opening group (bars 63-75)

Views of tonality before and during Schubert's time can support the interpretation of specific details of this section. In her study of key theorists of the eighteenth and early nineteenth century, Rita Steblin draws attention to the widely held view that an increase in flats signifies an increase in sombreness.¹⁶ Flat minor keys can also be indicative of the *ombra* style as Clive McClelland's statistical analysis of the song settings of Carpani's '*In questa tomba oscura*' suggests:

Distribution of keys in settings of <i>In questa tomba oscura</i>													
Flats/sharps	6	5	4	3	2	1	0	1	2	3	4	5	6
Major	–	–	2	11	2	3	1	–	–	1	1	–	–
Minor	2	–	18	6	4	4	5	3	2	–	2	–	–

17

fig.ii

As far as C minor is concerned, by naming his fourth symphony in C minor, '*Tragische*', Schubert had already revealed a particular connotation the key held for him. The theorist Francesco Galeazzi (1758-1819) also used the epithet 'tragic' to describe C minor, and wrote of the key's potential to express 'grand, but mournful, ominous and lugubrious actions'.¹⁸ For another theorist, Christian Friedrich Schubart (1739-91), the tonality symbolises 'all languishing, longing, sighing of the love-sick soul'.¹⁹

The melodic leap to the apex of motif *b* (previously a fourth) is now extended at the end of b. 66 by a minor sixth to reach an E-flat. This heightened moment of yearning is undermined, however, by the prevailing C-minor context and the local harmonic context.

¹⁶ R Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Ann Arbor, 1993), p.103.

¹⁷ McClelland, '*Death and the Composer*', p.15. Published in 1808, Schubert might have known some of the songs of the collection, since both his teacher, Salieri, and idol, Beethoven were represented.

¹⁸ Steblin, *Key Characteristics*, pp.221-308.

¹⁹ *Ibid.*

As part of a diminished seventh, the E-flat is part of a chord with *ombra* and broader tragic connotations. In the following bar the E-flat is repeated as part of a cadential 6/4, a harmonic progression that clearly emphasises (with dynamic swell) C minor. Further emphasis is provided by the dominant pedal, now moved to the bass. Such moments where a positive gesture is made in a strongly articulated minor key embody what Robert Hatten calls 'yearning in the face of tragedy'.²⁰



Ex.4.18: bars 65-67

Later yearning gestures in the opening group return seem in response to be subdued. In the repeat of motif *b* there is no extension of register and length as originally in bars 6-10. On the contrary, the rise to the apex of the motif is from the smallest distance so far: a minor third (end of b. 70 to beginning of b. 71, below).



Ex.4.19: bars 70-71

There follows an overlapping of motif *a* with a derivative of motif *b*. Here motif *a* is displaced down an octave, and its apex G held as a suspension over a triadic descent to A flat (bb. 72-3). Breaking with the previous pattern of reaching an octave below from the apex, the triadic descent provides another instance where Schubert exploits his 5th and

²⁰ Hatten, *Musical Meaning in Beethoven*, p. 105.

flattened 6th degrees. The A-flat is then tied over into the following bar with material (chordal texture and a cadential close) derived from motif *b*.

Ex.4.20: bars 72-76

In this added phrase, the suppression of the lapsing descent of motif *a* through the tension between a simultaneously sounded 5th and-flattened 6th degree compensates for the subduing of the yearning gesture of motif *b* in Ex.4.18 (through tragic implications of harmony and key) and Ex. 4.19 (reduced leap to apex). Further positive gestures are made with the contrary motion between the outer parts of the chords (bb. 74-5), the arrival back at the apex for the cadential progression and the resolution of this progression to C major for the beginning of the closing group. With a low register, suspensions, a cadential progression as if scored for a trombone choir and the 'tierce de Picardie' (b. 77), this last phrase is also nuanced with ecclesiastic inflections. The positive gestures of the phrase are therefore coloured by a feeling of solemnity.

The closing group (bars 77-90)

Despite the modulation to C major and the return of the transition theme (the ♪♪♪♪ motif and motif *b*), a feeling of solemnity is still maintained in the closing group. This is conveyed through the low register and subdued dynamic. At bars 81-3 the *Todtengräbers Heimwehe* motif is introduced to provide immediate contrast of dynamic, modality, texture and register. Within a forte dynamic and suggestive of the A minor tonic, the motif does not temper the seriousness of tone but momentarily heightens it. The associations of the motif in the song with death, in particular a longing for death, heighten this seriousness with darker implications.

Contextualised with the approach and appearance of the motif in the song, further interpretation can be made. In the third verse of '*Todtengräbers Heimwehe*', the motif is approached sensitively with a gradual quieting of dynamic and thinning of texture, and tonally it is well prepared with five bars of dominant pedal and harmony:

The musical score shows the vocal line and piano accompaniment for the third verse of 'Todtengräbers Heimwehe'. The piano part features a dominant pedal point in the bass register, with dynamics ranging from forte (f) to piano (p). The lyrics are: 'lein, so ganz al - lein, so ganz al - lein! wer legt mich hin - ein? wer legt mich hin - ein? Von'.

Ex.4.21: decrescendo and dominant approach to third verse, bars 36-40

In contrast, the motif's first appearance in the sonata is obtrusive, disrupting the

second repeat of the transition theme with a change of modality and expressive features. Making explicit what was previously a hidden contour in the inner voice-leading of motif *b*, and strongly recalling motif *a* with its first three notes, the *Todtengräbers Heimwehe* motif suggests a different representation of death from the song. Here in bars 81-2 of D845/I the motif could be said to embody a confrontational and terrifying vision; in contrast, its appearance in the song accompanies a text where death is welcomed as a release from a life of drudgery.



(Ex.4.ii: first appearance of *Todtengräbers Heimwehe* motif, bb. 81-2)

Following a repeat of the | ♪♪♪ ♪ motif, the *Todtengräbers* quote returns as a ghostly echo, momentarily subdued. For the final phrase of the exposition (bb. 86-90), the | ♪♪♪ motif and cadence in C major are then repeated with dynamic fade. This creates an expectation of a close in the relative major, which is frustrated with a sudden insertion of a dominant/A minor chord. Here the conventional dominant-close of the exposition is treated as a gesture of intrusion. The harmony not only pulls the music back to the tonic after three cadential touchdowns in C major but also recalls the earlier tension in the group, between the transition theme (in C major) and the *Todtengräbers Heimwehe* motif (suggestive of A minor). The following bar's rest enables the surprise of the V/A minor closer to perhaps register more fully, and with the exposition repeat, the structural role of silence as a prefix to all reappearances of the opening group is maintained.

Conclusion of the exposition

From the above interpretation of the exposition, it is possible to suggest a constant shift between a positive and negative condition. For the opening group, the transition and the beginning of the second subject, this shift is relatively straightforward. In the opening group, a yearning motion is always followed by a lapsing one; with the repeat of motifs *a* and *b*, these two gestures are intensified. The transition up until the reassertion of the tonic is marked by a prolonged and cumulative expressive build-up. The peak, however, is undermined by the low hierarchic status of its harmony, the neapolitan. The lapse down and cadence in the A-minor tonic provides further distance from the build-up. For the second half of the transition, there is a shift to a positive state, culminating with the arrival of the second subject in C major.

The remainder of the exposition shows a more complex shift between positive and negative states. The second group contains exaggerated yearning gestures that have little positive effect and collapse to lead to the minor mode (the first and third to a D-minor sequence, the second to a bar in A minor and the last to a C-minor modulation). The C-minor version of the opening group is not unequivocally tragic and has yearning and lapsing gestures that are both subdued. In the added phrase at the end of the section, positive gestures are coloured with *ombra* inflections to lead to C major and the closing group. The seriousness of tone is darkened with the sudden appearance in the closing group of the *Todtengräbers Heimwehe* motif. This is expressively subdued on its return, and the music seems to head towards a close in C major. At the very end, however, this potential outcome is thwarted by a change to a V/A minor chord.

The development (bars 90-144)

The opening period (bars 90-105)

Continuity with the closing group of the exposition is ensured with the return of the *Todtengräbers Heimwehe* motif. In contrasted register and dynamic, the song motif is now presented in a series of repeated antiphonal responses to form the opening period of the development. The 'answer' is displaced up an octave with a pianissimo marking. The higher register here, an indication for Robert Hatten of transcendence, might also be interpreted as a plea for salvation, something that remains unheeded as there follows a lapse down to the original register. Linking the different registers (a portal between the earthly and spiritual world?) is the E-F motif.

The image shows a musical score for piano. At the top, there are two small diagrams labeled 'I. Dorian' and 'III. Phrygian', each showing a scale on a staff. Below these are two systems of piano accompaniment. The first system starts at bar 90 and the second at bar 96. The score features antiphonal responses between the right and left hands, with dynamics marked as *mf* and *pp*. The right hand often plays in a higher register than the left hand.

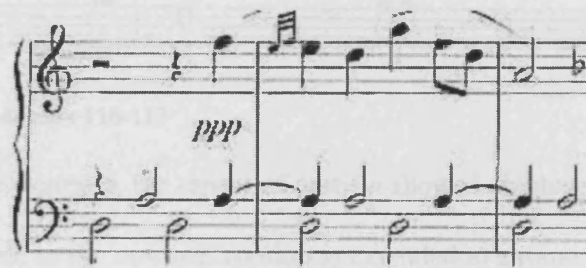
Ex.4.22: bars 90-99.

With the unharmonised texture and lack of cadence here, a sense of tonality is obscured. A closer look at each phrase reveals modal influences: for the *mf* phrase, elements of the Dorian mode can be found; for the *pp*, Phrygian. The introduction of a B-flat in b. 101, in anticipating D minor, gives the music a more secure diatonic feel.

Following a descending bass-line, ‘the trombone’ cadential progression reappears (marked by a 4-3 appoggiatura) to tonally confirm D minor and retain the ‘high’ ecclesiastic style of the opening period.

The second period (bars 105-120)

Having begun the development with diatonic obscurity, the second period opens with diatonic simplicity. Here the left hand creates a drone in fifths by gently rocking and overlapping tonic and dominant degrees of D minor. (This is varied later in the phrase with neighbouring notes of the dominant.) This simple harmonisation, together with the textural stasis and relaxing of the dotted rhythm of motif *a* (smoothed out to a crotchet and pair of quavers), creates a moment imbued with the pastoral topic. Placed in the minor mode and a *ppp* dynamic, the pastoral topic is put into a rare context of tragic introspection.²¹



Ex.4.23: bars 105-7

Rhythmic and harmonic momentum is then provided in the right hand in a broken chord/arpeggiation of diminished seventh harmony that moves in quavers. Further impetus is given to the harmonic rhythm by the fall of motif *a* to B-flat (echoed an octave lower in the left hand) in b. 111. In keeping with Kinderman’s idea that the flattened sixth

²¹ One other example is the G-sharp minor trio of D840.

affects all harmonic and tonal digression in the movement, a bass-line progression D-E-flat-E natural-F follows (bb. 112-115). As a potentially positive gesture, the chromatic rise in the bass is undermined by the accompanying harmony, strongly suggestive of F minor:

Ex.4.24: bars 110-117

In bars 114 and 116 of the above example, the repeat of motif *a* shows heightened moments of yearning and resignation, as the upwards motion is extended to a minor seventh and then falls triadically to outline the same distance. This trajectory is taken to greater extremes in the following bars (bb. 118-20) as the ascending motion rises to a minor ninth and then lapses down almost two octaves to reach an F. Here an exerted gesture of yearning is overcome by a more sustained registral collapse that culminates in cadential resolution to F minor and a new section:

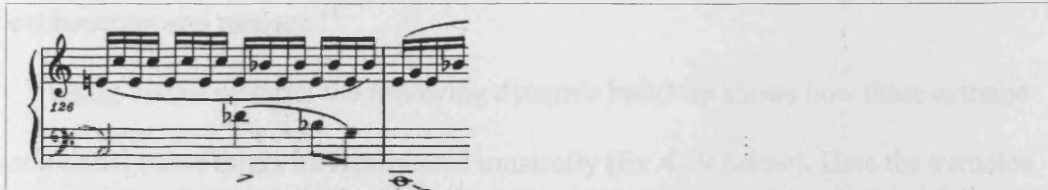
Ex.4.25: bars 118-beginning of 120

Final section of the development (bars 120-144)

The tragic tone of the first two periods of the development becomes dramatised in the final section with sustained semiquaver motion in the right hand and a wide range of dynamic and register. Underneath the semiquaver accompaniment, motif *a* is initially extended: its triadic drop is taken down a further octave and a rising F-minor scale follows (bb. 120-3). There is then a registral collapse onto the only note omitted from the scale, the-flattened sixth (the D-flat at b. 123). As an accented dissonance, this is held for two bars before resolving to the dominant. Compared to the static texture at the beginning of the second period, there is greater momentum here for motif *a*:

Ex.4.26: bars 120-126

With the fragmentation of motif *a* so that only its lapsing gesture remains, further registral displacement of D-flat-C follows. The distance between the flattened sixth and dominant is now over two octaves:



Ex.4.27: bars 126-beginning of 127

Registral space is then opened up for the right hand so that it moves upwards in broken-chord figuration (V7/F minor), only to descend in scalar step in the following bar. Underneath the dominant is held as a pedal and retained in the following F minor sequence.

Ex.4.28: bars 127-131

Reinforcing the view of the final section of the development as a dramatic, tragic scene is the *ombra* material: tremolos, repeated notes, pedals and wide leaps. The rising arpeggiations and descending scales juxtaposed in bb. 127-8 and bb. 129-130 of Ex.4.28, although *fantasia* material, are also characteristic of the *ombra* style since their restless

motion is underpinned by a strong harmonic context. For theorists before and contemporary to Schubert, the salient point of this material was its emotional affect. The restless motion of tremolos for many signified fear and, on occasion, rage.²² Similarly the contrast between rising arpeggiations and descending scales denoted anger, exclamation and menace.²³

Using *ombra* material the following dynamic build-up shows how these extreme emotional states might be represented musically (Ex.4.29 below). Here the tremolos continue unabatedly, the lapsing gesture of motif *a* is repeated in different harmonic contexts, and, for the fortissimo peak (at b. 140) and the bars just before, there is chromatic movement and wide (three octave leaps) in the bass. The harmony also complements the build-up: in the first crescendo, there is a change per bar from ϵ VI/F minor (b. 132), F-sharp minor (b. 133) to A7 (b. 134). Having reached a forte (at b. 134) and with no further dynamic indication in the following three bars, the A7 harmony is sustained. At bar 138 the dynamic build-up resumes with the second crescendo and the harmony changes to diminished seventh on A-sharp. As with the earlier crescendo there is a quickening of harmonic rhythm, culminating with V7/F minor at the fortissimo peak.

²² Moyer, *Ombra and Fantasia*, p.295.

²³ *Ibid.*, p.298

Ex.4.29: bars 132-140

Following this peak, the music winds down with augmentation in the right hand, alternating bars of silence in the bass, slower harmonic rhythm and a sustained diminuendo.

Ex.4.30: bars 141-144

Further contexts for understanding the final section of the development

As an expressive and harmonic model for this passage, James Webster has suggested the corresponding part of the first movement of Beethoven's piano sonata in F major (op.10, no.1).²⁴ He supports this view by noting that both passages have an even broken-chord movement in the right hand, a decrescendo to a long pause on a dominant, and a

²⁴ James Webster, 'Schubert's Sonata Form and Brahms's First Maturity' (1), *19th-Century Music*, vol.2, no.1 (1978), p.32.

reprise that starts in the key on the major sixth degree. A closer examination, which puts the examples into a broader structural context, reveals however more differences than similarities.



Ex.4.31: bars 115-21 of the first mvt of Beethoven's op.10, no.1

Although there is broken-chord figuration in the right hand of the Schubert example, this does not remain unchanged but becomes augmented (see Ex.4.30). Harmonically the texture is also fuller than in the Beethoven, and is derived from the expanded 'Alberti-bass' figure first encountered at the beginning of the section and sustained through the dynamic build-up (Ex.4.29). In the Beethoven example and earlier in the development, the material is essentially rhythmic; by comparison, in the Schubert, motif *a* at the beginning of the development and even later as a fragment is more melodic. Although both employ silence at the same place (at the end of the development) and dynamically fade over a similar timescale, in the Schubert, the diminuendo is carried through to the *ppp* beginning of the recapitulation. Together with the F-sharp minor return of the opening group, this creates a very different effect from the Beethoven example; indeed it is hard to think of an equivalent in the older composer's music. The return of the main theme in the tonic a little later in the Beethoven movement would suggest that its appearance in D major (cited by Webster as the key of the reprise) is a false recapitulation. In Schubert, although a recapitulation can start in a non-tonic key and be elided with development features (as with the sequences and imitative part writing of the present example), he never writes a false recapitulation. Structurally, therefore, the

examples differ: the Beethoven ends with a false recapitulation in D major; the Schubert with a recapitulation in F-sharp minor.

Although the above comparison undermines Webster's suggestion that Schubert modelled the end of the development/beginning of the reprise on bars 115-121 of the Beethoven movement, it does stimulate a closer analytical understanding of the passage. Two, more pertinent examples can be found in the corresponding part of D840/I and the setting of '*Es schwinden die Sterne, das Auge schon bricht!*' ('The stars vanish, my eyes are already grow dim') from '*Todtengräbers Heimwehe*'.

In D840/I, the passage (originally discussed as part of Ex.III in Chapter 2, pp.83-5) also shares with D845/I foreshortening, some rhythmic augmentation, textural thinning and a diminuendo:

The image displays three systems of musical notation for Schubert's D840/I. The first system is a single staff in treble clef, marked 'decresc.'. The second system consists of two staves (treble and bass clefs), marked 'p' and 'decresc.'. The third system also consists of two staves (treble and bass clefs), marked 'pp'. The notation includes various rhythmic values, accidentals, and dynamic markings, illustrating the expressive retreat and textural thinning described in the text.

Ex.4.32: expressive retreat to recapitulation of D840/I (bb. 139-151)

Here, however, there is a more protracted diminuendo, and, from b. 146, thinner texture

as the recapitulation is approached with nothing more than a pair of repeated dominant pedals. A degree of tonal unexpectedness marks both passages, however. In D840 this occurs at the moment of reprise where, having implied beforehand that the dominant prolongation belonged to B minor, there is resolution to B major.²⁵ In D845/I this happens at the very end of the development with the displacement of the chromatic rise in the bass to the right hand and an insertion of V/F-sharp minor (b. 144 of Ex.4.30 above). Further similarity can be found in the recapitulations: both are elided with developmental features and both begin with a non-tonic key.

By comparing the harmonic and expressive features of the end of the development to the setting of '*Es schwinden die Sterne, das Auge schon bricht !*' from '*Todtengräbers Heimwehe*', Maurice Brown provides an insightful and poetic context for the sonata.²⁶ Drawing attention to the use of 'diminished sevenths, a rising chromatic bass, unexpected tonal shifts and the gradual lessening of dynamics in both passages', he argues that the idea of '*schwinden*' (vanishing) is represented in the closing bars of the development. Indeed, for Brown, these details suggest that the sonata was written before '*Todtengräbers Heimwehe*' and influenced the vanishing moment in the song (Ex. 4.33, bb. 62-70). Before interpretation of the coda is contextualised with the final verse of '*Todtengräbers Heimwehe*', Maurice Brown shows how a phrase from that verse might open up meaning for another part of the movement. In so doing, he demonstrates the applicability of using the song to interpret the movement.

²⁵ See earlier discussion, Chapter 2, pp. 92-3.

²⁶ Maurice Brown, 'Schubert: Instrumental Derivatives in the Songs', *Music and Letters*, vol. XXVIII, no.3 (1947), p.209.

The image displays three systems of musical notation for the final verse of 'Todtengräbers Heimwehe'. Each system consists of a vocal line (treble clef) and a piano accompaniment (grand staff). The lyrics are: 'Es schwinden die Sterne, - das Au - geschon bricht, - es schwinden die Sterne, das Au - geschon bricht! Ich'. The piano part features a prominent, repetitive chordal texture in the right hand, with a more active bass line. Dynamic markings include *ppp* and *p*. The key signature has one flat, and the time signature is 4/4.

Ex.4.33: bars 62-70 of final verse of 'Todtengräbers Heimwehe'.

Conclusion of development

In the exposition, shifts between positive and negative states were traced. In the development it is possible to trace, from the first two periods through to the final section, a shifting tragic condition. The first period was built around the *Todtengräbers Heimwehe* motif coloured with modal inflections. The motif was alternated in high and low registers suggesting a juxtaposition between an earthly state and a higher spiritual one. As there was always a return to the low register, it could be said that a spiritual release from an earthly existence at this point in the movement is not possible (a plea that

goes unheeded, as was suggested earlier). The 'trombone' cadential progression that follows underlines this tragic plight.

In the second period motif *a* was initially placed into a pastoral context, one of tragic introspection, and then, with its yearning and lapsing motion extended, the motif was antiphonally exchanged between the hands. The most extended rise and fall occurred at the cadence into the final section. Here, like the registral collapses in the first section, is a tragic outcome, as an attempt to ascend is once again thwarted by a registral descent.

In the final section, the tragic expressive state is dramatised with *ombra* material, including semiquaver tremolos and figuration and a wide range of dynamics and register. For the later crescendos there is quicker harmonic rhythm, and in the final one culminating in a fortissimo, the leaps in the left hand stretch to three octaves and a rising chromatic bass is added. This intensifying of expressive features suggests a more temperamental condition. Indeed, the epithets that theorists have used to describe specific *ombra* features, 'rage', 'menace', 'exclamation', would be appropriate here. With the diminuendo at the end of the section leading to a *ppp* recapitulation in F-sharp minor, the temperamental state is dissipated, though the tragic tone remains.

The Recapitulation (bars 145-246)

Two prolonged ascending motions can be traced from the beginning of the recapitulation to the return of the local climax in the transition. Both are created from a rising harmonic sequence in thirds and both contain three phrases. For the first ascent, the first phrase begins in F-sharp minor and ends in V/A minor (bb. 145-156 of Ex.4.34 below), and is then repeated in sequence in A minor (the tonic as a passing tonality) and C minor. The

last sequence is more extended melodically and in duration, and its final three bars are repeated down an octave to create registral space for the second ascending motion.

For the first two phrases, motif *a* and motif *b* are treated canonically and overlap with each other. Each one is first presented in the right hand and then imitated in the left a bar later: for motif *a*, the imitation is two octaves lower; for motif *b*, this distance is extended by a major third. The texture for the motifs here is new, and signifies both developmental feature and the 'high', learned style. The stepwise movement of motif *b* (initially pared down to the lower voice of the upper chords and ending with the feminine cadence derived from the C-minor return in the exposition) is now more contrasted with the contour of motif *a*. This contrast between narrow and wider movement, together with the pianissimo and minor mode, evokes a moment of introspective tension.

Ex.4.34: first two phrases of recapitulation, bars 145-156

In the third phrase the part writing becomes freer, as motif *a* is imitated with different material. Moving in thirds in the left hand, this material closely resembles the contour of the *Todtengräbers Heimwehe* motif and provides, for a rare occasion in the movement, harmonisation of motif *a* (Ex.4.35 below). After motif *a* is repeated for the second time, its lapsing gesture is sequenced further up the dominant ninth triad. There follows a peak

on a D (at b. 162) and a change to an augmented sixth chord. With resolution to the dominant, the progression at the end of motif *b* is recalled in a different key.

Ex.4.35: bars 157-163

The final two bars of this phrase are then repeated down an octave, with a scale in thirds (outlining dominant ninth harmony) placed in between. The second ascent then follows: its outer phrases are characterised by positive gestures (outward motion and a modulation at the end onto major modality); its middle phrase by negative ones (a lapsing motion with material reversed between the hands and modulation onto C-sharp minor). After, there is a return to the local climax of the transition.

Ex.4.36: bars 166-78

first phrase: (bars 166-170)	G (V/C minor)	→	B-flat major
second phrase: (170-74)	B-flat major	→	C-sharp minor
third phrase: (174-78)	C-sharp minor	→	E (V/A minor) + local climax

fig.iii: Sequences of second ascent (bars 166-178)

The two ascents detailed above might be said to embody two prolonged yearning gestures. Both, however, lead to a negative outcome. From the sequential rise of the apex and lapsing gesture of motif *a* at the end of the first ascent, there is an immediate registral collapse. Although the second ascent leads to the local climax of the transition, this in turn lapses into the return of the transitional theme and A minor (as in the corresponding place of the exposition). The trajectory from the beginning of the recapitulation to the return of the tonic provides further anticipation of the expressive shape of the coda.

The coda (bars 247-311)

For most of the coda, there are two registral expansions supported with a rise in dynamic volume and some textural thickening. In between, motif *a* appears in the canonic texture encountered at the beginning of the recapitulation. The final phrase is displaced in a lower register and combines elements of the *Todtengräbers Heimwehe* motif and motif *b*.

For the first phrase (bb. 247-55 of Ex.4.37 below), the *Todtengräbers* motif is sequentially treated in ascending step. Reaching the apex G (at b. 253), a stepwise descent then follows to lead to the 6/4 trombone cadence (bb. 254-5). Above each chord of the cadence a repetitive figure (| ♯ ♯ ♯ ♯ ♯) is heard as if sounded *sotto voce* on a timpani. There is no resolution, however, to a tonic chord; instead, a brief moment of silence follows. The first phrase is then repeated an octave higher and the stepwise descent is extended to a scale.

Placed in a higher register and with a descending scale doubled in bass octaves, the second phrase (bb. 256-63) heightens the yearning and lapsing gestures of the first. For a rare moment in the movement a lapsing gesture does not lead to a negative outcome, instead, with a crescendo, it ushers in a triumphant fortissimo return of the closing group theme (bb. 264-70) where the | ♯ ♯ ♯ ♯ ♯ motif and motif *b* (alternate tonic/dominant chords) are presented simultaneously. Despite the assertive expressive context and the rise in both hands at the end (b. 270), however, the positive outcome is tempered with the relative unimportance of the F-major tonal region (VI) and with the closeness of the upper part of the chords to the contour of the *Todtengräbers* motif. Further perspective is provided with the return of motif *a* and the A-minor tonic.

Ex.4.37: first expressive build-up (bb. 247-270)

Although the second ascent shares much of the same material of the first, it is more extended in duration and distance of rise. It begins in a higher register with repetition of the second phrase of the earlier ascent. As before there follows the closing group theme, now rising in a longer phrase in a B-minor tonicisation (bb. 283-290 of Ex.4.38 below). The restless upwards motion of the chords is countered by a dominant pedal. With the change to neapolitan harmony at b. 291, however, registral space is opened up for the bass; with tonic harmony two bars later, it rises to complement the movement of the chords above. With the quickening of harmonic rhythm, the chords (with the V/i alternations of motif *b* removed) rise in thirds (bb. 291-4), an extension from their previous stepwise movement. Just before reaching the highest phrase of the coda, dominant harmony heavily accented with a 4-3 appoggiatura is inserted at b. 294. The upwards resolution of this harmony, with a leap of a fourth in the upper part, contrasts with its downwards resolution in the transition.

Ex.4.38: part of second build-up to highest phrase of coda (bb. 283-295)
(under, Ex. 4.9: bb. 25-26)

Cast in A minor for the first time in the coda, the closing group theme is cast as the highest phrase, the registral culmination of the second ascent (bb. 295-301 of Ex.4.39 below). Indeed through the extension of the phrase with higher positions of the alternating V/i chords (motif *b*), the highest peak of the movement is reached. The hands then move inwards to a powerful cadence and then drop together to reach the final phrase (bb. 301-3). Reversing the previous registral expansion, the final phrase marks the expressive crux of the coda (bb. 303-11). Here only the upper part of the previous chords remains, combined with the octave unison texture and the rhythm of the *Todtengräbers* motif. With repetition and a strong cadential close, further emphasis is provided.

The image displays three systems of musical notation for piano. The first system is a short fragment. The second system, starting at measure 297, shows a dense texture with many chords and a steady bass line. The third system, starting at measure 304, continues this texture and ends with a cadential close. Dynamics include *ff* and *fz*.

Ex.4.39: Highest phrase, final phrase and cadential close (bb. 295-311)

Comparison with *'Todtengräbers Heimwehe'*

Comparing the motion, harmony, tonal areas, motifs, dynamics and texture of the coda to those of the final verse of *'Todtengräbers Heimwehe'*, further interpretation can be suggested. In each part of the sonata (the exposition, development, recapitulation, and coda) the motif derived from the penultimate verse of the song has appeared. In the song, the motif appears twice in the brief third verse but is not used in the final fourth verse. In the third verse it arrives at a significant part of the song, where the gravedigger acknowledges his physical fatigue, expresses a longing for death and effectively gives up his life. This resignation or acceptance of a tragic situation marks the first stage in a process of abnegation, the result of which can either lead positively to spiritual transcendence, or negatively to a tragic outcome. For the gravedigger, the outcome is

positive as he transfigures death to reach heaven. The motif of the third verse, symbolic of beckoning death, is therefore not needed in the final verse.

Von

Nach langsamer.

al-len ver-las-sen, dem Tod nur ver-wandt, vor-weil' ich am Ran-de, das Kreuz in der Hand,

und star-re mit seh-nendem Blick hin-ab in's tie-fe, in's tie-fe Grab!

(Ex.4.i: third verse of 'Todtengräbers Heimwehe', bb. 41-8)

With the repeat of the motif in the third verse there is an unexpected change to its end, as the vocal line and the accompaniment drop to an A natural. Arriving on the word 'Grab!' this note suggests the pivotal moment when the gravedigger relinquishes his life (b. 48). Over the bar into the beginning of the fourth verse (b. 49 of Ex.4.40) the A natural is then repeated by the piano to suggest with the change to the major mode a change of circumstance. With the melodic rise throughout much of the final verse (see inner part of piano introduction in bb. 49-53, canonic repetition between singer and pianist throughout the verse, and the later rise of a minor ninth in bb. 72-4 and 76-78), a

journey to heaven is conveyed. When the vocal part lapses down (often with the right hand of the accompaniment) and there is a change to diminished seventh harmony and the minor mode, this does not signify a negative moment; rather it suggests, before the soul of the gravedigger is transfigured, that his body is still dying (bb. 63-70).

Examples of registral descent can be found halfway through the verse (bb. 63-8). In two phrases (the second a sequence down a step from the first), two lapsing gestures in the vocal part are separated by a rising gesture in the bass of the accompaniment. The distance between these rising and falling gestures of a rising and falling diminished fifth signifies for Graham Johnson the distance from earth the gravedigger has travelled.²⁷ More specifically, the upwards motion could relate to the ascension of the gravedigger's soul and the downwards one to the dying body left in the graveyard. Since both motions appear within the same phrase, the different states of ascension and dying could be said to be happening simultaneously.²⁸ The switch to the minor mode (B minor in the first phrase at bb. 65-6; A minor in the second, bb. 69-70), the fixed melodic line and a *ppp* to set the words '*das Auge schon bricht!*' ('My sight is fading') underlines the indeterminacy of the situation. In the following phrase (bb. 70-4) with the juxtaposition in the vocal part of falling diminished fifths and a rise up a minor ninth, the journey from earth to heaven is given greater impetus. With the repeat of the phrase to form the penultimate line of verse (bb. 74-8), its lapsing and rising gesture mark the significant moment when the gravedigger's soul 'rises from his now redundant body to greet' his loved ones ('*Ihr Lieben, ich komme, ihr Lieben, ich komm!*'). Johnson continues by noting that the

²⁷ Johnson, *Booklet notes*, p.78.

²⁸ Schubert's ability to convey different temporal states simultaneously has been discussed by several scholars including Charles Rosen, *Romantic Generation* (Harper Collins, 1996), pp.122-3; and Lasse Thoresen, 'An auditive analysis of Schubert's Piano Sonata Op.42', *Semiotica* (1987), LXVI 1-3, pp.211-237. Johnson, *Booklet notes*, p.78.

repeated Cs on the final vocal line indicate transfiguration (bb. 80-3); and with the wide spacing between the hands in the piano postlude, he reasserts his earlier idea of the distance travelled by the gravedigger.²⁹ By the end of the song, transcendence is suggested not only by the distance between the treble and bass, but also the equilibrium of rising, falling and fixed motion (bb. 83-6).

The image shows a musical score for the final verse of 'Todtengräbers Heimwehe'. It consists of three systems of staves. The first system includes a vocal line and a piano accompaniment. The piano part features a wide interval between the hands, with a *pp* dynamic marking. The vocal line has lyrics: 'Hei-math des Friedens, der Se - li-gen Land, an dich knüpft die See - le ein'. The second system continues the piano accompaniment and the vocal line with lyrics: 'ma - gisches Band. Du winkst mir von fer - ne, du e - wi-ges Licht, du'. The third system shows the final part of the piano accompaniment and the vocal line.

Ex.4.40: bars 49-59 of final verse of 'Todtengräbers Heimwehe'

²⁹ Johnson, *Booklet notes*, p.79.

winkst mir von fer-ne, du e - wiges Licht! Es schwinden
die Ster-ne,- das Au - geschon bricht,-
es schwinden die Sterne, das Au - geschon bricht! Ich
sin - - ke, ich sin - - ke! Ihr Lieben, ich komme, ihr Lieben, ich komm! Ich
sin - - ke, ich sin - - ke, ihr Lieben, ich kom-me, ihr Lieben, ich komm!

ppp *p*

Ex.4.40 (cont.): bars 60-78

The image shows a musical score for the end of a piece, specifically bars 79-86. It consists of two systems of staves. The first system has a vocal line and a piano accompaniment. The vocal line has lyrics: "ich komme, ich komm!" and "ich komme, ich". The piano accompaniment has a "dimin." marking and a "s" marking. The second system has a vocal line and a piano accompaniment. The vocal line has lyrics: "komm!". The piano accompaniment has a "s" marking. The score ends with a double bar line.

Ex.4.40 (end): bars 79-86

At the beginning of the coda of D845/I there is no metamorphosis into a new key as in the corresponding place of the song; rather, following a dominant chord and a moment of silence, there is delayed resolution into the tonic (see beginning of Ex.4.37). With no change to the major mode and a drop in register from the end of the recapitulation, it is therefore not possible to claim a change to a positive condition, as it was for the beginning of the final verse. Even when the same tonal regions (F major and B minor) and intervals (diminished fifth and minor ninth) are used, the interpretation of the coda and of the song does not converge. As the following discussion will reveal, this makes it possible to distinguish between two contrasted states.

As mentioned earlier, the return of the closing group theme on F major was placed at the expressive climax of the first ascent in the coda (bb. 264-70 of Ex.4.37). This was conveyed through the fortissimo dynamic (punctuated by *fzs*) and a rise at the end of the phrase to a higher position of the F7 chord (b. 270). In the song the F-major passage begins similarly with a forte and also has a chordal texture, contrasted articulation and repetitiveness of rhythm (from b. 73 of Ex.4.40). Initially arriving at the climactic

moment of the verse as the soul of the gravedigger is just about to reach transcendence, F major is then prolonged through to the end of the song. Just before the penultimate '*ich komme, ich komm'!*', a diminuendo begins and is sustained for the final eight bars.

Cadentially confirmed as a tonality, sustained for longer and placed in a more important structural position, the F major in the song, unlike in the coda, is unequivocally positive.

In comparing the B-minor examples, expressive opposition is immediately revealed. The B-minor passage in the coda (bb. 285-80 of Ex.4.38), as a version of the earlier F-major phrase, shares virtually the same expressive details: a registral rise, assertive dynamics, chordal texture and the $\text{♩} \text{♩} \text{♩} \text{♩} \text{♩}$ motif underneath. In the song, the tonal region is briefer lasting from bars 65-66, and is cast in a *ppp* dynamic with a melodic line that neither rises nor falls, but remains on the same note (F-sharp). This suggests, within an ongoing journey to heaven, a solemn recognition of death. The more heightened expressive context of the passage in the coda, on the other hand, conveys a more agitated state.

Between the two expressive build-ups, motif *a* makes its final appearance in the movement (Ex.4.41 below). Cast in the canonic texture of the recapitulation, the motif's original rise of a perfect fifth and the rise of its sequenced repeat of a diminished fifth (written as an augmented fourth) is given in reverse. Therefore instead of the first apex being on the dominant degree, it is on the lower chromatic neighbour (D sharp). Depressed down from the dominant, here is a less bright, less positive gesture, one which also negates the assertiveness of the preceding passage that peaked with an E flat. The decorated (4-3) half-close is suitably subdued placed in a different expressive context from its later appearance in the coda (b. 294) and from earlier in the exposition (b. 25):

Ex.4.41: bb. 271-4 (top), and bb. 294-5 and bb. 24-6 (under)

Another interval important to both the sonata and the final verse of '*Todtengräbers Heimwehe*' is the ninth. Near the end of the song the vocal line from the lowest note (E) to the apex (F) outlines a rise of a minor ninth, suggesting an ascent to heaven (bb. 72-4 and 76-8 of Ex.4.40). Drawing on the same notes, the same interval is exploited in the first movement of the sonata: from the apex to the end of the repeat of motif *a* in the opening group (bb. 5-6, Ex.4.5) and the end and beginning of each phrase of the opening period of the development (bb. 90-9, Ex. 4.22). The first example outlines, in contrast to the song, a lapsing down of a minor ninth; the second links a shift in register, where following a higher phrase there is always a return to a lower one. In both cases a negative interpretation can be applied. In the more positive context of the local climax of the

transition (b. 22 of Ex 4.8), there is a downwards leap from a B-flat to an A. As the widest leap, this helps convey the energetic power of the passage. Similarly in the coda a leap up a major ninth to the start of the F-major and B-minor passages accentuates the sudden change of tonal region, theme, texture and dynamic (bb. 263-4 of Ex. 4.37 and bb. 282-3 of Ex. 4.38). Both moments represent an exerted gesture of yearning in a broader tragic context.

With differences of modality, motion and the expressive context of the final phrase, a subjective interpretation for the coda can be made. In the song, a spiritual ascent is conveyed primarily through the rising triadic shape of the melody. When descending motion is accompanied with chromatic harmony and there follows a switch to the minor mode, this does not signify a regression to a negative condition; rather, the distance of the soul from the dying body. The final vocal line on repeated Cs indicates transcendence, confirmed by the wide spacing between the hands in the piano postlude and the dynamic fade. Predominantly in the major mode, the final verse therefore embodies a positive outcome of abnegation.

As an expressive opposition to much of the final verse, a different interpretation can be applied to the coda. The repetition of the *Todtengräbers* motif and the minor mode clearly convey a tragic situation and the registral rise (a gesture of yearning), a denial of that situation. In the second registral expansion where a greater rise is supported by longer phrases and a longer crescendo, tension between an upwards rise and the minor mode, between a positive and negative condition, is arguably heightened. For the highest phrase the heroic gesture of numerous alternate dominant/tonic chords is used, suggesting further defiance of a negative situation. With the registral drop to the final phrase,

however, any such defiance is broken.

The final phrase is not only the expressive crux of the coda, but the first movement and, as interpretative analysis of the finale's coda will reinforce, the whole sonata. As the final lapsing gesture from the largest registral ascent in the movement, the final phrase represents the culmination of all the earlier and smaller scale yearning-resigning gestures. Further significance is provided by the presence of the *Todtengräbers* motif and its expressive transformation which engages the upper part of a derivative of motif *b*. In the original motif *b*, the song motif was hidden as an inner part. This shift in relationship and the closeness of the *Todtengräbers* motif to both motif *a* and *b*, conveys a taut and claustrophobic formal design, which in turn complements the tragic reading of the movement. For Brian Newbould, such a design is akin to the 'the cross-cutting technique ...familiar in modern film, where a number of discrete scenes or episodes follow each other rapidly, to be drawn into a meaningful relationship later as the story unfolds.'³⁰

In its persistence, relationship to other material and expressive transformation, the *Todtengräbers* motif in the final phrase could be said to represent a moment of realization. Further interpretation might suggest that following a denial of death, the spirit of someone who has already died is made aware of their true condition. The presence of *ombra* characteristics and the tetrachord/chromatic fourth throughout the movement and the different end to '*Todtengräbers Heimwehe*' would supports this. Indeed, as an expressive opposition to the end of the song where transcendence was attained and the motif was noticeably absent, the end of the movement clearly suggests a lack of transcendence, death without spiritual salvation. For the final cadence of the movement, the end of '*Erlkönig*' (D328) offers a close musical and interpretative

³⁰ Newbould, *Schubert*, p.324.

parallel:

Ex.4.42: final bars of 'Erlkönig' (D328)

The second movement: theme, 5 variations and coda; (Andante poco mosso, C major, 3/8)

Introduction: contexts for constructing an interpretative trajectory

Isolating the second movement away from the rest of the sonata, Robert Hatten and Jeffrey Perry have drawn a similar interpretative conclusion: the former stressing transcendence; the latter distance.³¹ Hatten has concentrated virtually entirely on the theme, noting its structure and its embodiment of two expressive topics: a *Ländler* and the pastoral.³² By the end of the movement, the treatment of these topics invokes associative conditions: for the *Ländler* this is articulated by Hatten as ‘poignant remembrance’, and for the pastoral, ‘an elevation... to the sublime’.³³ Perry covers more of the movement to address pitch, register, texture and harmony/tonality. In the texture of the final variation and coda, however, he reveals the presence of a topic closely related to the pastoral: the *Waldhorn* (horn fifths). From this topic and from pitch analysis further parallels are drawn with Hatten, as Perry argues that in the final pages of the movement ‘a kind of epiphany’, ‘a distance’ from the theme’s original guise is reached.³⁴

The following discussion will take its cue from the above to provide a more comprehensive and nuanced examination of the second movement. Perry’s pitch analysis (which he applies to the theme, end of Variation 3, start of Variation 5 and end of coda) will be applied to each variation to cover the highest and lowest pitches.

³¹ Robert S. Hatten, *Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert* (Indiana, 2004), pp.11-2; Jeffrey Perry, ‘The Wanderer’s Many Returns: Schubert’s Variations Reconsidered’, *The Journal of Musicology*, vol. XIX, no.2 (Spring 2002), pp.400-8.

³² A combination of two different topics is usually termed ‘a trope’ by Hatten. This discussion serves as an introductory example to a chapter concerned with constructing a theoretical discourse on musical gesture.

³³ Hatten, *Interpreting musical, gestures, topics and tropes*, p.111.

³⁴ Jeffrey Perry, *Variations*, p.403

Relationships between variations will also be traced, with attention to tonality/harmony and register, and, to a lesser extent, rhythm and ornamentation. Variation 3 in C minor, a variation entirely ignored by Hatten and only its final bars examined by Perry, will be discussed in terms of its relationship to the first movement and its disruption of the diminution process in the second. Stylistic features different from those of the pastoral and *Ländler* topic will be revealed here. Further identification of pastoral features (only detailed by Hatten in the theme and Perry in the final variation and coda) will complement the main interpretation of the movement which, along the lines of the final verse of '*Todtengräbers Heimwehe*', will suggest transcendence is reached by the end of the movement. From the final variation (where the widest registral extremes and the last C-minor passages are encountered) to the coda, a journey towards transcendence will therefore be conveyed. This allows for some distinction to be made between the final variation and coda, both of which are imbued with pastoral characteristics. To conclude, the interpretation of the end of the movement as 'transcendent' will be adapted to the overriding tragic interpretation of the work.

**The theme: rounded binary form (bars 1-32)
pitch range: F2-G5³⁵**

In his brief discussion of the movement, Hatten has drawn attention to the simple harmonic and phrase construction of the theme. Together with the dominant pedal and the pianissimo (and, one might add, the parallel movement in thirds between the bass and inner melody at the beginning), characteristics of the pastoral topic are identified.

³⁵ Pitch range taken from Jeffrey Perry's system which is close to the keyboard range of pianos of Schubert's time: from the bass, F2 would be the second F encountered and G5 the fifth G.

For Hatten, the meter and the accented down beats on the first two bars also suggest a stylised *Ländler*.³⁶ His observation that here is a ‘rustic pastoral dance’ that will be elevated ‘to ‘the sublime’ exemplifies an elevation from a low to high style.³⁷

[Theme]
Andante poco moto
pp

Ex.4.43: The theme (bb. 1-8)

The repeat of these two phrases an octave higher anticipates the displacement of the corresponding parts of variation 2 and 5. (The octave displacement of the first two phrases and those of variation 5 is also accompanied with some textural thickening.) As Perry has noted, repeating a phrase an octave higher ‘is very common in Schubert’s music, itself a distance trope special to his music’.³⁸

Ex.4.44: bars 8-16

³⁶ These aspects, together with the presence of dotted rhythms clearly convey a dance, even though *Ländler*s were virtually always in 3/4.

³⁷ A choice of whether a particular movement is in high, middle or low style is one that Hatten has made with the pastoral and other topics in *Musical Meaning in Beethoven*. Although he often details a trajectory where a movement starts in one topic and evolves to end up in another, rarely does he imply, as he does with D845/ii, that there a shift to a higher style within a movement.

³⁸ Perry, *Variations*, p.404.

In the contrasted middle section (b), each of two phrases (the second a repeat of the first with added chromatic inflections and changed inner parts) embodies a yearning gesture. For most of the first phrase there is outward motion between a scalar rise in the melody and the tenor part (bb. 17-19 of Ex.4.45); for the second phrase, the scalar rise is retained (bb. 20-3). Both these yearning gestures culminate with an expressive crux on chromatic harmony, the first significant departure from the tonic/dominant harmony.

The image shows a musical score for a piano piece. It consists of two systems of staves. The first system has a treble clef on the top staff and a bass clef on the bottom staff. The melody is written in the treble clef, and the bass line is in the bass clef. There are several measures of music, with a 'cresc.' marking in the middle. The second system shows a continuation of the music, with a '24' marking at the end. The score is in 7/4 time and features a piano accompaniment with a treble and bass clef.

Ex.4.45: middle section (b), bars 17-24

When the theme returns (a'), there are more chromatic inflections and harmonic changes. Following from the end of the antecedent that cadences in D minor (rather than the tonic as before), the consequent initially repeats the theme with a different harmonisation: vb/ii-diminished seventh on b (bb. 28-9 of Ex.4.46). Considering the re-harmonisation is of the melodic notes E and F, the motto which marked much of the modulation and harmonic changes in the first movement, some significance can be drawn here. The octave displacement of the theme is also important since it provides a registral link to the following variation and anticipates the registral outcome of variation 5 and the coda. As with the opening group of the first movement, here in the corresponding part of

the second movement, the trajectory of later sections, including the coda, has been anticipated.

Ex.4.46, a' (bb. 24-32)

variation 1 (bars 32-56)

pitch range: G1-B5

Some of the features of the opening section are made more overt in the first variation.

Here a stronger sense of cantabile is conveyed. The theme is no longer embedded in the texture as an inner part but placed in the highest register. The left hand is transformed into a more shapely and independent part that acts as a duet with the right, only becoming a more subservient accompaniment in the cadential bars. This change of roles in a (bb. 32-40, Ex.4.47 below) and the antecedent of a' (bb. 53-7, Ex.4.48) coincides with the right hand taking over the semiquaver rhythm, further emphasising the duet-like nature of the variation. With the use of a quicker rhythm and registral expansion, much of the static quality of the theme is dissipated.

Ex.4.47: first part (a) of var. 1 (bb. 32-40)

In the second half of the variation (b and a'), there is more stronger presence of the minor mode than in the corresponding part of the 'theme' (bb. 17-32). At the beginning of the half what was dominant seventh harmony before (b. 17 of Ex.4.45) is transformed into D minor (b. 42 of Ex.4.48 below). (The only earlier use of this harmony was at a cadential progression, bb. 27-8.) Two bars later there is another change to the harmony, as a previous diminished chord is delayed onto the final beat to form with the F-sharp bass a diminished seventh (b. 44). With different voicing so that the E-flat is briefly at the top of the chord, a chromatic inflection of C minor (the tonality of variation 3) is given prominence. Inflections of the same key, now A-flats instead of E-flats (bb. 54 and 56), inform the final phrase of the variation. Further anticipation of variation 3 is found in the expressive transformation of the phrase, in particular the forte dynamic, chordal texture and bass octaves.

Ex.4.48: middle part (b) and last part (a') of var. 1 (bb. 42-57)

variation 2 (bars 57-80)

pitch range: G1-A6

The dance-like quality Hatten finds in the theme seems more suited to this variation, in particular to the robust accompaniment. Here the dominant pedal is an octave lower than before and is mostly placed on offbeats. With demisemiquaver rhythm the right hand is also energised and evokes, with slurred articulation, the bowing or tonguing of a string or woodwind virtuoso. The accented passing notes with their anticipations before have been prefigured in the bass of the previous variation, in the outer **a** sections. The mordent decoration of the variation has also been anticipated by the ornamental turns of the same passages, as well as by the turn of b. 27 and the mordent of b. 13.

Ex.4.49: first part (a) of var.2 (bb. 59-66)

The *joie de vivre* of this variation is countered by the suggestion (stronger than before) of C minor. Near the close of the first half this tonality is implied with E-flats (bb. 64-5) that have not appeared in either the corresponding part of variation 1 or the theme. In the middle section of the variation, the first C-minor chord is given as part of a cadential 6/4 on the dominant, replacing the previous C-major harmony. A few bars later, C minor is briefly touched on as a passing chord. Further significance can be interpreted from the two registral collapses at the end of each half of the variation, both of which are coloured with C-minor inflections (b. 65 of Ex.4.49 above and bb. 80-1 of Ex.4.50 below). As a positive gesture, the repeat of the first phrase in a higher register is undermined by the E-flats near the registral peak and the sudden collapse that shortly follows to bring in the half-close. Near the end of the variation, the descending motion is less abrupt and, extended over two octaves, outlines a tonic triad that switches to the minor. Most of the C-minor part of each collapse is cast in octave unison, a different texture from the rest of the variation and one that recalls the first movement, in particular motif *a* and the *Todtengräbers Heimwehe* motif. Therefore in texture, suggestion of the

minor mode and falling motion, these two passages momentarily darken the variation with reminiscence of the first movement and premonition of the variation to follow.

The image displays a musical score for piano, consisting of five systems of music. Each system is written for both the right and left hands. The first system features a first ending marked 'a'. The second system includes a first ending marked 'b'. The third system contains dynamics markings 'p' and 'pp'. The fourth system includes 'mf', 'cresc.', 'f', 'ritard.', and 'a tempo'. The fifth system includes 'p' and a first ending marked '2'.

Ex.4.50: middle (b) and last part (a') of var.2 (bb. 66-82)

variation 3.
pitch range: F1-E-flat 6

A closer and more sustained relationship to the first movement can be found in variation 3 as a tragic character is once again evoked with the minor mode and features of the archaic style. Although the variation represents a culmination from the growth in modal mixture and builds on the greater dynamic contrast of the preceding variation,³⁹ it also disrupts the diminutional process of the movement. From its 'diffident' beginning,⁴⁰ the theme seems to have grown in assuredness, a quality communicated in the diminution of successive variations where the theme has been placed as an upper part. In this variation, however, there is no further diminution. Rather its first phrase contrasts with the preceding variation, where the theme was transformed with demisemiquaver rhythm and the dominant pedal was obscured in the dance-like accompaniment.

Ex.4.51: first part (a) of var. 3 (bb. 80-8)

Here in the first phrase (bb. 80-4) the dominant pedal is given greater prominence.

³⁹ To quote David Beach, modal mixture 'refers to the borrowing of elements in the parallel mode', in this case C minor in a C-major movement. This quote is taken from David W Beach, 'Modal Mixture and Schubert's Harmonic Practice', *Journal of Music Theory*, vol. 42, no.1 (Spring 1998), p.73.

⁴⁰ Description from Perry, 'Variations', p.403.

Initially it introduces the theme and is then sustained throughout most of the phrase. The beginning of the theme is characterised by a *siciliano* rhythm, which placed against the repeated pedal creates a more static and deliberate effect than the preceding variations. Such texture, especially the repeated *siciliano* rhythm, is evocative of older compositional styles such as those of the Baroque. Complementing the more ponderous rhythmic character of the theme is a brief recollection of variation 2 in slower note values. Here in bar 83 the inner part moves away from the dominant pedal to recall through appoggiaturas, their anticipation and slurred phrasing, the preceding variation.

At the beginning of the second phrase (bb 84-5) further distance from the preceding variations is provided with an unexpected progression and sudden change of dynamic. Here F minor replaces what was previously dominant harmony to maintain the minor mode and, by implication, the tragic tone of the variation. The dominant pedal is also transformed into an appoggiatura that clashes with the chordal texture of the right hand and the bass underneath. (This clash is heightened with accents.) At the end of bar 85 and 86 the appoggiatura is registrally displaced, and for the end of the phrase (b. 88) a double appoggiatura is placed on the V/V chord of the half-close. The appoggiaturas of the second phrase complement the transformation of dynamics and texture.

The assertive expressive context of the second phrase is taken to further extremes in the middle part (**b**) of the variation. Indeed with more registral space opened up for both hands, as well as the fortissimo dynamic, appoggiaturas and accents, a more violent and disjunctive character is conveyed. The juxtaposition of parallel and contrary motion within the minor mode can be further understood in relation to the first movement, in particular to the interpretation offered for the coda. In each of the first two bars of the

middle section (bb. 89-90 of Ex.4.52 below), both hands attempt to rise. In the following bar after a lapse down of a minor ninth, they then move outwards in contrary motion.

While the rising and contrary motion suggests yearning, the presence of the minor mode puts this into a negative context. When the second phrase reverses the material between the hands (an example of inverted counterpoint anticipated in the corresponding part of variation 2 and further evidence of the learned style in this variation), an extreme outwards movement is made (bb. 93-5). This is then followed by parallel movement in double octaves and a heavily accented half-close where the appoggiaturas resolve upwards.

Ex.4.52: middle section (b) of var.3 (bb. 89-96)

The registral extremes and the lapse down to a double-octave texture in the second phrase briefly recalls the final two phrases of the first movement coda. Subsequently the interpretation of the first of these earlier phrases as defiance in the face of tragedy and the second as a breaking of that defiance can be applied to each of the corresponding parts here. As there is different music to follow, not only in the variation but in the movement as well, primacy of place cannot be granted to these interpretations, however.

Immediate dynamic contrast from the end of the middle section (where Schubert uses a rare *sfz* marking in the sonata) is made with the return of the theme. This contrast is made more acute with the minimal amount of dominant pedal to introduce the theme. At the end of the first phrase return there is a change of harmony, as the music briefly touches on the neapolitan (bb. 99-100 of Ex.4.53 below). Here a V7/flattened-II is followed by a second inversion-flattened-II to provide cadential evasion. The dominant pedal of the neapolitan then leads to the final phrase of the variation, where there is a reversal of expressive intensity from the corresponding part in a (cf. the *pp*, diminuendo and contrary motion here, bb. 100-4, with the *f* and rising movement of bb. 85-88 of Ex.4.52).

Ex.4.53: last part (a') of var.3 (bb. 97-104)

Prior to the final cadential progression of the variation, the expressive crux of the phrase, and indeed the variation, arrives. This is marked by an apex (E-flat 7), the furthest distance so far in the movement between the hands and a return to the neapolitan. The registral and harmonic distance and dynamic extreme is suggestive of a brief vision of transcendence and undermines the conventional association of neapolitan harmony with a tragic condition. A further shift in association is made with the following interrupted

cadence in A-flat major, the key of the next variation. With this outcome a positive resolution is reached, one which atones for the tragic diversion of the variation and the lapsing down in the same place of variation 2.

Analytical discussion of the end of variation 3 reveals a shift away from a tragic expressive state, which earlier was suggested through the identification of archaic stylistic traits. Identification of these not only revealed a relationship to the first movement, but also showed the presence of topics other than the pastoral and *Ländler* in the second movement.

variation 4. A-flat major ⁴¹
pitch range: A-flat 1-E-flat 7

To delay the first phrase, the final A-flat major chord of variation 3 and anacrusis figure is repeated an octave higher (b. 105). This repetition builds up an expectation of change. With the first phrase, new rhythm (demisemiquaver triplets) and a new context for the dotted-rhythm accompaniment is introduced. In perpetual motion, the triplets are sustained throughout the variation through to the bridge passage of the final variation. For most of the phrases, there is variation of motion and register, and this helps convey a playful quality (evocative of salon virtuosity) and put the tragic character of variation 3 into perspective. The end of virtually every phrase is characterised by a rise of contour, anticipating the trajectory of the final variation and coda.

⁴¹ In a set of variations, the key of the-flattened submediant is common in Schubert, but is never used by Haydn, Mozart and Beethoven. Perry has drawn attention to the-flattened submediant variation in the fourth movement of the 'Trout' Quintet (D667), the fourth movement of the Octet (D803), the Impromptu in B-flat (D935, no.3), as well as to the second movement of this sonata. In each case, Perry also notes that 'The theme, variations, and retransition preceding the final variation compose out the progression I-i-♯VI-V-I.' Perry, 'Variations', p.380.

[Variation 4]

(1)

Ex.4.54: first phrase of var.4 (bb. 104-109)

The expressive context of the dotted rhythm in the bass of the first phrase reveals transformation of an important feature of variation 3. Here with staccato articulation and as accompaniment to the triplet runs, the dotted rhythm is put into a context that wittily contrasts with its previous appearances. The octave unison in the following phrase (bb. 109-113, Ex.4.55 below) accentuates the virtuosity of the variation and provides further distance from the preceding variation and first movement, where passages of the same texture appeared in slower rhythms. Near the end of the first section (bb. 111-12), there is a clearer melodic and accompaniment texture. Here the right-hand chords move mostly in step in slower semiquaver rhythm above the left-hand triplets. The chromatic harmony and tonic minor that were prominent in variation 3, now, in the final phrase of the section, appear as passing harmonies.

Ex.4.55: second phrase of var.4 (bb. 109-113)

In contrast to the outer sections, there is closer modelling and less transformation of material from earlier variations in the middle section (Ex.4.56 below). In texture and rhythm, the first phrase recalls the corresponding part of variation 2 (bb. 68-72 of Ex.4.50). Now with the material in different hands, an inner more melodic part moves in contrary motion to the triplet runs.

Ex.4.56: first phrase of middle part (b) of var.4, bars 114-117

The trajectory to the cadence (bb. 116-7) and in the following phrase is also derived from the corresponding parts of variation 3. In both variations, outwards motion characterises the approach to the first cadence of the section and parallel motion of the second:

i.) outwards motion: bb. 116-7 of var.4 cf. to bb. 91-2 of var.3

ii.) parallel motion: bb. 120-1 of var. 4 cf. to bb. 95-6 of var.3

Ex.4.57: Comparison between trajectory to half-close in corresponding parts of var. 3 and 4.

In the approach to the first cadence, further connection can be found between the comparative examples of i) above. In both, the minor mode appears: the tonic minor in b. 91 of variation 3, and A-flat minor, the tonic minor of variation 4, in the corresponding b. 116. Further interpretation might suggest that the latter briefly recalls the tragic

character of the earlier variation.

Following a rare moment of tonic minor harmony, the half-close and E-flat major scale reasserts a positive condition (Ex.4.58 below). The energy at the end here then spills over into the repeat of the phrase to affect both texture and register. Consequently, most of the bass is transformed into octaves and descends against rising scalic runs in the right hand. With the pronounced contrary motion of bb.118 and 119, two heightened gestures of yearning are conveyed.

The image displays a musical score for piano, consisting of two systems of staves. The first system, corresponding to measures 118 and 119, shows a right-hand part with a scalic run and a left-hand part with octaves. The second system, corresponding to measures 120 and 121, shows a right-hand part with a scalic run and a left-hand part with octaves. Dynamics include *cresc.*, *f*, *ff*, and *pp*.

Ex.4.58: second phrase of middle part (b), bb. 118-121

In the final phrase of the variation, a positive gesture is made as both hands move upwards by step. For a variation full of yearning gestures this provides a fitting end, as well as further anticipation of the registral outcome of the final variation and coda.

Ex.4.59: final phrase of var.4 (bb. 127-130)

bridge passage (bars 129-135)

The first half of the bridge passage provides distance from variation 4; the second leads to the final variation, which, to reiterate Perry, provides 'distance' from the movement. Distance from variation 4 is conveyed through quiet repetition of its final cadence and a demisemiquaver triplet run. Against a dominant pedal (of A-flat major), this repetition of material covers three bars to create a greater expectation of change than the two bars prior to variation 4. Halfway through (from b. 132) a chromatic rise from the previous reiterated pedal begins and there shortly follows modulation away from the-flattened sub-mediante and a crescendo. Upon reaching a second-inversion tonic chord and the beginning of a cadential progression (b. 134), the right hand continues its ascent (now in octaves) and the left hand moves down, as Perry has pointed out, in a 3-2-1 line. This outward motion culminates with the start of variation 5, an appropriate means to approach the final variation where transformation of the theme, treatment of register and the presence of distance topics suggest a closeness to transcendence.

Bridge passage to first phrase of var.5 (Perry's example)⁴²

variation 5 (bars 135-167)
pitch range: G1-E-flat 7

For the final sections of the movement, interpretation will claim a journey towards transcendence. This will draw on the presence of the pastoral topic, and its connotations of simplicity, separateness and idealization. In variation 5 and in particular its middle section, the switch from the major to the minor mode will provide a reminder of variation 3 and the predominant tragic interpretation of the work. By the coda, this influence (as far as the second movement is concerned) is negated.

At the beginning of variation 5, closeness to a transcendent state can be found in both the rhythmic and textural transformation of the theme. The demisemiquaver triplets of the previous variation are now replaced with semiquaver triplets, a shift down in note value which conveys a less agitated condition. This rhythm is maintained for virtually all of the variation (with only a brief return to the demisemiquaver triplets on two later occasions), and for much of the time is played by both hands in unison. Similarly the chordal texture

⁴² Marked as Example 9c in Perry, 'Variations', p.406.

is mostly unchanged throughout and contains distant topics, one of which, the *Waldhorn*, is addressed by Perry (quoted above).

To draw attention to the *Waldhorn* topic, Perry notes the presence of horn fifths in the first phrase. Although he mentions the connotations of the topic, 'distance (from one's beloved or from one's happy past life) and unfulfilled longing', he overlooks in the phrase and in the remainder of the movement the 6th-5th-3rd motif.⁴³ Consequently other material which could be considered as relating to the *Waldhorn* topic is ignored.

These features along with the dominant pedal and the consonant harmony are also part of the pastoral topic, to which the *Waldhorn* belongs. As well as the presence of fifths, either in isolation or framed by the sixth and third intervals, the harmony in the outer sections is more consonant than in earlier variations. When dissonances do occur they are usually passing notes, in contrast to many of the dissonances of variations 1-3 which fall on strong beats. Following variation 4 where the dominant pedal (of A-flat major) only appeared in the first phrase of the middle section and then for part of the bridge passage, the dominant pedal (of the tonic) returns to its original pitch at the beginning of the first phrase. In the outer sections it is sometimes doubled an octave lower, and during the stepwise descent to the half-close is entirely removed. In the middle section it is sustained throughout, except at cadential progressions and moments of modulation.

In the outer sections, the antecedent phrases are repeated with octaves in the upper part and some textural thickening in the bass. This opens up some registral space and suggests the possibility of transcendence. The return of the tonic minor after the first half-close (bb. 143-7 of Ex.4.60 below) marks the first of several recollections of variation 3. Cast in a pianissimo dynamic this recollection is viewed as if from afar, where the tonic

⁴³ Ibid, p.404. For the cultural context of this motif and its use in the D-major sonata (D850), see discussion in Chapter 3, pp. 139-42.

minor seems less threatening. With the repeat of the phrase (where the apex of the section, A6 at b. 149, is reached) the modality is reversed back to the major.

Ex.4.60: remainder of first part (a) of var.5, bb. 139-151

In contrast to the beginning of the variation where both hands provided an anacrusis that moved upwards, for the approach to the turbulent middle section (b) and a return to C-minor harmony the right hand maintains the dominant pedal and the left descends (b. 151 of Ex.4.61 below). Reaching the first phrase of the section, variation 3 is evoked as a vivid memory with assertive dynamics, an octave bass and accented dissonances. For the chords of the cadential progression of the phrase (b. 155), there is registral displacement to contrast with not only the preceding stepwise movement but the stepwise movement in the corresponding bars of variation 3 (bb. 92-3). The agitated force of the first phrase is then diluted in the decrescendo of the second, which extends through to the return of the theme (bb. 157-9).

Ex.4.61: middle part (b) of var.5 (bb. 151-9)

In the final section (a') C minor returns twice in a less confrontational context, appearing as a passing harmony within a quiet dynamic. In the first example, the C-minor harmony is melodically decorated with rhythm and articulation derived from variation 2 (b. 161 of Ex. 4.62 below). Further perspective is provided by the neapolitan tonicisation that follows, recollecting the end of variation 3 where the-flattened supertonic enabled a modulation from C minor to A-flat major (bb. 162-3). The invoking of the past here is emphasised by the ritardando:

The musical score for Ex.4.62 shows the first phrase of the final part (a') of variation 5, spanning bars 159 to 163. It is written in C minor, 3/4 time. The right hand plays a series of chords and eighth-note patterns, while the left hand provides a steady accompaniment. A 'ritard.' (ritardando) marking is placed above the staff, indicating a gradual deceleration towards the end of the phrase.

Ex.4.62: first phrase of final part (a') of var.5 (bb. 159-163)

The return to *a tempo* at the end of bar 163 coincides with the final C-minor inflection of the movement: 'a passing' ivc/i. This harmony, however, merely delays the reassertion of the C-major tonic and a return to the higher register of the variation. The variation ends by eliding into the coda with the same pitch used at the beginning, (C6).

The musical score for Ex.4.63 shows the final phrase of variation 5, spanning bars 163 to 167. It is written in C minor, 3/4 time. The right hand features a melodic line with a 'p' (piano) marking and a 'cresc.' (crescendo) marking. The left hand provides a steady accompaniment. A '1' marking is placed above the staff, indicating the first ending. A separate 'a tempo' section is shown above the main score, featuring a melodic line in C major.

Ex.4.63: final phrase of var.5 (bb. 163-7)

The coda (bars 167-185)

Comparison with the final variation suggests that the journey towards transcendence is taken further in the coda. The theme is further transformed, the pastoral topic is sustained uninterrupted and its associations with simplicity are made more apparent. The registral displacement and *Waldhorn* texture of the final phrase is noted by Perry, 'as a recurrent, and continually explored, metaphor for distance'.⁴⁴ He ignores once again, however, the third and sixth intervals surrounding the Waldhorn fifths.

The association of the pastoral topic with simplicity is mostly conveyed through the harmony and tonality, with emphasis of the home key. At the beginning the anacrusis to the middle section of variation 5 (a descending dominant arpeggiation in octaves) is put into the tonic in single notes, and above, instead of the dominant pedal, a tonic pedal is sustained (b. 167 of Ex.4.64 below). Similarly at the end of the cadence of the second phrase, a tonic chord replaces what was previously dominant harmony (b. 175).

Ex.4.64: first two phrase of coda (bb. 167-178)

⁴⁴Perry, 'Variations', p.404-6.

To complement the emphasis of the home key, there is inflection of each cadence with the subdominant and less dissonance. For every cadence, the tonic chord is preceded by subdominant harmony (bb. 171 and 175 of Ex.4.64 above); the dissonances used are appoggiaturas in the first two phrases and passing notes throughout. The only chromatic inflections in the coda are B-flats, related to the subdominant (traditionally emphasised in codas). At no point does the minor mode and an assertive expressive context intrude, as in the middle section of variation 5.

A state of simplicity is also suggested by the repetition of the first phrase, the pattern of alternating registers, the slowness of harmonic rhythm and the sustaining of a chordal texture. The first phrase is repeated down an octave; then in the final phrase this displacement is reversed so that there is alternation from a low to high register. This alternation happens twice: firstly, the upper part of the *Waldhorn* texture is transformed into octaves; secondly, a drop down different positions of a tonic chord is followed by a close in a higher register. The pattern of alternation here recalls the same order of displacement in the outer sections of the theme and variations 2 and 5. The specific range of pitch that Perry details (C2 from the bass note of b. 178 through to C6 at the end, bb. 184-5) is also significant, since it reflects momentarily on the trajectory of the movement where there has been a rise of apex in successive variation (from G5 in the theme to E7 in the final variation). However unlike variations 3-5 that complemented their wide range of register with a wide range of dynamic, there is no reversal of the coda's pianissimo dynamic near the end. Rather, from the final descent a diminuendo is carried through to the close. This dynamic fade with the final registral displacement, plagal harmony prior to the close and parallel motion, would suggest that from a positive gesture of

resignation, transcendence is reached.

Ex.4.65: final phrase of second mvt (bb. 178-185)

Earlier, this interpretation was offered from discussion of similar material in the final verse of *Todtengräbers Heimwehe*. In the song the last melodic descent (*'ich sinke!'*) was followed by the last ascent (*'Ihr Lieben, ich komme'*), invoking the final moment of death and the final rise of the gravedigger's soul to heaven. Transcendence was then suggested by the repeated Cs of the final line of verse and by the prolongation of the diminuendo and the wide registral space between the hands in the piano postlude.

Recalling this earlier discussion strengthens the applicability of interpreting the end of the coda as transcendent. However as the coda belongs to a movement of a sonata and is not part of an independent set of variations, such interpretation is governed by the main one of the work. The main interpretation, to reiterate, suggests realization of a tragic event that has already happened, and that this realization is experienced by the spirit of someone who has already died but has been in denial of their true condition. As such interpretation precludes transcendence, the second movement suggests how things might have been if a catastrophic event had not occurred. The transcendence claimed for the end of the movement is therefore not attained, as in the final verse of *Todtengräbers*

Heimwehe, but idealized.

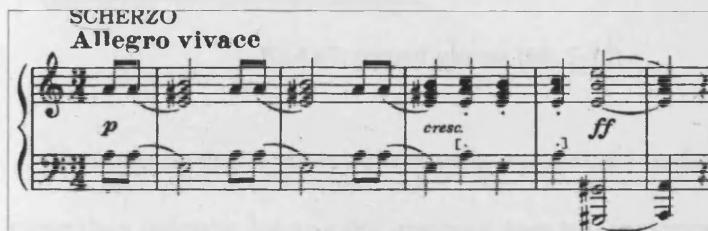
The Scherzo (allegro vivace, A minor, 3/4)

Following the second movement, it is also possible to give the Scherzo a non-tragic interpretation, one which is essentially comic. In the context of the fast tempo of the movement, this interpretation draws upon various features from the outer sections: exaggerated dramatic gestures that involve sudden changes of register and dynamic, metric displacement where weak second beats are emphasised, irregular phrase groupings, and replacement of the tonic (A minor) with major tonality. In the middle section there are few changes of register and dynamic that are sudden and only one exaggerated dramatic gesture: the first phrase. Indeed, with the minor mode and pianissimo dynamic sustained for at least half of the section, a more sombre mood prevails.

The opening section (A), bars 1-28

The scherzo begins with a short motif ♯ | ♯ that in texture, dynamic and triadic outline of a fifth recalls the *Waldhorn* topic in the final phrase of the second movement. (The emphasis of the first and last beats in the opening two bars provides further comparison.) Following repetition of the opening motif, alternate dominant/tonic chords (which recall motif *b* from the first movement) lead via a crescendo to a close in the tonic at b. 5. In the context of the phrase, the dramatic closing gesture seems exaggerated: dominant harmony falls on the second beat with a fortissimo marking (shifting the emphasis away from the first and last beat), the fortissimo is approached in haste from a brief crescendo in the bar before and the bass is registrally displaced to create greater distance from the upper part. As this is the only phrase in A minor in the outer sections, and the remainder of each section is in the major mode, the tonic of the movement is de-emphasised. From this

broader context, the assertiveness of the closing gesture (the only occasion where there is a fortissimo in the section) is further belied and prompts what Hatten describes as a 'contextual revaluation' of the tragic.⁴⁵ Consequently, the gesture and the phrase emerge as examples of 'low tragedy' rather than 'high tragedy', as something 'bathetic' rather than serious.⁴⁶

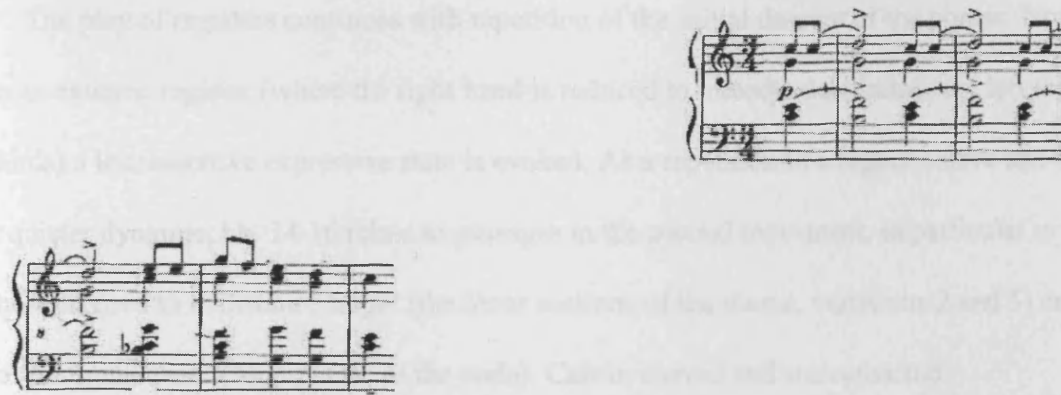


Ex.4.66: opening phrase (bb. 1-5)

Through comparison with the first phrase, the contrasting and different features of the second one (Ex.4.67 below) suggest more directly a comic character. This includes a change to the major mode, stepwise melodic movement at the cadential progression and a sustained quiet dynamic. The pastoral elements of the second movement are now also represented more clearly and effect the choice of harmony: open horn fifths are given to each hand to form V7/C major harmony (bb. 6-8), and the cadential progression to C major is approached from V/IV and IVb chords (bb. 8-10). As initially a higher sequence of the first phrase, the connotation of repeating material in a higher register with transcendence is put into a witty context. This provides further perspective from the end of the second movement.

⁴⁵ Hatten, *Musical Meaning in Beethoven*, p.78.

⁴⁶ As an example of tragedy being lowered by contextual revaluation, Hatten cites the character of Donna Elvira in Mozart's *Don Giovanni*, whose 'learned-style arias may be tied to the lack of contextual support for the elevated register of her outrage over being dishonoured- she is more upset about being abandoned than being seduced.' Hatten, *Musical Meaning in Beethoven*, p.174.



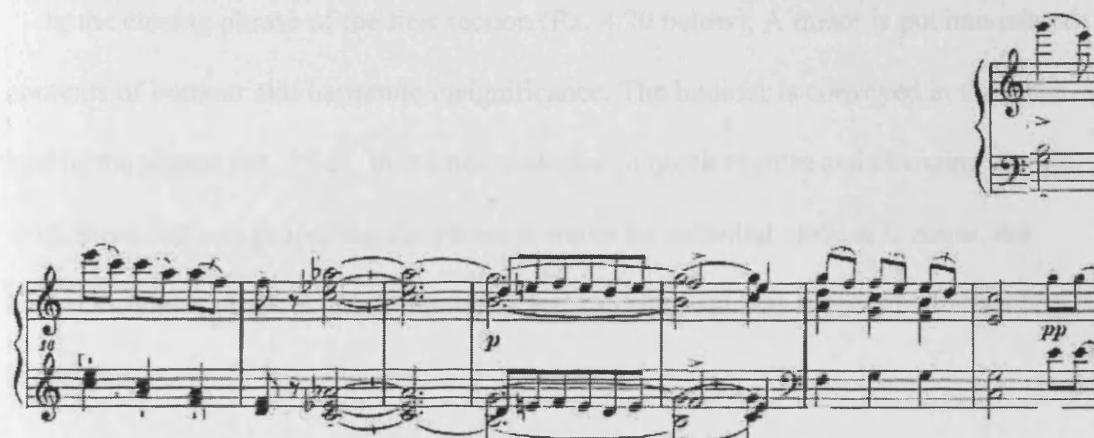
Ex.4.67: second phrase (bb. 5-10)

Through further contrast, humour is maintained in the following phrase. The phrase is more than twice as long as the previous two and juxtaposes dynamic and registral extremes. Unusually for the movement, the phrase starts on a weak second beat with no horn-call motif (b. 10 of Ex.4.68 below). Following immediate textural and dynamic change, to double octaves and a *f*, there is then a descending motion in thirds (bb. 10-12). The right hand with a wide leap then reverses this trajectory to a VII⁷/C major chord (b. 13). The ascending motion is continued in the next bar as the right hand moves to a higher position of the same harmony, while underneath the left hand traverses the same direction by an even greater distance. With the assertive first rise undermined by placement on a weak beat (b. 12) and the second rise dynamically undercut by a *fp* (b. 13), the dramatic potential of these gestures is reduced to a comic level.



Ex.4.68: bars 10-15

The play of registers continues with repetition of the initial descent of the phrase. Now in an extreme register (where the right hand is reduced to melodic decoration, the left to thirds) a less assertive expressive state is evoked. As a repetition in a higher octave and in a quieter dynamic, bb. 14-16 relate to passages in the second movement, in particular to those likened to a ‘distance trope’ (the outer sections of the theme, variations 2 and 5) or to ‘transcendence’ (final phrase of the coda). Cast in slurred and staccatissimo articulation,⁴⁷ shorter in bar length and faster in tempo, these bars could be said to parody the phrases of the preceding movement.



Ex.4.69: bars 15-22

An A-flat major chord at bar 17, heavily accented, then interrupts the repetition and is tied over to the following bar. For Hatten, ‘interruption may be interpreted as humorous, undercutting or diversion, one of the staples of the *buffa* style’.⁴⁸ In the context of the phrase, the interruption could be said to provide a further and unexpected moment of humour. This contrasts with the seriousness of the first movement (where the flattened

⁴⁷ By the time of this sonata, theorists generally held the view that wedges or strokes denoted a shorter staccato and sharper attack and dots, a longer staccato. This differentiation reflected the consistency with which composers, by the early nineteenth century, were treating and contextualising the notation. For a summary of some of the theoretical writings on the subject, see David Montgomery, *Franz Schubert's music in performance: compositional ideals, notational intent, historical realities, pedagogical foundations* (Pendragon, Monographs in Musicology, no.11, 2003), pp.159-160.

⁴⁸ Hatten, *Interpreting musical gestures, topics, and tropes*, p.268.

sixth was an important part of the tonal design), and complements the light character of the A-flat major variation of the second movement. The harmony then conventionally resolves down to the dominant, and following melodic decoration and another appoggiatura, a tonic triad of C major is reached at b. 20. Further metric and harmonic stability is then provided by the full authentic cadence in C major. For the latter half of the phrase (bb. 17-22), from the upset of the A-flat major chord to the restoration of balance and order with the C-major triad and then cadence, a process analogous to comedy can be traced.

In the closing phrase of the first section (Ex. 4.70 below), A minor is put into related contexts of humour and harmonic insignificance. The humour is conveyed in the latter half of the phrase (bb. 25-8), in the helter-skelter of quick rhythm and changing motion. With these features propelling the phrase towards its cadential close in C major, the hierarchic status of the A-minor harmony and its dominant that appeared two bars before is reduced.

The musical score for the closing phrase of the first part (A), measures 22-28, is presented in a grand staff. The key signature is one sharp (F#), and the time signature is 2/4. The piece begins at measure 22. The melody in the right hand consists of a series of slurred sixteenth-note runs, starting with a piano (*pp*) dynamic. The bass line in the left hand provides a rhythmic accompaniment with eighth-note patterns. The dynamics increase through the phrase, marked with *cresc.* and *f*. The phrase concludes with a cadence in C major.

Ex.4.70: closing phrase of first part (A), bb. 22-28

bridge passage (bars 28-36)

A stronger suggestion of a return to the minor mode is found in the bridge passage to the middle section. Here on downbeats the *Waldhorn* texture (reduced to thirds) and the bass pedal emphasize the dominant of F minor. As a registral opposition to the distance or transcendent topic, the repeat an octave lower of the first phrase suggests a potentially tragic outcome. With no resolution to F minor at the beginning of the middle section, however, such an outcome is initially averted.

The musical score for Ex. 4.71 consists of two systems of piano notation. The first system covers bars 28-36 and includes dynamics *p*, *pp*, and *pp*. The second system covers bars 37-41 and includes the dynamic *ff*. The notation shows a chromatic shift in the key signature and a strong emphasis on the dominant of F minor.

Ex.4.71: bridge passage (bb. 28-36)

The middle section (B), bars 36-79

Starting with the chromatic shift that began the bridge passage and suggested dominant harmony of a non-tonic key, the first phrase of B is the most assertive so far in the movement. The dynamic is transformed into a *ff* and the texture is thickened; in the latter half of the phrase (bb. 39-41 of Ex.4.72 below), the hands move outwards in an expansive gesture suggestive of yearning. The outcome, however, is negative: at the beginning of the next phrase (bars 42-3 of Ex.4.73 below), registral space is narrowed, the dynamic is undercut to a *p*, and there is resolution to A-flat major, a tonal region that has marginal status in the movement. A-flat major also signifies a shift towards a tragic

orientation, since it can be heard as either a neapolitan relation to A minor or as a suggestion of the parallel minor in C major. With the two phrases that follow cast in the minor mode, this shift is taken further.

Ex.4.72: first phrase of B (bb. 36-42)

At the beginning of the second phrase (bb. 42-3), the horn-call motif is treated imitatively to provide the ‘first clue that the composer is taking the witty gesture seriously (thematically)’.⁴⁹ Other evidence can be found in the more prolonged yearning gesture, conveyed in the gradual rise in register and careful gradation of dynamic throughout the phrase (see 4.73 below). These musical details also provide distance from phrases in the outer sections, where sudden changes of expressive features within the fast tempo of the movement evoke a humorous effect. Near the end of the phrase (bb. 54-6), tension is provided between the positive gesture of outwards motion of the hands and the inflections of A-flat minor. To complement the more serious context of the horn-call at the beginning of the phrase, here at the end it is sounded dramatically and continues to fade after the final chord.

⁴⁹ Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, p.210. Imitative part-writing is customary for a middle section of a ternary form, see William E Caplin, *Classical form: a theory of formal functions for the instrumental music of Haydn, Mozart, and Beethoven* (Oxford, 1998), p.75.

Ex.4.73: second phrase of B (bb. 42-57)

The next phrase takes its cue harmonically and dynamically from this end. Cast in A-flat minor, a pianissimo is sustained throughout, and in the latter half (bb. 60-3), the right hand tentatively mimics the previous rise with *mezzo-staccato* articulation. With the repeat of this phrase, the rise includes an enharmonic change to E minor. The final phrase (bb. 69-79) then maintains the E-minor tonicisation and provides a clear melodic and accompaniment texture. Along with the earlier imitative writing, this texture further distances the section from the predominantly homophonic A and A'.

Ex.4.74: remainder of B (bb. 57-79)

The presence of the minor mode for the last three phrases of the section sees a return to a tragic sphere, one which with the sustained *pianissimo* is subdued. With the final phrase, this quality is taken further as the horn-call motif lapses down and there is a diminuendo.

The bridge to A' (bars 79-92)

In preparation for reprise of the first section (A') and return of the tonic, dominant prolongation is sustained throughout the following bridge passage. This provides a switch of mode from the E-minor phrase before, one which is complemented by a change to a *f*. After the repetition of the first phrase an octave lower (bb. 83-7 of Ex.4.75 below), the expressive power of the dominant prolongation is then diminished. This is achieved through contrast of dynamic and further lowering of register. The prolongation ends *pianissimo*, more quietly and in a lower register than the start of the recapitulation. This subdued expressive context suggests that in the return of the first section, the tonic A minor will again have little significance.

Ex.4.75: bridge passage to A' (bb. 79-92)

The reprise of the first section (A'), bars 92-126

The recapitulation of the relative major passages in the tonic major compensates for the expressive trajectory of the bridge passage and the minor mode of B, and further negates the tonic minor. In the final phrase A major is put into an exaggerated expressive context, the effect being more comic than genuinely triumphant:

Ex. 4.76: final phrase of Scherzo (bb. 120-6)

The Trio (un poco più lento, F major, 3/4)

As a movement imbued with the pastoral topic, the Trio offers a utopian evocation, a retreat from the neighbouring scherzo. Distance from the powerful last phrase of the Scherzo is immediately provided with the slower tempo ('un poco più lento'),⁵⁰ pianissimo dynamic, the use of the *una corda* pedal ('mit Verschiebung') and the change of key signature.⁵¹ In this expressive context another horn-call is used, one which introduces a gentle rocking rhythm and the first two notes of the theme. By the end of the second bar, the horn-call is doubled an octave lower, a melodic texture maintained throughout most of the movement, sometimes with registral displacement.

The image shows a musical score for the first phrase of the Trio. It is in F major, 3/4 time, and is marked 'pp mit Verschiebung'. The score consists of two staves: a treble clef staff and a bass clef staff. The treble staff begins with a horn-call (G4-A4) and continues with a simple melody. The bass staff provides a harmonic accompaniment, starting with a G2 pedal point. A double bar line is placed after the second measure. The score is labeled 'TRIO' and '127 Un poco più lento'.

Ex.4.77: first phrase of trio (bb. 127-34)

With the theme and first section, it is possible to identify more pastoral characteristics. At the end of each slurred indication, tonic harmony falls, and up until the cadential progression to A minor at the double-bar (bb. 149-50 of Ex.4.78 below) a tonic pedal is sustained. The triadic construction of the theme and the relatively fixed register of the bass also convey simplicity, an important connotation of the pastoral topic. Only D minor (on the last beat of b. 131) and G-minor harmony (b. 133) cloud the first phrase, but do not at this point, or in their later appearances, upset the serenity of the movement.

⁵⁰ This is a rare indication for a Schubert trio, only shared by the trio of the later A major sonata (D959). A similar marking (*più tardo*) is also given to the Scherzo (D459/2). For further discussion see Montgomery, *Franz Schubert's Performance in Music*, p.244.

⁵¹ The flattened key signature (F major) exemplifies what Hatten describes as, 'a secondary fundamental principle of pastoral expression in music: *mollified tension and intensity*'. Hatten, *Interpreting musical gestures, topics, and tropes*, p.56.

Two fragmented horn-call motifs are then juxtaposed in different registers (bb. 134-8): the first and higher of the two rises by step, the second (derived from the introduction and beginning of the main theme) lapses down. The order of a rising motif followed by a lapsing one is sustained throughout the movement and recalls the registral pattern of the first movement. However, as the motifs appear mostly in the major mode a different interpretation from the first movement can be offered, one which puts yearning and resignation into a positive context. For the latter half of the section (bb. 138-150), the theme and horn-calls are repeated an octave higher. As a signifier of transcendence, this registral displacement has to again be contextualised with the broader interpretative vision of the work. Consequently, as with the end of the second movement, a higher spiritual world is imagined rather than attained.

The image displays a musical score for piano, consisting of two systems of music. The first system begins at measure 141 and the second at measure 152. The notation is in a major key with a common time signature. The first system features a rising motif in the right hand and a descending motif in the left hand. The second system repeats these motifs an octave higher. Performance markings include 'v' (piano), 'ritard.' (ritardando), and 'a tempo' (return to tempo).

Ex.4.78: remainder of A (bb. 134-150)

Before the cadential progression, the resigning gesture is partly harmonised with a minor chord, repeated and placed within a ritardando (bb. 146-8). These changes put the gesture into a more reflective and tragic context, one that suggests a private moment of recollected grief. This is not entirely removed by the cadence in A minor, where the repeated melodic E's convey an uneasy compromise from the previous yearning and resigning gestures.

The central section (B), bars 150-62, and return of first section (A'), bars 162-174

The rising horn-call/yearning gesture is retained for the middle section. Here, within a falling phrase sequence and some harmonisation with minor chords, it is treated negatively. By the final phrase, it is reversed into a gesture of resignation. In the first phrase (bb. 150-4 of Ex.4.79 below), the yearning gesture is conveyed in the E-F shift (an important motto from the first movement) and is harmonised with A minor and V7/B flat major chords. This is repeated, and there follows resolution and a cadence in B-flat major. The phrase is then sequenced in a lower G-minor tonicisation, providing with the melodic and harmonic chromaticism, a more negative context for the gesture (bb. 154-8).

The final phrase (bb. 158-162) takes this context further, as the upwards motion of the yearning gesture is inverted. With a *pianissimo* and a lower register, this new resigning figure is suitably subdued; indeed, its double repetition and *fermata* end on II7/G minor conveys a less energised phrase in the sequence. Following this end, the main theme and F-major tonic then return to recall the juxtaposition between the A-major close of the scherzo and the F-major beginning of the trio. This recollection compensates for the lack of cadential preparation in bars 161-2.

Ex.4.79: B (bb. 150-162) and A' (bb. 162-74)

Following the main theme, the rising and falling horn-calls are then displaced into different registers (bb. 166-174): the rising gesture an octave higher, the falling gesture two octaves lower. As these registral extremes are juxtaposed within an F-major prolongation to form the final phrase of the trio, the piano postlude of *'Todtengräbers Heimwehe'* is recalled. In the song, these musical features helped to further emphasise a state of transfiguration, a concept that could be effectively applied to the final phrase of the trio and put within the broader tragic context of the sonata. In the final phrase, transfiguration can be understood through the registral extremes and hushed dynamic; the F-major prolongation emphasises a positive acceptance, and the reiteration and order of the rising and falling gestures throughout the phrase, as well as section A, suggests willed abnegation. Together these characteristics null the threat of the minor close of section A and the progressive negativity of section B. More significantly and similar to the end of the second movement, they help convey a vision of utopia and show how transcendence

might have been reached through positive submission to a higher spiritual power. Such an outcome differs from the end of the first movement, where following a denial and defiance of a tragic situation, realization of death without the possibility of spiritual salvation was conveyed.

Conclusion to scherzo and trio

Although contrasting, the scherzo and trio provide momentary respite from the tragic trajectory of the sonata. In their central sections, a tragic condition returns but is then superseded by the reprise of A. For the trio, the reprise includes a return to a utopian evocation of transcendence; the scherzo, to a comic sphere where minor modality is reversed and re-contextualised as a moment of bathos, dramatic gestures are exaggerated dynamically and registrally, and metric and phrase structure is rendered unstable. This play on register, dynamic, rhythmic and syntactic features in a quick tempo also provides a witty context for the pastoral and transcendent features taken from the second movement. Therefore while the scherzo and trio might differ (the former being comic, playful and parodic; the latter more serious, serene and spiritual), they both offer contexts removed from the tragic frame of the sonata.

The finale (Allegro vivace, A minor, 2/4)

For the finale, discussion will once again trace a tragic condition that is both shifting and obsessive but in contexts particular to the movement. Obsessiveness is conveyed in repetition of motifs and is given impetus by the quick tempo; the shifting quality is suggested by the transformation and structural displacement of motifs. For the last time in the sonata the pastoral topic is used, marking a rare occasion in the movement when the tragic is momentarily removed. This is followed, however, by an assertive return to a negative sphere and re-contextualisation of what was previously the theme of the pastoral section (C). Comparison of the coda with that of the first movement re-emphasises the main interpretation of the sonata.

The opening section (A), bars 1-46

The main theme of the finale is not defined through a clear melodic and accompaniment texture, nor inflected with a variety of dance-like rhythms or placed within a symmetrical phrase structure.⁵² Rather, it is characterised by a perpetual motion of quaver rhythm. With the double repetition and modification of the main theme, the quaver rhythm is sustained without interruption for the entire duration of the opening group, creating what Hatten calls 'a continuous texture'.⁵³ This is complemented by the brief elision between the half-cadence at the end of each repetition and the E-F anacrusis above that signifies the return of the theme (see bb. 14 and 32 of Ex.4.80 below). The phrase structure is further obscured through the paucity of slurs and the delay of cadential confirmation of the tonic until the end of the opening group (bb. 43-6). The sustained pianissimo and

⁵² As is the case with the theme of D850/IV, which is part of a self-contained, small ternary form.

⁵³ Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, pp.240-9.

ligato puts the elusive character of the opening group (where it is not only difficult to distinguish between the beginning and end of phrases, but also between theme, rhythm and texture) into a suitably veiled context.

RONDO
Allegro vivace

pp *ligato*

18

27 *decresc.*

36

45

Ex.4.80: opening section (A), bars 1-46

On a pianistic level, the rhythm and texture of the opening group within the fast tempo of the movement is close to that of an *étude*. Indeed, for Hatten such passages reveal ‘the first hints of a type that becomes so popular as to effect a change in style, fully achieved

by the time of Schumann's rhythmically obsessive movements or those of Chopin's subtly structured *préludes* that feature textural continuity'.⁵⁴ This link to later nineteenth-century piano works can be further appreciated through comparing the opening group to that of the finale of D850, which, aside from its one bar introduction, is close in style and construction to the eighteenth-century.



Ex.4.81: opening of the finale of the D-major sonata (D850)

Looking beyond the rhythm and texture of the opening group it is possible to divide the repetition of the theme into three asymmetric and elided parts:

- i. bb. 1-14
- ii. " 14-32
- iii. " 32-46

Each one of these contributes in some way to the overall expressive effect of the opening group. In *i.*, there is tension between the unrelenting quaver rhythm and the constraint of register in the right hand. Only in the latter half does the phrase rise above E5 and move away from alternations with the dominant note. (These alternations fall on weak half-beats, which in bb. 1-6 use the dominant note of the tonic, in bb. 7-10 the dominant of the relative major). Although registral space is opened up in *ii.*, *iii.* is marked by an even more restricted range, effecting both hands.

⁵⁴ *Ibid.*, p.247. For Hatten, although this change of style becomes the norm for the Romantic style (unmarked), it is still expressive.

Unlike **i** where there was a brief tonicisation in the relative major in bb. 7-10, there is no change from the minor mode in **ii**. Indeed, the only tonal region other than the tonic that is emphasised is E minor in bb. 23-8. Sustaining the minor mode with the dominant minor helps to maintain the darker, more tragic effect of the opening group. In **iii**, the material of the main theme is pared down with repetition of its original bb. 3-6. There then follows several alternations of tonic and dominant harmony, providing cadential confirmation of the tonic. This delayed confirmation recalls the similar situation in the first movement, where not until the arrival of the transition theme halfway through the first transition was the tonic cadentially asserted.

The repetitiveness of **iii** together with the double repetition of the main theme and the continuous rhythm and texture creates an obsessive quality, one that complements the tragic effect of the minor mode.

The transition between the opening group and the return of the main theme, bars 47-90

The tragic and obsessive condition of the opening group is put into a dramatic context in the following transition. This context is conveyed through greater variety of register (with contrasting registers often juxtaposed), thickening of texture and assertive dynamics. In place of the perpetual motion of the opening group, there are short motifs of striking rhythmic character. Together with the accents and *fz* markings, these provide the transition with a strong metric definition. (Only in b. 53 is this definition displaced onto a weak beat, as an augmented sixth chord is accented in a higher register.)

A tragic and obsessive condition is once again suggested by the combination of the

minor mode and the repetitiveness of the material. The repetitiveness is put into a transitional context where phrases are sequenced and rhythmic motifs are reiterated.

Unlike conventional transitions, however, little is done harmonically or tonally to unsettle the tonic. Rather, most of the section is in A minor and closely related tonal regions, with only a hint of C major at the beginning and one later phrase of F-major tonicisation.

The transition begins with an asymmetric eighteen-bar period that introduces new rhythmic material, and further emphasises, through the cadential function of the antecedent and consequent, the tonic. The antecedent is constructed from two contrasting ideas: the first (*y*) is in octave unison and derives its first four notes from the stepwise descent at the beginning of the theme (bb. 47-50); the second (*z*) is harmonised with chords and a bass-line that partly ascends by step (bb. 51-4). Both ideas are used again in the second group.



Ex.4.82: first phrase of transition, *y* (bb. 47-50) and *z* (bb. 51-4)

The consequent repeats the antecedent a fourth higher, with an additional sequence of the second idea in the tonic to lead to a perfect authentic cadence. The rhythmic head of *y* and *z* (♩ ♪) is then reiterated several times to create a new phrase:



Ex.4.83: bars 65-70

This repetition draws attention to a familiar Schubert rhythmic motif used in several of

his songs and instrumental works. Here similar to the outer movements of the 'Wanderer Fantasy' (D760) but different to the slow-movement themes of the Fantasy and the string quartets in D minor (D810) and A minor (D804), the ♩ ♪ motif is given an orchestral texture and fortissimo dynamic within a fast tempo. With the following sequences in D minor (iv) and the tonic, a reversal to the minor mode suggests a tragic context for the motif:

Ex.4.84: bars 71-80

The phrase in the tonic, with the widest spacing between the hands, marks the expressive crux of the sequence (bb. 77-80). This is then followed by several alternations between dominant and tonic harmony, in preparation for the return of the main theme (bb. 81-8 of Ex.4.85). Unlike the earlier alternations at the end of the opening group, contrast of dynamic, texture, articulation and register are employed here. Further interpretation could suggest that the contrast highlights the expressive difference between the opening group and the transition. An extended anacrusis over dominant seventh harmony then sustains the hushed dynamic and quaver rhythm to lead into the main theme return.

Ex.4.85: remainder of transition (bb. 81-90)

Return of main theme, bars 90-107, and transition to second group, bars 108-122

Following the return of the main theme, its subsequent repeat in the next phrase is cut short by a registral expansion (b.108). This marks the beginning of a transition to the second group, and negates any expectation of a full return to the opening group (a potential A'). The registral expansion is accompanied with a crescendo and the strong dissonant downbeat is heightened with an additional upper voice and an accented bass underneath. With chromatic inflections of E minor, the phrase leads to an E minor tonicisation, where material is reversed between the hands and a powerful expressive context is sustained (bb. 115-122). The two phrases of the transition therefore convey a growth in anticipation of the tonality of the second group, and through dynamics, build towards the powerful arrival of the second subject.

The second group (B), bars 123-192

As with other perpetual-motion finales where a tragic expressive trajectory can be traced (such as those of Beethoven's 'Tempest' and 'Appassionata' sonatas), the second group is initially cast in the dominant minor. This maintains the tragic tone of the movement at

a point in the structure where it is more customary to switch to the major mode. As in the first movement, the second subject is constructed from a motif from the transition and one from the opening section (A). For its first idea, the second theme takes motif *z* and for its second, motif *x* which originally appeared as bb. 33-8 of A:



Ex.4.86: second subject (B theme, bb. 127-30); original appearance of *x* printed underneath

Cast in octave unison and a fortissimo dynamic, *z* is more emphatic than before and *x* is in a higher register. Throughout the remainder of the first half of the second group, until just after the bar of silence, dynamic and registral contrast is juxtaposed.

The opening phrase of B is then repeated (Ex.4.87 below): *z* (bb. 133-6) is closer to its original appearance in Ex.4.82, not only sharing the same rhythm, dynamic and articulation, but also an accented augmented sixth; *x* (bb. 133-6) is in the major mode to provide a passage in the dominant major for the first time in the movement. As a distant echo following *z* and cast in the major mode, *x* suggests a momentary glimpse of transcendence (and in so doing, anticipates the central section).

The image shows two musical staves. The upper staff is a piano part, starting with a treble clef and a key signature of one flat. It contains four measures of music. The first measure has a dynamic marking of *f*. The second measure has a dynamic marking of *z*. The third measure has a dynamic marking of *f*. The fourth measure has a dynamic marking of *p*. The lower staff is a vocal or instrumental part, starting with a bass clef and a key signature of one flat. It contains four measures of music. The first measure has a dynamic marking of *x*. The music is in a major mode and features an accented augmented sixth interval.

Ex.4.87: the consequent of B (bb. 133-42)

The dominant major is then carried through to the next phrase and its repeat. Here the head of *y* (bb. 143-4 and bb. 147-8) is juxtaposed with broken chord figuration placed in a higher register. Further repetition of *y* ends with a chromatic alteration at b. 152 to a B-sharp, the leading-note of C-sharp minor. Despite the suddenness of this shift and the following juxtaposition with the broken chord figuration at a further distance, the phrase comes to a halt a few moments later with a bar of rest. On resumption, there is no resolution to C-sharp minor despite the strong implications before (not least the suggestion of a dominant of C-sharp minor); rather, an enharmonic change (to A-flat major) and reversal of dynamic leads to a D-flat major return of *y*.

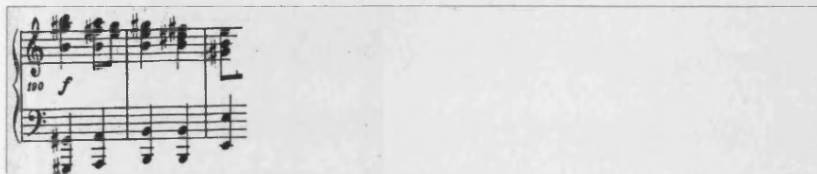
Ex.4.88: bars 143-55 of B

Following the bar of silence, the expressive context of *y* is different from before as it is embedded in the same register and texture as the neighbouring broken chords, is dynamically subdued and is given a melodic and accompaniment texture. The D-flat version of *y* (bb. 159-60) is then sequenced a third higher (bb. 161-2), and after several repetitions of the broken chord figuration, there is an enharmonic change and a chromatic drop in the bass, to C-sharp minor harmony (at b. 165). This marks the final shift to the minor mode in the second group. With one further sequence, the dominant major of the tonic returns and is retained as a tonal region until the end of the group.

Following the dominant sequence, *y* is exchanged and dovetailed between the hands, creating an antiphonal effect. With repetition, it is possible to trace several E-major scales:

Ex.4.89: bars 170-8

An E-major scale is then presented more evenly in the bass, covering four bars in ascending motion (bb. 179-82 of Ex.4.90 below). The right hand, a tenth above the bass, alternates each note of the scale in the first two bars with the tonic note, then in the remaining two, B, suggesting the dominant. On the final note of the right-hand scale, a G natural replaces the expected G-sharp. This leads to four G-major chords (bb. 183-6), followed by four V/A minor chords (bb. 187-190): a juxtaposition of two dominants that obliquely recalls the end of the exposition of the first movement. In the earlier movement, following three cadential moments in C major, the dominant of A minor subverted the expectation of the exposition ending in the relative major. Here in the finale, the disruptive element is not the dominant of A minor but the dominant of C major. The disruption is less significant, however, merely providing a localised harmonic change within the ongoing dominant key.



Ex.4.90 final phrase of B (bb. 178-82)

In a section that is evocative of orchestral writing (e.g., antiphonal responses in different registers and general thickness of texture), the above passage (Ex.4.90) stands out in particular. Indeed as some commentators have suggested, it anticipates the same rhythmic motif of four minims that is used throughout the second group of the finale of the Ninth Symphony.⁵⁵ The closest comparison to the passage in the sonata, in terms of dynamic, texture and register, can be found in bb. 221-8 of the symphony's finale:

⁵⁵ See Newbould, *Schubert*, p.325 and Paul Badura-Skoda, 'Possibilities and limitations of stylistic criticism in the dating of Schubert's 'Great' C major Symphony, *Schubert Studies: Problems of style and chronology*, eds. Eva Badura-Skoda and Peter Branscombe (Cambridge, 1982), p.190. Badura-Skoda is keen to downplay any significance of the passage of the sonata on the later symphony and points out that the 'four-times rhythmically repeated notes' are not necessarily 1825 traits, but can be found in works written in 1828.

Ex. 4.91: finale of the Ninth Symphony (bb. 221-8)

On both occasions when a tragic sphere is evoked in the second group, by the dominant minor at the beginning and the suggestion of C-sharp minor about halfway through, the major mode (often the dominant major) follows. This pattern would suggest that the threat of a negative condition is subverted by a positive one. By the final phrase of the group the dominant major is put into a more triumphant and assertive context, with powerful dynamics, thick textures, and cadential confirmation.

Bridge passage to A' (bars 192-209)

The positive outcome of the second group is shown to be transient by the following bridge passage. This is achieved in the long decrescendo and the shift in role of the

dominant major to a harmonic prolongation. Following a change to a thinner texture at the beginning of the passage, a decrescendo, a few bars later, continues to dissipate the energy of the second group. This is sustained until the return of the main theme, by which point the dynamic level has been suitably reduced. (Most of the decrescendo is complemented by a registral descent in the bass). The dominant's switch from tonal to harmonic status is suggested by the reappearance of the E-F anacrusis in the first bar (b. 192), with the F natural signifying a chromatic reversal from the F sharp of the second group. Followed by the downbeat E, these three notes are repeated throughout the prolongation, forming an ostinato figure within the perpetual motion of quaver rhythm.

The image shows a musical score for piano, consisting of three systems of staves. The first system has a treble clef and a bass clef. The treble clef staff starts with a key signature of two sharps (F# and C#) and a time signature of 3/4. It begins with a dynamic marking of *f* and a decrescendo hairpin. The bass clef staff has a similar key signature and time signature. The second system continues the piece, with a dynamic marking of *pp* and a decrescendo hairpin. The third system shows a key signature change to one sharp (F#) and a dynamic marking of *pp*. The score is enclosed in a rectangular box.

Ex.4.92: The bridge to A' (bb. 192-209)

The central section (C), A major, bars 256-315

An abrupt change from the minor mode at the end of A' to the major mode at the beginning of C is avoided. Instead, the shift to major modality is sensitively treated in the final part of A', as A minor and A major are alternated within a diminuendo (bb.

245-50 of Ex.4.93 below). The diminuendo not only indicates a quietening of dynamic, but also, in view of the *a tempo* six bars later, a slowing down.⁵⁶ The purpose of the final phrase is therefore twofold: to establish the A-major tonality of C and to anticipate the pastoral topic of the section by reducing the tension of a major/minor mode juxtaposition.

Ex.4.93: final phrase of A' (bb. 241-255)

Although not cast in a speed nor given harmonic rhythm noticeably slower than elsewhere, C has enough evidence to suggest a convincing pastoral interpretation. This includes the major mode, lyricism, subdominant emphasis, simple melodic contour with gentle climax, and quiet dynamics. Most of these are already present in the first phrase and effect material already encountered in the movement. At the beginning, the continuous quaver rhythm is sublimated into an accompaniment role, to introduce the theme. As the *p* dynamic is given to the left hand and not the theme, it seems appropriate to recall Leonard Ratner's observations that an introduction or 'curtain creates a climate of sound ...so that the tune appears to follow its accompaniment'.⁵⁷ When the theme does

⁵⁶ Hatten has argued from his experience of playing and studying *Winterreise* that a 'diminuendo' as opposed to a 'decrescendo' implies a slowing down of tempo. *Interpreting musical gestures, topics, and tropes*, p.151. This is also illustrated when the final phrase of A' returns in bb. 351-9 with a *decrescendo* and no following *a tempo*.

arrive it is possible to hear from its first four notes (C-sharp- B-A-G-sharp) a derivation of bb. 1-2 of the main theme. Underneath the accompaniment is similarly related, to the first two bars of *x* which originally marked in the opening section (A) the beginning of the second repetition of the main theme (see bb 33-4 of Ex.4.80). Despite these relationships, however, the most salient aspect of the phrase and its repetition in the section is its difference from the rest of the movement. Here for the first time in the finale is a clear melodic/accompaniment texture:

Ex.4.94: first phrase and sequence of C (bb. 256-268)

In the following part of the phrase this textural differentiation is both intensified and made more complex by the rhythmic doubling of the octave melody in the bass. Together with the contrary motion, this provides a brief moment of yearning that culminates in $vii^{\circ}7/B$ minor (b. 262 of Ex.4.94 above), resolving to B minor afterwards. Although the presence of the minor mode at the expressive crux then apex of a phrase provides a faint reminder of the tragic topic, this is immediately removed by a sequence in the subdominant, confirming the influence of the pastoral (bb. 264-67).

⁵⁷ Leonard Ratner, *Romantic music: sound and syntax* (New York: Schirmer, 1992), p.39. This was originally quoted in full in Chapter 2, p.181.

Some impetus is gained by repeating the first phrase in quaver rhythm and in the dominant (bb. 268-274), and then by further emphasising the dominant through broken chord and cadential figuration (bb. 274-82). This impetus never becomes assertive, however, as quiet dynamics and a melodic contour are maintained. With the pianissimo echo of the broken chord and cadential figuration, a sense of graceful introspection brings the dominant part of C to a close.

Ex.4.95: dominant repeat of first phrase, and broken chord and cadential figuration (bb. 268-82)

As a repeated version of the first half of C (1) that begins and ends in the tonic, the second half provides tonal balance (2). This stable tonal structure complements pastoral notions of simplicity, and indeed emphasises C as a self-contained, inner world, despite its beginning and end eliding with neighbouring sections.

1: I-V (bb. 256-282)

phrases:

- i. I- (ends on B minor)
- ii. IV sequence
- iii. V

2: I-I (bb. 282-312)

- i. I- (ends on B minor)
- ii. sequence (begins IV-ends E minor)
- iii. sequence (G, F, dim 7th, dim 7th, F, ends I)
- iv. I

fig. iv

In the second half (2, Ex.4.96 below), however, the suggestion of a return to a negative condition is stronger than before since there is more minor harmony. The first phrase (i.) is repeated to provide B-minor harmony again at the end (b. 289) and the sequence (ii) that follows initially starts in the subdominant (b. 290), but then changes to A minor (b. 291), a climax on $\text{vii}^{\circ 7}/\text{E}$ minor (b. 292) and resolution to E minor (b. 293). The exchange of roles between the hands, so that the melody is transferred to a low bass register, complements the darker, more subdued effect of the minor mode. A further sequence (iii) re-establishes the major mode and leads to the A-major tonic breaking from the pattern of the preceding passages where from starting in a major tonal region there is an end in the minor a tone higher:

part of 2: I-I (bb. 282-298)

- i. A major-B minor (bb. 284-89)
- ii. D major-E minor (bb. 290-3)
- iii. G major-**A major tonic** (bb. 294-8).

fig. iv a

The different outcome of phrase iii. is achieved by inserting at b. 297 diminished seventh harmony in place of the expected resolution to A minor. Consequently the preceding harmony at the expressive crux of the phrase (b. 296) cannot be interpreted as a diatonic seventh, as it could before in the corresponding parts of phrases i. and ii., but only as a diminished seventh. With two chromatic harmonies and a brief resolution to F major, the harmonic design becomes momentary more complex. Any tension, however, is removed by the immediate return of the tonic in the final phrase of the section (bb. 298-312).

The musical score consists of three systems of piano accompaniment. The first system (measures 282-293) shows a treble staff with chords and a bass staff with a steady eighth-note pattern. The second system (measures 294-303) continues this pattern with some melodic movement in the treble. The third system (measures 304-312) features dynamic markings of *sp* and *pp*, and ends with a 'major close' indicated by a fermata and a final chord.

Ex.4.96: second half of C (bb. 282-312)

Despite the foreign entities of minor and non-consonant harmony in the two sequences, C marks the third and final time in the sonata (after the coda of the second movement and the Trio) where an evocation of transcendence may be claimed from pastoral characteristics. Drawing on the associations of lyricism with 'phantasms, yearnings, memories and wishes of the imaginary',⁵⁸ and placing these within the context of the movement, is it possible to understand the section as a retreat from a tragic reality into the haven of the imagination. Only such a place can offer a glimpse of heaven and

⁵⁸ David Wellbery, *The Specular Moment: Goethe's Early Lyric and the Beginnings of Romanticism* (Stanford, 1996), p.17

deflect negative elements.

The retransition to A'', bars 312-44

With the re-contextualisation of the C theme in the retransition, it is possible to suggest a return to a present temporal dimension, one coloured by a tragic condition. No longer an introverted theme of lyricism with an accompaniment, the C theme is now presented in the minor mode, fortissimo, and alternates in contrapuntal inversion with the main subject. The energetic state of the retransition is maintained until the end, where dominant and augmented sixth harmony are alternated, each one divided into two contrasting registers (bb. 340-4 of Ex.4.97 below).

Ex.4.97: retransition to A'' (bb. 312-44)

The final reprise of the first section (A'')

By A'' it is possible to suggest from the dynamic, register and texture that C is evoked as a distant memory. In the left hand, the C theme minus its four-crotchet anacrusis is cast as a quiet accompaniment in thirds (bb. 346-55 of Ex.4.98 below). For Robert Hatten, parallel thirds act as a 'sweetener' of sonority and are a feature of the pastoral topic.⁵⁹ Here the thirds might be understood as a consoling gesture that softens the tragic effect of the minor mode. Above, the main theme is displaced an octave higher to recall section C in its original register. There then follows a juxtaposition of the tonic minor and major, recalling the passage before C but with an outcome in the minor mode. This further emphasises the return of a negative or tragic sphere:

(A'') A minor (bb. 346-51) A major (bb. 352-55) A minor (bb. 356-9)
 (before C) A minor (bb. 242-45) A major (bb. 246-47) A minor (bb. 248-9) A major (bb. 250-5)

The musical score for Ex. 4.98 is presented in three systems. The first system shows the main theme in the right hand, starting with a dynamic marking 'p'. The second system shows the C theme in thirds in the left hand, with a dynamic marking 'p' and a 'decr.' marking. The third system shows the C theme in thirds in the left hand, with a dynamic marking 'p' and a 'decr.' marking.

Ex.4.98: A'', bb. 346-59 (above) cf. to bb. 241-55 (below)

⁵⁹ Hatten, *Musical Meaning in Beethoven*, p.98.

The coda, bars 499-550

Through certain details, the coda is related to the one of the first movement. Its rise of register and dynamic is similar to the second expressive build-up of the earlier coda, and both share alternate tonic/dominant harmony near the peak and virtually the same final cadence. For most of the registral and dynamic ascent, material from A'' (the main subject and C theme) is put into the textural context of the retransition (contrapuntal inversion) and treated sequentially. By the second sequence (ii), a process of foreshortening is underway, reducing the time before material is reversed between the hands:

- i. D minor (bb. 503-510)
- ii. F major (bb. 511-516)
- iii. A minor (bb. 517-520)
- iv. A minor (bb. 521-beginning of b. 525).

The musical score for Ex. 4.99 is divided into five systems. The first system (bb. 499-502) features a piano (*p*) melody in the right hand with an *accelerando* marking. The second system (bb. 503-506) continues the melody with a *cresc.* marking. The third system (bb. 507-510) shows a dynamic shift to *f* and further *cresc.*. The fourth system (bb. 511-514) reaches a dynamic of *ff*. The fifth system (bb. 515-516) concludes with a final chord in the treble clef.

Ex.4.99: regstral and dynamic rise of coda (bb. 499-525)

To reach the regstral peak, alternations of tonic and dominant chords are again

used (bb. 525-8). Like those of the corresponding part of the first movement, these emerge from preceding material (theme C). There then follows a registral descent and decrescendo that leads to an assertive final cadence, virtually identical in terms of register, texture, dynamic and motion to the one of the first movement.

Ex.4.100: approach to peak, registral descent and final cadence of coda (bb. 525-50)

For each of the main sections of the finale there has been a different treatment of register:

sections

A and A'

B

C and A''

registral pattern

moderate, lack of extremes

varied, including some juxtaposition of extremes

mostly high.

Now with the coda, a rise and fall is sustained for a whole section for the first time in the movement. Although this recalls the contour of the first movement coda, one significance difference is the accelerando. This marking, fairly rare in Schubert's finales, affects the

entire section, creating a powerful accumulation of speed, and in particular intensifying the perpetual motion that has been heard throughout the A sections, the bridge to B and the retransition to A''. Consequently, the feeling of tension which was identified in the more deliberately paced first movement (between the positive gesture of upwards motion and the negative one of the minor mode, and between the expanding second rise and the sudden registral collapse) is no longer applicable. Nor do the alternating dominant/tonic chords near the peak convey an heroic gesture of defiance. Rather, a feeling of inexorability towards a conclusion already known is suggested.

The coda provides not only a fitting end to a movement marked by tragic obsessiveness but also underlines the moment of realization reached by the final phrase of the first movement. Having marked the significant moment of the sonata, there is no need to repeat the final phrase of the first movement; but the headlong rush to the same cadential close re-emphasises the sense of finality that was interpreted at the end of the earlier movement.

Conclusion

For constructing the main interpretation of the sonata and those of the inner movements, ‘*Todtengräbers Heimwehe*’ has been the most significant context. Comparing the interpretative trajectory of the song with the sonata and its movements provides a useful overview of each work, and invites further contextualisation of D845.

‘*Todtengräbers Heimwehe*’ (D842)

verses 1 and 2: gravedigger in graveyard
 verses 3: gravedigger gives up life of toil
 verse 4: ascends to heaven.

Sonata in A minor (D845)

movement 1: tragic realization of
 death and ghostly existence
 movement 2 and trio: vision of
 transcendence
 movement 4: reaffirm tragic
 realization

fig.v

The clearest difference between ‘*Todtengräbers Heimwehe*’ and D845 is that spiritual salvation is attained in the former and not in the latter. Yet the close similarity between the setting of verses 1 and 2 and the interpretation of the first movement suggests, perhaps, that the narrative trajectory of the sonata represents a different version of the one encapsulated in the song. Taken further, D845 might be said to represent what might have happened to the gravedigger if he had not risen to heaven. The psychological condition interpreted in the coda and final phrase of the first movement might, therefore, be said to reflect a gravedigger who is unable to leave a graveyard and ascend to heaven, a gravedigger, moreover, who is cursed to wander the very place he had longed to escape from whilst alive.

While the narrative processes of the first movement are in keeping with those of traditional tragedy (the eventual revealing to an unsuspecting protagonist of a catastrophic event that happened before the plot), the context is more modern. Indeed, from combining the subjective reading of the final phrase of the movement with the

setting and events of verse 2, a narrative akin to an archetypal ghost story has been suggested. The interpretation offered is not one that can be found in a Schubert song, but its trajectory of denial-realization in a macabre setting would have been familiar to him from the gothic novels circulating in Vienna in the 1820s, not least those written by Walter Scott.

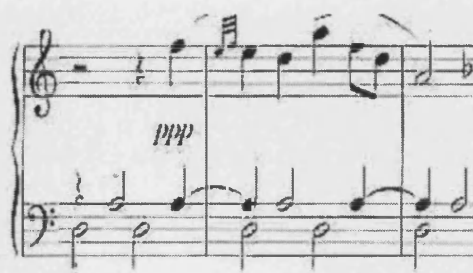
Since aspects of the coda of the first movement are recalled in the finale, it is also possible to affirm the original interpretation of a realization of death and existence as a ghostly apparition. While this would suggest primacy of status for the interpretation, this should not detract from the different readings offered for the inner movements. Indeed, as these movements are framed by tragic outer movements, they are elevated to a more sophisticated level of interpretation than would have been the case if they were independent pieces of music. Robert Hatten's interpretation of the second subject in the finale of the A-minor sonata (D784) is particularly applicable to the inner movements:

To experience the fragile episode theme's attempts to reconcile the tragic while lacking full support from the accompaniment is to experience an even greater expressive effect than would be gained by the direct representation of a stylistic gestural type correlated with grief. Our reaction to the pathos of the theme that cannot achieve what it attempts is a more complex and deeper kind of tragedy than that created merely by playing a theme in minor. It is the heartbreaking vision of the desired within the context of the impossible that makes the episodes so dramatically effective.⁶⁰

Since it is possible to apply Hatten's views to the slow movement and the trio rather than secondary themes and understand them in the context of outer movements that both end in the minor (the first movement of D784 ends in the parallel major), those views might be said to be represented more strongly in D845. Certainly they help to underline the poignancy of the inner movements as pastoral evocations offering a vision or memory of transcendence from a time when a higher existence seemed possible.

⁶⁰ Robert Hatten, *Interpreting musical gestures, topics, and tropes*, p.200.

In some of the recent Schubert scholarship, interpretation of all or part of the final trilogy of sonatas has been contextualised with *Winterreise*.⁶¹ Whilst this approach has suggested a degree of influence for the Müller cycle, seldom are earlier instrumental works cited for their potential significance on the later songs. The duality suggested by the placement of pastoral and tragic movements in D845, however, anticipates many of the *Winterreise* songs where a positive inner world is strikingly juxtaposed with a negative outer one.⁶² One moment that seems prophetic of one of the songs can be found in the development of the first movement, at the beginning of the second episode (Ex.4.23, pp.220). Here, on a rare occasion, motif a is harmonised and is put into a context where the pastoral and tragic are integrated for the only time in the sonata. With drone fifths, the minor mode and a hushed dynamic, the motif shares characteristics with the final song of *Winterreise*, 'Der Leiermann'. Further interpretation might suggest that the gravedigger, as represented in the sonata, is a distant relation to the protagonist of the song.



Ex.4.101: the opening of 'Der Leiermann' from *Winterreise* (below); Ex.4.23 of D845/I, bb. 105-7 (above)

⁶¹ See Fisk, *Returning Cycles* and William Kinderman, 'Wandering Archetypes in Schubert's Instrumental Music', *19th-Century Music*, XXI/2 (Fall 1997), pp.208-222.

⁶² The juxtaposition between and within movements was becoming a consistent feature of Schubert's instrumental music from the early- to mid-1820s.

XXIV:
Der Leiermann.
(Spätere Fassung)

Etwas langsam.

Singstimme.

Pianoforte.

pp

pp

Dräben! In dem Boek stehet ein Leiermann, und mit starren Fingern

...will be included some of the Schumann reception that might as well as to ...
 ...with any of the 1873 studies, none of it will provide a portrait of ...
 ...from which interpretation of the works will either parallel or differ. For the final part of
 the chapter, Robert Dunsing's recent theoretical discourse on gesture and his application of
 it to some of Schumann's pieces will offer contexts appropriate to the interpretative
 trajectories also presented specified in the 1873 studies. Regardless of how they
 drawn, the context will hopefully emerge as best rationally isolated from some of the
 certain words of Schumann scholarship.

Chapter 5

An analytical and interpretative comparison: understanding expressive opposition through concepts of tension, resolution, and gesture

Although each of the 1825 sonatas has been addressed in separate chapters, the final chapter will now return to earlier discussion in order to explore certain issues that were raised. Whilst the particular musical context of each sonata will still be respected, issues of tension, resolution, and gesture that have been briefly touched upon in earlier chapters will be discussed further and will provide opportunities to compare and examine each work side by side.

Following or accompanying discussion of tension, resolution, gesture and expressive opposition, will be included some of the Schubert reception that engages with or, in some cases, deliberately avoids these concepts. Whilst most of this reception is not concerned with any of the 1825 sonatas, much of it will provide a point of comparison from which interpretation of the works will either parallel or differ. For the final part of the chapter, Robert Hatten's recent theoretical discourse on gesture and his application of it to some of Schubert's sonatas will offer contexts appropriate to the interpretative trajectories and processes identified in the 1825 sonatas.¹ Regardless of conclusions drawn, the sonatas will hopefully emerge as less intellectually isolated from some of the current trends of Schubert scholarship.

¹ Robert S. Hatten, Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert (Indiana, 2004).

Interpreting tension in the 1825 sonatas

Although a wide range of musical components has been considered for all three sonatas, the primary focus of the analysis has been on register and dynamics. Indeed, while the analysis does not overlook material that has been traditionally significant to understanding sonatas (main themes, motifs, second subjects, for example), greater importance is derived from this material when it reappears in a changed expressive context. Such changes have also offered ways other than key or theme to identify formal sections of a movement, especially those of the second, third and fourth that are in a rondo or a ternary form. These movements provide clear examples of expressive opposition where contrasting expressive states (including contrasting topics) are juxtaposed.

Within juxtaposition, a passage or section has often been considered as reacting to a preceding one through a reversal of dynamic or motion and sometimes through a change of topic. As this reaction often seems abrupt and is seldom mediated with a passage of registral plateau or gradual quieting of dynamic, tension has often been claimed. This tension is viewed as considerable when there is, for example, a shift to the minor mode when the tonic is in the major or to a topic that opposes the predominant one of a movement. Similarly, when expressive opposition has been repeated over successive passages with gradual increase in contrast, as in the juxtaposition of oppositional motion in D845/I, a more conflicting situation arises.

Tension is also conveyed when the relationship between expressive opposition is more complex. Sometimes a movement problematises the contrast between two sections by carrying through some of the characteristics of one section into the repeat of the other.

D850/II provides an example, with the intrusion of some of the heroic elements of B into the returns of A, a section that originally was mostly passive. Tension is also identified when two or more different musical components presented simultaneously are shown to be not compatible. This is suggested for D850/I, where a lack of or unusual motivic transformation, slow harmonic rhythm and dynamic reversal to a *pp* appear within the fast dynamic tempo of the movement. Examples where there is tension between tonality and other musical components can be found in the other two sonatas. In D845/I, the positive characteristic of ascending motion is often put into the negative context of the minor mode; and in D840/I and III, the powerful context of a dynamic and registral rise to a peak, foreshortening and repetition of motifs is placed within a tonal and harmonic design where the tonic is weakened.

For each sonata, the identification of tension (whether from expressive opposition juxtaposed or presented simultaneously) has helped both construct and deconstruct interpretation. In D840, the dramatic/future orientated narrative has been problematised by the tension between musical components which effect either a strengthening or a weakening process. As the strong components suggested Beethoven, a dramatic narrative was deemed a more appropriate context of interpretation than the epic one claimed by Elizabeth Norman McKay. This choice drew on narrative/temporal definitions suggested by Emil Staiger from Heidegger's philosophy of consciousness and applied by John Daverio to later Schubert works. Other narrative/temporal types were not considered by McKay and only a brief allusion to Walter Scott and Romantic expression was offered by way of defining 'epic'.²

An examination of the tonality and harmony of the musical examples then revealed, in

² Elizabeth Norman McKay, *Franz Schubert. A Biography* (Oxford, 1996), p.215.

contrast to the motifs, dynamics and register, a context not applicable to Beethoven. The tension between two conflicting contexts suggested not only a problematic dramatic narrative, but also a contradictory process whereby Beethoven was being evoked while at the same time opposed. For the end of the examples, where the greatest degree of tension was revealed, the opposition was clearer and less ambiguous. Here the pianissimo dynamic, lyrical theme, resolution to a key neighbouring the tonic at the reprise or, in one case, the second subject, provided not only opposition from Beethovenian norms, but dramatic narratives associated with his music. With such evidence, a lyric/past narrative was applied to the end of three of the four main examples and was considered more important than the drama/future context given to the build-up. With this outcome, further divergence from McKay's epic characterization was taken.

Tension between different musical components (seldom including tonality and harmony but leading to an interpretation similar to D840's) has also been identified in D850. In the context of the fast tempo and rhythms of the first movement, the lack of and un-Beethovenian motivic transformation, slow harmonic rhythm and dynamic reversal to *pp* provided conflict and problematised a heroic narrative. Indeed these examples undermined the potentiality of the movement, suggested by the fast tempo and rhythms, to embody a linear narrative. From this lack of linearity and only a circulatory design convincingly represented, a heroic narrative was therefore compromised and Gál's view that the first movement is one of those where Schubert 'completely adheres' to 'the vital tension of form' exemplified by Beethoven's heroic works was countered.³

³ Hans Gál, *Franz Schubert and the Essence of Melody* (London, 1974), p.111.

In the second movement, Gál's contradictory interpretation that stresses assertiveness and dynamism in the first and greater passivity in the remainder of the sonata is reflected in the discussion of two contrasted states. The asymmetric relationship where characteristics of B intrude into repeats of A is reversed in the coda. This implies a resolution of tension and has important consequences for the interpretation of the sonata and for the movements that follow. In the scherzo and finale, distance from an assertive condition is both continued and taken further. What were previously heroic themes, become in the third and fourth movements dance inflected ones, and, more importantly, introspective passages appear at crucial moments in the structure: the reprises of A sections and codas. Particularly significant is the progressively quieter returns of A sections in the finale that culminates in a coda marked *ppp* and 'un poco più lento'.

In the hermeneutic reading of D845/I, the tension between two contrasting states is crucial to the interpretation of the movement and the sonata. Drawing on Robert Hatten's correlation of upwards motion with 'yearning' and downwards motion with 'resigning', tension is suggested from the juxtaposition of contrasting motion and its increased differentiation over successive phrases. As this process is at its most extreme in the coda, most tension and a culmination is identified here. Noting a negative condition created by the minor mode and repetition of a motif that in '*Todtengräbers Heimwehe*' denotes death, conflict is provided with the final ascent of the movement. As this ascent marks a continued and more concerted attempt to rise, one which like earlier attempts will fail since a registral descent will follow, a pathological condition of avoiding a tragic reality is interpreted.

In the final variation of D845/II, not only registral extremes but the juxtaposition of

topical and major-minor opposition suggested a degree of tension. As a journey of transcendence is traced from the beginning of the variation to the coda (where the lack of the minor mode suggests a closer distance to heaven), interpretative parallels were drawn to the corresponding place of '*Todtengräbers Heimwehe*'. From these parallels, it was possible to make more specific correlations: between the tragic topic and a dying body and between the elevated pastoral and a rising soul.

In the conclusion of D845, a tragic as well as transcendent status was conferred on the pastoral second movement and trio, suggesting a more subtle and less simplistic differentiation between topical opposition. While earlier in the chapter interpretation for each movement had relied upon '*Todtengräbers Heimwehe*', discussion in the conclusion moves away from this context to draw close parallels to a scenario familiar from *Winterreise* and used by Robert Hatten in the preceding A-minor sonata (D784). In his conclusion, Hatten draws attention to the episode theme of the finale, in particular to its failed attempt to reconcile the tragic gesture of the work. This suggests 'a more complex and deeper kind of tragedy than that merely created by playing a theme in the minor' and creates a 'heartbreaking vision of the desired within the context of the impossible.'⁴ With the interpretation of the pastoral topic in D845, a similar scenario is applied: the ends of the second movement and trio suggest an attaining of a higher spiritual existence; while the tragic frame ('the context of the impossible')⁵ affirms that the attainment is idealized and has not been reached. From this perspective, the pastoral inner movements acquire a tragic resonance.

The temporal distinction between the interpretations of the inner and outer movements

⁴ Hatten, *Interpreting musical gestures, topics, and tropes*, p.200.

⁵ *Ibid.*

is also likened to *Winterreise*. The inner movements are understood as recollections of the past when transcendence seemed possible, a temporal relationship often addressed in verses in the major when juxtaposed with those in the minor; while the outer movements signify a harsh reality in the present, a reversal of a situation that in the Müller songs is often accompanied with a reversal to the minor mode. For William Kinderman, ‘the experiential duality’ in *Winterreise* can also be applied to Schubert’s instrumental music since the same musical devices are often employed: ‘thematic and modal contrast coupled with abrupt modulation.’⁶ Although he acknowledges that ‘analogous musical contrast’ is already present in works before the 1820s, later examples such as the slow movements of the A-major sonata (D959) and the String Quintet (D956), are for him ‘the most impressive’ and show ‘an affinity to the wanderer archetype’ exemplified by *Winterreise*.⁷ The discussion of D845, a work not addressed by Kinderman alongside the later sonata and quintet, suggests how a scenario that was to inform a later song cycle and which has been applied to later instrumental music, might also be used for a work from an earlier year and for each movement.

From the topical opposition of D845, it is also possible to draw out implications of tension, something seldom considered by either Kinderman or Hatten when they address musical contrast in Schubert. Acknowledging tension between the pastoral inner movements and the tragic outer ones, however, offers further exploration of the expressive effectiveness of the topical opposition and provides further understanding of the tragic status of the pastoral. In isolation, the closing parts of the second movement

⁶ William Kinderman, ‘Wandering Archetypes in Schubert’s Instrumental Music’, *19th-Century Music*, 21, no. 2 (1997), p.209.

⁷ *Ibid.*, p.211.

and trio would suggest a fairly conventional representation of the pastoral topic where little dissonance occurs. In the context of the tragic frame, however, it is not only possible to claim a profound tragic condition for the movements (in keeping with Hatten's interpretation of the episode theme of D784/III) but suggest that the pastoral topic is tainted by such a condition. In their complexity, these interpretations problematise the notion of a pastoral scene denoting simplicity and as oppositions to the interpretative outcome of the first movement (the moment of significance), a degree of tension is suggested. Framed by the outer movements where death and an existence as a spectral vision without salvation is claimed, the inner movements as evocations of an earlier time when salvation seemed possible suggest a quiet desperation. Further interpretation might suggest that in evoking a positive memory of the past, a tragic reality is denied, an interpretation applied to the rising ('yearning') gestures of the coda of the first movement.

Tension in Schubert instrumental reception

For each sonata, tension has been considered as part of a musical process that leads to introspection or resignation. Identifying the former and the two latter conditions situates this study both in and outside current Schubert scholarship. As the concern of most scholars is to apply an analytical approach and interpretative context to Schubert removed from those applied to Beethoven, concepts traditionally associated with the older composer such as tension have been deliberately avoided. (This avoidance also reflects an awareness of the damage inflicted on Schubert by earlier generations when they compared him unfavourably to Beethovenian ideals.) In their place, concepts traditionally

associated with Schubert such as introspection and remembrance have been used and have been developed more fully and with greater sympathy. This has led, however, to a relative lack of engagement with music that cannot be labelled 'introspective', and while contrasting music is acknowledged, the potential conflict generated by oppositions is seldom explored. Scholars will therefore note the presence of contrasting musical sections or 'tableaux' where 'forward-facing sections are commonly alternated with static ones',⁸ but offer little explanation to how these sections function differently, how they might relate and affect each other, and why they occur in a particular order.

Charles Fisk is one of the few scholars in recent years to have interpreted tension between contrasting movements or sections. In his book Returning cycles: contexts for the interpretation of Schubert's impromptus and last sonatas,⁹ Fisk draws attention to the tension between tonal disruption and a diatonic framework. This serves, however, more important criteria: the tracing of motivic connections and an eventual goal of reintegrating material in a less conflicting context. Even with examples such as the C-sharp minor slow movement of the 'Wanderer' Fantasy (D760), where the conflict with the C-major tonality of the opening movement is 'dramatically, even violently presented', tonal connections and a return of material are still found and considered more significant.¹⁰

For the 'Wanderer' Fantasy and the last three sonatas, Fisk applies the same interpretative trajectory: the tonal disruptions of the first movements are heightened in the second and placed into less conflicting contexts in the third and fourth. For some

⁸ John M. Gingerich, Schubert's Beethoven Project. The Chamber Music, 1824-1828, PhD. diss. (Yale, 1996), pp.103-4.

⁹ Charles Fisk, Returning cycles: contexts for the interpretation of Schubert's impromptus and last sonatas (California, 2001).

¹⁰ *Ibid.*, p.64.

scholars this is too close to the dissonant-resolution process of heroic narratives and risks ‘silencing Schubert’s authentic compositional voice.’¹¹ Fisk, however, shows how such a process might serve a particular interpretative vision different from those associated with Beethoven. Drawing on the poetry of ‘*Der Wanderer*’ (Schmidt von Lübeck) and *Winterreise*, as well as Schubert’s own poem ‘*Mein Traum*’, he distils his views of the music ‘as a deep need for homecoming, for return from exile.’

In the conclusions of some recent discussions of Schubert’s sonatas, interpretations similar to Fisk’s have been offered. Robert Hatten has traced a pastoral trajectory in the G-major sonata (D894), from a state of ‘solitude’ in the first two movements to a ‘social’ environment suggested by ‘the folk dance’ of the finale; the end of the work, for him, ‘implies a redemptive outcome by reintegrating the individual into an idealized, communal world.’¹² William Kinderman has not provided a topical analysis, but his discussion of the A-major sonata (D959) is closer to Fisk in analytical, contextual and interpretative content, something that Fisk himself has acknowledged in the concluding chapter of his book.¹³ Cyclic connections are traced, *Winterreise* is used as a context, and the tonal disruptions of the second movement are ‘transfigured’ with a reversal to the major mode in the finale.¹⁴ This modal reversal suggests to Kinderman a possible solution to the wanderer’s existential dilemma, a dilemma between ‘the inner world of the imagination-dreams, aspirations, and bright memories- and the outer world of external reality.’¹⁵ In an earlier article on the F-minor Fantasy (D940), Kinderman

¹¹ Nicholas Marston, ‘Schubert’s Homecoming’, *Journal of the Royal Musical Association*, 125 (2000), p.265.

¹² Hatten, *Interpreting musical gestures, topics, and tropes*, p.67.

¹³ *Ibid.*, fn.8, p.302.

¹⁴ Kinderman, ‘Wandering Archetypes’, p.222.

¹⁵ *Ibid.*, p.209.

concentrates more fully on musical contrast, explicitly referring to the contrast of themes as ‘thematic conflict’ (a rare moment for the scholar when a condition synonymous with tension is suggested).¹⁶ For him, ‘thematic conflict’ becomes an important structural device and an effective means to convey ‘dramatic power’.¹⁷ The first and last movements reveal the most striking examples, where contrasting themes (including contrast of tonality and modality) are frequently juxtaposed.

Most of the discussion of tension in the 1825 sonatas has not drawn on any specific analytical model or from a specific example in a Schubert work addressed by another scholar; rather it is drawn from perceptions of each work, in particular from perceptions of their expressive opposition. The content and the relationship of some of the expressive opposition, in particular the simultaneous occurrence of conflicting components, offers an interpretation of tension different from those of Charles Fisk and William Kinderman detailed above.

In the examples from D840/I and III and D850/I, tension was identified between musical components presented at the same time which were either suggestive or uncharacteristic of Beethoven. In D840/I and III, a Beethovenian context was suggested by repetitive rhythmic motifs and a registral rise often accompanied by an increase in dynamic volume; the tonality and harmony, on the other hand, were shown to be not characteristic of the older composer. These passages could therefore be understood as a tonal and harmonic re-contextualisation of Beethovenian material, a not uncommon interpretation but one which is usually claimed after much or all of the material (usually a

¹⁶ Kinderman, ‘Schubert’s Tragic Perspective’, *Schubert: critical and analytical studies*, ed. Walter Frisch (Nebraska, 1986), p.81.

¹⁷ *Ibid.*

theme) has been presented.¹⁸ With the re-contextualisation in D840 taking place at the beginning of the material, a sense of tension was immediately created. In D850/I, the suggestion of a linear narrative from the fast tempo and rhythms was countered by passages of relatively slow harmonic rhythm, lack of or un-Beethovenian motivic transformation, and, for one sustained moment, a dynamic reversal to *pp*. While each of these has been associated with Schubert (and a slow harmonic rhythm has often been commented on in the fast outer movements of the Ninth Symphony), they have been seldom understood as relating in a conflictual way to a brisk tempo of a movement.

In D845/I, while discussion drew on Robert Hatten's semiotic correlation of 'yearning' with ascending motion and 'resigning' with descending, interpretation was once again governed by the musical context of the coda. With the final registral ascent being predominantly in the minor and involving the '*Todtengräbers Heimwehe*' motif, a positive gesture of yearning was problematised and interpreted as a denial of a tragic situation. This differs from Hatten's interpretations of Beethoven where a yearning gesture is often accompanied by the major mode and suggests either a heroic or at least an accepting response to a grim reality. Such responses are seldom applied to Schubert, however, who often elicits a sustained tragic reading even when he switches from the minor to the major.

¹⁸ One of the most common comparisons, between the theme of Beethoven's Thirty-two Variations in C minor (WoO 80), and Schubert's C-minor sonata (D958), does not show a divergence between the composers until after the A flat is reached: bar 6 in the former, bar 12 in the latter. In Beethoven, this leads to closure; in Schubert, the opposite: a prolongation that opens out to further transition. For a detailed discussion of this divergence from the A flat, see Charles Fisk, *Returning cycles*, pp. 181-184.

Resolution in the 1825 sonatas and in Schubert instrumental reception

These examples of tension in each sonata are identified in the first of a contrasting pair of expressive oppositions. Resolution is evaded or problematised in the second part, however, even if there is a significant change of tonality, dynamic, register or topic. In three of the four main examples of D840, a sense of conflict between different components is more acute by the end than during the build-up or at the peak. While some degree of resolution is suggested with the arrival of a pianissimo after a long diminuendo and a key after dominant preparation, as the key is an adjacent one to the tonic and marks the beginning of the second subject or recapitulation, a more complex situation arises. For the end of each example in D840, there is more tension between tonal disruption and a diatonic framework than those examples in the last sonatas discussed by Fisk. For Ex.IV, unlike the others in D840, this tension is not resolved at a later point as the movement peters out a few bars later and is left unfinished; with only a few bars of the reprise sketched, there is no opportunity to change from A major to the tonic of the movement, A flat major.¹⁹

A problematised or lack of resolution differs not only from the interpretation of Fisk, where tonal dissonance from earlier movements is de-emphasized in the finales, but also from those of Susan McClary and Richard Cohn, who do not claim any tension when Schubert modulates.²⁰ The process of complicating or evading resolution in Schubert is, however, identified by other scholars. In his concluding commentary to the String

¹⁹ This might be understood as an event too radical to be resolved, an interpretation which Peter Gülke has given to the middle section of the slow movement of the A-major sonata (D959). Gülke, *Franz Schubert und seine Zeit* (Laaber, 1991), pp.235-40.

²⁰ Susan McClary, 'Constructions of Subjectivity in Schubert's Music', *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. Philip Brett, Elizabeth Wood, Gary C. Thomas (Routledge, 1994), p.223. Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', *19th – Century Music* 22, no.3 (1999), pp.213-232.

Quintet, John Gingerich draws attention to the penultimate note of the work, D flat, not only as a cyclic reference to the D-flat trio and the minor music of the Adagio, but also as something left 'unreconciled'.²¹ For him this outcome contrasts with the 'heroic narrative of telos', a reason perhaps why earlier in the essay he avoids using tension even though it is implied when he reaches his interpretative conclusion of evaded resolution.²²

In identifying tension between a satisfying dynamic and registral outcome and a resolution to a key that problematises the tonic at an important moment in the structure, difference from Beethoven is also suggested in D840. On one occasion when the tonal outcome of one of the examples (the retreat from Ex.II) is resolved in a later movement, the context is not comparative to a heroic narrative of dissonance-resolution. Rather the reversal of the progression, from V9/C-B minor (second subject) in the first movement to B major-V7/C-C major (return of rondo theme) in the finale, is in keeping with the striking tonal design of D840; the latter is also particularly characteristic, as Paul Badura-Skoda has pointed out, of Schubert's C-major works.²³

For D850, only two moments of resolution are identified: in the coda of the second movement and in the central section of the trio. Since the first example resolves the earlier tension between expressive opposition in the movement, the most conflicting in the sonata, a pivotal moment is identified. Following the coda there is a more decisive shift in hierarchy between the opposition. This interpretation parallels the trajectory Fisk applies to the last sonatas, where the tonal dissonances of the first movement are

²¹ John M. Gingerich, 'Remembrance and Consciousness in Schubert's C-major String Quintet, D956', Walter Frisch (ed.), 'Music and Culture. Memory and Schubert's Mature Instrumental Music', *Musical Quarterly*, vol. 84, no.4 (Winter 2000), ed., p.631.

²² Ibid.

²³ Paul Badura-Skoda, 'Possibilities and limitations of stylistic criticism in the dating of Schubert's 'Great' C major Symphony', ed. Eva Badura-Skoda and Peter Branscombe, *Schubert Studies: Problems of style and chronology* (Cambridge, 1982), p.200.

heightened in the second and put into a less conflicting context in the remaining movements. The content of the opposition, however, differs: Fisk concentrates on certain tonalities against a diatonic background; while in D850/II, a heroic and pastoral condition is identified from dynamic, textural and rhythmic details. Both the interpretative outcome of the movement and Fisk's trajectory differ from John Gingerich's view that an

end of the movement provides closure, often even a brief summary of the preceding tableaux, but rarely does it establish a clear-cut hierarchy among them; usually it is not so much a resolution of the tension between preceding tableaux as a demonstration of their irreducible interdependence.²⁴

The second example concerns the resolution of G(7)-C major in the trio, a progression that earlier had a dissonant status in the first and slow movements. Each appearance of the progression marks a climactic moment, with the dynamic and rhythmic disruptions complementing the dissonant effect of the harmony. Although this simultaneous process is deemed significant in Andreas Krause's discussion of the sonata, he only offers one specific example: b. 79 of the second movement.²⁵ His choice of B-flat major as a tonality that is dissonant (especially in the first and third movements) and then less so in the finale, is also a less convincing example than the switch from dissonant to consonant status for the G(7)-C major progression. As this progression is one of the few considered worth mentioning, Krause's assertion that the tonal design is important and influences the trajectory of the work (especially the dynamics and rhythm) is undermined.

The dynamic trajectory of the work (tabulated in the conclusion of chapter 3) parallels Dieter Schnebel's idea of a 'formal diminuendo' and Andreas Krause's 'lowering of energy level'.²⁶ Neither scholar, despite bringing attention to the assertive dynamics and

²⁴ Gingerich, *Schubert's Beethoven Project*, p.104.

²⁵ Andreas Krause, *Die Klaviersonaten Franz Schuberts. Form. Gattung. Aesthetik* (Bärenreiter, 1992), p.194.

²⁶ Schnebel, 'Schuberts Ländler', *Dialekt ohne Erde* (Studien zur Wertungsforschung, 1998), p.32; Krause, *Die Klaviersonaten*, p. 195.

themes of the first movement, identifies a heroic context as part of his overview of the work or draws any significance from the end of the second movement. Identifying the heroic topic, however, offers a more specific context from which a reaction and change can be determined. It helps to suggest a reversal of heroic to dance themes and a hierarchic shift from the heroic to an introspective sphere that culminates in the *ppp* coda of the finale. A sense of opposition, though not ignored, is downplayed within the main interpretative concerns of Schnebel and Krause: the former applying a Volk-like dialect to the interpretation of each movement; the latter, a pastoral scene.

From the conclusions drawn from the end of the examples of D840 and the end of D850, a similar relationship to Beethoven is suggested: in both works the presence of material associated with the older composer is subverted in some way. Although this interpretation is familiar from discussions of Beethoven's music in Schubert, the analytical context and the relationship traced between expressive opposition departs from other discussions. The main differences are that heroic features rather than a specific work are identified and that these are located, not in a single phrase or passage, but throughout each sonata, particularly D850.

In the chapters on the two sonatas, some of the specific contexts (introspection, a poetic/lyric narrative) and musical details (register, dynamics, tonality) have been used by scholars to define difference from Beethoven when his music is encountered in Schubert. The idea of problematising a linear or dramatic/future narrative with conflicting musical details presented simultaneously is seldom explored, however. Indeed the particular claims of tension (the tonal context of the examples discussed in D840 and some of the motivic, dynamic and harmonic rhythm contexts of the opening movement of

D850) are virtually never made in discussions of Schubert. These interpretations, however, attempt to define and establish a particular relationship between features that though presented at the same time are not always compatible. They also highlight what is particular about each sonata: the allegro ‘alla breve’ tempo of D850/I (one of the fastest opening movements of a Schubert instrumental work) and the tonal design of D840 (one of the most unusual of any work finished or unfinished by the composer).

In both sonatas, resolution is either considered as a turning point in the interpretative trajectory or is problematised in some way. In D850, resolution is understood as effecting the expressive opposition, embodied in the heroic topic and music of a more passive nature. In the second movement, this opposition is at its most conflicting, and the coda quietens the conflict to mark a decisive shift in the interpretation. Resolution is therefore identified here and understood as a reaction that opens up a trajectory in the following movements away from the heroic topic. For each example in D840, tension remains by the end and is heightened by resolution to a non-tonic key at a significant moment in the structure. From its content and placement this resolution might therefore be said to be problematised, at least until a later point when the tonic is returned to.²⁷

In recent discussions of Schubert sonatas by Charles Fisk and Robert Hatten, ‘resolution’, a term with Beethovenian resonance, has been carefully avoided. In its place, however, a not too dissimilar word has been used: ‘integration’. Aware perhaps of this similarity, Fisk and Hatten have made efforts to understand an integrative process

²⁷ The resolution to an adjacent key to the tonic at the end of the examples is, however, the more memorable event than any later return to the home key. Richard Taruskin has applied this interpretation to the appearance of A-flat minor in the first movement of the Ninth Symphony. For Taruskin, the appearance of the trombones’ theme in this key at bar 200, despite being within an ongoing circle of thirds framed by a circle of fifths, is the most memorable moment in the progression. Richard Taruskin, ‘Chernomer to Kaschei: Harmonic Sorcery; or, Stravinsky’s “Angle”’, *Journal of the American Musicological Society*, vol. XXXVIII (Spring 1985 No.1), p.81.

within a particular Schubertian context: Fisk has drawn on *Winterreise* for the last three sonatas; while Hatten has suggested a pastoral journey from ‘solitude’ to the social world of ‘a more urban dance’ for the G-major sonata (D894).²⁸ Each writer has also reached a similar interpretative conclusion: the reintegration of a previously divided self.

In the chapters on D840 and D850, attempts have been made to use ‘resolution’ both selectively and in a context suggested by the sonatas. Since a process of subversion of Beethoven is being described, it seems appropriate that ‘resolution’ and tension’ with their association with the older composer have been used; indeed these terms help focus attention on the interpretation of the two sonatas. While tension is addressed by Fisk, to a lesser extent Kinderman and only occasionally Hatten, none of these scholars use it in conjunction with resolution; and both terms are absent from discussions of Beethoven’s music in Schubert. More important, for both D840 and D850, is how tension and resolution might help to define a relationship between expressive opposition and highlight the shift and emergence of a particular expressive condition as dominant. This stance differs from Arthur Godel’s view that the different components of a Schubert sonata are un-hierarchic and exist in ‘democratic juxtaposition.’²⁹

The difference in musical context between D840 and D850 also suggests a difference in the process of subverting Beethoven. D840 with its seemingly anarchic tonal design and problematised resolutions suggests greater alienation and a more troubled relationship to the composer. Indeed, for each of the main examples it might be possible to understand this relationship as one close to Harold Bloom’s view of influence as ‘a

²⁸ See fn.11

²⁹ Arthur Godel, ‘Schuberts letzte drei Klaviersonaten’ (Baden-Baden: Valentin Koerner, 1985), p.242. Amongst those who share similar views to Godel include: John Gingerich, Hans-Joachim Hinrichsen, Richard Cohn and Susan McClary.

fierce oedipal struggle with imperious predecessors.’³⁰ With D850 on the other hand, the subversion culminates in a less troubled sphere of introspection where the tonic is not undermined, suggesting a different relationship to Beethoven. Following D840 and the so-called ‘years of crisis’ (1817-1822) when Schubert was unable to finish any large-scale instrumental work, T.S Eliot’s view that an artist must surrender to tradition and sublimate it in order to emerge as original and independent might correlate with Schubert’s compositional experiences before D850.³¹ The particular stages of the process outlined by Eliot might also be mapped onto the different interpretative stages of the sonata. The process of surrendering to tradition might correspond to the specific parts where the heroic topic is evoked; a sublimation to the undermining of the heroic while it is being evoked in the first movement and to the coda of the second movement where the heroic features of B are contextualised with the quiet dynamics of A; and Schubert’s independence to the emergence of introspection as the dominant condition of the sonata.

In the hermeneutic reading of D845/I, resolution from a tragic condition is not attained. The movement neither ends with the parallel major nor with quiet dynamics to suggest a triumphant or transcendent reversal of the tragic, an interpretation that Robert Hatten has applied to the A-major and *pp* outcome of the corresponding part of the preceding A-minor sonata (D784). Rather, following a prolonged registral rise and an abrupt drop to the final phrase, the most contrasted registral extreme is encountered, suggesting the greatest degree of tension between yearning and resigning. Although

³⁰ Quote taken from John Daverio’s critique of Bloom, Crossing Paths: Schubert, Schumann, Brahms (Oxford, 2002), p.9. Original source, Harold Bloom, The Anxiety of Influence-a Theory of Poetry (Oxford, 1973). John Gingerich’s discussion of the Octet (D803) also offers another example of Bloomian influence, where he claims Schubert deliberately modelled a work on Beethoven (the Septet, op.20) in order to surpass it. See Schubert’s Beethoven Project, pp. 229-292.

³¹ T.S.Eliot, ‘Tradition and the Individual Talent’, Selected Prose of T.S.Eliot, Frank Kermode(New York: Harcourt Brace Jovanovich, 1975), pp.38-40.

earlier in the movement resigning responses to continued attempts to rise have suggested an acceptance that something undesirable cannot be avoided, only with the final phrase after the final registral fall is a protagonist fully implicated within a tragic situation. Here the repetition of the *Todtengräbers Heimwehe* motif in *ff* double octaves suggests for the first time a moment of self-revelation, where a protagonist is made aware of their death and existence as a ghostly apparition.

Identifying a motif linked to '*Todtengräbers Heimwehe*' and contextualising interpretation with the song through opposition of mode, motion, texture and dynamic, roots a hermeneutic reading with musical evidence. Despite the psychological implications of the interpretation offered at the end of the first movement, there is no attempt made in the chapter to pursue a biographical agenda that characterises some of the hermeneutic explorations of Schubert by New Musicologists.³² Charles Fisk's approach where he contextualises interpretation of the last sonatas with *Winterreise* in order to suggest how the music might satisfy a personal need of the composer's (to gain 'self-possession' and 'belonging' that he never fully achieved in real life) is therefore not emulated despite its persuasiveness.³³ Rather the chapter on D845 seeks to avoid the more speculative nature of New Musicology, that, without Fisk's analytical commitment and use of source material, often risks putting the musical text and the composer in the

³² See, for example, Lawrence Kramer's recent essay on the sixth of the *Moments musicaux* (D780), 'Hermeneutics and Musical History: A Primer without Rules, an Exercise with Schubert' in Musical meaning: towards a critical history (California, 2002), pp.1-10. Kramer builds on an earlier essay by Edward T. Cone that sought to understand the work from the perspective of Schubert's syphilitic infection. Kramer opens out Cone's argument to address the social stigma of the disease, and speculate on Schubert's attitude to it and his physical symptoms. For Cone's essay, see 'Schubert's Promissory Note: An Exercise in Musical Hermeneutics', Schubert: critical and analytical studies, pp.13-30.

³³ Fisk's view is similar to Wilfred Mellers', who two generations earlier wrote: 'He becomes his own Wanderer. Communing with solitude, he discovers a world of imagination which can soothe and satisfy as real life cannot.' Mellers, 'The Sonata Principle', Man and his Music, revised edition (Barrie and Jenkins, 1962), Part III, p.661.

background in order to fulfil particular interpretative criteria. The temptation to view the tragic aspect of Schubert's music as symptomatic of a tragic personal life is one that New Musicology has found hard to resist. This has often led, however, to a lack of sustained engagement between musical analysis and interpretation, so that the interpreter rather than the music is highlighted. This, hopefully, has not been conveyed in the chapter on D845, where attempts have been made to combine analysis with subjectivity without losing sight of the musical context and what might plausibly be applied to that context.

Despite the more committed hermeneutic response to D845, the interpretation of the sonata differs little from the others in terms of resolution. For each sonata, while the outcome of expressive opposition at the end of an example, of a movement or of the entire work is significant interpretatively, discussion is careful to distinguish this from a resolution, or at least, with D840, a conventional resolution. This distinction takes up the challenge of providing an interpretation for places where, in conventional sonata-form analysis, resolution is often unambiguously claimed. Some of the processes identified, for example the heightening of tension in the latter half of juxtaposed expressive opposition in D840 and D845/I and IV, either obscure or evade resolution. Such examples differ from those of Fisk who suggests an 'integration' of previously conflicting or contradictory elements by the end of the sonatas he discusses. It also differs from scholars such as John Gingerich, who despite recognizing an outcome of evaded resolution do not identify any previous tension.³⁴

³⁴ Alfred Brendel's own view of tension in Schubert is conveyed in his witty response to a quotation from Carl Spitteler's early monograph of the sonatas, 'Little tension, but an even sweetness and a deficiency of tempo': 'It is easy to deduce from Spitteler's comment that he had never heard good performances. It is to his credit that he paid heed to them at a time when nobody seemed to care.' Alfred Brendel, Music Sounded Out (Robson Books, 1990), pp.133-4; Spitteler's monograph, 'Schuberts Klaviersonaten', dates from 1887.

The significance of expressive opposition for Schubert and for Schubert reception

In the early-1980s, the scholar David Goldberger brought attention to the existence of another edition of D845 published by Pennauer in Schubert's lifetime. Without an autograph and only another edition by Pennauer to draw on as a source, Goldberger's discovery from the private collection of Jacob Lateiner, an American pianist, was important. Publishing his findings in an article, 'An Unexpected New Source for Schubert's A-minor Sonata, D845', Goldberger offered a detailed comparison between the two Pennauer editions.³⁵ From this comparison, he was able to determine a chronological order for the editions and also draw attention to some of the more significant changes that 'could only have been made by the composer.'³⁶



Ex.5.1: The earlier Pennauer (proof) edition; discovered by David Goldberger in the private library of Jacob Lateiner



Ex.5.1a: The later Pennauer edition (March 1826)

³⁵ David Goldberger, 'An Unexpected New Source for Schubert's A-minor Sonata, D845', *19th-Century Music*, vol. V (1982), pp.3-12.

³⁶ *Ibid.*, p.6.

Some of these changes, to dynamics and interpretative directions, are of particular relevance to this study and suggest from an editorial perspective that expressive opposition was important to Schubert. Often the alteration is to a more extreme marking, for example: *f* to *ff*, *pp* to *ppp*, and ‘*Mit Verschiebung*’ added to the trio.³⁷ With the addition of ‘un poco ritard’ and ‘a tempo’ to the opening motifs of the work in the later edition (detailed in Ex.5.1 and 5.1a), Robert Schumann was able to highlight an example of expressive opposition in Schubert. In his review of the sonata, Schumann drew attention to the difference between the motifs and the significance of this on the structure: ‘one must marvel at the magician who knows how to interweave and oppose them so unusually.’³⁸

Despite the brevity of Schumann’s comment, this was one of the first occasions expressive opposition had been addressed in a Schubert instrumental work. In subsequent reception to piano sonatas, orchestral and chamber music, epithets of contrast and opposition became pervasive. Donald Tovey emphasized ‘the dramatic and lyric contrast’ of the instrumental music, and a generation later, Kathleen Dale stressed similar qualities in the piano sonatas.³⁹ Just over a decade after Dale, Wilfred Mellers in his survey of sonata forms from c.1750 to the end of the nineteenth century was to define the duality of Schubert’s music and carefully distinguish it from those of Beethoven and Mozart⁴⁰

A generation after Mellers, Hugh Macdonald suggests an extreme psychological condition for musical contrast, one which is cathartic to the composer. In various

³⁷ Ibid. For a comprehensive list of changes, see ‘Appendix’, pp.10-12.

³⁸ Quotation taken from, William S. Newman, *The Sonata Since Beethoven* (New York, The Norton Library, 1972), p.211. Original source, *Gesammelte Schriften über Musik und Musiker von Robert Schumann*, ed. Martin Kreisig (Leipzig, Breitkopf und Härtel, 1914), pp.124-5.

³⁹ Donald Francis Tovey, *The Heritage of Music*, ed. H.J.Foss (Oxford, 1927), p.10; K. Dale, *The Piano Music*, *Schubert. A Symposium*, ed. Gerald Abrahams (London, 1946), pp. 132-5.

⁴⁰ Mellers, ‘*The Sonata Principle*’, p.661.

instrumental movements, Macdonald highlights certain moments which represent a release of what Schubert repressed in real life: ‘a volcanic temper.’⁴¹ Elizabeth Norman McKay in her biography draws upon these views and many of the same musical examples, especially the slow movements of later instrumental works. Without the suggestion of the therapeutic benefits of expressing anger musically, however, her interpretation is bleaker: ‘a sudden rage shatters an established mood of, for example, quiet reflection, suggesting an increase in violence and desperation in Schubert’s inner world’.⁴² Included in her discussion are movements of the 1825 sonatas: D845/I and II, D840/I and II, D850/II.

Of other recent scholars, William Kinderman has been no less vivid in his descriptions of some of the late instrumental music. In the slow movement of the A-major sonata (D959), one of the most extreme examples of expressive opposition, he draws attention to the B section as an ‘eruption, breakthrough or breach in the prevailing music discourse’ that ‘annihilates the frame of reference’ of A.⁴³ At the end of his discussion, although he attributes a philosophical context to the composer (‘Schubert’s importance lies both in the intense knowledge of the dualistic world view and in his glimpse of a solution to the dilemma, opening a window of escape from the dualistic bind of modern existence’),⁴⁴ he eschews any biographical agenda. Instead, he prefers to contextualise interpretation with concepts derived from the *Winterreise* poems.

Although this article on the A-major sonata (D959) and the String Quintet (D956) offers no discussion or mention of the 1825 sonatas, Kinderman’s survey of all the

⁴¹ Hugh Macdonald, ‘Schubert’s Volcanic Temper’, *Musical Times* 99 (1978), pp.951-2.

⁴² Elizabeth Norman McKay, *Franz Schubert*, p.148.

⁴³ William Kinderman, ‘Wandering Archetypes’, p.213/218.

⁴⁴ *Ibid.*, p.222.

sonatas in the Cambridge Companion to Schubert draws attention to expressive opposition in D840 and D845. Echoing Schumann's review of D845, Kinderman offers a view that both sonatas mark 'a new stage in Schubert's resourceful treatment of thematic contrast and development within the sonata design.'⁴⁵ Such a view also supports discussion of D845/I in this study, where an analytical comparison between motifs revealed a close and shifting set of relationships; this, in turn, supported the hermeneutic reading offered at the end of the movement.

In keeping with the practice of defining the structure of Schubert's slow movements through contrast of expression and with extreme psychological and cultural contexts, Alfred Brendel's writing can be considered alongside those of Kinderman, McKay and Macdonald. In his first collection of essays, Musical Thoughts and Afterthoughts, Brendel draws attention to the structure of the movements as either 'ABA or ABABA' and views the contrasting sections as 'always more agitated-in the late works sometimes as if shaken by fever'.⁴⁶ In a later essay, on the last three sonatas, the pianist compares the extremes of Schubert's music to Goya's paintings, a context which Kinderman adopts and elaborates on further in his discussions of D959/II.⁴⁷

On the rare occasion a chapter or article is devoted to one of the 1825 sonatas, expressive opposition is usually mentioned at some point but is seldom the focus of the analytical interpretation. An exception, however, can be found in an article devoted to D845/I by Lasse Thoresen, 'An auditive analysis of Schubert's Piano Sonata Op.42'.⁴⁸

⁴⁵ William Kinderman, 'Schubert's piano music: probing the human condition', Cambridge Companion to Schubert, ed. C H Gibbs (Cambridge, 1997), p.158.

⁴⁶ Alfred Brendel, Schubert's Piano Sonatas, 1822-1828, 'Musical Thoughts and Afterthoughts' (Robson Books, 1976), p.61.

⁴⁷ Brendel, 'Music Sounded Out', p.76/131; Kinderman, 'Wandering Archetypes', p.219 and 'Schubert's piano music', p.163.

⁴⁸ Lasse Thoresen, 'An auditive analysis of Schubert's Piano Sonata Op.42', Semiotica, LXVI 1-3 (1987), pp.211-237.

This is comparative to the present study in certain respects, most noticeably in the avoidance of a pre-existing analytic methodology in favour of grouping a wide range of musical components into patterns of opposition. Thoresen does not concentrate on any specific component more than others, however; there is no attention or particular significance given to contrasting motion that characterised earlier discussion on D845/I, for example.

As well as content of analysis, comparison can be made between interpretative contexts. One clear similarity is between Thoresen's temporal context of 'time fields' understood from a backwards, present, forwards perspective and Emil Staiger's temporal/narrative types of past/lyric, present/epic and future/drama used in the chapter on D840. Conflict or tension is also important to this study and Thoresen's article. In his discussion, conflict helps to define 'the structure underlying the contextual meaning'. Indeed, for him, in order to move from one state to a contrasting one, conflict is needed, and this can be defined as 'latent', 'more open' or 'new' according to the temporal direction of a particular time field.⁴⁹ While the chapter on D845 is no less committed to analysing moments of tension throughout the first movement, it differs in two respects. One, the tension between opposing motion (between gestures of yearning and resigning) is traced as a cumulative process that can be either heightened by repetition where the distance between the motion is increased or problematised by conflicting components presented at the same time (for example, a registral rise in the minor mode). Two, although the culmination is reached in the coda, no positive resolution of a tragic situation is identified since the minor mode prevails. The first is not addressed by

⁴⁹ Ibid., pp.222-3.

Thoresen and the second contrasts with his view that the final phrase of the movement represents ‘a reconciliation of conflicting elements’, an interpretation applied to other sonatas by Kinderman and, in particular, Fisk

One further difference is that yearning, or to use Thoresen’s definition ‘longing’, is less significant to his interpretation than to the one of the chapter. ‘Longing’ is only understood in the development section as a brief transitory vision where an object of desire appears then fades. It is just one part of the Hegelian dialect that Thoresen constructs for the first movement, a dialect where there is a constant shift between contrasting states.⁵⁰ In the chapter on D845, ‘yearning’ is not put into the context of a love affair remembered or idealized, but interpreted as a disturbed psychological condition. With the continued attempts to rise, a continued yearning for something better is interpreted; since this is in the face of a tragic situation, the yearning is understood as a deliberate attempt to avoid a less than desirable reality.

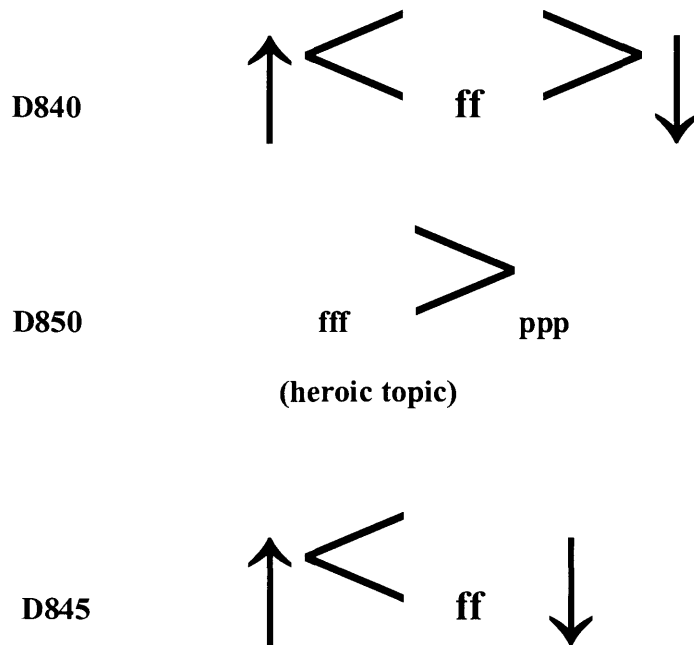
Understanding expressive opposition in the 1825 sonatas as gesture

For the final part of the conclusion, a more general comparison will be made between the three 1825 sonatas. This comparison will be understood as one of gesture, a context that has only been applied with any consistency to D845. Earlier, Robert Hatten’s semiotic theory of ascending motion correlated as ‘yearning’ and descending as ‘resigning’, proved helpful and relevant to D845. In order to understand all three of the sonatas in terms of gesture, some of the theoretical contexts from his later study, Interpreting musical gestures, topics, and tropes: Mozart, Beethoven, Schubert, will

⁵⁰ Ibid., p. 224.

now be used.⁵¹

Each of the interpretative trajectories of the 1825 sonatas may be understood through the following gestures:



Stretched across an entire work, these gestures form a background agency where different musical components (register, dynamic, tonality, and topic) are subsumed and ‘a dramatic arc and an outcome’ is created.⁵² The gestures of D840 and D845 have also been shown on a smaller structural scale, as isolated examples in a particular movement. Compared to those Hatten finds in the A-major sonata (D959) and the A-minor sonata (D784), however, they are considerably longer and differ in content. The expressive build-ups of both D840 and D845 are defined through a rise in register and dynamic; following a peak, these features are reversed in D840 over a similar timescale, while in D845 there is a registral fall shorter in duration than the rise. Often these respective gestures form an

⁵¹ For source details, see fn.3.

⁵² Hatten, *Interpreting musical gestures, topics, and tropes*, p.290.

extended passage in a movement. In contrast, the gestures identified by Hatten in the A-major sonata and the A-minor sonata are ‘two sound events’ of contrasting articulation and rhythm lasting for barely a bar.⁵³

Combining different musical components, the gestures of the 1825 sonatas have prompted discussion of expressive meaning, a connection which Hatten has highlighted. This expressive meaning is constructed from interpretation of musical opposition and helps to deconstruct the interpretative criteria of Hans Gál that has been applied to D850 and of Elizabeth Norman McKay to D840. The identification of opposition has also illustrated a gesture’s ability to encompass and convey what Hatten describes as ‘rhetorical action’, where ‘a sudden reversal, a collapse, an interpretation, or a denial of implication’ occurs.⁵⁴ In D840 and D845 (to reiterate), this can be clearly seen in the reversal of dynamic and register, and in one instance (Ex.III of D840/I), a last minute reversal of mode from the one expected.

A common criticism of Robert Hatten’s earlier book, Musical Meaning in Beethoven: markedness, correlation, and interpretation, was that it discussed musical examples and topics too rigidly: structural analysis was separated from interpretation and a fixed meaning was often imposed.⁵⁵ In his recent book, however, he is more consistent and convincing in mingling ‘structural and expressive vocabulary’, and is able to exemplify his theoretical statement: ‘we structure an expression’ and ‘we express a structure’.⁵⁶ For Hatten, gesture provides the means to ‘bridge the perceived gap’ between structure and

⁵³ Ibid., pp.180/187.

⁵⁴ Ibid., p.95.

⁵⁵ Nicholas Cook and Nicola Dibben, ‘Musicological Approaches to Emotion’, in Music and Emotion: Theory and Research, eds. Patrik N. Juslin and John A. Sloboda (Oxford, 2001), pp.62-3; Stephen Rumph, ‘Mozart’s Archaic Endings: A Linguistic Critique’, Journal of the Royal Musical Association, vol.130, part 2 (2005), p.187.

⁵⁶ Hatten, Interpreting musical gestures, topics, and tropes, p.10-11.

expression, and importantly, in his discussion of Mozart, Beethoven and Schubert, is not treated as a fixed entity but as something which evolves across whole movements and cycle of movements.⁵⁷

Examples where an expressive context helps to define a form were detailed at the beginning of the conclusion, with reference to the rondo or ternary structures of the second, third, and fourth movements. Discussion of these movements in earlier chapters clearly illustrated Hatten's assertion that 'we structure an expression' and 'we express a structure' and was characterised by a mingling of 'structural and expressive vocabulary'. Evolution of each gestural trajectory was also argued in each sonata chapter. The gesture of a build-up, peak, and retreat in the first and third movements of D840 was adapted to the increase, peak, and decrease of contrast across the second movement. In D850, the trajectory of distancing the heroic was evolved through contexts particular to each movement. In the first, there was a subtle undermining of the heroic topic through tonality, harmony, harmonic rhythm, dynamics and thematic placement different from those in corresponding places of Beethoven. These contexts made it difficult to claim a linear narrative associated with the older composer. In the slow movement, a juxtaposition of expressive opposition (assertive/heroic vs. passive/pastoral) suggested a more conflicting situation, one that was only resolved by the coda. Momentum away from the heroic was then identified in the following movements. In the scherzo, the reprise reversed the *ff-p* order of the phrases from the two preceding sections so that quiet passages were placed in a more structurally important position. The dance (*Ländler*) theme, through its tonal and structural connection and expressive opposition to the hunter

⁵⁷ Ibid.

theme of the first movement, was considered as displacing an earlier example of the heroic. These details of the scherzo were also understood as putting the heroic moments of the movement (for example, the main theme) into a transient perspective. The finale took the distancing process even further, drawing on the largest amount of unassertive passages in the sonata and putting them in a framing position in each section. Unlike the second movement, the agitated rhythms of the contrasting section did not disturb the reprise of the main theme but heightened its original character of grace. This led to the final part of the distancing trajectory, where the coda was marked *ppp* and 'un poco più lento'. The parameters of the trajectory were highlighted with the brief formation of an expressive opposition, between the veiled reappearance of the head of the main theme at the end of the finale and the *fff* rhythmically augmented motif *a* at the end of the first movement.

In D845, there is a constant evolving of the tragic interpretation. Through registral patterns of ascending and descending motion (correlated as 'yearning' and 'resigning'), the presence of the minor mode, the *Todtengräbers Heimwehe* motif, *ombra* and archaic characteristics, the first movement establishes a tragic tone for the work. Within the movement, however, the tragic is evolving towards an outcome reached in the final phrase. The inner movements then mark a change: the transcendent interpretation of the second is defined through the major mode and the elevation of pastoral characteristics through a registral pattern where a higher tessitura follows a lower one and the reduction of dissonances. The trio is similarly defined, but with the juxtaposition of registral extremes where a high position is followed by a low one, a depiction of willed abnegation is suggested; this nuances the transcendent interpretation. Since both movements are

framed by tragic outer ones, their depictions of transcendence are considered as ones imagined rather than attained, a status later understood as tragic. The scherzo shows how tragic, pastoral and transcendent topics might be treated humorously. This treatment is suggested by the fast tempo; exaggerated dramatic gestures that involve sudden changes of register, dynamic and mode; metric displacement and irregular phrase groupings. In the finale, the tragic condition is evolved through obsessive and shifting contexts particular to the movement. Obsessiveness is suggested by repetitions of motifs, perpetual motion and quickness of tempo; the shifting process to the transformation and structural displacement of motifs. A vision of transcendence is also interpreted again, with the identification of pastoral characteristics in the central section (C). Respite from the tragic is momentary, however, as the C theme in the following re-transition is placed in the minor mode and is transformed dynamically and texturally. The coda, by recalling the corresponding part of the first movement through shared features (an expressive rise and fall, alternate tonic/dominant chords at the peak and the same cadential close), helps to create a tragic frame for the work. As these features are absorbed within the *accelerando*, perpetual motion, motivic foreshortening of the finale's coda, however, there is none of the tension that characterised the oppositional motion of the first movement, nor a sense of heroic defiance with the tonic/dominant alternation. Instead the coda is understood 'as a feeling of inexorability towards a conclusion already known'.⁵⁸ Since the final phrase of the first movement marked a moment of revelation, there is no need to repeat it; but the 'headlong rush to the same cadential close re-emphasises the sense of finality that was interpreted at the end of the earlier movement.'⁵⁹

⁵⁸ Quotation from chapter 4, p.317.

⁵⁹ *Ibid.*

Although both Kinderman and Fisk have addressed texture, dynamics, rhythm, register, articulation, and occasionally topics, pedalling, tempo, overtones, none of these are given centre stage in their analytical interpretations of Schubert's piano music. Robert Hatten, however, with his theoretical discourses on gesture and his discussion of gesture in two of Schubert sonatas, has shown that it is possible to build an analysis around 'articulation, dynamic shading and temporality.'⁶⁰ Indeed, for him, 'these may be as important, or even more important, than pitch motivic relationships in the unfolding thematic discourse' and illustrate how it might be possible to move 'beyond structural and formal hierarchies that are often the stopping place for analytical enquiry.'⁶¹

While the analytical focus of this study has differed from Hatten's, it draws on his views that melodic motifs, tonality and form should not obscure other components, especially when those components might help to define the trajectory of a work. Discussion has therefore drawn attention to the importance of register, motion, dynamics and sometimes topics, in shaping each sonata; and although tonality and form have also been considered, they have not restricted or inhibited the analysis.

While the intellectual trajectory of this study, from interpretative criteria provided by scholars of an older generation to those of the current one, has been important, the most significant factor has been the musical text itself. Negotiating between Ferdinand de Saussure's maxim 'meaning is difference' and Jacques Derrida's view that potential meaning is rooted in the text and is neither singular nor fixed, the musical evidence of these sonatas has ultimately guided the interpretation. Following an initial engagement

⁶⁰ Hatten, *Interpreting musical gestures, topics, and tropes*, p.177.

⁶¹ *Ibid.* p.177/288.

with these works on a performance level, this written study has attempted to articulate and build on what was originally perceived intuitively and from an aural perspective. In turn, it is to be hoped, that the discussion of this study offers further insight for those performers and listeners wishing to explore these works.

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