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SCHUBERT'S APPRENTICESHIP IN SONATA FORM: THE EARLY STRING QUARTETS

Volume I

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Abstract

Until recently, Schubert's sonata forms have been treated as the partially successful products of a classicist who often misunderstood his models. The development of sonata form in his early string quartets, though, raises serious questions about such a view. The quartets (ca. 1810 to 1816), constitute the composer's first concentrated work in large-scale instrumental music and include some of his earliest compositions in any genre. The first sonata-form movements all lack the most basic features of the structure, specifically a clearly delineated subordinate theme and subordinate key in the exposition. The evolution of Schubert's sonata form from 1810 to 1816 consists of an expansion to encompass such necessary tonal and thematic contrast. This process, however, does not lead to a close imitation of the Classical prototype but rather to a highly original reinterpretation of the form. By the end of 1814, many of the distinctive tendencies in his writing are already evident. These include (1) unusual modulatory strategies dependant upon tonal ambiguity and surprise, (2) the first signs of an intensely lyrical quality in the thematic material, (3) complementary, as opposed to derivative, thematic relationships, in which the musical discourse is divided between two contrasting motivic regions connected by underlying harmonic links and (4) a widespread allusiveness in his handling of harmony, which allows an initial harmonic event or "sensitive sonority" to become increasingly significant as the music proceeds. Ultimately Schubert's innovative approach to sonata form, while weakening the Classical attributes of clarity and conciseness, infuses a new atmosphere into the structure, making it the perfect vehicle for the expression of Romantic sentiment.

Résumé

On a longtemps consideré les formes sonates de Franz Schubert comme des produits imparfaits d'un "classiciste" qui comprenait mal ses modèles. L'étude du développement de la forme dans les quatuors à cordes de jeunesse met cette idée en question. Ces quatuors, écrites entre 1811 et 1816, représentent les premières tentatives du jeune compositeur dans les grands genres instrumentaux. Certes, les tout premiers mouvements en forme sonate offrent des structures incomplètes: les expositions ne comportent pas de theme subordonné et n'établissent de tonalité contrastant avec le ton principal. Les efforts évidents des quatuors suivants à créer des contrastes ne mènent pas à une imitation simple du modèle classique, mais conduisent à une conception formelle neuve et très originale. À partir de la fin de 1814, tous les traits caractéristiques de son style sont désormais en place, en particulier (1) une manière innovatrice de moduler, fondée sur l'ambiguïté tonale et les surprises harmoniques; (2) un lyrisme intense dans les sections thématiques (qui n'ira qu'en s'accentuant); (3) une organisation thématique fondée sur la complémentarité des rélations, plutôt que la dérivation, où les sections contrastantes sont liées par des éléments harmoniques communs; et (4) un maniement allusif de l'harmonie, qui expose une "sonorité caractéristique" au début du mouvement et enrichit sa signification dans le courant de l'oeuvre. Par ces traits, la forme sonate chez devient un véhicule privilegié de l'expression romantique.

Acknowledgements

In the ensuing pages, it will soon become obvious how much my dissertation owes to the theories of my advisor, William Caplin. My debt is much greater than this. His many helpful suggestions, patience and encouragement over the years have made my task much easier. Most of all, his clarity of thought and conciseness of expression are two qualities in his writing that I admire and have tried to reproduce in my own with much labour, but unfortunately not always the greatest success. I am deeply indebted to Cynthia Leive, Librarian of the Marvin Duchow Music Library at McGill University, for her kind help during the final stages of this project. I would also like to thank my fellow graduate student François de Médicis for the many stimulating and entertaining exchanges we have had about our respective obsessions and for the infectious enthusiasm he brings to all things musical. Family love is often capital one spends without thinking: I have been very fortunate in the support I have received from my father, mother, brother and sister over some long and, at times, trying years. A patient and understanding ear can often mean more than any interesting discovery. My brother, John Black, in particular, has contributed significantly to my work through his generosity, technical expertise and profound knowledge of music. Above all, though, this study is dedicated to the memory of my father, Desmond Ernest Marshall Black (1916-1994), whose love of music first awakened my own.

CONTENTS

VOLUME I

Abstract ii
Résumé iii
Acknowledgements iv

Introduction 1

Position and Significance of the Early Quartets in Schubert's Work 3
Theoretical Basis and Methodology of the Study 12
Structure of the Study 18

Part I Critical and Musical Models 20

1. The Critical Reception of Schubert's Instrumental Music 21

"We will never make a Haydn or a Mozart of him": Schubert, the Song Composer 22
"A child of the gods, who plays with Jove's thunder": Schubert the Natural Artist 29
"When compared to the monarch in the kingdom of sound": The Beethovenian Yardstick 34
A New Perspective: Schubert and Brahms 37
Modern Appreciation of Schubert's Sonata Forms 40
Contemplative versus Dynamic Form 42
Critical Treatment of the Early String Quartets 45

2. The Epitome of Schubert's Mature Sonata Forms: The *Quartettsatz*, D. 703 54

The Element of Contrast 56
Motivic Links 60
Recurring Harmonic Ideas 64
A Characteristic Use of Cadences 66
Further Tonal Intricacies 72

Part II The Early String Quartets 80

3. Schubert's Initial Difficulties with Sonata Form: The Path Towards a Subordinate Theme 81

Seeds of the Future: Overture in C Minor, D. 8 83
Form with Minimal Contrast: Quartet in G Minor/B-flat Major, D. 18, i 91
Thematic Contrast without a Tonal *Raison d'Être*: Quartet in D Major, D. 94, i 94
Emergence of a Harmonic Motive 98
Tentative Establishment of a Subordinate Key: Quartet in C, D. 32, i 105
Pursuit of the Harmonic Motive 108
Unfulfilled Promise of a Subordinate Theme: Finale of the C-Major Quartet, D. 32 113
Establishment of a Subordinate Theme and Key: Quartet in B-flat Major, D. 36 119

4. The Quartets of 1813: First Hints of an Emerging Personality 128

Continuity and Motivic Control: Quartet in C Major, D. 46, i 131
Expansion of the Transitional Process: Quartet in B-flat Major, D. 68 139
Increasing Scope of Harmonic Motives 144
Developmental Transition: Quartet in D Major, D. 74, i 147
Readjustments in the Transitional Process: Quartet in D Major, D. 74, iv 152
Classical Convention and the Symphony in D Major, D. 82 155
Developments of 1813 in Review 160

5. The Achievement of a Personal Sonata Style 162

Melodic Contrast, Harmonic Continuity: Quartet in E-flat Major, D. 87, i 163
Tonal Cross-references and the Modulatory Process: Quartet Fragment in C Minor, D. 103 171
From Experimentation to Innovation: The Quartet in B-flat Major, D. 112, i 179
Interlocking Cadences and the Tonal Process: The Quartet in G Minor, D. 173, i 191
Towards a Personal Voice: The Development of the Early Quartets in Summary 199

Part III The Mature Sonata Style 206

6. Motivic Concentration in Schubert's Late Sonata Forms 207

Monothematicism Transformed: The Piano Sonata in A Major, D. 959, i 208

Key Connections and the Harmonic Motive: Symphony in C Major ("The Great") D. 944, i 216

7. Schubert's Sonata Forms in their Historical Perspective 229

The Early Quartets as an Expression of a Romantic rather than a Classical Aesthetic 230
Early Transitions: Emergence of a Coherent Strategy 239
Mature Transitions: Schubert's "Wrong Digressions" to a New Form 249

8. Significance of Schubert's Modulatory Strategies for the Form as a Whole 269

The Recapitulation Problem 270
Motivic Key Relations: Quartet in D Minor "Death and the Maiden," D. 810, i 282

9. Conclusion: Schubert's Sonata Form as a Vehicle for Romantic Sensibility 298

Lyrical Sonata Form 300
Illusion and the Processes of Sonata Form 318
"The traces of the past and future in the present": Tonal Allusion and Romantic Time 328
The Remembrance of "that which never was": Schubert's Lyricism and Romantic Memory 333
A last Glance at the Schoolroom: Schubert and Classicism 341

Bibliography 353

VOLUME II

Musical Examples (see separate list at the beginning of Vol. II)

INTRODUCTION

Discussing the youthful works of a composer presents certain problems for a writer, at least as far as fairness is concerned. The first creative stirrings of even a genius inevitably contain wrong turns, weaknesses and outright failures. It is difficult, then, from the perspective of one who knows the by-now generally accepted answers, not to play the fatherly school teacher, staring over the youngster's shoulder and occasionally pointing out a mistake, or making a helpful, but unsolicited, suggestion.

Admittedly, some composers do not lend themselves to such well-intentioned condescension. With great forethought, Brahms cleared out all the odds and ends of his "youthful indiscretions" before any unwelcome guests could poke around in them. If the anonymous but eminently Brahmsian Piano Trio in A Major, op. posth., is indeed by the composer, then such thorough house-cleaning may have left later generations musically poorer.

In the case of Mendelssohn, self-censorship would have only hampered our appreciation of his precocious genius. Many of his early works–the three Piano

Quartets (op. 1 to op. 3), the Piano Sextet in D Major, op. 110, and, of course, his first masterpiece, the E-flat Octet for strings, op. 20–exhibit a grasp of large-scale form that even the most hard-nosed critic must admire. Their culture, elegance and poise are all reflected in the dedication of the Piano Quartet in B Minor, op. 3, to Goethe, who was a close personal friend of Mendelssohn's teacher Carl Friedrich Zelter.

Certainly Schubert's early string quartets cannot match the polish and sureness of construction in Mendelssohn's juvenilia. In fact, they are filled with so many problems, that, when the first "complete" edition of Schubert's works was published by Breitkopf und Härtel in the late nineteenth century, these pieces were only admitted on sufferance. The editor of the string quartet volume, Eusebius Mandyczewski, stated his policy unequivocally in the general comments to his critical notes:

> Apart from the Lied, there is no other genre in Schubert's work whose development was pursued so thoroughly as the string quartet. Stimulated by his practical involvement, he cultivated this [type of music] with particular devotion, especially in his earlier years. We have published in our edition only as much of the extant material as seemed necessary to show the course of [Schubert's] development. Schubert wrote more quartets like the first ones issued here. Not everything that Schubert produced in this genre has survived; not everything that has survived ought to be published. What has been published will amply suffice to show with what diligence Schubert applied himself to this branch of his work and how much trouble and time it cost him to arrive at a mastery of the form. And only long after he had achieved this mastery, was he granted the ability to create such unique works as the Quartets in D minor and G major.[1]

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[1]From the general comments to the critical notes for Series V, Streichquartette, of the *Erste kritisch durchgesehene Gesamtausgabe Schuberts Werke*, quoted in Arnold Feil and Walter Dürr, "Kritisch revidierte Gesamtausgaben von Werken Franz Schuberts im 19. Jahrhundert," in *Musik und Verlag: Kurt Vötterle zum 65. Geburtstag*, ed. Richard Baum and Wolfgang Rehm (Kassel: Bärenreiter, 1968), 268-78.

One can perhaps forgive Mandyczewski for what would now be considered poor editorial judgement, even though a number of the works he excluded from the project were subsequently lost. The slightly patronizing tone of his remarks is also understandable; certainly there are features of the early quartets that have caused numerous heads to be scratched both before and after Mandyczewski. Yet it is precisely these unusual features, particularly the strange constructions of the sonata-form movements, that make the early quartets so significant for both Schubert's personal development as an instrumental composer and his place in the general history of musical style.

Position and Significance of the Early Quartets in Schubert's Work

In the Spring of 1839, the *Neue Zeitschrift für Musik* under the editorship of Robert Schumann printed a series of biographical articles on the life of Schubert written by his older brother Ferdinand. After Schubert's death in 1828, Ferdinand had become the chief custodian of his brother's unpublished manuscripts, a task he undertook with singular dedication. By the late 1830s a fair amount of the music had been placed with Viennese publishers, particularly Diabelli, but there was still much more to be printed, all lying in an iron chest Ferdinand had bought shortly after Schubert's death to house the treasure he had inherited.

The articles published in the *Neue Zeitschrift* were largely designed to arouse public interest in Schubert's work and thus, hopefully, to lead to further publications.[2] Ferdinand's reminiscences have since proved an invaluable source for intimate details of the composer's life, including a touching glimpse into the musical activities of the Schubert household when the young composer was still a student at the *Kaiserlich-königliches Stadtkonvikt.*[3]

> For [Schubert's] father and his older brothers it was a particular delight to play quartets with him. This usually occurred in the holiday months. Here the youngest was the most sensitive of them all. Whenever a mistake occurred, no matter how small, he would look the perpetrator in the face, either with great seriousness, or sometimes even with a smile. When Papa, who played the cello, made a mistake, he would mention nothing at first; however, if the mistake was repeated, then, smiling very shyly he would say: "Dear father, something must be wrong." And the good father would freely let himself be corrected. In this quartet Franz always played the viola, his brother Ignaz, the second violin, Ferdinand (who was dearest to him among his brothers) the first violin and Papa the cello.[4]

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[2]For a discussion of the posthumous publication of Schubert's works, see Maurice J. E. Brown, *Schubert: A Critical Biography* (London: Macmillan, 1978; reprint, New York: Da Capo Press, 1988), 312-53.

[3]Schubert entered the school in 1808. Although in writings of the nineteenth century this institution was taken to task for its poor training of the composer, more recent research has shown that the *Stadtkonvikt* indeed offered good training and excellent opportunities for the young composer to learn his craft. See in particular Alfred Mann's account of the school's curriculum and Schubert's extant counterpoint exercises in his commentary to series 7, vol. 2, *Schuberts Studien*, of *Franz Schubert: Neue Ausgabe sämtlicher Werke*, ed. Walther Dürr, Arnold Feil, Christa Landon and others (Kassel: Bärenreiter, 1964-). This edition is subsequently referred to as *NSA*. See also Josef von Spaun's reminiscences of the *Stadtkonvikt* in Otto Erich Deutsch, ed., *Schubert: die Erinnerungen seiner Freunde* (Leipzig: Breitkopf und Härtel, 1957), 147-64.

[4]*Erinnerungen*, 45. All translations from the German are my own, unless stated otherwise.

The works that the present study shall discuss were largely written for these private quartet gatherings of the Schubert family.[5] They originally consisted of fifteen string quartets, not counting a lost overture and some fragments and dances. Of these compositions, two of the earliest quartets, D. 19 and 19a, survived until the end of the nineteenth century, but were refused a place in the *Gesamtausgabe*, as mentioned above, and have since disappeared. A number of the other quartets have been preserved, but not intact. All in all, then, the extant corpus of Schubert's early quartets amounts to ten complete works, and two partial ones. The present study will also discuss the early Overture for String Quintet in C Minor, D. 8, which the composer arranged for string quartet (D. 8a).

Schubert probably began writing string quartets when he was a young student at the *Stadtkonvikt*.[6] A number of the quartets are thus among the very first pieces of music he composed. Those written while he was enroled at the *Stadtkonvikt* consist of the Quartet in "mixed keys" (G Minor/B-flat Major), D. 18, which was originally one of three composed in either 1810 or 1811; the Quartet in D Major, D. 94, which has been dated to 1811 or 1812, and the Quartets in C Major, D. 32, B-flat Major, D.

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[5]Martin Chusid has suggested that the earliest quartets were probably tried out first at the *Stadtkonvikt*, which encouraged string quartet playing. See his preface to *NSA*, series 6, vol. 3, viii. According to Werner Aderhold, the quartets after 1813 have less to do with Schubert's private family circle. See *NSA*, series 6, vol. 4, x.

[6]According to the reminiscences of Ferdinand Schubert, however, the young boy was already producing string quartets for his second teacher Michael Holzer while he was a boy soprano at the Liechtenthal Church; see Chusid, preface to *NSA*, series 6, vol. 3, vii.

36, C Major, D. 46, B-flat Major, D. 68, now missing its inner movements, and D Major, D. 74, all from the period extending form late 1812 to the fall of 1813.

Schubert continued to write string quartets after he had left the *Stadtkonvikt* in late October, 1813, and had returned to his father's house to apprentice as a school teacher. In the period from 1814 to 1816, the composer added five more string quartets to the works previously cited: in E-flat Major, D. 87, from late 1813; in C Minor, D. 103, now only a fragment of the first movement, written in the spring of 1814; in B-flat Major, D. 112 composed early in September, 1814; in G Minor, D. 173, produced from March to April of 1815 and in E Major, composed sometime in 1816.

According to the later reminiscences of Schubert's friend Leopold von Sonnleithner, family quartet playing resumed in earnest in the Schubert household with Franz's return. Soon, however, the group began to expand as music-loving friends and acquaintances joined in. They first tried out Haydn baritone trios, then turned to Haydn symphonies in string quartet arrangements with doubled parts.[7] With the arrival of wind players, the bi-weekly gatherings moved to larger quarters at the house of a middle-class merchant, Frans Frischling. By this time, the group had become an orchestra able to play "the smaller symphonies of Pleyel, Rosetti, Haydn and Mozart."[8] Their performances even attracted a small audience.

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[7]These arrangements, actually for string quintet and including works by Mozart, are still extant; see Chusid, preface to *NSA*, series 6, vol. 3, xi.

[8]Leopold von Sonnleithner, "Musikalische Skizzen aus alt-Wien (2)," in *Erinnerungen*, 391.

When towards the end of 1815 the group had grown still larger, its meetings moved to the house of Otto Hatwig, a former member of the Burgtheatre orchestra and one of the minor patrons of music in Vienna. Between 1815 and 1818, Schubert's amateur orchestra could boast a core membership of thirty-six, including a full complement of winds, brass and timpani. As in the family quartet, Schubert played viola, his brother Ferdinand was one of the first violins. The list of works the group tackled also grew with the increased membership to include "the larger symphonies of Haydn, Mozart, Krommer, A. Romberg, etc., the first two [symphonies] of Beethoven, then the overtures of these masters as well as those of Cherubini, Spontini, Catel, Méhul, Boieldieu, Weigl, Winter and others,"[9] not to mention a number of works for soloist (piano, flute, etc.) and orchestra, and–something of far greater importance–symphonies composed expressly for these musical gatherings by Schubert himself. Sonnleithner mentions in particular the Symphony no. 5 in B-flat Major, D. 485, a larger Symphony in C Major (apparently the Sixth Symphony, D. 589) and one of the Overtures "in the Italian Style."[10]

Schubert's involvement in the string quartet thus provided the doorway into symphonic composition. As the family quartet evenings developed into orchestral get-

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[9]Ibid., 391.

[10]The members continued to meet and play music together until 1820, although, due to the declining health of Hatwig, they were forced to move their practices one last time. Something akin to the crowded enthusiasm of Sonnleithner's account may be found in Moritz von Schwind's painting *The Symphony*, which depicts Schubert and members of his circle engaged in a performance of what would appear to be Beethoven's Ninth. However, the artist first became a friend of Schubert a year after the amateur orchestra had broken up.

togethers, the young composer's attention was increasingly taken up with the symphony at the expense of his quartet writing, which fell off gradually from 1814, ceasing entirely by 1817.[11] His interest in the quartet would then lie dormant until the great breakthrough of the *Quartettsatz*, D. 703, in 1820, a work that is considered to mark his first maturity in instrumental music.

The memoirs of Ferdinand Schubert and Leopold von Sonnleithner, taken together with other reminiscences of the *Stadtkonvikt*'s orchestra, in which the student-composer soon rose to the rank of concert master, reveal that Schubert was engaged in playing a wide range of orchestral and chamber music, often on a daily basis, between approximately 1810 and 1820; yet his youthful quartets, composed during the first six years of this period, are highly unusual when compared to the works of his Classical predecessors. In the very first quartets, inexperience and lack of the technique necessary for writing a large-scale form might explain many of the irregularities; but when some of these "problems" persist into the quartets produced in 1814 and later, then it is difficult simply to attribute them to youthful ineptitude or a poor understanding of form. One would then have to accept that Schubert had such a singularly bad ear that he could not hear how to compose "properly" after years of playing and studying the works of Haydn, Mozart, Beethoven and their lesser contemporaries.

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[11]Of course, his increasing involvement with the *Lied* and his cultivation of the piano sonata were also contributing factors to his neglect of the quartet.

Admittedly, even Schubert rejected his first essays in string quartet writing. From late May to early September, 1824, he was employed as music master to the children of Count Johann Esterhàzy at the Count's summer residence near the Hungarian town of Zseliz. Feeling isolated in this little country backwater, he longed for Vienna. The separation was as keenly felt by Schubert's circle of family and friends in Vienna. At the beginning of July, his brother Ferdinand wrote to the composer that he had cried upon hearing some of Franz's waltzes played by the clock of the inn "the Hungarian Crown," but that he felt his brother's presence more now that he and other members of the family were again playing the string quartets Schubert had written as a youth. In reply to this last bit of news, the composer delivered a rare assessment of his own work–and a rather severe one at that:

> About your quartet party...it would be better if you stuck to other quartets than mine, for there is nothing to them, except that perhaps they please you, who are pleased with anything of mine. Your thinking of me is what I like best about it, especially as they do not seem to grip you as much as the waltzes at the 'Hungarian Crown.'[12]

Schubert's rejection of his early quartets in the summer of 1824 is understandable in view of events during the preceding winter and spring. In a famous letter written to his friend Leopold Kupelwieser towards the end of March, 1824, the composer announced that he had completed two new string quartets (D. 804 in A Minor and D. 810 in D Minor, "Death and the Maiden"), which, along with a projected third, were to "pave the way towards a grand symphony." Of these two works, the A-Minor

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[12]Otto Erich Deutsch, *Schubert: A Documentary Biography* (London: J.M. Dent and Sons, 1946), 484.

Quartet met with some encouraging public success. In March it was premiered by Vienna's leading professional string quartet under the leadership of Ignaz Schupannzigh and, in September, it was even published--the only major piece of Schubert's chamber music to receive this honour during his lifetime. To be reminded by an overly nostalgic brother of the *Hausmusik* he had once provided for his family string quartet could only have embarrassed Schubert, now that his latest quartets seemed to be opening the doors to the public recognition he had long desired. Preoccupied with ambitious new works, the composer quite naturally turned his back on his first essays in quartet writing.

Ironically, the very reason Schubert rejected these works provides the best grounds for their study, for they occupy a seminal position in his instrumental oeuvre. As a group, the early string quartets represent Schubert's first concentrated attempt at writing extended instrumental forms–particularly sonata form. In this light, they may be considered the crucible in which Schubert's instrumental style was first forged. Not only do they reveal basic tendencies in his handling of form, but many of their experiments are also encountered again in the composer's mature quartets.

Furthermore, the relevance of what is found in these quartets is not confined to Schubert's chamber music alone. As seen above, there is a direct link between the composer's quartet production and his symphonic writing. A stylistic connection exists as well. In the very first quartets no clear chamber music style can be found. On the contrary, many of these quartets exhibit a symphonic influence in the string writing and the numerous borrowings from the orchestral works of Haydn, Mozart and

Beethoven. Even Schubert's own early overtures sometimes share material with his string quartets, as in the case of the String Quartet, D. 94, and the Overture, D. 12, both in D major.

The link between the quartets and symphonies is most obvious in the String Quartet in D Major, D. 74, which can be considered a preparatory sketch for his First Symphony, also in D major, D. 82, due to the many thematic relationships between the two works.[13] The two genres of quartet and symphony are linked not only in this specific instance but also on a more general level, for certain methods of construction found in the early symphonies can be traced back to the first string quartets. This statement also holds true for the piano sonatas of 1815 to 1817. In fact, to carry the point a little further, it can be argued that the lessons Schubert learned writing the quartets were applied throughout his creative life to many other instrumental genres. Thus these early quartets provide the necessary background against which later stylistic developments in the composer's work can be viewed properly.

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[13]The subject of the symphonic style in Schubert's early string quartets as well as the relationship between the String Quartet in D, D. 74, and the First Symphony are discussed in Chusid, "Das 'Orchestermäßige' in Schuberts früher Streichkammermusik," in *Zur Aufführungspraxis der Werke Franz Schuberts*, ed. Vera Schwartz (Munich: Emil Katzbichler, 1981), 77-86.

Theoretical Basis and Methodology of the Study

This study is concerned primarily with Schubert's handling of sonata form in his early quartets. Its main aim is to arrive at an understanding of the unusual features of these sonata-form movements within the context of the development of the composer's personal style, as well as the more general stylistic changes in the music of the early Romantic period. The pieces to be discussed have been chosen as representative samples of the evolving tendencies in Schubert's work. They are all either first or last movements; in short, they tend towards what would be termed "sonata allegro form." Other sonata-form types that emerge as Schubert's style becomes more refined–above all slow-movement or sonata-rondo forms–have been excluded from the discussion. The evolution of Schubert's sonata-rondo form in these early works alone merits a more detailed investigation, as does his handling of various slow-movement structures.

The approach taken in the analyses is heavily indebted to the theory of formal functions developed by William Caplin for the music of the Viennese Classical period (1780-ca. 1810), specifically the works of Haydn, Mozart and Beethoven.[14] His theory

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[14]Recently, the very notion of a Classical style has come under attack in James Webster's *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through Composition and Cyclic Integration in his Instrumental Music*, Cambridge Studies in Music Theory and Analysis, ed. Ian Bent, vol. 1 (Cambridge: Cambridge University Press, 1991). The present study works on the assumption that a common, definable practice exists in the works of Haydn, Mozart and Beethoven, particularly after 1780 and in relation to sonata form. When we resort to the adjective "Classical," we are merely referring, in a sort of short hand, to this common practice. The term is thus used as a neutral historico-stylistic designation without any value judgements or cultural implications attached.

in turn is based upon the writings of Arnold Schoenberg and Erwin Ratz.[15] Caplin's definition and classification of Classical theme types is of particular importance to this dissertation.[16] In his theory, as in those of Schoenberg and Ratz, a theme is defined as a cadentially articulated structure possessing beginning and ending functions. Three basic categories of themes have been isolated: the period, the sentence and the hybrid, the last of which can combine elements of the two previous theme types.[17] Each theme type has a normative length of eight bars.[18]

The following is a concise definition of the characteristics of the sentence and the period drawn from Caplin's work:

> ....The opening of the Piano Sonata in F Minor, op. 2, no. 1, [by Beethoven] is the archetypal sentence as described by Schoenberg and his followers [ex. i.1]. This eight-measure theme consists of two four-measure phrases. The first phrase, a *presentation*, opens with a two-measure *basic idea*. This idea is then immediately repeated in a way that prolongs the initial tonic harmony of the theme and thereby deprives the phrase of cadential closure. The second phrase, a *continuation*, begins by fragmenting the two-measure idea into one-measure

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[15]In particular, Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber and Faber, 1967) and Ratz, *Einführung in die musikalische Formenlehre*, 3rd enl. edn. (Vienna: Universal Edition, 1973).

[16]Unfortunately Caplin's main work, *Classical Form: A Theory of Formal Functions for the Instrumental music of Haydn, Mozart, and Beethoven*, is currently in press and only available to me in manuscript. However, there is enough published material available to deal with the issues mentioned in this study. References will be made to the pertinent articles when necessary.

[17]For a discussion of the last theme type see Caplin, "Hybrid Themes: Towards a Refinement in the Classification of Classical Theme Types," *Beethoven Forum* 3 (1994): 151-65.

[18]The eight-bar length posited for these structures, with a four-plus-four subdivision, is nor prescriptive; structures that diverge from these norms are not considered defective. Quite the contrary, comparisons to these eight- or four-bar standard units often bring out the uniqueness of many themes found in the Classical literature.

> units and accelerating the rate of harmonic change. The continuation ends with a cadence, in this case a half cadence, which structurally closes the theme....
>
> Period form is well illustrated by the opening of the theme of the Piano Variations in F, op. 34 [Beethoven, ex. i.2]. Like the sentence, the period begins with a two-measure basic idea. But rather than repeating this idea, a new *contrasting idea* leads to a weak cadence, usually a half cadence, thus effecting partial closure at the end of this four-measure antecedent phrase. The following consequent phrase represents a repetition of the antecedent but closes more strongly, almost always with a perfect authentic cadence. In order to project the sense that the consequent is restating the antecedent, the original basic idea must return in mm. 5 and 6 of the theme. The earlier contrasting idea may also reappear, but different contrasting materials are frequently found in mm. 7 and 8, as in this example.
>
> To summarize: both the sentence and the period consist of two four-measure phrases. The internal organization of these phrases, however, is entirely different for each theme type. The presentation of the sentence contains a repeated basic idea with no cadential closure. The antecedent of the period states a basic idea juxtaposed with a contrasting idea, which leads to a weak cadence. The continuation of the sentence, which is essentially different from the presentation, features fragmentation, harmonic acceleration, and a concluding cadence. The consequent of the period is largely a restatement of the antecedent with stronger cadential closure.[19]

In Caplin's theory a "hybrid theme" results from two four-bar phrase-types combined in a manner not found in the sentence or the period, for instance, a theme consisting of an antecedent (characteristic of the first part of a period) followed by a continuation (associated with the latter half of a sentence). Caplin has isolated four hybrid theme-types, which fill in the spectrum of eight-bar thematic structures lying between the sentence on the one extreme and the period on the other. We need not look any further into this class of themes for the time being, except to define one component of the hybrid–the compound basic idea (c.b.i). This four-bar unit consists of a two-bar basic idea followed by a contrasting idea that lacks cadential closure. The

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[19]"Hybrid Themes," 153-6.

compound basic idea thus resembles an antecedent, the only difference being that the antecedent closes with a cadence, while the c.b.i does not.

Caplin has also defined a number of other, more complex theme-types, specifically the small ternary and small binary forms. Since a number of Schubert's themes are in some form of three-part design, it would be useful to deal briefly with the small ternary form and some of the terms Caplin applies to it. The basic scheme has often been described in short hand as an ABA^1 structure. The opening A section, or "exposition," is usually constructed as a sentence, a period or some hybrid theme-type closing with an authentic cadence, either in the tonic or another related key. The B section, also referred to as a contrasting middle, usually emphasizes dominant harmony, is more loosely constructed, does not normally consist of an identifiable theme-type, as the A section does, and ends with dominant harmony to prepare for the return of the A section. The A^1 section, or "recapitulation," brings back all or part of the initial A section, beginning at least with its opening idea. If the original A section has modulated, the A^1 section remains in the tonic. As shall be seen in the following study, Schubert's ternary forms often diverge from the Classical practice just outlined.

One crucial concept which must be discussed is that of the cadence itself. In Caplin's theory, the authentic cadence ends invariably with a penultimate dominant in root position moving to a concluding tonic, also in root position. Situations in which other inversions of these two chords are used are considered as some form of cadential denial: if the dominant moves to its first inversion before resolving to the tonic, then the cadence is "abandoned"; if the penultimate dominant moves to a tonic in first

inversion, then the cadence is "evaded."[20] Likewise, in the half cadence the concluding dominant harmony must be in root position. For those who are used to a freer definition of cadence, these provisos may seem unduly restrictive; however, they do describe Classical practice quite accurately. Furthermore, Caplin's terminology allows for subtle distinctions to be made in describing the relative strengths of cadential gestures.

In dealing with cadential progressions, Caplin's theory recognizes four basic components: an initial tonic, often in first inversion (indeed, the I^6 is treated as a marker of the progression's beginning); a pre-dominant, often a II^6 or IV; a penultimate dominant and a concluding tonic. Such a progression can be contracted in some way or drawn out, sometimes quite extensively. Caplin refers to this last structure as an "expanded cadential progression" (ECP).[21]

For this study, the advantages offered by Caplin's theory of formal function are two-fold: first, in those cases where Schubert's structures follow Classical precedent quite closely, Caplin's classification of theme types and his description of other formal structures provide a concise terminology; second, when Schubert diverges from Classical practice, the theory, can be used to gauge Schubert's departures from that style. In the latter case, the very words used, such as the adjectives "sentential" or

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[20]Other types of cadential evasion are possible. The main criterion here is that the concluding root-position tonic is not forthcoming.

[21]See "The 'Expanded Cadential Progression': A Category for the Analysis of Classical Form," *Journal of Musicological Research* 7 (1987): 215-57.

"periodic" for themes that do not quite reproduce all of the essentials of a sentence or period, indicate a Classically unconventional structure.

A particular problem is presented by those themes in the earliest quartets that are of such a homogeneous and concentrated construction that they fit none of Caplin's theme types. Even their basic status as themes in Caplin's theory are suspect, since they often lack cadential closure. Rather than dispensing with the term entirely and resorting to some alternative such as "subject," the word "theme" has been placed in quotations to show a looser use of the term than found in Caplin's theories. (The word will be flagged in this way at the beginning of the pertinent discussion; thereafter the quotation marks will be dropped.) When a number of these "themes" or occasionally more orthodox theme-types work together as a larger unit, this unit is referred to as a "theme complex."

The following discussion of Schubert's sonata form, however, is concerned with broader issues than simple theme-type classification. Once again many of the comparisons between Schubert's particular manner of writing and previous Classical practice are based upon Caplin's theory as well as the observations of Charles Rosen and Leonard Ratner.[22] The analyses in this study focus primarily on harmonic, motivic and form-functional issues, following the basic techniques and principles of conventional music theory. Some of the harmonic reductions may be reminiscent of Schenkerian graphs, but only insofar as the relative importance of the notes or

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[22]See specifically Rosen, *The Classical Style* (New York: W. W. Norton, 1971) and *Sonata Forms* (New York: W. W. Norton, 1988) and Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980).

harmonic structures illustrated are indicated by different note values. A Schenkarian approach would suit the early quartets quite well, but an investigation of the quartets through Schenkarian analysis is not the aim of the present study, which is concerned more with foreground matters and the specific compositional practices of the young composer.

Structure of the Study

This study is divided into three parts. The first, consisting of two chapters, attempts to set the stage for a discussion of the early quartets. The first chapter outlines various attitudes towards Schubert's instrumental writing, particularly his handling of sonata form. The second chapter provides a characteristic example of Schubert's mature sonata forms in an analysis of the *Quartettsatz* in C Minor, D. 703. The issues treated in both chapters will be taken up in more detail in the last section of the study.[23]

Part II is devoted to Schubert's handling of sonata form in the early quartets. Three chapters will follow the gradual evolution of his form from the very beginning of his instrumental writing to the emergence of a personal voice in the quartets of 1814 to 1816. Examples from the composer's work in other genres will be brought in as needed.

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[23]Ideas discussed will include the observations of Rosen, Dahlhaus and Klaus Rönnau–in particular his "Zur Tonarten-Disposition in Schuberts Reprisen," in *Festschrift Heinz Becker*, ed. Jürgen Schläder and Reinhold Quandt (Laaber: Laaber Verlag, 1982), 435-41.

The four chapters of Part III focus on the innovative side of Schubert's sonata forms. The significance of the tendencies found in the early quartets will be discussed with respect to the mature works, and the developments in Schubert's handling of sonata form will be placed within the context of the change from Classical to Romantic style. A number of issues raised in the first part of the study will then be re-examined in light of the new Romantic aesthetic of Schubert's form: these include the lyrical quality of his writing, the treatment of tonal and temporal processes and Schubert's supposed status as a classicist.

Ultimately this study will argue that sonata form was never a comfortable inheritance that Schubert accepted unquestioningly. From the very beginning of his career, he laboured to remake the structure in his own image. While the struggle was certainly marked by failures, it eventually produced some of the most profoundly moving and original music of the nineteenth century.

PART I

CRITICAL AND MUSICAL MODELS

CHAPTER 1

THE CRITICAL RECEPTION OF SCHUBERT'S INSTRUMENTAL MUSIC

No other composer's work has suffered so much from its posthumous reception than Schubert's instrumental music. While the value and originality of his achievements in the *Lied* have been recognized for well over a century and a half, his acceptance as an innovative instrumental composer of great genius is a relatively recent development. Even now, many views of his work in this field are often coloured by the controversy, myths and misunderstandings that grew up in the previous century.

The string quartets of Schubert's youth are particularly susceptible to the biases of the past. As early compositions, they lie at the centre of recurring debates regarding the thoroughness of Schubert's musical training, his indebtedness to his Classical Viennese predecessors and his general historical position as a classicist or a Romantic. Before a reasonable assessment of the nature and significance of these quartets can be attempted, the truth of the arguments that emerges from such debates must be weighed and the origins of the underlying attitudes understood. Since the reception of

Schubert's instrumental music has already been discussed in some depth by such authors as Maurice J. E. Brown and Walter Gray,[1] a brief outline of its most important aspects will suffice in this chapter, with the focus falling eventually on the treatment of the early quartets themselves.

"We will never make a Mozart or a Haydn of him...": Schubert, the Song Composer

The one factor that has had the greatest influence on the appreciation of Schubert's instrumental music over the past one hundred and seventy years has been the composer's immense stature as a song composer. During his brief life, his name was associated first and foremost with the *Lied*. It remained so throughout the nineteenth century and well into the twentieth. Unfortunately, Schubert's fame in this one area long overshadowed his achievements in instrumental music.

The preference for Schubert's songs over his instrumental works may be seen first in the memoirs and reminiscences of his close friends. The general attitude of the Schubert circle towards his position as a composer is summed up in a letter written by Josef von Spaun to Eduard von Bauernfeld shortly after Schubert's death. Bauernfeld was in the midst of writing a biographical sketch of Schubert and had sent to Spaun for his perusal and comments a copy book of notes by Schubert's brother, Ferdinand.

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[1]See Brown, *Schubert*, 312-53, as well as his *Schubert* in the New Grove series of biographical off-prints (New York: W. W. Norton, 1983), 72-76; Walter Gray, "Schubert the Instrumental Composer," *Musical Quarterly* 64 (1978): 483-494 and most recently David Gramit, "Constructing a Victorian Schubert: Music, Biography, and Cultural Values," *19th-Century Music* 17 (1993): 65-78.

The book included a list of the composer's works which apparently emphasized compositions other than the songs. Spaun replied:

> [The copy-book] contains hardly anything but an enumeration of the very works by our dear friend which are less interesting and partly less successful. For all the admiration I have given the dear departed for years, I still feel that we shall never make a Mozart or a Haydn of him in instrumental and church composition, whereas in song he is unsurpassed....I think, therefore, that Schubert should be treated as a song composer by his biographers and that those things which appear as the most important in the copy-book before us should be dealt with as subordinate.[2]

The publication of Schubert's works mirrored his renown. Songs (and to a lesser extent light piano pieces–dances and variations for both piano solo and duet) represent the bulk of music he was able to have published during his life. A large portion of the finest songs (in effect those upon which Schubert's fame now rests) appeared in print before or very shortly after the composer's death and have thus been in unbroken circulation since the 1820s. These include the influential Goethe settings, such as "Erlkönig" and "Gretchen am Spinnrade," and the great song cycles, *Die schöne Müllerin*, *Die Winterreise* and *Schwanengesang*.

Schubert's instrumental compositions did not fare as well. The list of his chamber, symphonic and solo works published in his lifetime consists of very few entries indeed: one important string quartet (the "Rosamunde" in A Minor, D. 808), the "Rondo Brilliant" for violin and piano, three piano sonatas, the *Moments Musicals* (sic), the "Wanderer" Fantasie and the first two Impromptus of opus 90.

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[2]Quoted in Deutsch, *Schubert: A Documentary Biography*, 895-6.

The posthumous publication of the remaining works, a substantial amount of music by any standards, was sporadic. The fate of Schubert's chamber music for strings serves as a good example. The D-Minor Quartet, D. 810 ("Death and the Maiden"), appeared in 1831, but two other masterpieces, the String Quartet in G Major, D. 887 and the String Quintet in C, D. 956, had to wait until the 1850s for publication. Of the early quartets, only five were published before the last decade of the nineteenth century. These consisted of the String Quartets in E-flat Major, D. 87, and E Major, D. 353, issued in 1840 as opus 125 and misdated to 1824; the String Quartet in B-flat Major, D. 112, published in 1863 as opus 168, and the String Quartets in G Minor, D. 173, and D Major, D. 94, both appearing in 1871.

Throughout most of the nineteenth century a true awareness of Schubert's accomplishments in instrumental music was thus hampered by the simple fact that most of the music was not available. The situation was at last rectified by the appearance of the first collected edition of Schubert's complete works, *F. Schuberts Werke: kritische durchgesehene Gesamtausgabe*, published between 1884 and 1897 by Breitkof and Härtel of Leipzig.[3] Even then, two of the very first quartets (D.19 and 19a) as well as a quartet overture in B-flat major were held back and lost some time

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[3]This edition of Schubert's works will be reffered in all subsequent citations as *SW*. Not only was a full and accurate edition of the music late in coming, but the first thorough compilation of source material, Otto Erich Deutsch's exhaustive *Schubert: Die Dokumente seines Lebens und Schaffens*, was not published until 1914. Deutsch's other two vital contributions to Schubert scholarship were even further delayed: the Deutsch catalogue of Schubert's works, which is now the standard, first appeared in 1951, while the anthology of reminiscences of the composer by his friends (*Die Erinnerungen seiner Freunde*) was published as late as 1957.

afterwards, as we have seen, while two quartets were published incomplete (in B-flat Major, D. 68, which remains without its two inner movements, and in C Major, D. 32, the missing movements of which were found in the 1950s by Maurice J. E. Brown).

If publication of Schubert's instrumental music was haphazard, the performance of what was available was, at best, infrequent. During Schubert's life, most of his works were played privately for his circle of friends, or in the private salons of Vienna's elite, but very few received performances before a wider public.[4] Although some of Schubert's instrumental works were presented publicly in the decades immediately

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[4]Otto Biba has contributed significantly to a reappraisal of Schubert's stature as a composer in Vienna during the 1820s. See "Schubert's Position in Viennese Musical Life," *19th-Century Music* 3 (1979): 106-113. His point that the type of public concert life to which we are accustomed today amounted to only a fraction of the music culture of Schubert's Vienna is well taken, and he has shown that Schubert's music occupied quite an important place in the activities of the city's many private salons and its amateur music making. However, it must be added that, while a fair number of the composer's instrumental works may have been performed at private gatherings in Vienna during his lifetime, they do not seem to have taken hold after his death, as may be seen in the record of publications. Surely if there had been a great demand for his chamber music, for instance, Diabelli would have shown some interest in it, instead of concentrating his efforts on the songs. Furthermore, the situation outside Vienna was much worse, where only the few published instrumental works would have been available. The dearth of performances of Schubert's instrumental music in the years following his death is best summed up by the fact that those works that today are taken as the quintessence of Schubert's instrumental writing–the *Quartettsatz*, D. 703, the "Unfinished" Symphony, D. 759 and the C-Major String Quintet, D. 956–were not even known to exist until after the mid-century.

following his death,[5] audiences did not begin to appreciate Schubert's position as a first-rate instrumental composer until the mid-nineteenth century.

According to Brown, a major turning point in the reception of Schubert's instrumental music was the series of chamber music concerts given by Joseph Hellmesberger during the 1850s and 60s in Vienna, closely followed by the premiere of the "Unfinished" Symphony under Johann Herbeck in 1865.[6] In fact, Hellmesberger's concerts contributed in part to Josef von Spaun's reappraisal of Schubert's instrumental genius. In a brief biographical sketch he prepared for Ferdinand Luib in 1858, Spaun deplored the one-sided treatment of his friend's achievements which had prevailed to that point. His comments are an indication of the growing awareness of Schubert's stature in the instrumental field:

> There is a misconception that Schubert was born to be merely a song composer. His piano pieces are wonderful. His magnificent D-Minor Quartet, his splendid Symphony in C failed in Vienna, and only Mendelssohn and Schumann, who knew how to appreciate Schubert better, are responsible for the fact that the fame of these wonderful compositions came to us from Leipzig–and Hellmesberger as well as the Müller brothers have the credit of acquainting us with the wonderful quartet and the Kapellmeister Eckert the credit of showing off the wonderful symphony.[7]

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[5]These were, among others, the A-Minor and D-Minor String Quartets presented yearly from 1833 in Berlin by the Karl Möser Quartet, and the "Great" C-Major Symphony, D. 944, discovered by Schumann and premiered, with cuts, under Mendelssohn in Leipzig in 1839. Further performances in Vienna of a number of the symphonies have been detailed by Biba, ibid.

[6]*New Grove Schubert*, 76.

[7]"Aufzeichnen über meinen Verkehr mit Franz Schubert," in Deutsch, *Erinnerungen*, 163.

The initial neglect of Schubert's instrumental music and its haphazard publication has had a profound effect on writings about the composer. During the nineteenth century, Schubert's instrumental works were first approached through the composer's fame as a song writer. This fame carried with it a certain stigma, for initially the *Lied* was considered a minor art form, the province of less serious or capable musicians. Thus, when Schubert's instrumental masterpieces were first presented to the public, they had to overcome the prejudices associated with his name as a song composer.

To some extent we still approach Schubert's instrumental music through his songs. This attitude is often prejudicial to an appreciation of Schubert's instrumental genius. Although the *Lied* is now taken as seriously as the symphony or string quartet, the notion that what might be strengths in a song are weaknesses in a sonata-form movement still remains, as if the realms of vocal and instrumental music were ruled by opposing laws. The song is often associated with the heart, while instrumental music and its forms, particularly sonata form, are associated with the head. The former demands the unfathomable inspiration of a beautiful melody; the latter requires the logic of motivic development.[8]

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[8]Modern scholarship, however, has overcome this prejudice as far as the intricacies of motivic development in a *Lied* are concerned. See in particular Joseph Kerman, "A Romantic detail in Schubert's *Schwanengesang*," *Musical Quarterly* 48 (1962): 36-49; Hans Heinrich Eggebrecht, "Principien des Schubert-Liedes," *Archiv für Musikwissenschaft* 2 (1970): 89-109; David Lewin, "*Auf dem Flusse*: Image and Background in a Schubert Song," *19th-Century Music* (1982): 47-59 and Deborah Stein, "Schubert's *Erlkönig*: Motivic Parallelism and Motivic Transformation," *19th-Century Music* 13 (1989): 145-58, to name only a few.

The mutual exclusivity of the vocal and instrumental realms lies at the base of some previously common attitudes towards Schubert's "lack of success" in instrumental forms. An important premise in this belief is that fully developed lyricism has no place in such a structure as a sonata form. Thus Beethoven, for a long time the measure of all instrumental composers, is not generally considered a great writer of melodies, but his "failings" as a melodist have been treated as an advantage in his handling of form. Schubert, in contrast, has long been admired for the breadth and beauty of his melodies. While these qualities are praised in his songs, in his instrumental works they are often treated as charming intrusions that weaken the logic or cohesiveness of his writing.[9] Schubert's construction of themes in his sonata forms has been particularly criticized.

A number of authors, among them Felix Salzer (one of Heinrich Schenker's most prominent disciples) and James Webster, have discussed the composer's use of ABA structures in main and subordinate theme groups in sonata form. Although to a large extent this is an accurate observation, a danger arises when the ABA patterns are referred to as "closed song forms," for these words imply the insertion of a foreign, self-sufficient element into the sonata form.[10] Above all, such a reference suggests that the ABA structure is an overly conspicuous stretch of lyricism which is itself more

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[9]For the significance of Beethoven's "melodic poverty" and Schubert's "melodic richness" see Carl Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, trans. Mary Whittall (Oxford: Oxford University Press, 1993), 81-90.

[10]Salzer, "Die Sonatenform bei Franz Schubert," *Studien zur Musikwissenschaft* 15 (1928): 86-125 and Webster, "Schubert's Sonata Form and Brahms's First Maturity, I" *19th-Century Music* 2 (1978): 18-35.

important than the role it plays in the broader form–as if the ABA structure were the jewel and the sonata form merely its setting.

A closer look at some of the ABA patterns in Schubert's sonata form movements often reveals that they function very effectively in the overall sonata design. This is the case of the main theme of the Piano Sonata in B-flat Major, D. 960. Furthermore, the ABA structures discussed may often be only isolated portions of larger structures or they may result from a process that lies deep under the surface of the form. While their isolation may call attention to one aspect of their organization, it fails to take into consideration their larger formal context. The subordinate theme material of the first movement of the Piano Sonata in A Major, D. 959, for instance, must be considered in both a local and more general context before its true role in the sonata plan can be understood. This issue will be discussed more thoroughly in the last chapter of the present study.

"A child of the gods, who plays with Jove's thunder...": Schubert, the Natural Artist

On June 19, 1863, a little over a month after he had returned to Hamburg from his first trip to Vienna, Brahms wrote to his friend the music critic Adolf Schübring. While in Vienna, the composer had come across masses of unpublished Schubert manuscripts. An admirer of Schubert's music since his early twenties, he had derived

great pleasure from studying and copying these unknown treasures.[11] His letter to Schübring conveys some of the excitement generated by his discoveries:

> ...My love for Schubert is of a very serious kind, probably because it is not just a fleeting infatuation. Where else is there a genius like this, that soars with such boldness and certainty to the sky where we see the very greatest enthroned? He impresses me as a child of the gods,[12] who plays with Jove's thunder, and occasionally handles it in an unusual manner. But he does play in a region and at a height to which others can by no means attain.[13]

Despite their obvious enthusiasm and even wonder, Brahms's words still echo a view of Schubert, prevalent during the nineteenth century, in which the composer was treated as a naive and childlike genius. Schubert's friend, the poet Johann Mayrhofer, laid the foundations of this myth in the obituary he wrote early in 1829. He maintained that Schubert had received little solid training during his studies at the *Stadtkonvikt* and thus, "without a deep knowledge of form [Satz] or harmony [Generalbaß]" had remained a "natural artist" (Naturalist) throughout his life.[14] These assertions angered Josef Hüttenbrenner, the younger brother of Anselm Hüttenbrenner who had been a fellow pupil with Schubert at the *Stadtkonvikt*. They were later refuted by Josef von Spaun, another old friend from the *Stadtkonvikt*, who declared

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[11]Among these works was the incomplete Easter Oratorio, *Lazarus*, D. 689. For details, see Malcolm MacDonald, *Brahms* (London: J. M. Dent, 1990), 128 and 188.

[12]Here Brahms echoes a comment made decades earlier by Schumann in his review of the "Grand Duo" Sonata in C Major for Piano Duet, D. 812: "...compared to Beethoven he is a child, sporting happily among the giants...." (*Robert Schumann: On Music and Musicians*, ed. Konrad Wolff, trans. Paul Rosenfield [New York: Pantheon, 1952], 117).

[13]Quoted in Geiringer, *Brahms: His Life and Works*, 2nd ed. (London: Allen and Unwin, 1948), 354-5.

[14]Deutsch, *Erinnerungen*, 18.

that Schubert's training had indeed been thorough and his knowledge of music profound. Unfortunately, as the century progressed, Mayrhofer's view won out.

By the time of George Grove's influential article on Schubert for his *Dictionary of Music and Musicians* of 1889, the composer had become an artist of little formal training who was seized by fits of inspiration in which music literally flowed through him.[15] Composition in his hands was not an intellectual process but an unconscious act of nature:

> In hearing Schubert's compositions it is often as if one were brought more immediately and closely into contact with music itself,... as if in his pieces the stream from the great heavenly reservoir were dashing over us, or flowing through us....And this immediate communication with the origin of music really seems to have happened to him. No sketches, no delay, no anxious period of preparation, no revision appear to have been necessary. He had but to read the poem, to surrender himself to the torrent, and put down what was given him to say as it rushed through his mind.[16]

The idea that Schubert was a child of nature reinforced the belief that his abilities were suited exclusively to the *Lied*. His stature as a song composer could only be enhanced by the image of music, unhampered by any artificial or learned devices, flowing freely from its inspiration in the word. In instrumental music, though, where solid training in form and a grasp of all that was intellectual in music were deemed indispensable, the belief that Schubert was a "natural artist" called his basic

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[15]In his article, the English writer accordingly took the *Stadtkonvikt* to task for sending Schubert "virtually naked" into the world and scoffed at the possibility of Salieri's having had any real influence as Schubert's teacher. Like Mayrhofer, Grove advanced as conclusive proof of the inadequacy of Schubert's early training the fact that the composer approached Simon Sechter for counterpoint lessons only a month before he died.

[16]*The Grove's Dictionary of Music and Musicians*, 1st ed., s.v. "Schubert," 362.

qualifications into question and caused some of the unique aspects of his instrumental writing, specifically those that deviated from the canon of Classical procedures, to be attributed to a lack of proper education or a misunderstanding of form.

Modern scholarship has done away with many of the misconceptions behind this false image of Schubert. Study of the exercises and compositions from Schubert's school days has led to the realisation that his early training was much more thorough than previously supposed,[17] while a new view of Schubert's working methods has recently emerged from a close scrutiny of his manuscript scores and sketches. In particular, the notion that Schubert never sketched, that the music just flowed from his pen, has been effectively disposed of.[18] However, the ultimate source of the myth was not simply ignorance of the facts but also the unique character of Schubert's music.

The earliest writers to deal sympathetically with Schubert's instrumental works were struck by a certain inspired quality of the music. It seemed spontaneous, the

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[17]Schubert's musical training has received a great deal of attention in this century. One of the first studies of his early works, with specific emphasis on the exercises done under Salieri's supervision is Alfred Orel's *Der junge Schubert: Aus der Lernezeit des Künstlers* (Vienna: 1941; rep. ed., Musik Verlag Adolf Robitschek, 1977). The most complete study of the extant exercises in species counterpoint and fugue is found in Alfred Mann's commentary to *NSA*, series 7, vol. 2. The general question of Schubert's early training and his "deficiencies in counterpoint" have been effectively addressed by Maurice J. E. Brown in *Schubert*, 197.

[18]Michael Griffel has dealt with Schubert's sketches, in particular the revisions to the score of the "Great" C- Major Symphony, in "A Reappraisal of Schubert's Method of Composition," *Musical Quarterly* 63 (1977): 186-210. This topic has also been the subject of Stephen E. Carlton's doctoral thesis, "Schubert's Working Methods: An Autograph Study with Particular Reference to the Piano Sonatas," a precis of which is found in Mary Martha Bante-Knight, "Tonal and Thematic Coherence in Schubert's Piano Sonata in Bb major (D. 960)," (Ph. D. dissertation, Washington University, 1983), 3-4.

antithesis of the deliberate work of a craftsman. Josef von Spaun was sensitive to this particular aspect of Schubert's music when he wrote:

> It is true that Schubert...did not hone his compositions enough, from which resulted here and there long drawn out passages or deficiencies. On the other hand, however, they have something original and fresh about them, which would very often be lost with much filing.[19]

Echoes of Spaun's view my be found throughout the literature dealing with Schubert. The irreconcilable opposition of fine workmanship to spontaneous creation has remained a basic premise behind many discussions of the composer's work. Although few writers today would go to Grove's extreme and declare Schubert a man of pure inspiration, the qualities of his instrumental music that are most admired--its lyricism and harmonic richness--are regarded as natural gifts, not the hard work of the intellect.

The fact that such qualities exist in Schubert's music, though, does not mean that they rule it exclusively. Schubert's ability to work out the implications of his musical material during the course of a movement can be heard in many of his instrumental works, yet the appreciation of his mastery of motivic manipulation and formal construction is only a recent development.[20] Even in such a fine and well-balanced article as James Webster's "Schubert's Sonata Form and Brahms's First Maturity," Schubert, the inspired genius is set against Brahms, the logical craftsman:

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[19]Deutsch, *Erinnerungen*, 163.

[20]See Brown, *Schubert*, Carl Dahlhaus, "Sonata Form in Schubert: The First Movement of the G-Major String Quartet (D.887)," trans. Thilo Reinhard, in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (Nebraska: University of Nebraska Press, 1986), 1-12 and John Reed, *Schubert*, (London: J.M. Dent, 1987).

> Although there is no space for such an undertaking here, it would be worthwhile to analyze Brahms's sonata forms as essays in criticism of Schubert, as well as reflections of his influence. This would be the proper place to investigate more closely the common notion that, in refining Schubert's inspirations, Brahms infused them with a Beethovenian structural logic. If this approach must contrast Schubert's natural genius and fecundity with Brahms's meticulous craft, his partisans need not worry: Brahms's achievements in the works described here reveal genius in plenty, a genius none the less authentic for having been bound to the struggle for musical coherence.[21]

"When Compared to the Monarch in the Kingdom of Sound": The Beethovenian Yardstick

The reference to "Beethovenian structural logic" in the quotation from Webster brings us to one topic that has plagued the critical approach to Schubert's instrumental writing from its earliest period--the comparison of Schubert with Beethoven. Throughout the nineteenth century and well into this one, the standard for instrumental composition was Beethoven. Whenever Schubert's writing diverged from the directness or dynamism of Beethoven's it was considered deficient. This attitude led to a certain ambivalence in treating Schubert's instrumental compositions. Works could be truly admired, but as flawed masterpieces. Their most attractive and characteristic qualities had to be considered defects when compared to the "proper" manner of construction found in Beethoven's works. Such an attitude is present in the first important critical biography of Schubert, written by Kreißle von Hellborn and published in 1865.

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[21]"Schubert's Sonata Form and Brahms's First Maturity, II," *19th-Century Music* 3 (1979): 71.

In discussing Schubert's instrumental music, von Hellborn mentions the great beauties that might be found in an individual work, but treats them as a succession of unrelated delights.[22] When he turns specifically to the piano sonatas his pronouncements are less equivocal. He maintains that in "comprehensiveness and intellectual grasp" they could not compare with those of the "monarch of sound," Beethoven, and criticizes the intrusion of lyricism at what he considers inappropriate moments in the form.[23]

Such criticism continued largely unchanged into the first half of this century. In fact, the most detailed essay on Schubert's sonata form, discussed from the standpoint of rigorous Classical construction–Felix Salzer's "Sonatenform bei Franz Schubert"–was published in 1928.[24] This article provides an excellent condensation of the criticism levelled against Schubert's instrumental writing. Despite its negative bias, it is also important as the first thorough study of the characteristics of the composer's sonata design.

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[22]"Not a few of Schubert's instrumental works, and amongst them some of the grandest, present a series of exquisitely wrought-out fancies, and these, steeped in the peculiar charm and exquisite sensibility of his music, yet lack that compactness of form and condensation of power which again seem the special heritage of other masters. This peculiarity, arising from his musical organisation, which is put forward by the defenders of the 'strengen Satzes', and 'grand style' as a defect, by no means hindered his coming forward not merely as an original thinker in the field of instrumental discoveries, but as a creator of, in their own way, no less perfect orchestral works than those of the great masters" (Kreißle von Hellborn, *Franz Schubert*, 2 vols., trans. Arthur Duke Coleridge [London: Longmans, Green and Co., 1869], 2:204-5).

[23]Ibid., 206.

[24]In *Studien zur Musikwissenschaft* 15 (1928): 86-125.

Salzer's article aims primarily at establishing Schubert's position in the development of sonata form. His view of that development is posited on the basic premise that sonata form evolved essentially through a broadening of the two-part song form. Thus, in the interest of unity, sonata form could only accommodate two main key areas–an expansion of the I and V harmonies so important in articulating the structure of the original two-part song form. Yet, for sonata form to be successful, Salzer insists that it has to renounce one of the essential characteristics of its forerunner, lyricism.

In Salzer's view, sonata form is exclusively a dynamic structure. The form derives its forward driving power from the element of improvisation which the author traces from the sonatas of C. P. E. Bach, through Haydn and Mozart to Beethoven. Lyricism is set as the opposite to this improvisatory element. While improvisation consists of a constant progression from one musical idea to another, lyricism entails dwelling on one or two motives for a long period of time, thus impeding the forward drive Salzer considers an essential characteristic of the form.

According to Salzer then, the success of sonata form from C. P. E. Bach to Beethoven largely rests in the composer's ability to check the lyrical tendency of his material. Schubert's failure to do this is thus the greatest defect of his form. In Salzer's view, all the features advanced as shortcomings in Schubert's handling of sonata structure (the use of three keys in the exposition, the favouring of ABA patterns in thematic construction and the literal restatement in the recapitulation of material from the exposition) expands the form, often through an indulgence in uncontrolled lyricism. This expansion results in a reduction in the forward momentum of the music and a

weakened sense of unity. Thus Salzer concludes that Schubert's sonata form runs counter to the very essence of that form and consequently represents a departure from the true path of the form's development.[25]

A New Perspective: Schubert and Brahms

While Salzer maintained that Schubert's sonata form was historically a dead end, Sir Donald Francis Tovey saw in it the seeds of later developments, eventually brought to fruition by Brahms–a pronouncement which he kept deliberately vague. In his 1927 essay on Schubert, Tovey accepted the common idea that the forms of even Schubert's most mature works were "diffuse and inconsistent," yet he also believed that, in these forms, Schubert was an innovator, who unfortunately was unable to realize the full potential of his innovations:

> So far, then, we already see that it is no mechanical matter to sift 'right' and 'wrong' from Schubert's instrumental form, even with the earlier great mastery to guide us. But when we find (as for instance, in the first movement of the great C Major Symphony) that some of the most obviously wrong digressions contain the profoundest, most beautiful and most inevitable passages, then it is time to suspect that Schubert, like other great classics, is pressing his way towards new forms....It is impossible in a summary non-technical statement to demonstrate what were the new forms towards which Schubert was tending; and the mechanical triviality of the accepted doctrines of sonata-form makes

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[25]"If we ask ourselves what Schubert's significance is in the history of sonata form, then we can conclude that Schubert's case represents a turning off from the line of development whose course is connected with the names of Ph. Em. Bach, Haydn, Mozart and Beethoven. This divergence was only brought about by the penetration of the lyrical element (which is contrary to the very essence of sonata form) and its regressive results, into the most important components of the formal type, where previously the dramatic driving power of the element of improvisation had held sway" ("Die Sonatenform," 125).

> even a detailed technical demonstration more difficult than work on an unexplored subject. I must therefore beg permission to leave this matter with the dogmatic statement that the fruition of Schubert's new instrumental forms is to be found in Brahms, especially in the group of works culminating in the Pianoforte Quintet, Op. 34.[26]

Salzer's and Tovey's articles together provided the impetus for James Webster's "Schubert's Sonata Form and Brahms's First Maturity," published in two instalments from 1978 to 1979. Here Webster attempts to refute Salzer's view of Schubert's historical position by following up Tovey's suggestion of Schubert's influence on Brahms. The basic thesis of his article–that Brahms knew and admired Schubert's instrumental forms through his contact with Schumann and that these forms influenced Brahms's own writing–does not concern the present study. What is relevant to our topic, though, is Webster's discussion of the characteristics of Schubert's sonata design. He has drawn these characteristics from a close study of the late masterpieces and his enumeration of them provides an excellent basis for further discussion of Schubert's approach to sonata form.

All of the individual points Webster mentions represent departures from Classical procedures. They are summarised at the beginning of the first of the two articles:

> To give the argument in brief, many of the themes and theme-groups in Schubert are frankly lyrical, in closed binary or ABA designs. Rather than prepare the second group by a clear transition which establishes the new key through its dominant, he prefers to modulate abruptly, or to imply a different key from the one in which the second group actually begins. His foreground key relationships are vastly expanded, for Schubert fully accepts the major and minor modes as equally valid representations of the tonic, and constantly juxtaposes the resulting remote (non-diatonic) chords and keys. Schubert's

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[26]"Franz Schubert," in *The Heritage of Music*, ed. H. J. Foss (Oxford: Oxford University Press, 1927), 1:108.

> second group often divides into two separate sections in different keys, of which the first presents the lyrical second theme in a remote key, and the second brings more nearly conventional paragraphs in the dominant.[27]

Two further points developed throughout the article, yet not mentioned in the above summary, are Schubert's "reluctance" to leave the tonic and his seeming "aversion" for the dominant. The arrival in the dominant is usually delayed until far into the exposition, and the presence of the tonic is felt in the background until this point. According to Webster, these two points are responsible for any of Schubert's failures in sonata-form movements:

> The principles of Schubert's sonata form are logical and admit of manifold subtle artistic realization. When he fails to achieve such realization, the cause is not his fondness for multiple key-relations, nor his use of a three-key exposition, nor his reluctance to use a traditional transition to the second group. Nor can the basic trouble really be laid to his extended lyricism–although the Salzer-Tovey view that such lyricism is incompatible with sonata style has never been seriously challenged. Rather the cause seems to lie in Schubert's inhibitions–against leaving the tonic, against establishing new keys by dominant preparation, at times against the dominant itself.[28]

Webster's approach to Schubert's sonata form is much more objective than any of the writers dealt with so far. Rather than judging Schubert's composition by some external and arbitrary standard, he has described the salient characteristics of the relevant structures and has attempted to find their underlying causes. It must be admitted, however, that in these articles, Webster is not interested in criticising Schubert's sonata form but in presenting it as a model whose features could be compared to the sonata forms of Brahms. Furthermore his statement, quoted above,

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[27]"Schubert-Brahms, I," 19.

[28]Ibid., 35.

that it would be "worthwhile to analyze Brahms's sonata forms as essays in criticism of Schubert" is itself a declaration of judgement withheld until a later date. Still, Webster has accepted the logic of the principles of Schubert's construction while rejecting the idea that many of the features of Schubert's writing in themselves created flaws in his sonata design. He has also emphasized the novelty of Schubert's accomplishments in sonata form and has suggested that this novelty sets Schubert apart from the Classical tradition. In these respects, Webster's articles are indicative of modern thinking on Schubert as an instrumental writer.

Modern Appreciation of Schubert's Sonata Forms

Today's admiration of Schubert's instrumental writing was impossible without two important developments in the critical approach to Schubert's instrumental works over the last four decades: (1) a more thorough investigation of Schubert's work, which involved abandoning the Beethovenian yardstick as a measure of Schubert's accomplishments in instrumental music, and (2) a new, more flexible view of form, particularly sonata form.

The first development can be traced back to the beginning of this century, but it really began to flourish in the late fifties, when undoubtedly one of the most influential contributions to the movement, Maurice J. E. Brown's *Schubert: A Critical Biography*, was first published. In this work, Brown discusses the full range of Schubert's compositions in light of what was then the latest scholarly research and attempts to explode a number of lingering myths about the composer. Chapter VI, "The Artist",

in particular, is devoted to an eloquent defense of Schubert from many of the charges laid against him which, in Brown's opinion, tend to obscure Schubert's accomplishments as a composer of genius.

Numerous articles, all with the same goal of establishing Schubert's credentials as a masterful instrumental composer, have appeared since the fifties. One topic in particular, Schubert's ability to produce a unified work, has received a great deal of attention. Among the many noteworthy contributions here have been Harold Truscott's "Organic Unity in Schubert's Early Sonata Music," Walter Gray's "Schubert the Instrumental Composer" and M. K. Whaples's "On Structural Integration in Schubert's Instrumental Works."

The second development mentioned above, a more flexible, more historically oriented approach to instrumental form, has played a major role in the reassessment of Schubert as an instrumental composer. In the vanguard of this approach to form are Charles Rosen's *The Classical Style* and *Sonata Forms*. *Sonata Forms* above all represents an attempt first to understand the many historical currents and trends that contributed to the various types of sonata construction and then to uncover the basic principles of sonata form without resorting to the fossilised, prescriptive rules of previous generations of theoretical writers. Such an approach, when applied to Schubert, has allowed the unique qualities of his music to be viewed on its own merits within a proper historical perspective.

In *Sonata Forms*, Rosen concludes that "Schubert's innovations in sonata forms are less extensions of classical style than completely new inventions, which lead to a

genuinely new style–at least one that cannot easily be subsumed in classical terms."[29] This break with Classical procedure, according to Rosen, "is particularly striking in the early period."[30] Here he uses the unique construction of the Violin Sonatina in G Minor op. 137, no. 3 (D. 408) to support his case.

Contemplative versus Dynamic Form

The one aspect of Schubert's writing that has benefited most from the current re-evaluation of Schubert's historical position is his non-dynamic approach to sonata form. It is no longer viewed as a weakness in his writing, but a new and valid handling of the form. For instance, Rosen considers the greatest of Schubert's innovations to be the feeling of stasis created by an oscillation between two tonal levels, as in, for example, the beginning of the development section in the first movement of the A-Major Piano Sonata, D. 959, or the end of the development section of the first movement of the Piano Sonata in B-flat Major, D. 960.[31] The effect in both cases is indeed amazing and is one aspect of a quality in Schubert's instrumental music that is so admired today. This quality has been vaguely described as "otherworldliness," or a feeling of timelessness.

In scholarly writings, the term "contemplative" has often been used to refer to the unique, "otherworldly" character of many of Schubert's sonata forms in contrast to the

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[29]*Sonata Forms*, 360.

[30]Ibid., 357.

[31]Ibid., 360-4.

more dynamic structures of his Classical predecessors. Webster has made such a distinction in his article on Schubert and Brahms's sonata form. According to him, this difference in approach is bound up with Schubert's aversion for the dominant, which in turn lies at the root of many of the new aspects of Schubert's sonata design:

> The underlying cause for these novel procedures is that, for Schubert, the dominant no longer commanded the power it had for Classical composers. Schubert places the second theme outside the dominant much more frequently than any earlier composer, and the correlation between his remote, flat-side tonal relations and his lyrical second themes seems to be no accident. Both spring from a contemplative rather than an active, a self-contained rather than a dynamic rhythm.[32]

One of the finest defenses of the validity of Schubert's contemplative, non-dynamic approach to sonata form is found in Carl Dahlhaus's article on the late G-Major String Quartet, D. 887. Here Dahlhaus is primarily interested in Schubert's use of double variation within the sonata structure. He asserts that the double variation "can be traced back to the early history of sonata form and continues to play a role in its later development."[33] According to Dahlhaus, Schubert's sonata form in the first movement of the Quartet is thus traditional, but not in line with the path of development dictated by Beethoven. Its main point of divergence from this path lies in its thematic process, which, while logical, is not shot through with the forward driving energy of Beethoven's sonata forms. The conclusion Dahlhaus draws from this situation is that those elements once considered inseparable within the thematic process-

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[32]"Schubert-Brahms, I," 24.

[33]"Sonata Form in Schubert," 3.

-the logic of motivic derivation and the pathos of dynamic development–are in fact independent.[34]

This view is indicative of how dramatically critical attitudes towards Schubert have changed in the last thirty years.[35] Dahlhaus's assertion that the logical and pathetic elements of the thematic process are separable–an idea which is diametrically opposed to Salzer's view that a forward driving dynamic process is essential to sonata form–effectively refutes the last vestiges of criticism of Schubert's instrumental writing in relation to Beethoven's and provides a theoretical basis for Webster's assertion that indeed "the principles of Schubert's sonata form are logical and admit of manifold

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[34]"The concept of thematic process, which not coincidentally was invented for Beethoven's music and only later transferred to Classical-Romantic instrumental music, embraces two elements: the "logical" element of motivic-thematic derivation and the "pathetic" one of development pressing constantly forward. Because of their inseparable amalgamation in the Beethoven, it could scarcely be believed they were not associated as a matter of course. The compelling force of Beethoven's sonata form arises from the fact that the logic of musical discourse, which extracts later events from earlier ones through motivic work, developing variation, and contrasting derivation, is of the same significance as the energy that maintains the music in a state of nearly permanent intensification by means of contracted phrases, accelerated harmonic rhythm, and concentrated accents. (The tension lets up only in the arcadian moments when the music, as it were, draws a breath.) Yet Schubert's G-Major Quartet shows that consistent musical logic–the weaving of a tight fabric of musical relationships–is quite reconcilable with a relaxed pace and a musical attitude that, despite its agitation, remains devoid of pathos. Although the concept of thematic process normally calls to mind the homogenous image of both insistent energy and compelling logic, these two characteristics are in fact separable" (ibid., 7).

[35]The differences in style between the music of Beethoven and Schubert have been an important topic in discussions of music as gendered discourse. The most prominent article in this field is Susan McClary's "Constructions of Subjectivity in Schubert's Music," in *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. Philip Brett, Elizabeth Wood and Gary C. Thomas (New York: Routledge, 1994), 205-34. Here the uniqueness of Schubert's handling of form and harmony has been seen as offering an alternative construction of masculine subjectivity.

subtle artistic realizations."[36] What sets Dahlhaus's view apart from those of Webster and Rosen is his emphasis on the historical continuity of Schubert's form, those aspects of his writing that, while non-Beethovenian, are part of a tradition that contributed to the form's development both before and after Beethoven.

Critical Treatment of Schubert's Early String Quartets

Now that the uniqueness, novelty and genius of Schubert's contributions to the instrumental field are largely recognized, and there is no longer the need to defend the composer's abilities as an instrumental writer, a thorough and objective investigation of the development of Schubert's instrumental style is possible. Such an investigation demands a closer study of Schubert's first attempts at instrumental composition. Until quite recently, most of the popular and scholarly attention was directed at the late masterpieces, a situation that has led to a number of pronouncements about the composer's "late style" that do not take his early works into account.[37]

The early string quartets have been particularly neglected over the past one hundred and seventy years. During the nineteenth century they were little known. Less than

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[36]"Schubert-Brahms, I," 35.

[37]One important instance is Webster's statement that the three-key exposition is a post-1820 feature of Schubert's sonata form with only a few exceptions previous to this (see "Schubert-Brahms, I," 26), whereas in reality quite a number of the first movements of the early string quartets tend towards such a form. Another instance is Chusid's assertion that Schubert pursued cyclic procedures primarily in the series of instrumental works from 1824 ("Schubert's Cyclic Compositions of 1824," *Acta Musicologica* 36 [1964]: 37). Again, such procedures occurred consistently from the very beginning of Schubert's career and certainly can be seen in the early quartets.

half were even in print before 1890. In the twentieth century, the only substantial discussions of the early quartets were initially found in biographical surveys of the composer's works, among the first being Walter Vetter's *Schubert* from 1934. There followed in the English-speaking world a number of works, including Jack Westrup's essay on Schubert's chamber music[38] and Alfred Einstein's *Schubert*, a "life and works" study of the composer along the same lines as the author's influential biography of Mozart.[39] This trend of the biographical survey culminated in Maurice J.E. Brown's *Schubert: A Critical Biography*, the importance of which has already been discussed above.[40]

One aspect of the early quartets receives a great deal of attention in these surveys–the extensive borrowings from the works of Haydn, Mozart and Beethoven. While some writers recognize the novel aspects of Schubert's youthful works–Westrup, for instance, who mentions the spirit of innovation in the early quartets–others, such as Einstein, treat Schubert's borrowings as evidence that he began his career as a derivative composer and did not find his own voice in instrumental music until late in life.

Echoes of this argument may still be heard in discussions of Schubert's instrumental music. The use of models is one of the main criticisms levelled against his instrumental writing by Rosen in both *The Classical Style* and *Sonata Forms*:

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[38]"The Chamber Music," in *The Music of Schubert*, edited by Gerald Abraham, (New York: W.W. Norton, 1947), 88-110.

[39]*Schubert*, trans. David Ascoli (New York: Oxford University Press, 1951).

[40]To the works already listed must be added the most recent biographical survey, John Reed's *Schubert* (London: J. M. Dent, 1987) which in many ways reflects a number of the modern attitudes discussed in this first chapter.

> Schubert was to win that mastery of instrumental forms later, and he acquired exactly as much classical technique as he needed. What he never lost was a classicistic dependence on models. This is natural for a young composer. The finale of the early Quartet in D major (D.74) of 1813 is a flagrant plagiarism of Mozart's *Paris* Symphony, K.297.... This is no doubt the way every composer learns his craft. But similar examples can be found from the last years of Schubert's life in his numerous reminiscences of Beethoven's opus 28 and 31 in the last three piano sonatas. Some of the borrowings are transformed into pure Schubert; the source is then irrelevant.
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> This characteristic distinguishes the later borrowings of Schubert from those of Beethoven after the *Eroica*. Beethoven adapted his sources (generally from Mozart) to more dramatic purpose: he heightened their effect, made them more powerful, increased their range. With Schubert, when the source is not irrelevant–a kind of involuntary memory, an exterior stimulus to his creative imagination–the adaptation is often a failure....Beethoven appropriates what he found elsewhere; Schubert continued to use other works as models.[41]

Rosen's arguments are indeed persuasive, but before they are accepted two issues should be considered. The first is the nature of the material Schubert copied. The high Classical period saw an increasing individualization of the musical artwork, a trend that became particularly prominent in the music of Beethoven's late period, but was already evident in many of the works of Haydn and Mozart. Whereas the melodic material of, say, a Sammartini symphony may appear to us as faceless or formulaic, the main theme of Mozart's G-Minor Symphony or the opening of the Overture to *Don Giovanni* are so strikingly original that they remain as memorable to us today as they were to Schubert over a century and a half ago. The imprint left by such quotes are thus more obviously indelible than the borrowings of more generic, less strongly etched material.[42] Mozart may have plagiarized Paisiello's *Il barbiere di Siviglia* in his

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[41]*Sonata Forms*, 357-8.

[42]See, for instance, the strong similarities Richard Taruskin found between the Scherzo of Beethoven's Fifth Symphony and the finale of a Johann Stamitz Orchestral

Le Nozze di Figaro, but this is a secret reserved for scholars. Schubert's debt to Mozart's "Paris" Symphony in his D-Major String Quartet, D. 74, though, is painfully obvious to anyone who has taken Music Appreciation 101.

The second issue concerns the degree to which Schubert follows his model. So far two cases of extensive borrowing, one from each end of the composer's career, have been identified. The first is Schubert's early String Quintet in C Minor, D. 8, which, according to Chusid, was patterned on Cherubini's Overture to *Faniska*.[43] The second is the last movement of the Piano Sonata in A Major, D. 959, which both Rosen and Edward T. Cone have proven was modeled on the finale to Beethoven's Piano Sonata in G Major, op. 31, no. 1.[44]

In these two instances the models appear to have served as virtual templates for the structure of the derived movements. In most other cases, though, the borrowing is more superficial, merely an echo of familiar material (what Rosen refers to as "an involuntary memory"), while the structure and many points of the basic style may be radically different from the source of that echo. In this respect, it is very misleading to dwell on the seemingly conservative Classical exterior of Schubert's music, particularly in the early works. The mistake is compounded when we think of Schubert as Beethoven's contemporary and forget the great difference in the two men's

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Trio, "Something New about the Fifth?" *Beethoven Forum* 4 (1995): 97-8.

[43]See "Schubert's Overture for String Quintet and Cherubini's Overture to *Faniska*," *Journal of the American Musicological Society* 15 (1962): 78.

[44]See Rosen, *The Classical Style*, 456-8, and Cone, "Schubert's Beethoven," *Musical Quarterly* 56 (1970): 782-6.

ages; for in reality Schubert belonged to a new generation of composers who received their training during the first decades of the nineteenth century, when the Classical style had virtually run its course and music was in a profound state of change.

The instability at this particular period may be seen in Beethoven's own career. A number of writers consider his reduced creativity after 1812 as an indication of an artistic crisis caused by many new currents in music. Joseph Kerman has even declared that, "In some ways the few compositions finished between 1814 and 1816–the song cycle [*An die ferne Geliebte*] and the sonatas op. 90, op. 102, nos.1 and 2 and op. 101–stand closer to Romantic music of the 1830s than any other Beethoven pieces."[45]

The years 1814 to 1816 are the very centre of the period in which Schubert began to learn his craft as a composer. In fact, the string quartets we will be studying were all written between ca. 1810 and 1816. In looking at Schubert's works from these years, then, we must not only recognize the reflections of a previous age but also be sensitive to the stirrings of new developments within his music and the problems such new developments created for a young composer setting out in his career. When the twenty-eight year old Beethoven turned to Mozart's A-Major String Quartet, K. 464 in his own String Quartet in A Major, op. 18, no. 5, the tradition he drew upon was still relevant and admitted development from within–a development which in Beethoven's hands brought the style to its logical limits. When the fourteen-year-old Schubert turned to the same tradition over a decade later, its relevance was no longer

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[45]*The New Grove Beethoven* (New York: W. W. Norton, 1985), 126.

unquestionable, and a need for new principles and methods of construction was clearly felt, particularly by a sensitive composer of genius.

One of the few thorough studies of the early quartets, apart from the biographical surveys mentioned above, is Martin Chusid's doctoral dissertation from 1961, "The Chamber Music of Franz Schubert." Here, Chusid attempts to present a comprehensive view of Schubert's stylistic development through a detailed investigation of his chamber music. Particular attention is directed at differentiating between the Classical and Romantic aspects of the style. Chusid divides Schubert's creative life into four periods (1811-13, "the earliest years," 1813-16, "Classic imitation," 1817-23, "early maturity" and 1824-28 "full maturity") then discusses the characteristics of the instrumental writing found in each period according to the treatment of harmony, rhythm, texture and form. His observations are too numerous to catalogue here, but the most important ones shall be discussed at the appropriate points in the following chapters.

Beyond Chusid's thesis and the biographical surveys, in which the early quartets were taken chronologically as signposts of Schubert's musical development, there have been very few studies directed specifically at the problems in the form and nature of Schubert's early quartets. A notable exception is Carl Dahlhaus's article, "Formprobleme in Schuberts frühen Streichquartetten,"[46] one of the few studies that provides logical explanations for a number of the quartets' most baffling characteristics,

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[46]In *Schubert-Kongreß Wien 1978, Bericht*, ed. Otto Brusatti (Graz: Akademische Druck-u. Verlagsanstalt, 1979), 191-7.

without seeking refuge in charges of youthful ineptitude. The character of the String Quartet in E-flat Major, D. 87, the first movement of which has been described as "impersonal, outright form filling" (unpersonliche, glatte Formfüllung), serves Dahlhaus as his point of departure. He maintains that this movement is so weak and unimaginatively conventional because it represents Schubert's first attempt at thematic dualism–the first movements of six of the seven previous quartets being strictly monothematic.[47]

The monothematicism of these quartets is portrayed not as "the vestige of an older historical stage of sonata form," but as an indication that Schubert was working under an earlier eighteenth-century aesthetic expressed in Johann Nicholas Forkel's 1788 description of sonata form. In this view of the form, a second theme was accepted only as a subordinate idea instead of a truly opposing one.[48]

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[47]"That the dualistic conception of the themes seems superficially stamped on the movement [the first movement of the E-flat Quartet] rather than forming a principle which determines the dynamic of the form from its core, can be explained by pointing out that within the series of Schubert quartets this work marks the transition towards thematic dualism and thus exhibits, most certainly a partial but hardly adequate first attempt [at such dualism]" (ibid., 191-2).

[48]"In the eighteenth century monothematicism was justified first aesthetically....The striving for aesthetic unity, a common ground of art theory, led, since aesthetic unity was interpreted as a unity of character, to the postulate of a unity of themes, thus to a favouring of monothematicism over dualism and polythematicism. This certainly does not mean that divergent or contrasting musical ideas would have been excluded from the theoretical concept which was drawn from sonata form; but they were not admitted as opposing themes which set in motion a dialectical process within the form, but were considered, as Johann Nikolaus Forkel expressed it in 1788, simply as 'insertions' [Einwürfe] which interrupted the flow of the development, without allowing them any significance as a 'second Principle' [zweiten Prinzips]. The second theme, although accepted, was a subordinate rather than an opposing idea. In any case, the basic [principle] of dualism, as it was advanced in Antonin Reicha's 1826 theory of

For Dahlhaus, the main flaw in the first movement of Schubert's E-flat String Quartet–the tensionless juxtaposition of themes–is the consequence of just such a non-dualistic thematic relationship. The lack of tension within the form in turn leads to the isolation of motivic work from the thematic framework, a serious failure, which Schubert attempted to rectify by various stratagems in the three subsequent quartets (in B-flat major, G minor and E major). Dahlhaus considers only the first movement of the last of the early quartets (in E, D. 353) to be strictly dualistic and even then Schubert's attempt at motivic unity betrays "the continuing influence of the eighteenth-century aesthetic."

According to Dahlhaus's thesis, the monothematic character of Schubert's early string quartets lies at the centre of his unorthodox handling of the form. In attempting to evade the threat of monotony present in monothematicism, the composer has undertaken to avoid the congruence of thematic and tonal regularity, thus seeking a counterbalance to monothematicism in tonal variety. In effect then, Schubert's novel procedures ultimately spring from a conservative rather than an avant-garde approach to sonata form. Again, Dahlhaus has stressed the continuity of Schubert's style with its historical past, as he did in his article on the String Quartet in G Major, D. 887. In both cases he has suggested that the Schubert's handling of sonata form may be seen as another branch of the development of that form–a divergent extrapolation from a source held in common with the composer's Classical predecessors. This view stands

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sonata form which was based upon the model of the drama, was foreign to the older aesthetic" (Ibid., 192).

in direct contrast to Rosen's statement, cited above, that Schubert's innovations are "entirely new inventions which lead to a genuinely new style."

The two views may not be as far apart as they seem: sometimes features that existed in the historical hinterland of a form can become a powerful force for change when they are brought back into the mainstream of the form's development. In fact, some of the characteristics Dahlhaus associates with an earlier eighteenth-century aesthetic also look forward to certain features of Romantic music, as shall be demonstrated in the last part of this study. Old ideas thus become innovations that do eventually lead to a "genuinely new style." Essentially, then, both Rosen and Dahlhaus are partially correct. The full truth lies in the synthesis of their two views.

The prime concern of this study, though, goes beyond simply "sifting the new from the old" in Schubert's writing in order to attach a convenient label, Classical, Romantic or classicist, to his style. What is more important is arriving at an understanding of Schubert's true accomplishment in the form. To reach this goal, we must look at the specific problems confronting him during his artistic formation and see how he dealt with them in his earliest instrumental compositions. In order to place the unusual features of these pieces in their proper perspective, though, we will first spend some time with a defining work of Schubert's maturity, the *Quartettsatz* in C Minor, D. 703, which reveals most clearly the composer's characteristic handling of sonata form in the latter half of his career.

CHAPTER 2

THE EPITOME OF SCHUBERT'S MATURE SONATA STYLE: *QUARTETTSATZ* IN C MINOR, D. 703

Incomplete works mark the principal stages of Schubert's development as an instrumental composer. In the "Unfinished" Symphony, for instance, his personal voice in orchestral music is said to have first emerged. Today the "Unfinished" is not only the most familiar of Schubert's symphonies but has also come to epitomise his unique style in its heavenly melodies, unusual and affecting modulations and personal depth of expression.[1]

An equally striking torso, the *Quartettsatz* in C Minor, D. 703, announces Schubert's maturity in the field of chamber music. This work is the only completed movement of a string quartet Schubert began in December, 1820 and later abandoned.

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[1]For appreciations of the "Unfinished" Symphony's Schubertian character, see Walter Vetter, *Der Klassiker Schubert*, 2 vols. (Leipzig: C. F. Peters, 1953), 1:158-9; Maurice J. E. Brown, *Schubert*, 122-3; Mosco Carner, "The Orchestral Music," in *The Music of Schubert*, ed. Gerald Abraham (New York: W. W. Norton, 1947), 63f. and Susan McClary, "Constructions of Subjectivity," 205-33.

Although an isolated movement, the *Quartettsatz* has long been admired as a masterpiece in its own right, equal in its emotional power to Schubert's late string quartets. The warmest praise comes from Alfred Einstein:

> There is no bridge leading to it from the earlier quartets–not even from the E major Quartet of 1816 (which only stands between it and the 'domestic quartets' in the chronological sense), nor even from Beethoven's Quartet in C minor, opus 18, no.4, or any of *his* quartets. Schubert's C minor is not emotional but weird, and this weird atmosphere is increased by the almost continual tremolo in the 'accompaniment' or in the theme itself. The contrast or complement to this C minor is not C major or E flat major as it would be with a 'classical' master, but A flat major, the key of the 'lyrical' (dolce) second subject. There is no recapitulation after the 'veiled' development; instead the beginning of the movement reappears towards the end, as if to destroy its rapturous ecstasy and quench its bright radiance.[2]

We will return to Einstein's comments concerning the relationship of the *Quartettsatz* to the early quartets later in this chapter. For the moment, though, let us accept his remarks as an indication of the music's great originality and power. The fact that the author has set the *Quartettsatz* apart from not only Schubert's previous quartets but also those of Beethoven certainly reflects his appreciation of its special character.

Without a doubt, this work is as quintessentially Schubertian as the "Unfinished" Symphony. Many of the features Einstein mentions may be found in other masterpieces by the composer: eerie tremolos pervade the first and second movements of the String Quartet in G Major, D. 887; the general three-key scheme of the

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[2]*Schubert*, 184. Similar statements concerning the sudden change in style may be found in Vetter's discussion of the *Quartettsatz* (*Der Klassiker Schubert*, 1:158f), as well as Brown, *Schubert*, 103 and *The New Grove Schubert* (New York: W. W. Norton, 1984), 98.

exposition (I-bVI-V) recurs in the first movements of the "Grand Duo" Sonata for piano four hands, D. 812, and the Piano Sonata in B-flat Major, D. 960;[3] even the *Quartettsatz*'s prime motive, the chromatic descent from tonic to dominant (ex. 2.1a, i), reappears throughout Schubert's career, from the last movement of the String Quartet in C Major, D. 32, to the first movement of the Piano Sonata in C Minor, D. 958.

The Element of Contrast

For Einstein, the most unusual feature of the *Quartettsatz* is its "weird atmosphere." Here, he seems to have been struck by the orchestral force of the music, whose expansive sonorities and extreme contrasts produce a hyper-tense musical drama.[4] Indeed, contrast plays a particularly important role in this work, as may be seen in the great difference in character between the main theme and the first subordinate theme. The main theme (ex. 2.2a, bb. 1-13) enters in an explosive crescendo, as if hurling itself onto the Neapolitan harmony at bar 9. The obsessive repetitions, unsettling tremolos and dynamic extremes that prevail up to the cadence at bar 13 create an atmosphere

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[3]For the significance of the modulation to the flat submediant region in early Romantic music, see Susan McClary, "Pitches, Expression, Ideology: An Exercise in Mediation," *Enclitic* 7 (1983): 76-86. The main work discussed in this article is the Impromptu in C Minor, op. 90, no. 1.

[4]For literature dealing with the symphonic character of Schubert's quartet style, see the introduction, fn. 13. Valuable background material to this tendency in Schubert's writing, particularly the symphonic or theatrical style of the Viennese string quartet in the late eighteenth and early nineteenth centuries, has recently been supplied by Roger Hickman, "The Flowering of the Viennese String Quartet in the Late Eighteenth Century," *Music Review* 50 (1989): 157-180.

of nervousness bordering on hysteria. Against this desperation is set the floating lyricism of the first subordinate theme (ex. 2.2b, bars 27-61). Here the main theme's disturbed atmosphere suddenly dissipates before one of those long-breathed, heavenly melodies for which Schubert is so famous.[5] The first subordinate theme, however, does not merely provide a stretch of lyricism for its own sake. Instead, much of the theme's emotional effect, indeed its very significance, depends upon the position it occupies in the form, where its lyricism answers the unsettled character of the main theme, and is in turn coloured by that theme.

The strong contrast between the two themes creates a powerful tension that runs through the whole movement. As a result of this heightened thematic differentiation, the *Quartettsatz*'s beginning splits into two distinct, homogeneous blocks, each dominated by its own characteristic motive: the main theme is built up from a constant reiteration of the chromatically descending tetrachord (motive x); the first subordinate theme unfolds as a long periodic melody over an ostinato accompaniment. Even those musical ideas shared by the main and first subordinate themes assume a new character when they pass from one to the other: the restless neighbour tone figure of the main theme, for instance, is transformed into a lilting accompaniment for the first subordinate theme.

This division of the structure into two highly contrasted regions lies at the heart of many criticisms of Schubert's sonata form, particularly the Schenkerian view

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[5]In short, this theme provides an excellent example of the *Lied*-like "intrusions" so often condemned in Schubert's sonata forms.

expressed by Felix Salzer.[6] Certainly the Beethovenian ideal of a continuous, forward-driving generation of new ideas from an initial cell is not evident here. Despite many motivic and harmonic links, the first subordinate theme of the *Quartettsatz* does not grow out of the main theme so much as displace it and, in turn, is swept away by the reappearance of the main theme's tremolos at the beginning of the second transition (bb. 61-93).

In the *Quartettsatz*, then, the sense of unity does not rest solely upon the numerous motivic, harmonic and rhythmic derivations that can be drawn from one theme to the next. Instead, "unity" or, more exactly, the feeling that the series of events in the movement adds up to a convincing whole, is due largely to the continuous conflict between the opposing characters of the main theme and the first subordinate theme. It is this conflict that provides the unifying "idea" of the entire movement. Each part of the form derives its significance from the role it plays in the struggle. No part is greater than the whole: the main theme and first subordinate theme define the emotional poles of the movement, but in doing so, the extreme character of each, its very homogeneity of material and affect, suggests a one-sidedness and hence an incompleteness.

The thematic process here is the opposite of what one would expect in a Classical sonata form, where motivic, rhythmic and even affective contrast is often a feature of

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[6]"Die Sonatenform bei Schubert," 86-125.

the main theme itself, albeit controlled within a balanced phrase structure.[7] Musical diversity then emerges from an initial unity, to spread across the form as the different motivic constituents of the theme are isolated and developed. As a result, the general difference between main and subordinate themes may at times appear to have been prefigured by the material of the main theme.

In the *Quartettsatz*, however, the degree of motivic variety within both the main and first subordinate themes is severely restricted. Each theme projects one intense character centred upon its predominant motive, which is repeated with little deviation. The element of contrast thus lies between themes, rather than within them.[8] Once this thematic polarity has been established, motives from the main and first subordinate themes are brought together in the second subordinate theme (ex. 2.1c, bb. 93-125): the drooping phrases of the first violin's line recall the first subordinate theme while

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[7]See Rosen, *The Classical Style*, 82-3, for a discussion of internal contrast in Classical themes. Also pertinent is his treatment of the beginning of Mozart's Piano Concerto in E-flat Major, K. 271, (pp. 58-63). An extreme example of contrast within a main theme may be found in the first movement of Beethoven's Piano Sonata in E Minor, op. 90, written six years earlier than the *Quartettsatz*. Rosen discusses such Classical "themes of contrasting character" and the problems their rhythmic diversity presented to the early Romantics in *The Romantic Generation* (Cambridge: Harvard University Press, 1995), 700-3.

[8]This statement does not implicitly deny the existence of contrasting themes in a Classical sonata form. As Rosen has stated, such themes are an "inevitable...part of the style." *The Classical Style*, 82. What is different in the *Quartettsatz* is the extreme degree and the specific quality of the thematic contrast, which, when taken together, seem to split the form into two personas–an idea convincingly developed by Charles Fisk with regard to Schubert's "Wanderer" Fantasy in ""Questions about the Persona of Schubert's 'Wanderer' Fantasy," *College Music Symposium* 29 (1989): 19-30. Such an extreme contrasts in Schubert's music have also provided the main focus of William Kinderman's ""Schubert's Tragic Perspective," in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 64-83.

the chromatically descending motive of the viola accompaniment is derived from the main theme.

This reversal of the Classical motivic process carries with it important consequences for the nature of the second subordinate theme. Each of the ideas recalled from the two previous themes already has a strong character stamped on it. (The contrasting materials within a Classical main theme, on the other hand, appear as much more neutral components, since they have not yet been given a life of their own). Furthermore, the way in which the ideas from the main and first subordinate themes are combined in the second subordinate theme suggests an uneasy alliance, not a full synthesis or reconciliation of opposites. One idea is merely superimposed upon the other. They do not answer or balance each other in a linear fashion but literally exist on two different planes. Thus the conflict in the music continues, but now concentrated into one thematic area.

Motivic Links

To this point, the discussion of the *Quartettsatz* has focused on the movement's governing principle of contrast, which involves the complementary, as opposed to derivative, relationship of themes. Throughout the work, though, such contrast is still tightly controlled through numerous interthematic links. In short, the movement does not degenerate into a patchwork quilt. Yet, to echo Dahlhaus's comments on the G-Major Quartet, D. 871, the actual process of derivation does not appear to be the main

point:[9] musical associations seem simply to exist rather than being willed into existence.

The most obvious links are motivic. Since these relationships have already received some attention in the literature, they will be summarized briefly.[10] As mentioned above, the neighbour tone motive of the main theme becomes an accompaniment figure in the first subordinate theme. Indeed, neighbour tone motion is a prominent feature of the whole movement. At the beginning of the second transition (b. 61) and in the first bars of the development (b. 141), this figure also brings with it something of its original disturbed character.

The basic idea of the main theme, the tetrachord descending chromatically from tonic to dominant and embellished by neighbour-tone motion (motive x in ex. 2.1a, i, bb. 1-2), also recurs in different guises at various points in the form. The main theme and first transition are in fact built up from continuous repetitions of this idea. Although the first subordinate theme does not explicitly recall material of the main theme (except, of course, for the omnipresent neighbour tone figure), the first four bars of both its antecedent and consequent phrases (bb. 27-31 and bb. 39-43) are based on the same chromatic descent from the tonic, here curtailed at the sixth degree (ex. 2.1b, cello line). Another version of the descending tetrachord underpins the second subordinate theme of the exposition. Here it first forms a counterpoint in the viola

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[9]"Sonata Form in Schubert," 11-12.

[10]See Vetter, *Schubert*, 1:158-9; Robert Bruce, "The Lyrical Element in Schubert's Instrumental Forms," *Music Review* 30 (1969): 131-7 and Webster, "Schubert-Brahms, I," 26.

to the first violin's line (ex. 2.1c). Subsequently, the tetrachord is stated on its own in an expanded form and reharmonized (ex. 2.1d, bb. 105-9, repeated bb. 113-16).

In the development section (bb. 141-95), a derivation of the tetrachord figure gradually emerges from the concentrated work on the neighbour tone motive. The figure (ex. 2.1e, bb. 157-60) now descends from dominant to tonic in D-flat (violin 2). The repetition of this idea in an inner voice, as well as the prominent upward leap of a fifth in the leading voice (violin 1), refers back directly to the beginning of the second subordinate theme (specifically bb. 93-6, ex. 2.1c). In fact, one might consider both of these passages as further developments of the earlier statement at bars 13 to 16 in the main theme (compare ex. 2.1a, i to 2.1c and 2.1e). In the later derivations, however, the descending tetrachord is no longer the only topic of conversation.

As can be seen, the basic idea of the main theme appears at virtually every stage in the music's progress. The instances cited above amount to only its most obvious manifestations. The prime motive of the first subordinate theme (ex.2.1b, motive y^1, bb. 27-30) also lies at the centre of a web of connections running across the whole form. The basic components of this idea, the initial leaps upward followed by a scalar descent, are prefigured already in the first cadence of the main theme (ex. 2.1a, ii, bb. 11-12, motive y). This cadence, beginning in bar 9 (ex. 2.2a, i), stands out as an important event: the arrival of the Neapolitan harmony represents the climax in dynamics and register of the opening presentation; the harmonic rhythm suddenly slows to two bars as opposed to the previous half-bar rate of change; the tremolos cease and the texture changes radically from the full quartet to the first violin, solo. Thus

the first violin's new material in bars 11 to 12, although outlining the most common cadential figure possible (the descent from mediant to tonic), has been marked as something special.

The highlighting of a new motive within the main theme may seem to contradict an argument made earlier, namely that contrast does not grow outward from the motivic diversity of the main theme, as it would in a Classical sonata form. Indeed, the main theme does contain an element of contrast in its motivic make-up. Yet this element is introduced in a thoroughly un-Classical manner. The thematic framework itself is rather unbalanced: an eight-bar presentation of great intensity (in dynamics alone, it rises from pianissimo to fortissimo) is capped at its climax by a four-bar cadential progression. The important contrasting material is delayed until the last two bars of the theme. (In fact, it is somewhat out of the ordinary in the Classical style for cadential material, which is often deliberately formulaic, to assume an important role in the motivic process of the music).[11] Furthermore, the new material does not return again in the main theme. Consequently it functions as an intrusion, a vague presentiment of something to come.

When this presentiment is fulfilled in the first subordinate theme, the original character of the material is not so much developed further as completely transfigured.

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[11]Rosen, *The Classical Style*, 71-2. Of course, cadential material can become the subject of motivic development. A number of works by Haydn begin with deliberately formulaic ending gestures, for instance the last movement of the String Quartet in D Major, op. 76, no. 5. Here, though, the wit of the music lies in the inversion of the norms of the style, i.e., the "wrong" placement of the material and the manner in which it is finally allowed to assume its "proper" function.

Such a transfiguration rests partly on the use of the same note, E-flat, in exactly the same register as the melodic climax of the parallel motive (ex. 2.2a and b, b. 12 compared to b. 29). In the first instance, the mediant is heard as an appoggiatura against the dominant chord in C minor. This dissonance adds an element of pathos to the motive, a characteristic maintained in later appearances of the figure.[12] In the second instance, the same note has now become the consonant dominant degree above the $V^{6/5}$ chord in A-flat major. A brief glance forward from the first subordinate theme reveals numerous recurrences of elements of its principal idea y: as mentioned above, the second subordinate theme makes extensive use of the falling scale pattern, complete with an initial leap to an appoggiatura (ex. 2.1c), while the opening fifth is extensively worked over at the end of the development section (ex. 2.1e, bb. 157-95).

Recurring Harmonic Ideas

From explicit motivic reminiscences, we may now turn to less obvious harmonic links between the various themes. The source of these links may be found in the initial harmonization of the main theme's descending tetrachord (ex. 2.2). Throughout the first phrase of the main theme, Schubert treats the notes of the descending diatonic tetrachord C-Bb-Ab-G as the basic line, enlivened with chromatic neighbour tones. The fundamental chord progression thus emerges as I-V^2/iv-iv^6-It^6-V, a fairly common

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[12]This may be heard in b. 36, ex. 2.2b, i, the beginning of the half cadence that ends the antecedent of the first subordinate theme and bb. 94 and 96, ex. 2.2c, i, in the second subordinate theme. To a certain extent, the E-flat appoggiatura to the D-flat harmony of the half cadence (b. 36) subtly points to the motive's origin in the first cadence of the main theme.

setting of this bass motion (ex. 2.2a, i and reduction 2.2a, ii). What is important here is the emphasis this progression places on iv, which holds sway over the central half of the progression. Such a move to subdominant harmony is a notable feature of all of the major themes of the work. Even the voice-leading of the outer parts of the progression, specifically the soprano's move from degree 3 to 4 over the bass descent from b7 to 6, returns at key points in the form. In short, the first three chords of the tetrachord (I-V^2/iv-iv^6) in the particular configuration of their initial appearance form a harmonic kernel found at the centre of all three of the exposition's themes (see starred chords ex. 2.2a, ii; 2.2b, ii and harmonic reduction of 2.2c, ii).

The descending tetrachord is harmonized similarly in G major at the beginning of the second subordinate theme (ex. 2.2c, i, bb. 93-7). In this case, the progression tonicizes IV over a tonic pedal. In the latter half of the second subordinate theme area (ex. 2.1d, bb. 105-25), the tetrachord returns again in a new harmonization which intensifies the move towards the flat side. Now the chromatic descent from degree 8 to 5 is treated as a sequence of descending whole tones, moving from G (I-V), through F (I-V), to E-flat (I-V). At this point, the sequence is broken and the music proceeds to an A-flat chord, which is then absorbed as the Neapolitan into the half cadential progression in G major. The magical effect of the tetrachord's reharmonization defies description.

The emphasis on IV in those recurrences of the tetrachord discussed above may be taken as natural, even inevitable, consequences of the basic material used, although, in the last instance, Schubert has changes the harmonization of the figure. A similar

emphasis on IV, however, is central to the first subordinate theme as well (ex. 2.2b). In fact, this specific harmonic feature largely determines the theme's relaxed and lyrical character. As mentioned above, the theme is cast in the form of an expanded period (bb. 27-61). Both the antecedent and consequent begin with a tonic statement of the basic idea followed by a repetition of the same material on the subdominant.[13] Such a procedure is itself a departure from the more usual Classical practice of either answering the tonic with the dominant in a "statement and response" construction or repeating the initial material on the supertonic.[14] Apart from its influence on the general character of the subordinate theme, the prominent move to IV has important ramifications for the structure as a whole, as shall be seen in the long view of the movement's tonal plan.

A Characteristic Use of Cadences

The *Quartettsatz* is a good example of Schubert's famous three-key expositions. The three keys consist of the tonic, C minor, for the main theme, A-flat major for the

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[13]It is interesting to note that the main theme (bb. 1-13) and the antecedent of the first subordinate theme (bb. 27-38) are quite close in proportion. Both are unusual sentences consisting of 8-bar presentations capped by shorter continuations (5 and 4 bars respectively). The similarity in the construction, however, is offset by the radical difference in the theme's characters and dynamics.

[14]Examples of the first case are legion. For the second case, see the main theme of the first movement of Beethoven's First Symphony. There are, of course, some Classical examples of a tonic-subdominant statement and response structure; see Mozart's Piano Sonata in C Major, K. 309, iii, main theme, and Beethoven's String Quartet in C Minor, op. 18, no. 4, i, main theme. For a detailed discussion see Caplin, *Classical Form*, chap. 3.

first subordinate theme and G major for the second subordinate theme and closing section. Not only is this tonal pattern (I-bVI-V) a favourite of Schubert's (see above, p. 56), but, according to Kate Covington and Rey Longyear, it is also one of the main types of three-key expositions used by earlier composers.[15]

Although the three-key exposition already had a tradition behind it by the time it had reached him, Schubert brought to it something new and quite ingenious. His three-key expositions, whatever the sequence of keys they employ, exhibit a great diversity in construction. At one extreme of the spectrum, the middle key may be merely an expanded harmony, or a brief tonal area which is never confirmed by any cadence. The most famous example of such a strategy is the first movement of the String Quintet in C Major, D. 956. Here the subordinate theme begins as if in E-flat major, yet never cadences there. Instead the music slips back to the tonic of C major before proceeding on to the dominant key.[16]

The three-key plan of the *Quartettsatz* lies at the opposite extreme to that of the Quintet, for each key in the Quartet's exposition is fully established by at least one perfect authentic cadence. In fact, authentic cadential progressions are used not only to close off one key but also to accomplish the modulation into the next. This new, rather un-Classical role of the authentic cadence is underlined by the special character

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[15]"Sources of the Three-Key Exposition," *Journal of Musicology* 6 (1988): 448-70. The crucial difference in the plan of the *Quartettsatz* lies in the move to the dominant major key rather than dominant minor at the end of the exposition. The possible origins of this novelty will be discussed in chap. 3.

[16]See Rosen, *Sonata Forms*, 256-7.

of such cadential progressions in the *Quartettsatz*. In these passages, forward motion seems to be temporarily suspended, as if the music were balanced precariously on an edge between two tonal planes. The extraordinary effect of such modulations further emphasizes the contrasts between the thematic blocks of the exposition.

A feeling of arrested motion certainly hangs over the very first cadence of the work (ex. 2.2a, i, bb. 9-13). Rather than accelerating the rate of harmonic change, as often occurs in cadential progressions, the cadence broadens it to two bars per chord as opposed to two chords per bar in the preceding phrase. This sudden shift from a fairly rapid harmonic rhythm to an extremely slow one not only creates the sense of suspended motion mentioned above but also draws attention to the harmony at the point where the shift is made–the D-flat chord, here functioning as a pre-dominant Neapolitan in C minor.

The *Quartettsatz*'s first cadence, which remains in the tonic key, accomplishes the usual cadential function of punctuating a theme. Many later authentic cadences, however, fulfil the new role of modulating from one key into the next. The first modulation to A-flat major, for instance, is accomplished through the cadential progression from bars 23 to 27 (ex. 2.3). This cadence is set up as a parallel to the first cadence (b. 9 etc.), and involves the same striking deceleration in the harmonic rhythm. This time, though, instead of cadencing in C minor, the music pivots on the D-flat chord into the key of A-flat major. The magical effect of the arrival of the new key in bar 27 depends on the unexpected change of tonal direction in the cadential progression. (As shall be seen, Schubert's modulations throughout this movement

consistently employ such subtle redirections and allusions to previous harmonic events). The slow, floating harmonic rhythm of the cadence further enhances the ambiguous character of the progression.

The next important cadence to claim our attention closes off the second transition and initiates the second subordinate key of G Major at bar 93 (ex. 2.4). This second transition (bb. 61-93) moves from its dramatic beginning in A-flat minor back towards the home key, C minor, whose imminent return is suggested by the move to, and subsequent prolongation of, its dominant at bar 77. At bar 81, however, the full return to C minor is denied when the music shifts to an E-flat chord, which subsequently becomes the German sixth in G major. The German sixth in turn initiates the transition's concluding expanded cadential progression (bb. 81-93), ending with a perfect authentic cadence in the new key at bar 93. The expansion of the cadential progression focuses on the pre-dominant augmented-sixth chord, whose derivation from the E-flat chord (VI) and move to the $V^{6/4}$ is played out twice between bars 81 and 88. In this process, the feeling of rhythmic suspension and tonal uncertainty is heightened even more than in the cadential progressions just discussed.

An equally evocative expansion of the German sixth of G major occurs at the end of the development section (ex. 2.5, bb. 181-90). Here, though, we are not dealing with a cadential progression, but rather a post cadential dominant prolongation. Furthermore the whole passage involves one of the most striking tonal sideslips in the movement. Schubert's strategy in this harmonic sleight of hand, in fact, draws on Classical practice, specifically the highlighting of the dominant of the relative minor,

instead of that of the true tonic, as preparation for the recapitulation.[17] The key relations here are precisely those found in such Classical manoeuvres: G minor is suggested as the possible goal of the passage, but the music suddenly shifts into G minor's relative major, B-flat, for a recapitulation of the first subordinate theme. What is unusual here is that neither of the keys concerned is the tonic. Furthermore, the move towards the dominant region (G minor and its relative major) for the beginning of the recapitulation lies far from standard Classical practice.[18] This tonal surprise, as well as the arrival of the first subordinate theme at this juncture, has led a number of commentators to consider this piece as something other than a true sonata form.[19]

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[17]See James Webster, *Haydn's "Farewell" Symphony*, 138-46, for a discussion of this procedure in the works of Haydn, and David Beach, "A Recurring Pattern in Mozart's Music," *Journal of the American Musicological Society* 36 (1983): 1-29.

[18]In fact, G minor (v) would be a tonality usually associated with the development section of a Classical sonata form in the minor mode, see William Caplin, *Classical Form*, chap. 10.

[19]See Webster, "Schubert-Brahms, I," 26, also Bruce, "The Lyrical Element," 131-7. However, Daniel Coren ("Ambiguity in Schubert's Recapitulations," *Musical Quarterly* 60 [1974]: 568-82) accepts the *Quartettsatz* as being in sonata form. Beginning the recapitulation with the subordinate theme is not unusual in itself. Here we have an example of the "reversed recapitulation" discussed by Rosen (*Sonata Forms*, 287). The tonal aspects of the recapitulation also have precedents in Schubert's work. The feint towards the key of the dominant at the end of the development section recalls earlier sonata forms with recapitulations beginning in the dominant (the String Quartets in D Major, D. 74, i and iv, and in C Major, D. 46, i, all to be discussed later in this study, as well as the Symphonies no. 3 in D Major, D. 200, iv and no. 4 in C Minor, D. 417, i). In fact, non-tonic recapitulations involving a fairly wide variety of keys are quite common in Schubert's early work. Even the *Quartettsatz*'s recapitulation on bVII finds a precedent in the String Quartet in D Major, D. 94, i. Although the subordinate theme does not return in the tonic at beginning of the recapitulation in the *Quartettsatz*, it does bring with it the same texture as it had in the exposition, another conventional indication of recapitulation (see Janet Levy, "Texture as Sign in Classic and Early Romantic Music," *Journal of the American Musicological Society* 35 [1982]: 482-531). Furthermore shortly after the return of the subordinate theme in B-flat major,

Cadences play such an important role in the modulations within the *Quartettsatz* that the tonal scheme of the exposition may be reduced to a series of successively linked cadential progressions, in which one important harmony in the earlier cadence is recalled to function as a pivot in the later one (fig 2.1). Two harmonies in particular provide the links between these cadential passages–the D-flat major chord and the E-flat dominant seventh of A-flat major, which can also function as the German sixth of G major/minor (From now on referred to as the E-flat^{7}/Aug^{6} chord, see fig. 2.2a).

The D-flat chord is the first of the two to be called into play. As mentioned above, it is highlighted in the cadential progression at the end of the main theme (ex. 2.2a, bb. 9-13), where it functions as the Neapolitan six in C minor. In the cadence in which the music modulates from C minor to the first subordinate key of A-flat major, (ex. 2.3, bb. 23-7), the same D-flat six/three chord returns as a pivot from the first key into the second, where it is reinterpreted as IV^{6} in the new key.[20]

From this point on, the second harmony, the E flat^{7}/Aug^{6}, takes over as a link between cadential passages. In the cadence just discussed, this chord functions as the dominant seventh of A-flat major (bb. 25 and 26). For the move into G major, accomplished by the cadence at the end of the second transition, the same chord now acts as the German sixth in G major to prepare the dominant chord of that key. Of particular interest here is the way in which the second transition moves from A-flat

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the music shifts into the tonal orbit of C minor through a move to E-flat major. The *Quartettsatz* may still be considered a sonata form, although an irregular one.

[20]See also Coren, "Ambiguity," 574.

back towards the original tonic of C minor (implied by the arrival on C minor's dominant chord at bar 77 and that chord's subsequent prolongation from bars 77 to 80, ex. 2.4) before finally slipping into G major at the cadence in bar 93. This circular tonal path suggests that the first modulation into A-flat major was a deflection from the true tonal goal of the exposition. The music must retrace its steps, so to speak, and try again. Furthermore, when the move to the "proper" key finally is effected, it is done so through the very harmony that had played so crucial a role in the first detour.

The E flat^{7}/Aug^{6} is called up again for the dominant preparation which sets up the return of the first subordinate theme in B-flat major at the beginning of the recapitulation (ex. 2.5, bb. 181-90). As seen above, a move to G minor is prepared, but instead the music slips into B-flat major at the last moment. Thus all but one of the important modulations in the form involve the same harmony, which assumes a new function in each of its new contexts.[21] It is as if the basic key scheme of the Quartettsatz had grown out of an investigation of the potential tonal directions inherent in the ambiguous nature of this one chord.

Further Tonal Intricacies

Recurring references to important harmonic elements are not restricted to the cadences that bind successive keys to each other, but also spread into other areas of the form. The D-flat major chord, for instance, after it has provided the pivot into the key of A-flat major, is highlighted immediately in its new context in the first subordinate

[21]The exception consists of the return to the C minor/E-flat major axis (bb. 206-7).

theme (ex. 2.2b, i, bb. 31-2). In fact, D-flat major gains increasing prominence in the form, from its first appearance at bar 9, through its return as IV of the first subordinate key area, to its re-emergence as a key area in its own right, bracketed by its relative minor, B-flat, at the centre of the development section (bb. 149-76).

The Neapolitan relationship, first established between D-flat and C in the main theme, is also pursued in connection with A-flat major and G major, the two subordinate keys of the exposition. As mentioned above, the move to A-flat major as the first subordinate key assumes the character of a detour once the second subordinate key of G major is reached. The status of A-flat major is clarified in the final cadences of the second subordinate theme area (ex. 2.6, bb. 109-12, repeated and expanded in bb. 117-24). Here the A-flat major chord is featured as the Neapolitan of G major.[22] Thus what had at first emerged as a tonality in its own right has at last been absorbed into the second subordinate key, G major, as a cadential harmony.

These final cadences bring together a number of other important ideas. The actual move to the cadential A-flat major chord is prepared by the return of the descending tetrachord (bb. 105-11 and again 113-19). As noted above, the tetrachord is now completely reharmonized as a descending whole-tone sequence. This progression allows the music quickly to cycle back towards A-flat major, through its dominant, E-flat, in the last stage of the sequence.

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[22]This remarkable passage has already been singled out by Webster as an example of the later return of a "sensitive sonority," a harmonic subtlety for which Schubert is justly famous, see "Schubert-Brahms I," 28.

When A-flat is taken up in bar 109 as a component of the following cadential progressions, it is embellished by its own dominant seventh (b. 110), the very E flat^{7}/Aug^{6} chord that figures so prominently in the two modulations of the exposition. This chord thus brings with it a specific reference to its first function in A-flat major. Now relegated to the position of an applied dominant, it too has been absorbed into the second subordinate key of G major.[23]

A number of other features of the cadential passage make subtle references to the first subordinate theme. The A-flat chord first appears in root position (b. 109 and later b. 117), not the more usual first inversion of a Neapolitan, thus creating a certain ambiguity as to its true function. Furthermore, the stillness of the first violin's leading line, its held E-flat, produces the same floating quality found in the first subordinate theme. As a result, the passage alludes to both the tonality and character of the first subordinate theme before allowing the A- flat chord to assume its ultimate role as the Neapolitan in the final cadence (bb. 121-25). These allusions to the first subordinate theme are reinforced by the whole-tone sequence through which the A flat major harmony is approached, suggesting, albeit very briefly, a tonal movement away from G major.[24]

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[23]It is interesting to see how the dual nature of the E flat^{7}/Aug^{6} brackets the second subordinate theme. The chord first appears as the German sixth of G major at the end of the second transition, then returns in the final cadences as the dominant seventh of A-flat major.

[24]The overarching motive in which this highlighting of A-flat occurs, the G-F-Eb-D tetrachord (bb. 105-11 and 113-24), of course ultimately confirms G as the tonal centre. Its pause on the penultimate E-flat (bb. 109-10 and 118-22), though, allows the music to glance backward at the first subordinate key from the new perspective of G major.

The intricacies of Schubert's key scheme do not end with the exposition. The development section itself consists largely of an expansion of the modulatory plan of the second transition. The music begins in A-flat major, then advances to the B-flat minor/D-flat major region at its centre before moving on through C minor to the German sixth and dominant of G minor. This key scheme is precisely that of the second transition, which moves by whole tones from A-flat minor, through B-flat minor to C minor, then by a fifth on to G and its German sixth. The chief difference between the two passages lies in the development section's expansion of the B-flat minor region by a turn to its relative major, D-flat.

In the development section, then, the music retraces the most crucial tonal steps of the exposition, summoning up again the "sensitive sonorities" of A-flat and D-flat and the pivotal E flat^{7}/Aug^{6} chord. The sudden deflection into B-flat major at the end of the development section serves to break this repeating circle of keys, thus allowing the music to progress beyond the path already trod by the exposition. To a large extent, the relationship of the development section's key scheme to that of the exposition parallels the linkage of cadences within the exposition: instead of returning to a previous harmony, whose redirection advances the discourse one key further, the music returns to a whole series of keys through which it cycles before moving on to the next stage of the tonal scheme.

The arrival in B-flat (bVII) for the "recapitulation" is quite an extreme move by any standards. Yet from this point on, Schubert manages to regain the tonic key very adroitly through a series of elegant manoeuvres. The initial move follows logically

from the subdominant tendency of the first subordinate theme: E-flat (IV of B-flat) is highlighted in the antecedent phrase (bb. 195-206) just as D-flat (IV of A-flat) was highlighted in the exposition. E-flat then becomes the key of the consequent phrase and remains so all the way to the transition (bb. 207-29). In this way, the music begins its re-entry into the tonal sphere of C minor, approaching that key through its relative major.[25]

The second phase of the return to C minor is accomplished by a transition (bb. 229-57, analogous to the second transition of the exposition) that moves from E-flat minor and its relative major, G-flat, to a perfect authentic cadence in C major to begin the second subordinate theme. The scheme here divides neatly into two interlocking stages. In the first stage, the music moves by step up from E-flat minor–embellished by an interlude in its relative major, G-flat–to F minor. The dominant of the new key is reached at bar 239 and then prolonged until bar 244 (ex. 2.7). At the end of this bar, the music suddenly veers into F minor's relative major, A-flat, in exactly the same way as the dominant of G minor swerved to B-flat major for the beginning of the recapitulation.[26] In the second stage (ex. 2.7, bb. 245-57), which parallels the end of the second transition of the exposition, the A-flat major chord is converted into the

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[25]The move to E-flat major for the consequent phrase of the subordinate theme also brings with it, in the tonicization of its own subdominant (bb. 211-14), a reference to the "sensitive" key of A-flat major, which played such an important role in the exposition and beginning of the development.

[26]The turn to A-flat major here is the last important reference to this key in the movement.

German sixth of C minor. This chord then becomes the pre-dominant of the perfect authentic cadence in C major.

If we step back from the harmonic details of the form, we may see just how concentrated the tonal scheme is. Certainly the tonic and dominant keys maintain their Classical function as the poles of the exposition.[27] Indeed the move to the dominant in the second subordinate theme of the exposition is answered by the return of this theme in C major in the recapitulation. A number of other keys, though, assume crucial roles; they include the Neapolitan (D-flat major) and the flat submediant (A-flat major).

Direct movement by a fifth is not featured in the general structure. Instead, many of the modulations are by a third, partly accomplished by the linking of minors and their relative majors so typical of Schubert's mature harmonic practice.[28] In the exposition, the ultimate progression from C minor to G major is routed through the unexpected move down a major third to A-flat. This particular modulation does not involve the use of a relative major-minor pair of keys, but a number of important modulations later in the form do. The end of the development provides the most

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[27]The subordinate key in the minor mode, though, is usually the relative major or, less frequently, the dominant minor. The use of the dominant major is a departure from Classical precedent.

[28]See Tovey's influential article "Tonality in Schubert," *Music and Letters* 9 (1928): 134-59.

impressive instance, when the move towards G minor is sidetracked to B-flat major for the recapitulation of the first subordinate theme.[29]

The same feint involving movement by a third and a relative major-minor pair of tonalities is also used to return to C major for the second subordinate theme in the recapitulation. As we have just seen, the music is deflected from F minor to A-flat major, which is immediately converted into the German sixth of C minor. It is particularly fitting here that the return of the tonic key should be prepared through A-flat major, for this key was the goal of the first modulation in the exposition. The music has thus come back to the tonic through its initial point of departure.

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In its mastery of construction and grand emotional sweep, the *Quartettsatz* certainly marks Schubert's coming of age in instrumental music, but, to return to Einstein's comments cited at the beginning of this chapter, does it also represent a complete break with Schubert's youthful quartets? No, quite the contrary: many of the most striking and, incidentally, un-Classical features of the *Quartettsatz* may be traced directly to the experiments of the early quartets. These features include the building up of the main

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[29]The arrival in B-flat major, although unexpected, has been subtly prefigured by the centre of the development, which has emphasized the tonal region of B-flat minor and its relative major, D-flat. Here then, a tonic major-minor pair (B-flat) has been used as a bridge between two important tonal regions in the form, that of D-flat major/B-flat minor and B-flat major/G minor. Again, this sort of modal change to allow a wider tonal movement is a hallmark of Schubert's mature harmonic style.

theme and transition from repetitions of the same material, the harmonic links between the various tonal regions of the form, the use of authentic cadences to accomplish the principal modulations and even the basic structure of Schubert's famous three-key exposition. All of the above innovations grew out of the composer's struggle to solve the overriding problem of his first sonata forms–their failure to accommodate convincing tonal and thematic contrast. During the six-year apprenticeship we will now consider, he gradually expanded his sonata forms to encompass such contrasts. The seemingly effortless coexistence of dynamic power and relaxed lyricism in the *Quartettsatz* thus emerges as the first fruit of Schubert's labours in his youthful string quartets.

PART II

THE EARLY STRING QUARTETS

CHAPTER 3

SCHUBERT'S INITIAL DIFFICULTIES WITH SONATA FORM: THE PATH TOWARDS A SUBORDINATE THEME

Our discussion now takes us to the very beginning of Schubert's development as an instrumental composer. The five works to be analyzed in this chapter include some of his earliest surviving pieces of instrumental music: the String Quartet in G Minor/B-flat Major, D. 18, possibly from 1810; the String Quartet in D Major, D. 94 from 1811 or 1812; and the Overture for String Quintet in C Minor, D. 8, written in June of 1811; as well as two later quartets–in C Major, D. 32 and B-flat Major, D. 36, both dating from the latter half of 1812.[1]

Schubert's first attempts at sonata form are far removed from the characteristic beauties of the *Quartettsatz*. In particular, expansive lyricism, the hallmark of his style,

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[1]From 1810 to 1812, Schubert wrote, besides these string quartets, a number of piano solos and duets and tried his hand at orchestral composition, specifically overtures.

is noticeably absent in all but one instance.[2] Instead, the melodic material of these quartet movements may be reduced to what Miriam K. Whaples has referred to as "a severely limited repertoire of dryly motivic ideas."[3]

Furthermore, any form of contrast is severely restricted. The expositions in Schubert's earliest sonata forms consistently lack a well defined subordinate key area with a distinct theme.[4] Only in the opening movement of the String Quartet in B-flat Major, D. 36, composed between November, 1812 and February, 1813, is a fully formed exposition evident. Although the outer movements of the three preceding quartets fail to provide tonal and thematic contrast,[5] they still trace a gradual advance

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[2]The first movement of the String Quartet in D Major, D. 94, provides an early example of Schubert's lyrical approach to sonata form.

[3]"On Structural Integration in Schubert's Instrumental Works," *Acta Musicologica* 40 (1968): 194.

[4]Martin Chusid has dealt with this problem in the string quartets of 1810-13; see "The Chamber Music," 44-61. See also Carl Dahlhaus, "Formprobleme," 191-7, and Whaples "Structural Integration."

[5]Such deficiencies call into question the very idea of considering these movements true sonata forms. Yet certain structural features, for instance the presence of a clearly delineated development section followed by some type of recapitulation, reveal Schubert's sonata-form intentions.

towards the B-flat Quartet's formal breakthrough.[6] This evolution provides the main focus of the following discussion.

Seeds of the Future: Overture in C Minor, D. 8

One work, the Overture for String Quintet in C Minor, D. 8, already exhibits the two features of sonata form missing in Schubert's earliest sonata-form movements. In fact, it is quite a precocious piece of music, for it constitutes the first example of the composer's three-key exposition. This precocity may also be seen in certain similarities between the youthful Overture and the mature *Quartettsatz*. An atmosphere of high tension hangs over both works.[7] In the Overture, this quality is due in part to the main Allegro's obsessive concentration on its prime motive, a four-note figure with a repeated-note up-beat (motive x in ex. 3.1). The figure, like the ubiquitous neighbour-tone motive of the *Quartettsatz*, may be heard throughout the movement, appearing

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[6]However the chronology of Schubert's two earliest quartets is not definitively established, the first dated quartet being the one in C Major, D. 32. According to the handwriting of the manuscript and general features of style, the Quartet in G Minor/B-flat Major is considered to date from 1810 or 1811, while the Quartet in D Major, D. 94 is now generally accepted as having been composed sometime in 1811 or 1812, due to shared material with the Overture in D Major, D. 12, as well as the characteristics of the handwriting in the manuscript. See Chusid, preface to *NSA*, series 6, vol. 3, x-xi. A clear view of the development of Schubert's instrumental writing is further complicated by the loss of two of the earliest quartets, both written around the same time as the Quartet in G Minor/B flat Major Quartet (see the introduction to this study, pp. 5 and 3).

[7]Such intensity is a recurring characteristic of Schubert's early sonata forms. So much so that Chusid has singled out this tendency as a feature of Schubert's adolescent hypersensitivity, even morbidity; see "Chamber Music," xiii and 6-7.

now as a component of the principal melodic line, now as a detail of the accompaniment.[8]

A great deal of tension is also generated by the abrupt, often startling manner in which the Overture modulates.[9] These striking tonal shifts prefigure in their own crude way some of the extraordinary modulations of the *Quartettsatz*. Even the general key scheme of the Overture's exposition partially foreshadows that of the later quartet: from C minor the music quickly slips into A-flat major (bb. 82-5) to prepare for the first subordinate theme. Parallels to the *Quartettsatz* end here, though: instead of moving on to the dominant, the Overture establishes the subdominant (F minor, later major) as the second subordinate key of the exposition. Schubert's predilection for modulation towards the flat side of the tonal spectrum is a well-known characteristic of his writing, quite evident in the *Quartettsatz*. It is interesting to find such a tendency already present so early in Schubert's career–in this case, the subdominant has even supplanted the dominant as the ultimate goal of the exposition.[10]

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[8]Again, such motivic saturation, coupled with a reiteration of one basic rhythmic pattern, is a prominent feature of many of Schubert's earliest sonata forms.

[9]According to Chusid, the C-minor Overture was strongly influenced by Cherubini's Overture to *Faniska*, which Schubert might have come to know through playing in the student orchestra at the *Kaiserlich-königliches Stadtkonvikt*. Chusid points out a number of structural and motivic similarities. Above all, he maintains that the young student was impressed with Cherubini's tonal surprises and thus patterned some of his own dramatic modulations on what he had heard in the older master's work. See "Schubert's Overture for String Quintet," 78-84.

[10]The substitution of the subdominant for the dominant as the concluding tonality of the exposition is a highly un-Classical manoeuvre. As Rosen has shown, Classical sonata style makes an essential distinction between the dominant-tonic and subdominant-tonic relationship. When the dominant and subdominant are treated as merely interchangeable keys closely related to the tonic, the basic dynamic of the style

Of course, the C minor Overture does not remotely approach the accomplishment of the *Quartettsatz*. Despite its failings, though, it does look forward to Schubert's mature instrumental music in its unusual manner of modulation and its linkage of the two subordinate keys in the exposition. These harbingers of things to come merit some attention before we pass on to the main body of the early string quartets.

The Overture divides into two major sections; a Largo introduction and an Allegro main movement. The Allegro, which forms the main focus of this analysis, follows the lines of an ambitious sonata form, consisting of a long and complicated exposition (bb. 40-156), a short link rather than a development section (bb. 157-169), a recapitulation full of tonal anomalies (bb. 170-276) and a coda (bb. 277 to the end).[11] The most interesting aspect of this movement is its tonal structure, which exhibits on the large scale the young student's difficulties in coming to grips with the basic tonal principles of sonata form, yet reveals in some of its details a precocious harmonic sensitivity.

The exposition may be broken down into a main theme complex in C minor (bb. 39-79), a brief transition (bb. 79-85), a first subordinate theme in A-flat major (bb. 86-95) a second transition, again quite short (bb. 95-9), and a second subordinate theme

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begins to break down (*The Classical Style*, 26-8). Consequently, Schubert's scheme is quite different from earlier examples of the three-key exposition found in the pre-Classical and Classical periods. See Longyear and Covington, "Sources of the Three-Key Exposition," 448-70.

[11]Chusid considers that many of the unusual characteristics of Schubert's Overture are derived from the typical treatment of sonata form in overtures of the period. These features include the use of many keys in the exposition and an abbreviated development section; see "Schubert's Overture for String Quartet."

group (bb. 100-56). This last section begins in F minor, but later shifts to F major for a return of the first subordinate theme (bb. 145-56).[12] After the link, which moves the music back towards C minor (bb. 156-69), the unusual exposition is answered by an even more unusual recapitulation. The main theme returns in C minor, but the first subordinate theme arrives in the dominant, G major, and this key remains, altered to the minor mode, for the first half of the second subordinate theme. The music then modulates to F minor to conclude the recapitulation. Consequently the coda must re-establish the home key, C minor, before bringing the work to its conclusion.

Admittedly, the general structure of this piece reveals weaknesses in long-range tonal planning. The indiscriminate use of the subdominant and dominant seems to indicate their position merely as keys closely related to the tonic. Indeed, the recapitulation's resolution of an initial "tonal dissonance," which Rosen considers so crucial to Classical sonata form,[13] plays no role in this structure at all: the dominant or subdominant keys are simply substituted for the usual tonic in the recapitulation. However the exposition does contain some harmonic details prophetic of the subtleties in Schubert's mature sonata forms, in particular the manner in which the three keys of the exposition, the tonic (C minor) submediant (A-flat) and subdominant (F) are linked together.

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[12]Such a deliberate thematic recall suggests that the first appearance of the theme in A-flat major is some sort of tonal "wrong turn" which is corrected by the theme's return in the concluding tonality of the exposition.

[13]*Sonata Forms*, 16-27.

The chief key relations are foreshadowed in the main theme complex, a somewhat unusual structure consisting of three sections (ex. 3.2).[14] The first (bb. 40-5), a six-bar phrase in a very rudimentary sentential design, presents the basic motivic material of the movement over a simple harmonic background moving from I to V^7 in C minor.[15] The second (bb. 46-68) suggests a transition in its unsettled harmonic nature coupled with a move to, and prolongation of, the dominant of a new key. This section begins as a restatement of the previous one in C minor. At bar 51, however, it turns to the subdominant, F minor, which is maintained until the half cadence in that key at bar 61. There then follows a substantial dominant prolongation in F minor until bar 65, when the dominant of the home key suddenly returns. The tonal suggestion in this section is realized later in the exposition: F minor becomes the tonality of the second subordinate theme group, while the Db-C motion, so prominent from bar 54 to 60, is highlighted in the ostinato figure with which the second subordinate theme group begins (bb. 100-12).

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[14]This study assumes a theme is "irregular" or "unconventional" in comparison to the basic Classical theme types defined and described by William Caplin: the sentence, period, hybrid, small ternary and small binary. See the introduction to the present study, pp. 13-16, as well as Caplin, "Funktionale Komponenten im achttaktigen Satz," *Musiktheorie* 1/3 (1986): 239-60 and "Hybrid Themes," 151-65. The "irregularity" of this theme might be ascribed to the young composer's inexperience. However, unconventional theme types are encountered throughout the composer's career and mark, in part, his divergence from the Classical style.

[15]If the arrival on the dominant seventh is intended to be a half cadence, it is an extremely irregular one by Classical standards. Normally a dominant 5/3 is the goal harmony, not a dissonant dominant seventh.

A two-bar prolongation of the dominant of C minor (bb. 66-7) prepares the third section of the main theme complex (bars 68-79). This last section offers something approaching a conventional theme-type, specifically a sentence in C minor, but with one unusual feature: the presentation, built as a statement and response (bb. 68-73), features tonic and submediant (A-flat), rather than tonic and dominant harmonies.[16] The significance of this construction becomes apparent immediately afterwards in the short transition following the cadence at bar 79 (ex. 3.3). Again the tonic chord is answered by the submediant. This time, though, A-flat becomes the new tonic for the first subordinate theme.[17] The transition does not modulate, but simply juxtaposes two keys. Despite the crudeness of this move, it has been prepared to some extent by the coupling of tonic and submediant harmonies in the presentation of the preceding sentence. Thus the A-flat chord is first highlighted before it assumes the status of a full tonality. Furthermore, the move towards this general tonal region was suggested as far back as bar 51 by the flirtation with F minor (A-flat's relative minor) during the main theme's second section.

The link between A-flat major and F minor is made explicit in the short transition following the end of the first subordinate theme (ex. 3.4, bb. 95-100). As in the first transition, the music proceeds directly from one key into the next. Now, though, the "modulation" depends upon an odd deceptive cadence rather than a simple

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[16]The Classical statement-response structure usually emphasizes fifth relationships, an initial tonic answered by its dominant, or, less frequently, subdominant.

[17]This theme has a sentential structure, ending with a perfect authentic cadence in A-flat major at bar 95.

juxtaposition of tonics. From bar 95 to 97 the full ensemble in octaves descends a seventh from A-flat to B-flat, then ascends a step from B-flat to C. The fundamental bass line Ab-Bb-C outlines a cadential progression in F minor. The cadence is withheld, however, by substituting the submediant chord (D-flat) for the tonic when the music arrives on the bass note F in bar 98. The D-flat chord is then prolonged through bar 99. It subsequently becomes a prominent feature in the initial ostinato section of the second subordinate theme group.

The rather dramatic and unconventional use of the D-flat harmony in the second transition recalls the concentration on the Db-C figure in the second section of the main theme complex. In fact, a similar accented D-flat appoggiatura to the F minor chord is featured there (ex. 3.2a, b. 60).[18] The attempt to link these two passages through a common harmonic component marks the beginning of Schubert's famous use of a "sensitive sonority" as a binding element in his sonata forms.[19] In the Overture, not only is the key of the second subordinate theme group foreshadowed in the main theme complex, but an important harmonic element of the later structure is also briefly underlined in the earlier one.

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[18]In a deceptive cadence, the VI is normally in root position. The use of the first inversion in the deceptive cadence at bar 97 further reinforces the connection with bar 60.

[19]The appreciation of this aspect of Schubert's writing, in which he links various parts of the form through recurrences of a specific sonority or harmonic event, is relatively recent. See Chusid "Chamber Music" ; Joseph Kerman, "A Romantic Detail in Schubert's *Schwanengesang*," *Musical Quarterly* 48 (1962): 36-49; James Webster, "Schubert-Brahms, I" ; E. T. Cone, "Schubert's Promissory Note: An Exercise in Musical Hermeneutics," *19th-Century Music* 5 (1982): 233-41, and "Schubert's Unfinished Business," *19th-Century Music 7* (1984): 222-32.

At this point, let us leave the tonal workings of the Overture to look briefly at its thematic relationships, particularly between the main theme complex and the first subordinate theme. As in the harmonic links between the various keys of the exposition, the manner in which motivic threads connect these two thematic units points ahead to a similar process in the *Quartettsatz*.

The principal motivic components of the first subordinate theme consist of the Overture's omnipresent four-note figure x (ex. 3.1a) and a simple turn figure y (ex. 3.5). This last motive is first heard as an unobtrusive melodic embellishment of the cadence in G minor at bar 27 of the introduction (ex. 3.5a). It then resurfaces as a major motivic element in the final cadence of the main theme complex (ex. 3.5b, bb. 74-7). Its appearance in this passage, just before it is taken up in augmentation in the first subordinate theme (ex. 3.5c, bb. 85 etc.), suggests an attempt at establishing some form of motivic continuity between the themes. Schubert has even marked out the relevant cadential passage from the rest of the main theme complex through the use of fast sixteenth-note figures and dramatic tremolos. Thus, as in the *Quartettsatz*, an important constituent of the first subordinate theme emerges from a simple, commonplace figure associated initially with a cadential idea of the main theme.

The motivic and harmonic aspects of the Overture just discussed present in embryo methods Schubert would later use to connect the principal thematic areas of his sonata forms. Despite such subtleties of detail, the Overture is still a fairly rudimentary piece of music: tonally its structure does not add up to a coherent whole; motivically it is

governed by one, or at most two motivic cells, a characteristic found again and again in the string quartets we will now consider.

Form with Minimal Contrast: Quartet in G Minor/B-flat Major, D.18, i

The first movement of the String Quartet in G Minor/B-flat Major, D. 18, exhibits hardly any of the normal features of sonata form. However, its structure does include something that might have been intended as a development section–a central fugato in D major on the head motive of the movement's main theme (bb. 95-131)–and a recapitulation of the main theme in the key of the dominant minor (bb. 132 etc.).

Unusual as its form may be, this movement is not the diffuse sort of pastiche one would normally expect from a thirteen-year-old boy. On the contrary, it exhibits such a high degree of motivic concentration that it could be described as a fantasia on a single subject. Motivically, the whole piece is based upon the material of the first four bars of the introduction (ex. 3.6a, designated figure A).[20] All the major subdivisions of the main movement are articulated by this material or very obvious derivations of it. The main theme (ex. 3.6b, i) is simply a more rapid version of the opening of the introduction (ex. 3.6a), now set in triple metre.[21] A partially inverted variant of the

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[20]The introduction appears to begin in C minor. But this initial emphasis on C minor proves to be merely an expansion of the subdominant harmony of the tonic key, G minor. In bar 5, the music reaches the diminished seventh of G minor and this tonality is then confirmed by a perfect authentic cadence at bar 9.

[21]This theme is constructed as a sentence, with a repeated four-bar presentation (bb. 40-7) followed by a continuation built entirely on a cadential progression ending in a perfect authentic cadence in G minor at bar 50. Structurally (and affectively) the theme

theme serves to begin the second part of the movement (ex. 3.6b, ii, b. 76). The beginning of the main theme returns in a slightly altered form as the subject of the following fugato (ex. 3.6b, iii, b. 95). It then resurfaces, transposed to the dominant minor, to initiate the "recapitulation" (ex. 3.6b, iv, b. 132), and finally comes back in the tonic as the conclusion of the coda (ex. 3.6b, v, b. 211).

On a lower structural level, the most prominent material developed in the course of the movement consists of motives a and b (ex. 3.6) from the head of the main theme. The whole form is thus saturated with its initial idea to the virtual exclusion of any other distinct motives.[22] Consequently, the role of providing some contrast has fallen upon the central D-major fugato. It fulfils this duty largely through a change in texture (from homophonic to polyphonic) and mode (from D minor to major).

The first movement is as concentrated tonally as it is motivically. The entire structure is based exclusively upon the relationship between two keys–the tonic and dominant–while the most striking harmonic event proves to be the direct modal contrast between D minor and D major at the beginning of the fugato (bar 95). The overall tonal scheme has a certain symmetry to it, with the D major fugato forming the central axis.

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is very similar to the main theme of the *Quartettsatz*, particularly in the way in which the presentation is built up from successive entries of the theme's basic idea leading to a fortissimo climax at the beginning of the concluding cadential progression.

[22]The one important exception is found in bars 157 to 161, where the rhythm of the opening of the last movement is foreshadowed.

This tonal plan alone shows how little the general structure of the movement resembles sonata form. The first part (bb. 40-75) ends with a prolongation of dominant harmony in the tonic key (ex. 3.7, bb. 69-75). The first move to a new key does not occur until eleven measures after the double bar with a half cadence in D minor (v) at bar 86. The music remains in this tonality, either dominant major or minor, throughout most of the second half. The return of the tonic key of G minor, which is delayed until the very end of the movement, is heralded by a half cadence at bar 199 followed by a five-bar prolongation of the dominant chord.[23] There then follows a coda (bar 204-end) in which the tonic key is firmly re-established and the movement brought to a close with a perfect authentic cadence.[24]

Although formally the first movement of the G Minor/B-flat Major Quartet is quite unique in Schubert's oeuvre, a number of its features recur in later works. The practice of ending the first part of the movement in the tonic key, often with a half cadence, for example, continues into the next couple of quartets. However, this particular idiosyncrasy of construction results directly form Schubert's difficulties in

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[23]This half cadence is approached through one of the most intricate and tonally remote passages of the whole movement (bb. 171-97). The final dominant chord emerges from the harmonic process more like a sudden revelation than a carefully prepared return to the tonic key.

[24]The coda of this movement thus has a function similar to the coda of the Overture in C Minor, D. 8, due in both cases to the very late return of the tonic key in the recapitulation.

establishing a subordinate key and theme in the exposition and disappears once these difficulties are overcome.[25]

Some of the other features of the movement are more durable. The prominent use of modal contrast, for instance, is such a well-known aspect of Schubert's style that no further discussion is necessary. The feeling for symmetry evident in the general key scheme is also be encountered in a number of subsequent works, such as the first and fourth movements of the Quartet in D Major, D. 74. More indicative of later formal developments, however, is the delay of the tonic key's return until late in the latter half of the structure. Although extreme here, such a delay remains an important aspect of Schubert's sonata designs well into his maturity. In many of the early quartets' first movements, the general tonal process amounts to a struggle between two or more keys, the issue of which is not decided in the tonic's favour until well into the recapitulation. All of these pieces, as well as those later sonata forms employing subdominant recapitulations, avoid the return of the main theme in the tonic key at the beginning of the recapitulation.

Thematic Contrast Without a Tonal Raison d'Être: The Quartet in D Major, D. 94, i

Despite its irregularities, the first movement of the String Quartet in G Minor/B-flat Major, D. 18, displays a very compact design–something that cannot be said of the

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[25]Beginning the development section in the tonic is a longer lasting feature, still found as late as the Piano Trio in B-flat Major, D. 898, generally dated to the fall of 1827.

first movement of the String Quartet in D Major, D. 94. The harshest criticism comes from J. A. Westrup, who considers the movement "so diffuse that it is no longer possible to discern any form."[26]

That Schubert was at least attempting some type of sonata form is evident from the superficial layout of the structure. This may be divided into an "exposition" (bb. 1-114, set off by the usual double bar line), a "development section" (bb. 115-67) and a "recapitulation" (bb. 168-end).[27] In general, the movement retains two important tonal characteristics of the first movement of the G Minor/B-flat Major Quartet: (1) the first part of the form, the exposition, fails to establish a subordinate key and (2) the recapitulation begins in a key other than the tonic (here the subtonic, C major) and does not completely re-establish the tonic key until close to the end of the movement (from b. 305 on.).

The first movement of the D-Major Quartet, however, contains hints of an advance over the Quartet in G Minor/B-flat Major. The former's exposition, is a much more developed and more thematically complex design than the corresponding section of the latter. This exposition consists of the following components: a main theme complex, of which no constituent part is thoroughly conventional (bb. 1-54); a non-modulating transition (bb. 54-83); a second theme in a very strange sentential design (bb. 84-94) and an odd closing section (bb. 95-108). In this last passage, the first ten bars of the

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[26]"The Chamber Music," 89.

[27]The movement is so irregular that, in the present discussion, the nomenclature associated with sonata form is used very loosely.

movement reappear, centred on the subdominant harmony and moving to a perfect authentic cadence in the tonic at bar 108. A link emphasizing dominant harmony then follows (bb. 109-14).

What represents the chief advance over the G Minor/B-flat Quartet is the element of thematic contrast contained within the D-Major Quartet's "exposition." The main theme complex, transition and second theme are all distinct, cadentially articulated units. The characters of the main theme complex and the second theme are fully differentiated, while the transition acts clearly as an intermediary between them. However, the second theme (ex. 3.8) does not articulate a new tonality, nor does it return in the "recapitulation."[28] These two irregularities raise questions about the theme's true role within the movement.[29] The theme's functional ambiguity is expressed in its very structure, which first follows the lines of a modulating sentence, dividing into a four-bar presentation in D major (bb. 83-6) followed by a continuation (bb. 87-91). In this last phrase, the key of A major is reached through a simple pivot on the B minor chord within a perfect authentic cadential progression in the new key

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[28]The last movement of this quartet suffers from a similar problem. The first part of this structure, in fact, could stand as a fully formed exposition with a modulation to the dominant and a series of themes in the new key. These subordinate themes, though, never return in the second half of the movement. Furthermore, any resemblances to sonata form disappear after the double bar line, so that it is difficult to ascertain what overall form was intended. For more details, see fn. 50 below.

[29]This "contrasting" theme (bars 83-94) also serves as a second theme in the Overture in D Major, D. 12 from ca. 1811/12. Which work came first has not been fully established, although it is generally assumed that Schubert transferred the theme from the overture into the quartet. See Reinhard van Hoorickx, "Schubert's Reminiscences of his Own Works," *Musical Quarterly* 55 (1974): 375.

ending at bar 89. The cadence is followed by two bars of codetta (bb. 89-90). To this point, the music seems to have reached the conventional tonal goal of a sonata exposition. Immediately, though, the two bars of the codetta are sequenced down a perfect fifth to D major, thus short-circuiting the admittedly weak move to the dominant. A return of the opening material of the main theme at bar 95, now centred on subdominant harmony and ending in a perfect authentic cadence in D major, confirms the return to the tonic key.

Thus, although the new theme makes a gesture towards the dominant, a substantial modulation is not fully realized. Deprived of its chief tonal raison d'être–the establishment of a subordinate key–the initial part of the movement, with its first theme, transition and second theme, becomes simply the shell of a sonata-form exposition. Since the second theme does not articulate a new key, its later return is irrelevant to the tonal scheme and is thus omitted from the "recapitulation." With this theme playing such a limited role in the movement, the function of providing some contrast to the main theme devolves upon, oddly enough, the material of the transition, which gains in prominence as the movement progresses.

The failure to establish a subordinate key in the "exposition" lies at the root of many of the anomalies in the movement's structure.[30] Since the tonic key is maintained throughout the exposition, the normal functions of the ensuing subdivisions are disrupted. The development must now serve as a transition to a subordinate key

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[30]In fact, this first part of the form sounds more like a recapitulation than an exposition, a feeling further strengthened by the emphasis on subdominant harmony towards its end.

of some sort (C major, which is prepared from bar 164 to bar 167), while the "recapitulation" must first establish the new key of C major and then re-establish the tonic key in a manner which combines elements of both development and recapitulation.

Generally speaking, the first movement of the D Major Quartet follows a similar tonal scheme to that of the Quartet in G Minor/B-flat Major. The plan again is based upon the modulation between two principal keys–here the tonic, D major, and the subtonic, C major. The new key is not established until after the double bar line, and the tonic does not return definitively until close to the end of the movement. The main difference in the two movements lies in the second half of their forms. In the earlier quartet, the music remains rooted in the new key until the final return of the tonic in the coda. In the D Major Quartet, the recapitulation amounts to a struggle between the new key and the tonic, with the outcome decided in the tonic's favour only at bar 305.

Emergence of a 'Harmonic Motive'

As in the first movement of the Quartet in G Minor/B-flat Major, the first movement of the D Major Quartet exhibits a preoccupation with the material of its main theme, although not in so concentrated a manner. Superficially, the movement is punctuated by recurrences in various keys of major portions of the theme. Indeed, Dahlhaus has likened the behaviour of the theme to that of a ritornello.[31] On a

[31]See "Formprobleme," 193.

deeper level though, a certain key relationship suggested in the theme's opening phrase assumes paramount importance in the larger tonal design of the movement. To understand the workings of the form, then, we must first look more closely at the construction of the main theme complex (ex. 3.9a).

This part of the exposition divides into three sections. The first consists of two irregular structures (bb. 3-17, a sentence, and bb. 18-25), both ending in parallel half cadences in D major. The second section (bb. 26-44) has a transitional character to it, particularly in its suggestion of tonal flux and its emphasis on dominant harmony.[32] It begins with an unexpected slide towards the key of F-sharp minor, then returns through the dominant key, A major, to cadence in D major at bar 44. The third section (bb. 45-54) has all the features of a closing section firmly rooted in D major. Indeed it returns, minus its concluding cadence, towards the end of the movement as part of the coda (bb. 348-56).

In its general tripartite design with a transitional middle section, this main theme complex resembles that of the Overture in C Minor, D. 8. What sets it apart from the Overture, and indeed from most of Schubert's writing to this point, is its profoundly lyrical character. In fact, this theme complex comes so close to what is considered the

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[32]The emphasis on dominant harmony here suggests the B section of a small ternary form; however, there is no recapitulation of the initial A section (section I) and the whole structure ultimately resembles a rather irregular binary form (sections I and II) with a closing section (section III).

quintessentially Schubertian, that, for a long time, the Quartet was thought to be a later work, assigned to 1814 in the first collected edition of Schubert's music (1890).[33]

From the very first bars, one senses a new harmonic intensity. This feeling is described by Vetter in his comparison of the two early D Major Quartets (D. 74 and D. 94).

> In Schubert's quartets we have a parallel to his symphonies. At certain intervals there appear works in the same key, and the later one is more successfully fashioned and more mature....The musical ideas of the second quartet [D.94] have a novel, floating quality about them; the themes are not harmonized melody but melodized harmony. In the earlier Quartet Schubert thinned down the melodic substance to emancipate the harmony; now he disembodies it in order to make it transparent for the sake of harmonic radiance.[34]

The "novel floating quality" of Schubert's ideas arises largely from the unusual construction of the opening sentence of the main theme complex (ex. 3.9a, bb 3-17, referred to hereafter as the main theme). The presentation phrase of this theme (bb. 3-11) emphasizes the individual character of two chords: the initial tonic D and the answering submediant B, both prolonged for four bars.[35] Each four-bar unit stands as a static block of harmony, allowing the particular quality of the individual chord, above all its specific modal colour, to shine out. The slow harmonic rhythm, enhanced

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[33]See Chusid's comments concerning the dating of the Quartet in the preface to NSA, series 6, vol. 3, xi.

[34]*Franz Schubert*, (Potsdam: 1934), 39, as quoted by Monika Lichtenfeld in the booklet to *Franz Schubert: Die Streichquartette*, the Melos Quartet (Hamburg: Deutsche Grammophon [419 879-2], 1986), 32.

[35]As in the last section of the main theme complex in the Overture, D. 8, the tonic has been answered by a harmony other than the dominant, one that is related to the tonic by a third rather than a fourth or a fifth.

by bass pedals, seems to suspend time, as if inviting the listener to concentrate on the contrast in character between the two harmonies.[36] The move from one block to the next thus acquires more power than a simple change of chord within a straightforward harmonic progression; instead, one has the impression of a shift from one harmonic plane to another. The whole process reveals a remarkable sensitivity in the young composer to the characteristic qualities of individual chords. By drawing out the inherent modal contrast between tonic and submediant harmonies, Schubert heightens the effect of the music's first harmonic change, endowing it with a mysterious poignancy.[37] In fact, this striking event becomes an important recurring element–a harmonic motive, so to speak, which lies at the very heart of the movement's character and tonal structure.

In the second section of the main theme complex (bb. 26-44), the motivic third-relation immediately returns, now centred upon F-sharp minor and A major.[38] The way in which the initial move towards F-sharp minor is prepared is a fine example of Schubert's harmonic precocity, for it approaches his handling of similar modulations in his mature works. The actual doorway to F-sharp minor is provided by a

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[36]A similar effect is obtained in the first four bars of Mendelssohn's "Hebrides" Overture, op. 26, although the progression is reversed from B minor to its relative major, D.

[37]The first movement of the Piano Quintet in A major ("The Trout"), D. 667, begins with a similar harmonic change, albeit without the modal contrast. The progression, though, involves a move from the tonic to the more remote flat submediant (A major to F major) and the actual shift is intensified through a vast expansion of the two harmonies involved.

[38]The A major chord, however, functions ultimately as the dominant of the home key; there is no question of a modulation to the dominant key in this section.

redirection of the diminished seventh chord of A, which had prepared the dominant chord in the two preceding half cadences in D major (ex. 3.9b). The first of these cadences occurs at bar 17, then is echoed at bar 25. In both cases, the diminished seventh resolves as expected to A major under the melodic motion from D to C-sharp (tonic to leading tone, bb. 16-17 and 24-5).

The beginning of the second section (from b. 26 on) takes up this melodic figure directly, drawing the D out for two bars. Rather than resolving to A major, though, the lower notes of the diminished seventh chord are maintained over the D's resolution to C-sharp in bar 28, thus creating the dominant of F-sharp minor. This harmony is then prolonged for the next seven bars. The new resolution of the diminished seventh chord has thus been set up as an unexpected diversion from the path just taken by the previous half cadences in D major.

Register and rhythm also help to produce the unusual effect of the shift towards F-sharp minor. The low D, lasting two bars in both first and second violin, recalls the very beginning of the movement as well as the first half cadence (bb. 16-17). The periodic return to the same note in the same register suggests a connection between the introductory bars, the first half cadence in D major and the side-step into F-sharp minor, as if the diversion towards the latter key had evolved from the opening gesture of the movement (ex. 3.9c).

Schubert's strategy here already foreshadows the subtlety of his mature writing. The exploitation of the double meaning of one chord to provide the doorway into a more remote tonal region looks forward to the use of the E flat^{7}/Aug^{6} chord in the

Quartettsatz, as well as a host of other instances from the last decade of the composer's life. Furthermore, the way in which the shift to F-sharp minor seems to grow from an event at the very outset of the work calls to mind a similar process in the movement of the Piano Sonata in B-flat Major, D. 960, where a bass trill on G-flat in the main theme gradually takes on a wider significance as the exposition progresses.

Although the move towards F-sharp minor is so expertly prepared, it remains a local event with no future ramifications for the form. In fact, the key itself is merely suggested through the prolongation of its dominant (bb. 28-36). The music then is partially sequenced into F-sharp minor's relative major, A, which is converted quickly into the dominant of D major for the authentic cadence at bar 44. The flirtation with F-sharp minor can thus be seen as another manifestation of the main theme's tonic-submediant progression, now involving a major-relative minor key relationship. The move towards F-sharp minor is made possible through the diminished seventh chord it holds in common with its relative major. The return towards D major is accomplished by a simple sequence from F-sharp minor back to its relative major, a reversal of the tonic-submediant relationship.

On a local level, recurrences of the principal phrases of the main theme highlight the characteristic harmonic progression from tonic to submediant or vice versa. On the broader level, this tonic-submediant shift, elevated now to the tonal movement between a major and its relative minor, becomes an important constituent of the crucial modulation to C in the development section (ex. 3.10).

As mentioned above, this development section essentially functions as a transition from the tonic minor, D, to the subtonic, C. D minor is maintained until bar 148, coloured by its relative major, F.[39] At bar 148, the music turns to the Neapolitan six of D minor, under an augmentation of the basic idea from the second section in the main theme complex (cf. bb. 148-55, ex. 3.10 to bb. 29-32, ex. 3.9a). The E-flat harmony of bar 148, rather than continuing to function as a Neapolitan, is expanded in such a way as to suggest a tonality in its own right. At bar 157, the music pivots into E-flat's relative minor, C.[40] This last key is then maintained for the rest of the development section, which ends with a dominant prolongation (bb. 166-7) to prepare for the arrival of the main theme in C major at bar 168. The modulation to C, which is effected through a shift from E-flat major to its relative minor, is thus based upon an intensification of the tonic-submediant motive of the main theme. In this manner, the motive assumes a position of great importance in the movement's tonal structure.

A parallel can be drawn here to the motivic saturation of the G Minor/B-flat Quartet's first movement. In the D-Major Quartet though, the motive is largely harmonic. Rather than developing a specific melodic configuration, the music is more concerned with a particular tonal/harmonic relationship, which is established in the

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[39]This move, once again, is linked to the return of main theme material (bb. 129-45).

[40]The parallels between this central passage in the "development" and section II of the main theme complex are reinforced by the continued augmentation of melodic material from the latter section after bar 155 (cf. bb. 152-61, ex. 3.10 to bb. 35-8, ex. 3.9a). In fact the shift from major to relative minor at bars 155 to 156 reverses the shift from minor to relative major at bars 36 to 37.

main theme and grows in importance as the movement unfolds. Consequently, one may discern in this scheme an early attempt to give a wider formal significance to a characteristic harmonic feature of the main theme. Herein lie the roots of the intricate harmonic connections between the themes in the *Quartettsatz*.

Tentative Establishment of a Subordinate Key: Quartet in C, D. 32

The outer movements of the String Quartet in C Major, D. 32, make two successive steps towards a complete sonata-form exposition: in the first section of the opening movement, the music modulates to a subordinate key and ends there with a perfect authentic cadence; in the first section of the last movement, the music not only establishes a subordinate key, but also graces it with a subordinate theme. These two developments, however, do not necessarily signal the final achievement of full tonal and thematic contrast within Schubert's sonata forms.

One other aspect of the tonal plan of both movements must be mentioned before looking at the advances touched on above: unlike the recapitulations in the previous Quartets in G Minor/B flat Major and D Major, those in the first and fourth movements of the C Major Quartet begin squarely in the tonic key. This does not mean, however, that Schubert immediately abandons his nontonic recapitulations for the more conventional practice: both types continue to coexist in Schubert's sonata-form writing well into his last period, when finally the tonic recapitulation prevails.

Surprising tonal shifts predominate in the first movement of the Quartet in C, and these shifts produce the movement's most unconventional features. The basic strategy

of the "exposition" consists of delaying its true tonal goal until just before the double bar line. This is accomplished by first feinting towards one key, F major (IV), returning to the tonic, then moving to the intended key, G major (V), and ending the section with a perfect authentic cadence in the new tonality. Consequently the exposition traces the broad outlines of Schubert's mature three-key expositions.[41]

Unfortunately the formal plan fails, largely due to the nature of the modulation to the dominant. In fact, the way in which Schubert treats this tonal event even raises questions about its intended role in the movement's overall structure. The modulation does not occur until the very end of the exposition (bb. 90-117). Not only is it delayed, but it occurs as a deliberately sudden and unexpected event. Up to bar 86, the music has remained firmly rooted in the tonic key (with the exception of the quick shift in and out of F major between bars 38 and 48). From bar 86 to bar 89, the presentation phrase of the main theme is restated in a condensed form (ex. 3.11). Rather than proceeding to the continuation phrase and ending with a perfect authentic cadence in the tonic key, the music suddenly moves to the dominant degree of G major at bar 90. For the next four bars this note is maintained, embellished by the lower and upper auxiliaries C-sharp and E-flat, marking D as the fifth degree of G instead of the second degree of C. From bars 95 to 96, the full quartet sinks down to G major's third scale degree. The implied I^6 harmony initiates an expanded cadential progression

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[41]In fact, one of Schubert's very first three-key expositions, the Symphony no. 2 in B-flat Major, D. 125, i, follows the same general tonal scheme: a first subordinate theme in the subdominant key followed by a second subordinate theme (a restatement of the main theme) in the dominant key.

(bb. 96-112), ending at bar 112 in a perfect authentic cadence in G major.[42] A further six bars of a tonic prolongation follow.

The process from bars 90 to 117 thus consists of three components: (1) an initial surprise with the sudden shift to the note D; (2) a new-found tonal direction, embodied in the expanded cadential progression in G and (3) a feeling of arrival at the perfect authentic cadence in that key, reinforced by a subsequent prolongation of the new tonic. However, at no point in this process is even the possibility of a subordinate theme suggested. In effect, the whole passage amounts to merely an unexpected modulation to the dominant key, a manoeuvre with a tonal, but not a thematic, goal.

Consequently, both the timing and the nature of the move to G major cast doubt on this tonality's role as a true subordinate key. The delay of the modulation until the very end of the exposition and the abrupt way it is accomplished make it appear as an afterthought. Such an impression is reinforced by the absence of a subordinate theme, which not only would have "dramatized" the arrival of the new key, but also would have given this new key some substance–a thematic *raison d'être*, or, more exactly, an identity distinct in its melodic material and structure from that of the preceding tonality. Instead, the modulation to G major sounds suspiciously like a more elaborate version of Schubert's practice in the quartet movements up to this point–that of concluding the exposition with a half cadence in the tonic. Rather than ending *on* the

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[42]For a definition and discussion of the expanded cadential progression, see Caplin, "The 'Expanded Cadential Progression'" as well as the introduction of the present study. The actual point of cadential articulation is unclear. An alternative analysis would place the cadence at bar 106, with the ensuing I-V alternation forming a series of codettas to the cadence.

dominant, as in the Quartet in G Minor/B flat Major, D. 18 and the Quartet in D Major, D. 94, the music has proceeded one step further and ended *in* the dominant. Any suggestion that the new key functions as a true tonal "polarization," to use Rosen's terminology, is undermined by the brief return to the tonic key (C minor rather than major) to launch the second part of the structure.

Pursuit of the "Harmonic Motive"

Despite the failure of its exposition to provide convincing tonal and thematic contrast, the first movement of the C-Major Quartet, D. 32, continues to develop a number of the subtleties found in the first movement of the Quartet in D Major, D. 94, specifically (1) the attempt to give a more generalized significance to a harmonic detail of the main theme and (2) the linkage of a number of the events in the form through harmonic/motivic cross references. To understand these features we must first look at the movement's main theme complex, which is constructed as a tripartite structure similar to the main theme complexes of the Overture in C minor, D. 8, and the D-Major Quartet, D. 94.

In the C-Major Quartet, the main theme complex consists of an opening sentence ending in a perfect authentic cadence (ex. 3.12, bars 1-19), followed by a transitional middle section (ex. 3.13, bars 19-62) which in turn leads to a closing section in the home key with a concluding codetta-like addition (bb. 62-86). The main difference between this scheme and the ones of the previous quartets lies in the enlarged middle

section, which now suggests a transition to a new key, F major, the beginning of a new theme in that key and a retransition to the tonic key.

It is interesting to see in this instance how the early formal plan of Schubert's home key region can be expanded to accommodate the first two keys of his later three-key expositions.[43] The thesis that the latter form grew directly out of the type of structure found in the present main theme complex is supported by two features of Schubert's mature three-key expositions: the first subordinate key is often treated as a deviation from the ultimate goal of the exposition and the tonic key is alluded to in the transition from the first to the second subordinate key. These characteristics of the Schubertian three-key exposition may be seen in embryo in this movement and full-fledged in the *Quartettsatz*.

To return to the main theme complex, the first section consists of a large-scale sentence, which in turn may be divided into an odd presentation (ex. 3.12, bb. 1-8) and a continuation (bb. 9-19) ending in a perfect authentic cadence which elides with the beginning of the following transitional section. As in the opening of the first movement of the Quartet in D, the presentation phrase of the main theme of the C-

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[43]All of the transitional middle sections in the movements discussed above are built upon allusions to keys other than the tonic: in the Overture there is a move towards the minor subdominant and in the D-Major Quartet, D. 94, the mediant is suggested. The middle section in the Quartet in C Major, D. 32, thus represents a certain refinement of the basic plan in that the move away from, and back to, the tonic is more developed, particularly in the articulation of the turn to F major.

Major Quartet is built upon a tonic-submediant progression which later forms an important constituent of many of the tonal moves in the quartet.[44]

The significance of this recurring progression immediately becomes apparent in the unusual harmonic path taken by the second section of the main theme complex (ex. 3.13). As mentioned above, this passage may be broken down into an initial transition towards the key of F major (bars 19-39), the suggestion of the beginning of a new theme in that key with the appearance of a presentation phrase (bars 40-7) and a retransition to C major (bars 47-62).

The transition towards F opens with a restatement of the main theme's presentation, here varied and compressed to four bars, but still outlining the tonic-submediant progression. A Classical modulating transition often begins with a counterstatement of the main theme, altered or exact, as well as a move towards the submediant. However such a transition would normally lead to the dominant key, usually through the applied dominant of the new dominant chord.[45] In Schubert's transition, though, the music moves in the opposite direction through a sequence by descending fifths (C-F-Bb). This sequence, based as it is upon the compressed head of the main theme and its submediant motive, creates a descending chain of thirds

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[44]Further parallels may be drawn between the main themes of the these two quartets. In both, the presentation and continuation outline one basic harmonic progression passing down from tonic through the submediant to the dominant. Such a unified progression, which lacks the usual articulation between harmonic stasis and movement in a Classical sentence, lies at the root of the unconventional nature of the presentation phrases. For a discussion of the harmonic aspects of the Classical sentence see Caplin, *Classical Form*, chap. 3.

[45]See Rosen, *Sonata Forms*, 235ff.

involving three pairs of tonics and their submediants: C major-A minor; F major-D minor; Bb major-G minor.[46] The G minor harmony, reached at bar 29, is prolonged for eight bars. Here we come to the most striking part of the modulation, for this harmony's true function is not made explicit until the very end of the prolongation, when, as the supertonic in F major, it moves to the dominant seventh of that key at bar 38. Up to that point, the music hangs in tonal limbo. As we shall see later, certain features of this passage serve as an audible link to the modulation to G major that ends the exposition.

The tonic-submediant progression plays as direct a role in the return to C major as it did in the initial move to F major. The new F major theme promised by the presentation phrase in bars 40 to 47 never fully materializes. Instead the music slips smoothly back to the dominant seventh of C major between bars 47 and 55. The return to the home key is accomplished through a straightforward augmentation of the tonic-submediant motive of the main theme, now moving from F major (bb. 47-50) to its submediant, D minor (bb. 51-4). This chord then becomes the supertonic in C major, preparing the arrival of the dominant seventh in that key at bar 55.

The submediant progression of the main theme is also pressed into service for the modulation from C to G major at the end of the exposition (ex. 3.11, specifically bb. 86-90). The condensed head of the main theme appears at bar 86. The music then pivots into G major on the concluding A minor chord, which prepares the dominant

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[46]This tonal movement by thirds is similar to that of the String Quartet in D Major, D. 94, as well as a number of other movements examined below.

of that key at bar 90.[47] Thus every significant tonal move in the exposition involves the harmonic motive highlighted in the opening phrase of the main theme.[48] Of particular interest is the way in which the feint towards F major has been related to the exposition's concluding modulation to G major: not only do both passages share a central harmonic component, but Schubert has also taken some pains to establish further motivic links between them.

The precise connection is revealed in the prolongation of the chord preparing the new dominant in each modulation (ex. 3.14, specifically bb. 29-39 as compared to bb. 98-104). In both passages, a scalar figure, F-sharp to B-flat, answered by D or D-sharp to G, emphasises the two notes, B-flat and G, held in common by the parallel pre-dominant chords--the G minor supertonic in F major and the C-sharp diminished seventh tonicizing the dominant in G Major. Although the reappearance of this melodic configuration in the modulation to G major is rhythmically displaced by a half bar, the similarities in both texture and melodic design help to reinforce the connection. Such a motivic linkage indicates that the two modulations were not

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[47]This pivot chord modulation is essentially a transposition of the progression that brought the music back to C major from F major between bars 47 and 55.

[48]The tonic-submediant progression may thus be considered the dynamic element of the main theme. When stability is required of this thematic material, the characteristic progression is omitted, as in the closing section with codetta concluding the main theme area (bb. 62-86). Here the presentation phrase (bb. 62-70) is built upon a more conventional tonic-supertonic progression. A parallel may be drawn to the final appearance of the opening phrase of the main theme in the first movement of the D-Major Quartet, D. 94 (bb. 305 etc.). To suit its stable, closing function, the characteristic tonic-submediant progression of that theme's presentation has been replaced with a straightforward tonic prolongation.

intended as separate events but as part of a continuous process, with the later modulation alluding to the earlier one. Here then we have the beginning of a method of construction, which Schubert continues to develop in his quartets, bringing it to its full power and mastery in the subtle interconnections of the *Quartettsatz*.

To return to Schubert's development of the main theme's harmonic motive; the tonic-submediant progression, now elevated to the level of major and relative minor pairs of keys, also plays an important role in the development section. After an initial sequence by step from C minor to D minor (bb. 118-25), the development section comes to concentrate on two relative major/minor pairs of keys: D minor, with an internal shift in and out of its relative major, F, holds sway from bar 128 until bar 140; the music then moves to A minor (bb. 142-9), after which oscillations between A minor and its relative major, C, predominate. The final move to C major to begin the recapitulation is prepared by the dominant of A minor (ex. 3.15, bb. 175-82), which yields at the last moment to the home dominant.[49] The tonic-submediant progression is thus implicated in virtually every important modulation in the movement.

Unfulfilled Promise of a Subordinate Theme: Finale of the C-Major Quartet, D. 32

The last movement of the same Quartet in C Major, D.32, comes a step closer to providing a functional subordinate theme. Here, for the first time in a movement with

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[49]Although this move has ample Classical precedent (see chap. 2, fn. 17), the tonal move in this case also has a specific harmonic/motivic significance, since it refers indirectly to the tonic-submediant progression in the main theme.

sonata-form tendencies, the music moves to a subordinate key and establishes a subordinate theme.[50] Yet even here the new key is not fully established and subsequently the music moves back to the tonic, ending the "exposition" on a half cadence in the home key.

This diffuse, even rambling, movement suggests a monothematic sonata form.[51] Its main "theme" comes closer to a Baroque fugue subject than a conventionally Classical theme (ex. 3.16).[52] Essentially the thematic structure consists of one indivisible harmonic progression built upon a chromatic descent from tonic to dominant degrees (bb. 1-6), ending with a four-bar dominant prolongation (bb. 6-9).

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[50]The last movement of the Quartet in D Major, D. 94 could possibly lay claim to this distinction. The first part of its structure does modulate to the dominant key and subsequently a new theme in a sentential form appears (bb. 55-66), among other thematic structures which either remain in the new key or modulate to its dominant (E major). Furthermore, this first part of the form does end firmly in the dominant key of A major. However, the second part of the structure contains some serious irregularities if analyzed as a sonata form: there is no development section, no recapitulation of the subordinate theme and a return of the full main theme appears only at the very end of the movement. In fact, the use of the material of the transition to begin the second half of the form suggests, despite the repeats of both halves of the movement, a sort of ABA structure with the dominant key area forming the central B section flanked by a transition and a retransition.

[51]According to Chusid, its thematic material is clearly derived from the first movement of Haydn's Symphony no. 78 in C Minor; see "The Chamber Music," 295-6. The Haydn model is itself not a monothematic sonata form, but its influence may be felt in various motivic derivations and the general contrapuntal emphasis in Schubert's quartet movement.

[52]The unconventional character of this theme is underlined by a comparison of it with its putative model–the opening of Haydn's Symphony no. 78 in C minor. Haydn's theme is a fully formed sentence; Schubert's is merely an expansion of the material from the presentation phrase of the Haydn theme.

The uniformity of the motivic material and the lack of any internal division in grouping structure to articulate its component parts produce a highly integrated thematic design, which in turn lies at the root of the unusual construction of the beginning of the sonata plan (ex. 3.16). The first sixty bars of the structure–the main "theme" (bb. 1-9, repeated bb. 10-18), transition (bb. 19-31) and first part of the subordinate theme (bb. 32-62)–consist entirely of exact or slightly varied repetitions of the theme. The theme is first stated in octaves (bb. 1-9), then immediately repeated in the viola part against a new counterpoint in the first violin (bb. 10-18). An altered second repetition (bb. 19-31) serves as the transition to the subordinate key. The theme then returns slightly simplified in cello and viola as the first subordinate theme (bb. 32-44), again graced with a counterpoint in the first violin. Up to this point, the movement contains no digressions to contrasting material, with the exception of the counterpoints set against the theme's head. The basic thematic unit has thus remained a self-contained structure throughout, more amenable to simple repetition than development along Classical lines.

Another process, though, emerges from these constant repetitions of the main theme. Here again, as in the Quartet in D, D.94, and the first movement of the present quartet, Schubert seizes upon a salient harmonic feature of his main theme and allows it to assume increasing importance as the movement progresses (ex. 3.16). This striking characteristic consists of the theme's dramatic drive toward the dominant, which, once reached, is prolonged for four bars. The first repetition of the main theme (bb. 10-18) reproduces this gesture exactly, merely embellishing it with a new

countersubject. For the second repetition, which serves as a transition, the focus of the theme shifts from the dominant chord to the dominant key (G minor), whose dominant is reached in bar 24 and prolonged for seven bars. At the last minute, however, the promised modulation to G minor is side-tracked to E-flat major (bb. 31-2). The manoeuvre is well executed and points towards similar strategies in Schubert's mature works.

In the new key area, the theme continues to intensify its focus on the dominant with each repetition. The first statement of the theme (bb. 32-44), ends with an eight-bar dominant prolongation, as opposed to the original four-bar prolongation in the main theme. In the next, more freely varied repetition in E-flat minor (bb. 45-61), the concluding dominant prolongation is stretched to eleven bars (bb. 51-61). Finally, a derivation of the theme, a sentence based on the main theme's opening idea, modulates to B-flat major, the dominant of E-flat (bb. 62-76).[53] Thus the tendency of the main and subordinate key areas to drive obsessively sharpwards towards their respective dominants grows directly out of the most striking feature of the main theme itself.

Despite its thoroughly odd construction, the exposition does move to a subordinate key at bar 32. It remains there for a substantial thirty-nine bars and even enters the parallel minor mode (bb. 36-58), a common manoeuvre in Classical subordinate key regions. Furthermore, the new key is provided with a subordinate theme, albeit the main theme recycled. This new key is not confirmed by a perfect authentic cadence,

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[53]Later in the exposition, the music even touches upon the dominant of B-flat major, F, which, in its minor mode as the subdominant of C minor, provides an easy access back to the tonic key.

though. Instead, the music first moves off one step further around the circle of fifths to B-flat major, by means of the modulating sentence mentioned above (bb. 62-76). Then its reverses its tonal direction and makes its way back to the tonic key, C minor, ending the exposition with a half cadence there (bar 160), followed by nine bars of dominant prolongation. The whole tonal scheme of this last part of the exposition, with its move through a series of different keys terminating with two long dominant pedals in the tonic key (bb. 133-147, and bb. 160-169) suggests more the latter half of a development section than the final stages of an exposition.

The general tonal plan of the finale of the String Quartet in C major, D. 32, indicates a more profound link to the *Quartettsatz* than some of its more obvious surface details such as the basic material of its main "theme," with its chromatic descent from tonic to dominant, and the building up of the beginning of the movement, including the transition, from consecutive repetitions of the main theme.[54] Here we must turn to an unusual aspect of the *Quartettsatz* with respect to the conventional pattern of three-key expositions in the minor mode set out by Rey Longyear and Kate

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[54]This method of construction, in which the main theme, through simple repetition, assumes other functions aside from its principal role in the sonata form, is evident in a number of Schubert's early sonata-form movements, such as the Quartet in B-flat, D. 36, i, which will be discussed below, and the Piano Sonata in C Major, D. 269, i. In a more elaborate form, this plan may also be found in the Symphony in B-flat, D. 125, i, where the beginning of the transition consists of a shortened variation of the main theme's material transposed to C minor.

Covington:[55] instead of modulating to the key of the minor dominant for the second subordinate theme group, the *Quartettsatz* moves to the major dominant.[56]

The exposition of the C-Major Quartet's finale also tends towards a three-key plan. The transition first prepares a modulation to the dominant key before it suddenly veers to the relative major. Here, then, both dominant and relative major keys are treated as two possible, and equally valid, tonal goals. Moreover, the modulation itself suggests a hierarchy of intention in which the dominant stands as the ultimate goal, while the relative major occupies a subordinate position, an exciting diversion along the way. Indeed, when the music quits the new key and begins modulating back towards the tonic, the parallels to Schubert's mature three-key expositions are strengthened, since such movements usually feature a second transition, which moves back through the tonic and on to the third key of the exposition. Quite often that third key is the dominant, as we have seen in the *Quartettsatz*.

Of course this plan is not realized in the C-Major Quartet. Instead, the exposition ends in the tonic key with a long series of dominant prolongations, reinforcing this movement's links with the other early quartet movements whose first parts end with either half cadences or dominant prolongations in the home key. Yet herein lies the specific connection of the C-Major Quartet to the *Quartettsatz*, for in the latter work, the use of the dominant major key to end the exposition might be viewed as a

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[55]"Sources of the Three-Key Exposition."

[56]Nor is the *Quartettsatz* an isolated incident. The first movement of the String Quartet in D minor, D. 810, also has a three-key exposition ending in the key of the major dominant.

derivation of Schubert's youthful practice, in which the exposition's concluding dominant major harmony has been expanded into a tonality in its own right.

Establishment of a Subordinate Theme and Key: Quartet in B-flat Major, D. 36

The String Quartet in B-flat Major, D. 36, represents a major breakthrough in Schubert's handling of sonata form. In the first movement, both a distinct subordinate theme and a subordinate key are established during the course of the exposition. Apart from this crucial development, though, the structure of the movement shares many features with the finale of the C-Major Quartet, D. 32; specifically, it follows the lines of a monothematic sonata form in which the main theme group (bb. 1-41), transition (bb. 42-55) and beginning of the subordinate theme group are built up form virtually uninterrupted repetitions of the main "theme."

The "theme" itself is only four bars in length (ex. 3.17a). It consists of a two-bar "statement" ending in a half cadential gesture, followed by a two-bar "response," beginning with a partial sequence of the "statement" on II and moving to a progression approximating an authentic cadence. The perfect balance of the two parts and the emphatic move to a concluding tonic in root position create a closed design.

As in the last movement of the C-Major Quartet, Schubert does not break up his basic thematic unit, but maintains both its rhythm and four-bar length, while relying on variations in harmonic and melodic details, different scorings and new counterpoints to add some interest and variety to the theme's annoyingly regular repetition. These variations reach their most elaborate extreme in the transition, where stretto entries of

the theme are accompanied by a new countersubject (ex. 3.17b). The whole passage sounds more like an earnest schoolboy's attempt at fugal writing than an efficiently organized transition.

From bars 21 to 32 some relief is provided from the insistent four-bar grouping of the thematic variations. Here the music outlines something resembling a full sentence (ex. 3.18a): the theme stands as a four-bar presentation (bb. 21-4), while the next eight bars (bb. 25-32) serve as a continuation, ending in a perfect authentic cadence at bar 32. The continuation spins out and gradually liquidates the theme's concluding motive x. This structure, the first fairly regular thematic unit of the movement, later plays an important role in the generation of the subordinate theme.

Not only does the constant presence of the main theme dominate the exposition, but the theme's chief harmonic feature also plays an important role in the modulation to the subordinate key, a situation found in earlier quartet movements.[57] To understand this we must first look in some detail at the harmonic makeup of the main theme (ex. 3.17a). The suggestion of an ascending stepwise sequence is a very striking feature of the of the theme's second half (compare b. 1 to b. 3, ex. 17a). In this case, a full sequence does not occur–the tonicized C minor chord assumes its place as the supertonic within a fairly straightforward progression in B-flat major–but many of the

[57]The first movement of the Quartet in D, D. 94, and the first movement of the C-Major Quartet, D. 32.

theme's subsequent repetitions involve short sequential moves from B-flat major to C minor, or the reverse, all of which are absorbed back into the home key.[58]

In the transition, precisely such a sequence (from B-flat to C minor) accomplishes the modulation to C (ex. 3.17b). This move is prefigured towards the end of the main theme group (bb. 36-41), but is contained by a perfect authentic cadence in B-flat at bar 41. In the following stretto, which initiates the transition, the sequence is carried out again, now under the guise of a C minor answer to the B-flat subject (bb. 42-5). This time the move to C minor is actually carried out and expanded by a reference to C minor's relative major, E-flat (bb. 45-50), before the dominant of the new key is reached (b. 51) to prepare the arrival of the subordinate theme (b. 56).

The subordinate theme group duly begins with a statement of the main theme in C major (ex. 3.18b, b. 56). However, the music does not remain here long: the last measure of the theme is sequenced immediately down by thirds from C major to the "proper" key of F major (bb. 60-1). Motive x is then spun out as it was in bars 24 to 32. This material, though, no longer forms merely the continuation phrase of a sentence; rather it is now enlarged into a full theme in its own right (referred to as the subordinate theme)--a periodic structure made up of a seven-bar antecedent (bb. 62-8) and a nine-bar consequent (bb. 69-77). The full cadential confirmation of the subordinate key, F major, at bar 77 sets this sonata-form movement apart from the last

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[58]As in the tonic to submediant progressions we have looked at in the previous main themes, the tonicization of II is a dynamic element. When stability is required, for instance, when the theme assumes a codetta function from bars 32 to 35, this specific harmonic gesture is eliminated in favour of a thoroughly diatonic progression.

movement of the C-Major Quartet, D. 32. The new key is subsequently reinforced by further cadential progressions culminating in a perfect authentic cadence at bar 87 followed by a brief closing section (bb. 87-91).

Although the first movement of the B-flat Quartet contains a fully-formed exposition with a well-established subordinate key and a substantial subordinate theme, the initial material of the movement still maintains a tight control over the full exposition and, indeed, the whole form. Both harmonically and motivically the generation of the subordinate theme is governed by features of the main theme: the rather strange modulatory scheme of the transition projects the central harmonic motive of the main theme onto a higher level of the form, while the chief melodic motives of the subordinate theme are closely derived from subsidiary material of the main theme. Furthermore, the newly generated subordinate theme, like the odd second theme in the first movement of the D-Major Quartet, D. 94, does not return in the recapitulation, an exclusion understandable in light of the strong ties the subordinate theme has with the main theme.[59]

The failure of the subordinate theme to return later in the tonic key prevents it from resolving the "tonal dissonance" of the exposition. In the finale to the same quartet, though, a subordinate theme is not only established in the subordinate key during the exposition, but also returns in the home key in the recapitulation, thus assuming its full functional role in the form.

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[59]As in the first movement of the Quartet in C, D. 32, the recapitulation essentially rearranges the principal motivic material in such a way as to eliminate any extraneous ideas, thus increasing the focus on the main theme.

As with most of the quartet movements we have analyzed to this point, the finale of the B-flat Quartet, D. 36, is based essentially upon the modulation between two keys, here the tonic and the subdominant (E-flat), embellished briefly by an excursion to E-flat's relative minor, C. The general key scheme may be reduced to the following: the exposition modulates from B-flat major to E-flat major for the subordinate theme, ending in a perfect authentic cadence in that key at bar 111; a very brief "development section" moves from E-flat major to a statement of the head of the main theme in C minor (bb. 126 etc.) then on to the retransition (bb. 149-57) to prepare the recapitulation at bar 158. Unlike some of Schubert's earlier recapitulations, with their unexpected excursions to different keys,[60] the tonic is maintained throughout the recapitulation and coda.

The modulation to E-flat major in the exposition is unceremoniously direct (ex. 3.19a). The main theme ends with an expanded cadential progression leading to a perfect authentic cadence in the home key, first in the middle of bar 33, then repeated on the strong beat of bar 38. The expansion of the initial I^6 through the $VII^{4/3}$ in this progression elaborates on the parallel passage in the perfect authentic cadence of the first ending bar (ex. 3.20 and ex. 3.19b).[61]

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[60]For example, the String Overture in C Minor, D. 8, whose recapitulation begins in the tonic, but then moves on to the subodominant as well as the dominant and the Quartet in D, D. 94, where the recapitulation begins in C major and then struggles back and forth between that key and the tonic.

[61]The expanded cadential progression leading to these two cadences helps to compensate for the rather abrupt final cadence on a weak beat in the first ending bar of the theme (b. 24).

The transition (bar 38-50)[62] advances directly to the dominant seventh of B-flat major in a simple pivot chord modulation. The move to and prolongation of the new dominant seventh involves a rather odd chromatic embellishment of that chord--the repeated E-natural in the bass, functioning first as a passing tone then as a lower neighbour to the F. The E-F bass movement alludes to a modulation towards F (with a minor colouring due to the prominent A-flat) the usual subordinate key in a sonata form in B-flat major. Moreover, the B-flat pedal in the first violin, combined with the chromatic E-natural, creates momentarily the leading tone chord of F major (bb. 42-4). In bar 45, though, the true harmony of this passage turns out to be the dominant seventh of E-flat major, whose fifth, F, has merely been embellished during the previous bars (see ex. 3.19c for harmonic reduction). Thus, the move to E-flat major, although effected by the simplest of pivot chord modulations, has been enlivened by just a hint of Schubert's famous tonal sleights of hand.

The subordinate key area may be divided into two sections: a fugato-like passage (bb. 51-74) followed by a subordinate theme in the form of a sentence (bb. 75-88), graced with a concluding codetta (bb. 89-92). A slightly altered and expanded repetition of this sentence (bb. 93-111) closes off the subordinate key region with a perfect authentic cadence in E-flat major at bar 111.

The initial fugato passage serves to create a strong motivic continuity between the tonic and subordinate key areas, as well as to prepare the arrival of the subordinate

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[62]The text of this movement as printed in *SW*, series V is missing two bars here. This error has been corrected in *NSA*, series 6, vol. 3, 104.

theme. The fugato "subject" itself, to use the term very loosely, highlights the basic material of the main theme, the repeated-note motive x and sixteenth-note figure y separately or combined in figure z, all of which saturate the concluding cadential progressions of the main theme as well as the transition (ex. 3.20b). Harmonically, the whole fugato section is derived from the concluding expanded cadential progression at the end of the main theme. In fact, this fugato also outlines a cadential progression, now in E-flat major, with the initial I^6 spun out (see ex. 3.20c for harmonic reduction).

During the course of the fugato, new subsidiary material is generated as an accompaniment to the fugato "subject," specifically from bars 55 to 57 in the first violin. This material consists of a repeated B-flat figure with an accented upper neighbour tone on C over the harmonic progression I^6 to V^7 (motive b, ex. 3.20b). After the perfect authentic cadence in E-flat major at bar 74, the figure, complete with its original harmonization, is taken up as the initial idea of the subordinate theme and is featured prominently throughout the theme's course (bb. 75-6 and 79-80 etc,).

Ultimately, though, the material of the subordinate theme originates in the main theme, which features both the repeated-note figure and the upper neighbour tone to the dominant degree: the former is an augmentation of the ubiquitous repeated notes both in accompanying voices and the melodic line of the main theme (associated with motive x); the latter is featured in the concluding expanded cadential progression of the main theme (ex. 3.20a violin I, bar 22 and ex. 3.19a, violin I, bars 23 etc.). Furthermore, the E-natural to F motion, seized upon by the second half of the subordinate theme's compound basic idea (ex. 3.20b, b. 77, motive c), was highlighted

in the transition. The chief element of contrast in the subordinate theme is its rhythmic makeup: the constant sixteenth-note motion of the main theme is replaced by the alternation of quarter and eighth notes, a change largely due to the elimination of the main theme's omnipresent sixteenth-note motive y.

Turning briefly to the recapitulation (bb. 158 etc.), we find a fairly close reproduction of the exposition, with a few alterations, the most striking of which is arrival of the subordinate theme directly after the end of the transition (bb. 244 etc.). The preliminary fugato, with its references to the main theme, is dispensed with, as if the subordinate theme, now familiar to the listener from its first appearance, does not need to be explicitly derived from the material of the main theme again.

The fugato, however, does return at bar 289, after the subordinate theme has run its course. In this position, it now initiates an expanded cadential progression, which underpins the whole coda, and brings back the most prominent motives of the main theme. Thus this recapitulation, like so many of its predecessors, reshuffles the exposition's material, entrusting the newly ordered passages with a different function from what they had fulfilled in the exposition.

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To this point, our survey of Schubert's early sonata forms has described a gradual expansion from a tightly controlled, virtually mono-motivic structure, admitting very little tonal and thematic contrast, to a full-fledged sonata form with main and subordinate themes. Even in the last case, though, the material of the subordinate theme has been very closely derived from that of the main theme. What is particularly

important here, though, is not so much the verbatim return of the main theme's melodic elements, as the manipulation of its most striking harmonic features. This attempt to draw more general consequences from the theme's basic ideas holds the most significance for Schubert's later development as a composer of sonata forms.

CHAPTER 4

THE QUARTETS OF 1813: FIRST HINTS OF AN EMERGING PERSONALITY

1813 was a crucial year for Schubert in instrumental composition. Not only did he write four string quartets and two collections of dances,[1] a high-point in his quartet production, but, by the end of October, he had also finished his First Symphony, in D major, D. 82, the culmination of two years of orchestral projects--overtures and incomplete symphonic sketches--dating back to early 1811.

When compared to some of the more structurally eccentric movements of the preceding string quartets, both the first and last movements of the Symphony stand out as fairly conventional sonata forms. Indeed, Schubert's early symphonies and quartets generally part company in their treatment of this form, the quartets tending to be more experimental, thus furnishing the proving ground for many ideas, some of which are later absorbed into the composer's symphonic writing. Certainly the confident handling of form in the First Symphony owes much to Schubert's labours in his string quartets during the preceding three years.

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[1]The five minuets and trios, D.89 and the five *Deutsche*, D.90.

In this chapter we will be dealing with the string quartets leading up to the First Symphony, as well as the Symphony itself.[2] The works under discussion, the Quartets in C Major, D. 46, in B-flat Major, D. 68, and in D Major, D. 74, contain some of the strangest sonata forms in Schubert's entire career. Previously many of the oddities in construction could be understood in light of the composer's struggle to master the basics of the form. The advances we have seen up to this point, though, make such a simple explanation somewhat suspect for the quartets under discussion. Admittedly, the two main problems in his initial attempts at sonata form remain: the material of the main theme often monopolizes the motivic work of the whole movement, while the creation of a convincing modulation to a subordinate key, here consistently the dominant, still seems to present some difficulties. Yet the problematic nature of these quartets now begins to reveal the first traces of a strong musical personality: rather than accepting the form unquestioningly, the young composer seems to be trying to recast it according to his own preferences. Even the apparently conventional exterior of the D Major Symphony masks a number of unusual and highly significant features.

One may see something of Schubert's emerging individuality in his treatment of the dominant, which Webster believes constitutes the main weakness of the composer's sonata forms.[3] (We will return to this thesis when discussing the whole question in more depth in the last part of this study.) What Webster terms an "aversion for the

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[2]One of the 1813 quartets, in E-flat, D. 87, written after the Symphony, will be discussed in the next chapter.

[3]"Schubert-Brahms, I," 24.

dominant" is already quite prevalent in the early quartets.[4] On the harmonic level, the submediant chord often supplants the dominant in the opening phrases of themes built upon a statement and response pattern. In small ternary forms as well, the contrasting middle section is often built over the dominant of the submediant rather than the dominant of the tonic key.[5] This practice is not entirely new: the harmonic structure of a Classical contrasting middle can be much more complex than a simple dominant prolongation and may begin with a move to the dominant of the submediant, as in the first movement of Beethoven's Serenade in D Major, op. 8. Nor is the dominant completely excluded by Schubert–see for instance the main theme in the finale of the Quartet in C Major, D. 46. Yet Schubert does show a predilection for third relations, involving the tonic and submediant, over the fifth relation of tonic to dominant. This is an important and durable aspect of his writing, one that ties him more closely to Romantic practice.[6]

On the tonal level, many of the involved, even labyrinthine, transitions to the dominant found in some of the sonata forms we will be looking at in this chapter seem to indicate a dissatisfaction with the relationship of that key to the tonic, as if a simple move to the dominant lacked sufficient excitement or interest on its own. Some

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[4]See also Chusid on the status of the dominant in the early quartets, "Chamber Music," 9-13.

[5]See, for example, the main theme of the Quartet in B-flat Major, D. 36, iv, (ex. 3.20) and the Quartet in D Major, D. 74, i (ex. 4.12).

[6]A recent publication, not available for consultation, promises to address such issues in Schubert's sonata forms. See Xavier Hascher, *Schubert, la forme sonate et son évolution*, Publications Universitaires Européenes: Série 36, Musicologie. vol. 156, (Bern: Peter Lang, 1996).

suggestions of this "problem" have already been encountered in the first movement of the C-Major Quartet, D. 32, with its initial feint to the subdominant, and the first movement of the Quartet in B-flat Major, D. 36, where the music first modulates to the dominant of the dominant.[7] The tendency becomes more pronounced in the quartet movements of 1813 and constitutes one of the most important aspects of Schubert's reinterpretation of sonata form.

Continuity and Motivic Control: Quartet in C Major, D. 46, i

In one respect, the first movement of the Quartet in C Major, D. 46, composed in early March of 1813, is quite similar to the first movement of the Quartet in C Major, D. 32, from the fall of the previous year: it fails to establish any subordinate theme whatsoever, although a modulation to the dominant is carried out by the end of the exposition. This particular deficiency arises once again from Schubert's preoccupation with rigid motivic control, now linked to an effort to create an unbroken continuity throughout the structure. The result is a highly unusual, even perplexing piece of music, whose formal anomalies have been most aptly summed up by Walther Vetter:

> In the fourth [sic] Quartet [ie. D. 46]...the chromaticism of the introductory Adagio is important. A certain blurring effect which it creates serves to make the contours of the structure vague rather than definite and tends to modify and alter the 'classical' order of the themes. New significance is attached to parts of the structure which previously had no more than a transitional or episodic function. The introduction, the end of the exposition and similar sections take on fresh meaning. In the present instance the chromaticism of the introduction (with a literal quotation of its theme) recurs during the second half of the

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[7]For the latter, see chap. 3, p. 121 and ex. 3.18.

> exposition where the second theme 'ought' to appear. Schubert does away with the outlines of the formal mould.[8]

The very un-Classical "blurring" of the structure's contours results from the movement's motivic-thematic process, which consists of an initial full statement of the movement's main "theme" in the introduction, followed by a gradual fragmentation and eventual liquidation of its constituent motives over the ensuing Allegro con moto. The fragmentation is carried out in a series of waves sweeping across the articulated subdivisions of the "exposition." The development section stands apart, in that it relies more on variations on the head of the main theme, but the cycle of fragmentation is set in motion again just before the beginning of recapitulation, and continues on through the rest of the movement. A closer look at the exposition will provide a clearer understanding of the general process.

The introduction begins as a fugal exposition on one of Schubert's favourite subjects, the chromatic descent from tonic to dominant (ex. 4.1). In its first appearance, the subject returns to its two opening pitches before the entry of the next voice. In its last appearance, towards the end of the introduction (ex. 4.2, bars 16-19), it ends with a sigh figure (motive y) featuring the resolution of the diminished seventh chord to the tonic chord over a tonic pedal. This last form of the subject becomes the true main "theme" of the following Allegro con moto.

The opening of the Allegro is very unusual (ex. 4.2, bars 20-42): its first twenty-three bars suggest more a transition than a fully-formed main theme. Such a suggestion

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[8]*Der Klassiker Schubert*, trans. John Coombs, quoted by Monika Lichtenfeld in the documentation booklet for *Die Streichquartette*, 29.

depends in part upon the very odd motivic character of the passage. Rather than introducing new thematic material, the Allegro seizes upon the last ideas of the introduction–the triplet rhythm of bars 15 and 18 (viola and cello) and the sigh figure y–and combines them into its opening two-bar idea. After two repetitions, the idea is fragmented, with the focus falling on motive y (bb. 26-32).

This motive is liquidated in the foreground at bar 33, but an augmentation of it is outlined by the two highest notes of the first violin, F-E, (bb. 33 and 35), which in turn is followed by an augmentation of the chromatic head of the main theme, given out in octaves by the whole quartet (bb. 37-42). Essentially then, the listener is never free of the main theme–once its tail end has faded out, its beginning is brought back into focus.

The transitional character of the beginning of the Allegro is enhanced by its harmonic makeup. Basically the passage from bars 20 to 42 consists of a prolongation of the C major chord (bb. 20-37) ending with the chromatic descent to G (bb. 37-42). One would assume in a piece in C major that this whole passage thus outlines a tonic to dominant progression. However, the true status of the C major chord is quite ambiguous, for in fact, it appears more as a dominant than a tonic, and indeed becomes a full dominant seventh at bar 26.[9] The concluding chromatic descent thus serves to

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[9]The seeds of C major's ambiguity have been planted as far back as the Introduction, whose chromatic subject strongly implies the minor mode. The introduction's concluding C major chord may thus be heard as a *tièrce de Picardie.* However, since most introductions usually move to the dominant of the home key, the prominent major colour of the final chord carries with it the suggestion of a dominant. This suggestion is then taken up and developed during the opening passage of the Allegro.

move from one dominant (that of F) to another, the dominant of the home key, C major.

The events that immediately follow the arrival of the G harmony at bar 42 (ex. 4.3) reinforce the feeling that one has just passed through a transition. The main theme arrives at bar 43 in the viola with a new figure (designated b in ex. 4.3) set contrapuntally against its head.[10] After the tonal ambiguity of the preceding bars, the music has emerged into a clear C major.[11] The motive b then becomes the focus of the fragmentation process in the codetta-like passage (bars 48-54) following the perfect authentic cadence in C at bar 48.

Viewing the movement from the beginning of the introduction to this point reveals a tripartite structure very similar to the main theme complexes in Schubert's earlier sonata forms:[12] an initial thematic structure, (here the introduction itself); a transitional middle section (bb. 20-42) and a final part ending with a perfect authentic cadence in the home key, followed by a short closing section (bb. 43-54). Since it contains the initial statement of the main theme, the introduction is drawn directly into the thematic/motivic process of the Allegro, which in turn begins with a transition, rather than a clearly articulated theme. Such reassignments of formal

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[10]Motive b, in fact, is a variation of motive y, which has now been embellished by the triplet scale motive so prominent in the preceding "transition," see ex. 4.3b.

[11]Here the modal ambiguity, which characterized the introduction and beginning of the Allegro (where the C major chord assumed the aura of a dominant in F minor), has also dissipated. In fact one might consider the beginning of the Allegro as a transition from C minor to C major.

[12]Specifically the main Allegro of the Overture for String Quintet in C Minor, D. 8, the Quartet in D Major, D. 94, i, and the Quartet in C Major, D. 32, i.

functions, found throughout the movement, are largely due to the sweep of the thematic process across formal subdivisions which, in a conventional sonata structure, would have stood as the divide between separate ideas. Continuity itself becomes an agent of ambiguity as the beginning of one section often carries on the motivic process of the previous one.

The second wave of fragmentation begins with the statement of the main theme as the subject of a fugato (ex. 4.3, bb. 43-8), and continues through the theme's closing section (bb. 48-54), the transition (bb. 55-64) and the arrival in, and establishment of, the dominant key (bb. 64-81). Motive b becomes the subject of fragmentation first (bb. 48-54). The motive is taken up again at the beginning of the transition (b. 55) in almost the same form as its last appearance (motive b^1, bb. 52 and 53 compared to motive b^2, bb. 55 etc.). Thus, the motivic process continues into the transition despite the dramatic signal of the latter structure's beginning between bars 54 and 55.[13] At the point where motive b is liquidated in bar 58, the head of the main theme (ex. 4.3, motive a) is introduced in the cello and viola, and becomes the principal topic of the conversation, until the end of the exposition. Although locally the bar units do not decrease consistently over the whole passage, the fragmentation process is still evident in the reappearances of the head of the main theme, first as a three-bar unit (bb. 43-8), then a two-bar unit (beginning in b. 58) and finally as half-bar sigh figures (motive y,

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[13]Despite the motivic continuity between the beginning of the transition and the end of the main theme region, the transition is still articulated by this caesura as well as its initial submediant harmony, often a marker for the beginning of the transition in Classical sonata forms. For a similarly dramatic example see Mozart's Piano Sonata in F Major, K. 332, i.

bb. 68-71). During the course of these events, the dominant key has been reached at bar 64 and established, albeit quite weakly. Yet no subordinate theme has appeared. Instead, the new key merely serves as the tonal region in which the last wisps of the main "theme" are allowed to dissipate.

The movement's motivic concentration has a strong influence on the transitional process of the exposition (ex. 4.4). As in a number of the previous quartet movements already discussed, the modulatory plan depends upon the principal motivic material of the main theme.[14] To understand how the transition works, we must first look at the head of the main theme and a number of its possible harmonizations (ex. 4.4a). The theme itself can begin on either the tonic or dominant degree, with tonic beginnings predominating in the course of the movement. When starting with the tonic, the usual harmonization tends to emphasize the subdominant through the conversion of the tonic triad into an applied dominant seventh, thus I-V-V^7/IV-IV etc.[15] This is precisely the harmonization featured in the *Quartettsatz*.

To close the theme off in the tonic key, the progression moves on from the subdominant to the dominant chord, whose arrival is prepared either by an augmented sixth or a minor subdominant chord, as can be seen in the harmonization of the main theme at bar 44 (ex. 4.3). However, the chromatic line also has the potential to spiral

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[14]See in particular, the increasing importance of the main theme's chief harmonic motive in the transitions of the Quartets in C Major, D. 32, i and iv and B-flat Major, D. 36, i.

[15]The tendency towards F major (IV) in the transitional beginning of the Allegro (bb. 20-37) is thus related to the basic material of the movement's main "theme."

flatwards by descending perfect fifths in a series of dominant sevenths (ex. 4.4a, ii), essentially a continuation of the figure's initial subdominant tendency. Such a spiral forms the core of the modulation to G major in the transition (ex. 4.4b, bb. 60-2).

Harmonically, the beginning of Schubert's transition is quite conventional: a move to the A minor chord (VI) initiates a quick pivot into G major (bb. 55-7). Many Classical transitions also feature such a progression near their outset, but they usually move on further to the dominant of the new dominant chord. This plan does not materialize here. Instead, after the initial pivot into G major, the music reverses direction, slipping back towards C in bar 58. This move is deflected to A minor between bars 59 and 60, which then becomes the departure point for a return to C by a succession of descending perfect fifths:[16] first comes a series of applied dominant sevenths, generated by the flatward spiral of the head of the main theme; then, once C has been reached at bar 62, there follows a chain of fifth-related diatonic sevenths. At the end of this last progression, the music smoothly slides into the key of G major, using the A minor seventh chord at bar 63 as the pivot.

The whole modulatory scheme is highly unusual. Basically the transition traces a circular path, ending with virtually the same pivot chord modulation with which it began. This type of modulation is an important innovation that Schubert refines in his subsequent sonata forms, as shall be seen in the following chapters. In the present instance, however, the plan does not work well. The extremely smooth modulation

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[16]In this case, A minor's distance from C around the circle of fifths proves more important than its status as C major's relative minor.

to the dominant does little to "dramatize" or even sufficiently prepare the new key–and the situation is not helped by the lack of any articulation of the event by a new theme. This movement thus exhibits minimal tonal and thematic contrast, as do many of the preceding quartet movements. In fact, the movement concentrates on the relationship between two keys, a further parallel with Schubert's earlier sonata forms. Its general tonal plan is based upon the modulation from the tonic to the dominant and back again, although not in as obvious a manner as the first movement of the String Quartet in G Minor/B-flat Major, D. 18. The exposition advances from the tonic, C, to the dominant G. The development, while touching briefly on a number of subsidiary keys, maintains its focus on the dominant, cycling away from it a number of times, but always returning. In fact, the only cadences in this part of the form are in G major.[17] The recapitulation then begins in the dominant and returns to the tonic.[18]

In its motivic and tonal concentration, the first movement of the C-Major Quartet can thus be considered a throw-back to some of Schubert's earlier quartets. Its unusual structure, though, reveals an important aspect of Schubert's approach to sonata form. Here the composer does not treat the form as a pre-existing mould into which he pours his ideas, but instead tries to develop it outwards from the basic material of his main theme. Despite the awkwardness of the attempt and its lack of success, one can still

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[17]The return to the subordinate key in the development section is extremely unusual in Classical practice.

[18]Of particular importance here is the return in the dominant of the main theme as it was stated at the end of the introduction. This reappearance of the introduction occurs at the end of the development section and launches the recapitulation. A similar manoeuvre is used in the First Symphony, D. 82, i (see below).

see a freedom of invention and a will to experiment that mark many of the subsequent movements we will study. The flexibility in the treatment of the form's functional components alone is quite striking–the melding of introduction into the first movement proper, for instance, or the deliberate disregard of some of the form's interior boundaries. Even more significant is the "circular" transitional process: the greatest formal anomalies encountered in the following quartets involve the transition in some way. It is here that Schubert's transformation of sonata form first becomes apparent.

Expansion of the Transitional Process: Quartet in B-flat Major, D. 68, i

The first movement of the String Quartet in B-flat Major, D. 68, brings us back to a structure that admits clear tonal and thematic contrast; yet the form is one of the most perplexing among Schubert's youthful compositions even though the broad lines of sonata form are easily discernible: a substantial exposition (bb. 1-93), which establishes both a subordinate key and theme, is followed by a modest development section (bb. 94-143) and a plainly marked recapitulation (bb. 144-247). The unusual aspects of the form lie principally in the exposition, whose component parts carry out their functions in a such an unconventional manner that considerable formal ambiguities arise.

The main and subordinate themes of the exposition are both distinct entities. The main "theme" is an odd structure, beginng with a sequence and ending on the dominant seventh in bar 7, which, rather than resolving, reappears as a simple

dominant in bar 9 (ex. 4.5a, bb. 1-9).[19] The subordinate theme is built along the lines of a modulating period, ending in bar 60 with a perfect authentic cadence in the dominant key, F (ex. 4.8, bb. 53-60).[20] The most perplexing anomalies of the form, though, lie between these two themes.

At first the music seems to be tracing the conventional path of a sonata-form exposition. The main theme (ex. 4.5a, bb. 1-9) is followed by something that could conceivably function as a transition (ex. 4.6, bb. 10-19). This "transition," however, is somewhat unusual in its harmonic structure. The first seven bars are taken up with a tonic prolongation. The music then suddenly pivots into F major (bb. 16-17) and cadences there (b. 18), immediately reinforcing the cadence with two bars prolonging the new tonic. To say the least, the move to the dominant is rather abrupt. These events are followed by something that approximates a subordinate theme (ex. 4.6, bb. 20-9). Once again the new structure is somewhat unusual, although it does end with a perfect authentic cadence in F major at bar 29. To this point then, the outlines of a rudimentary, albeit severely shortened, exposition are visible.[21]

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[19]Both the use of a sequence to begin the theme and the rather odd ending, which does not really bring with it a conventional half cadence, take this structure somewhat out of the line of a traditional Classical theme.

[20]As in the last movement of the String Quartet in B flat Major, D. 36, the old edition of this quartet in *SW* is corrupt. Accurate bar numbers have been supplied from *NSA*, series 6, vol. 3, 141-53.

[21]The relationship to the three-part theme complexes of some of the movements analyzed previously is more evident. This time, instead of feinting towards another key, the middle transitional section (bars 10-18) actually modulates, while the third section (bars 18-29) stays in the new tonality.

Hard upon the concluding cadence in F major, the music suddenly shifts to the dominant of G minor (ex. 4.7, bb. 29-30). A development section should follow at this point, if indeed the preceding events amount to a full-fledged exposition. Instead, the music concentrates exclusively on a prolongation of the new dominant chord (bb. 31-52).[22] This leads in turn to what proves to be the subordinate theme (ex. 4.8, bb. 53 etc.) which begins in the home key, B-flat major, directly after the dominant prolongation has prepared the key of G minor. The sudden reinterpretation of the melody's initial D is very striking and quite close to some of the magic effects Schubert can draw from his subordinate themes in his later works.

Having returned to B-flat major, albeit with a lingering G minor colouring at the beginning of both antecedent and consequent phrases, the new theme itself must establish the subordinate key (ex. 4.8, bb. 57-60). It does so with the perfect authentic cadence in F at the end of its consequent phrase (b. 60). F major is then maintained until the concluding double bar of the exposition.

From the perspective of Classical practice, the events in Schubert's exposition seem completely unfathomable, as if the young composer were confused or even incompetent in his handling of the form; yet there is an underlying method to his scheme. The modulation to the subordinate key is expanded to such an extent that it takes up much of the interior of the exposition and spills over into a part of the form not usually associated with this function–the subordinate theme. The basic plan resembles that of

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[22]The corruption of the old edition of this movement, SW, occurs at this point, the editors having restored without comment a number of bars crossed out by the composer.

the "circular" transition in the first movement of the C-Major Quartet, D. 46: an initial pivot chord modulation into the dominant key (ex. 4.6, bb. 16-18) is later denied (ex. 4.7, bb. 29-52) and the music returns through the tonic to a new modulation to the dominant (ex. 4.8, bb. 57-60) based on the same pivot as the first modulation.[23]

Rather than a straightforward path to the subordinate key found in a typical Classical transition, the transitional process follows a deliberately tortuous route in which dramatic surprise and uncertainty play a key role. The effect of the scheme depends largely on the prominent suggestion of an intermediate key between the point of departure and the goal of the modulation. Here Schubert's penchant for the feint comes to the fore, since the intermediate key, G minor, helps to conceal the transition's true destination.[24]

The initial modulation to F major at bar 18 is a rather undramatic and consequently weak tonal move, consisting of merely a pivot into the new key (ex. 4.6, bb. 16-17).[25] Although the modulation is confirmed at bar 29 with a perfect authentic cadence in F major, this confirmation is immediately denied by the dramatic shift to

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[23]Compare b. 16 (ex. 4.6) to bb. 57-8 (ex. 4.8). The actual chord progression is motivic to this movement (see below) while the use of VI as a pivot to the dominant predominates in Schubert's modulations to that key in his early sonata forms.

[24]In Classical practice, the submediant is often featured in the transition. In this case, though, the waters are muddied by the fact that G minor is entered after the dominant key, F major, has been established, not before.

[25]Similar quick and early moves to the dominant with cadential confirmations can also be found in a number of early and middle-period Haydn quartets, for example the first movement of the String Quartet in C Major, op. 20, no. 2, as well as the first movement of the String Quartet in E-flat Major, op. 20, no. 1. Webster considers this practice to have had its roots in the techniques of the fugal exposition. See his *Haydn's "Farewell" Symphony*, .

the dominant of G minor, and that chord's subsequent prolongation (ex. 4.7). This unexpected move actually represents a step back from the region of the dominant, F, towards that of the home key, B-flat major.[26] And, in fact, B-flat major does return with the first bar of the subordinate theme (ex. 4.8, b. 53). Rather than resolving the tonal uncertainty that has predominated so far, the arrival of the subordinate theme instead serves to heighten it. The theme's antecedent and consequent phrases both begin with a B-flat chord and the antecedent ends with a half cadence in B-flat major (b. 56), but the strong tonicization of the G minor, featured in the head motive of the theme, in conjunction with the long dominant preparation of G minor preceding the theme's appearance, undermine B-flat's solidity. G minor and B-flat major linked together thus displace the true subordinate key of F major until the subordinate theme's concluding cadence in the latter key (ex. 4.8, b. 60). The second arrival in F major thus acts as a quiet resolution of the preceding tonal conflict. The new key is then given added weight by two substantial perfect authentic cadential progressions following the end of the subordinate theme (bb, 61-71 and 72-84).

As awkward as this modulatory scheme is, its basic strategy, with considerable improvements, is encountered again and again in later sonata forms. One of the chief weaknesses in the plan as it stands here is the early arrival in, and cadential confirmation of, the subordinate key. In later variations on this scheme, Schubert

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[26]As the relative minor of B-flat major, G minor is more closely related to that key than F major. This close relationship is very evident in Schubert's predilection for tonic-submediant relations and modulations through relative major-minor pairs of keys in his early quartets.

consistently withholds cadential confirmation of the new key until the very end of the process.

The Increasing Scope of Harmonic Motives

Schubert's use of recurring harmonic motives is particularly prominent in the B-flat Quartet's first movement, even more so than in the other quartet movements analyzed to this point.[27] Two related motives can be isolated (ex. 4.5a and b), (1) the large-scale progression I-VI-IV-V, which underpins the complete theme (motive A) and (2) a more local progression (motive x), consisting of the move from the tonic to the submediant through its applied dominant I-V^7/VI-VI, outlined in bars 1 to 2 and echoed in bars 2 to 3. The part-writing of this echo itself becomes a recurring motive (b) in either its diatonic or chromatic form (ex. 4.5b) and with occasional voice exchanges. This last motive does not retain the tonicization of the submediant as a feature, though, but instead simply outlines a progression from dominant to tonic.

Motive A returns quite prominently in the first area in the dominant key (ex. 4.6, bb. 20-8), where it is stated twice (bb. 20-3, and 24-8). A variation of it (A^1), in which II has replaced IV in the progression, also forms the harmonic background of the subordinate theme's antecedent phrase (ex. 4.8, bars 53-6). Both of the pivot chord modulations to F major are also clearly derived from A (ex. 4.6, bb. 16-18 and ex. 4.8, bb. 57-60). The connection is most evident in the latter case, where the subordinate

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[27]Specifically the Quartet in C Major, D. 32, i and iv, the Quartet in B-flat Major, D. 36, i, and the Quartet in C major, D. 46, i.

theme's consequent is based upon a slight variation (A^2) of the A^1 progression supporting the antecedent. The only difference being the alteration of the C minor supertonic chord in A^1 to a C major dominant in A^2.

On a more local level, statements of x and its derivative, b, may be found as details of almost every section of the movement. For example, the first modulation to the dominant is followed by three statements of b^1 (ex. 4.6, bb. 18-19). This motive also enlivens the final cadences of the subordinate key area (ex. 4.9, bb. 65-71). The two instances mentioned are only the two most obvious appearances out of many more that could be cited.

On the broader level of the form, the harmonic relationships outlined by A, and concentrated in motive x, have been expanded to the tonal interplay between the tonic, submediant and dominant keys upon which the modulatory process is based. The fundamental harmonic progression of the main theme thus appears in new guises at virtually every major stage and every level of the exposition. As in the main themes we have discussed previously, this harmonic motive is a dynamic element. In the exposition, it is emphasized because it provides the motor, so to speak, for the principal modulations. In the recapitulation, though, where maintenance of the focus on the home key is required, certain readjustments are necessary, above all in the material of the subordinate theme (ex. 4.10). Since the subordinate theme begins in the home key in the exposition, that theme can, and does, return at its original pitch in the recapitulation. Its consequent phrase, which modulated in the exposition, must then be altered to remain in B-flat major. Such alterations extend beyond this phrase,

though, and point towards a deliberate reining in of the dynamic tendencies of motive x.

In the first place, the arrival of the theme is prepared by the dominant of the home key, not that of the submediant.[28] The antecedent phrase matches such a "regularization" with one of its own: instead of beginning with the submediant progression of motive x, as in the exposition, this phrase now opens with a more conventional I-V-I progression, which emphasizes a stable tonic harmony (bb. 203-4). The original harmonization, though, does return in the consequent phrase, as the initial component of motive A (bb. 207-8). This time, however, A does not break off with the arrival of the dominant seventh harmony, as it did in the main theme; instead it continues on to a perfect authentic cadence in the home key at bar 210. Thus, in this progression's last appearance, the most important anomaly of its initial statement, its abrupt ending on the dominant seventh, has been "corrected" to bring the music to a full and stable close.

Although the first movement of the B-flat Quartet follows the monothematic tendencies of its predecessors both motivically and harmonically, it does present a number of important new developments in Schubert's handling of the form. The recurring material has been shaped into quite a variety of new structures, a process that reveals an increasing flexibility in motivic manipulation. Furthermore, not only is the basic progression of A transposed into new keys, as at bar 20 etc. (ex. 4.6) but it is also

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[28]A repetition of the exposition's ploy would have squandered the effect of the unusual modulation by overuse.

maintained at its original pitch in the subordinate theme. The same chords thus appear in different tonal and formal contexts. This ploy, the projection of a particular progression against different tonal backgrounds, forms an important part of the motivic work in Schubert's later sonata forms, as we have seen in the interlocking cadential progressions of the *Quartettsatz*.[29]

Another major innovation lies in what some might consider the form's weakest part–its long and circuitous transition. The development of this unusual type of transition is the connecting thread that runs through most of the movements we will be dealing with in this and the next chapter, starting with the first movement of the Quartet in D Major, D. 74.

Developmental Transition: Quartet in D Major, D. 74, i

The D-Major Quartet, D. 74, with its painfully obvious quotes from Mozart, has long served as a clear example of Schubert's "classicising" tendencies.[30] The most blatant plagiarisms occur at the end of the outer movements, which refer to the *Magic Flute* Overture (ex. 4.11) and the finale, which clearly recalls the beginning of the finale to Mozart's "Paris" Symphony, K. 297/300a. Despite these surface echoes, though, the D-Major Quartet can hardly be considered a well-mannered, classicist work, at least as

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[29]Further examples dealt with later in this study include the first movement of the Piano Sonata in A Major, D. 959, and the first movement of the String Quartet in D minor, D. 810, "Death and the Maiden."

[30]See Rosen, *Sonata Forms*, 357-60 for the most recent discussion of the quartet's borrowings.

far as its treatment of sonata form is concerned. The Quartet's first movement in particular is almost as perplexing as the first movement of the B-flat quartet just analyzed. Once again the principal cause of the form's anomalies may be traced to the expansion of the transitional process, which will be discussed in detail below.

In many other respects, the first movement of the D-Major Quartet continues the trends found in Schubert's earlier quartets. The spirit of monothematicism, for instance, also hovers over the whole structure. In this case, though, the control of the subordinate theme by the main theme has been somewhat weakened (ex. 4.12). The principal link between the two themes lies in a shared repeated-note figure (x), which, indeed, saturates the movement.[31]

Apart from this motivic reminiscence, which establishes the parentage of the subordinate theme, the two themes are well differentiated in their harmonic make-up and general structure. The main theme, a small ternary form, is characterized by an extremely long tonic pedal in its A section (ex. 4.11a, bb. 1-20).[32] The B section (bb. 21-36) begins with a ploy now familiar in Schubert's writing, the move to the dominant of the submediant. This harmony, however, yields to the dominant seventh of the home key at bar 31. The subordinate theme (ex. 4.12b, bb. 175-89) is built along the

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[31]Dahlhaus has even referred to this movement as "monomotivic," "Formeprobleme," 196. Certainly Schubert's predecessors and older contemporaries, Haydn for instance, or Beethoven, could develop one motive in a very concentrated fashion. In the case of this quartet movement, though, the involvement with one ubiquitous motive is extreme. Furthermore, there is little attempt at varying its rhythmic shape.

[32]The persistence of this pedal in the A section eliminates the cadential articulation usually found in Classical practice.

lines of a sentence. Although rhythmically the two themes have much in common and even project a similar affect,[33] they part company in their harmonic construction: the long tonic pedals of the main theme differentiate it from the subordinate theme with its faster harmonic rhythm. Here then we have the beginnings of some form of thematic contrast.

As in the first movement of the B-flat Quartet, D. 68, the most unusual area of the form lies between the two themes, where the modulation to the dominant has been so vastly expanded that it approaches the character and dimensions of a full development section. The modulatory process is carried out by a highly unusual two-part transition (ex. 4.13, bb. 53-174), in which the first non-modulating part (bb. 53-76) ends with a long dominant prolongation in the home key (bb. 57-77) and the second, modulating part (bb. 77-174) eventually moves to a dominant preparation of the new key (bb. 165-174).

The basic scheme relies upon a number of ploys that are becoming increasingly characteristic of Schubert's transitional strategies. The first is the feint, here involving formal rather than tonal ambiguity. The first part of the transition and the beginning of the second part suggest a non-modulating transition followed by the beginning of a subordinate theme in the expected key of the dominant, A major (ex. 4.13, bb. 53-85). The promised theme, though, never progresses beyond its initial presentation phrase (bb. 77-84), the music instead modulates further afield. Here Schubert makes use of

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[33]The specific rhythm of the subordinate theme's head, which incorporates motive x, is prefigured in the transition (ex. 4.13, bb. 103-5, rhythm y; immediately repeated bb. 107-9).

another characteristic ploy, the "circular" transition: after first moving sharpwards by sequence to E major (bb. 85-116), the music suddenly reverses direction and moves back towards the home key of D major, whose dominant arrives at bar 131 and is prolonged until bar 148. The transition then continues on through C (as the relative major of A minor) to a dominant prolongation in A major (bb. 165-74) preparing the arrival of the true subordinate theme in the dominant key at bar 175.[34]

Certain parallels may be drawn between the transition of the D Major Quartet and that of the first movement of the B-flat Quartet, D. 68. In both movements one may see a certain "blurring," to use Vetter's term, of the usual formal subdivisions in the interior of the structure, specifically the boundary between the transition and subordinate theme area. In the String Quartet in B-flat Major, D. 68, the transitional process gets under way in earnest only after the key of the dominant has been entered at bar 18 and confirmed by a cadence at bar 29. In the Quartet in D Major, D. 74, the non-modulating transition and the beginning of the modulating transition suggest a conventional preparation for, and beginning of, a subordinate theme. Although a full theme does not appear at this point, the second half of the transition is still bracketed by material in the dominant key–a presentation phrase at the beginning and a dominant preparation at the end. In both quartet movements, the transitional process is thus absorbed into the subordinate key area. Such a situation looks forward to the many "developmental" subordinate theme regions of Schubert's later sonata and sonata-

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[34]This transition is thus one of the very few in the early quartets to establish the dominant key through the prolongation of its own dominant.

rondo forms, for example the finales to both the C-Minor and A-Major Piano Sonatas, D. 958, and D. 959.[35]

Furthermore, the modulatory process in the transition of the D Major Quartet is characterized by a deliberate uncertainty in tonal direction, concentrated above all in the successive dominant prolongations first in E major, then C major, D major and finally A major (bb. 93-116, 117-22, 131-48 and 165-74 respectively). As in the first movement of the B-flat Quartet, D.68, then, we are not dealing with the straightforward modulatory process of a typical Classical transition. In fact, the rather long and involved modulation to the dominant resembles a development section so closely that it has apparently made a true development section redundant.[36] After the last cadence of the subordinate key area at bar 243, the music moves on to the recapitulation which begins directly in the dominant key and returns to the tonic. Thus the first movement of the D major Quartet, D.74 is based as exclusively upon the modulation between the tonic and the dominant, as are so many other of the other sonata form movements we have looked at so far.

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[35]The last movement of the String Quartet in C Major, D. 46, also anticipates such developmental subordinate key regions. In fact, its subordinate theme literally fuses with the development section. Furthermore, its exposition also features an apparent non-modulating transition followed by a presentation phrase in the dominant. As in the D-Major Quartet, this phrase is immediately sequenced and no cadence in the dominant key ever materializes.

[36]Chusid, however, considers the lack of a development section in this movement and other sonata-form movements of Schubert's youth as a mark of the influence of the opera overture on the composer. See "The Chamber Music," 81-2 and 320 ff.

Readjustments in the Transitional Process: Quartet in D Major, D. 74, iv

The expansion of transition in the first movement of the D-Major Quartet, D. 74, represents an extreme from which Schubert immediately retreated in the finale of the same quartet. The transition of this last movement is of a much more conventional length and character. Furthermore, developmental passages are reserved for the second half of the subordinate theme area, after the subordinate key has been confirmed and the subordinate theme played out. Placed here, these passages approximate what Tovey has termed "purple patches" in the sonata forms of Mozart, although Schubert's "purple patches" here are much longer and more complicated than such passages in Mozart's works. Despite the difference in proportions, the outer movements of the D-Major Quartet are very similar in their overall structure: an exposition moving from tonic to dominant keys is answered directly by a recapitulation beginning in the dominant and returning to the tonic.[37]

As mentioned at the beginning of the previous analysis, a number of commentators have noted that the last movement of the D-Major Quartet was apparently patterned after the finale to Mozart's "Paris" Symphony, K.297/300a. Such an influence is most obvious in the movement's main theme (ex. 4.11b, i and ii for comparison, ex. 4.14 for full theme). Like its model, it begins piano in the first violin with a running eighth-note accompaniment in the second violin. The theme's quiet opening is then answered

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[37]The deliberate parallels in structure between these two movements represent a type of cyclic construction found elsewhere in the works of Schubert, for example the outer movements of the Second Symphony, in B-flat Major, D. 125.

fortissimo by a fanfare from the full quartet. Here Schubert has considerably expanded on his model: four bars of fanfare in the Symphony have been stretched to fifteen in Schubert's Quartet.

The transition grows out of the counterstatement of the main theme (beginning at bar 23), a typical Classical ploy found in the Mozart model. The concluding fanfare of the theme expands into a full non-modulating transition ending at bar 55. A fairly complex, two-part subordinate theme follows (ex. 4.15). Motivically, the first part of the theme (bb. 56-75) is closely derived from the material of the main theme, combining the latter's repeated-note motive x and its scalar motive y.[38] Structurally, the whole passage can be considered a failed period, consisting of an antecedent (bb. 56-64) and a passage that initially suggests a consequent, but rather than cadencing ultimately merges into a link (bb. 72-5) to the theme's second part (bb. 76-92).

The second part, consisting of two periodic structures (bb. 76-83 and 84-92), has a more lyrical quality to it. It provides a fairly strong contrast motivically, rhythmically and affectively to the main theme. The melodic line is smooth, unbroken by rests; a rhythm of half and quarter notes devoid of the previous second-beat syncopations prevails and the ubiquitous repeated-note figure has been eliminated. As in the last movement of the Quartet in B-flat Major, D. 36, then, a new character in the

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[38]Oddly enough, the one motive not taken directly from the movement's main theme, (z in ex. 4.15), is derived rhythmically from the Mozart Symphony, specifically the end of the subordinate theme's fugue subject (b. 48).

subordinate theme has been allowed to blossom within the subordinate key area, but only after the appearance of a more closely derived theme.[39]

The concluding cadence of the new theme elides with a return of the fanfare passage, which initiates the developmental expansion of the subordinate theme area (bb. 92-164). Although unstable tonally, this concluding section of the exposition remains within the tonal orbit of A major and is brought to a close by a series of expanded cadential progressions (bb. 124-30 and 155-62), to which the preceding instability has contributed added force.

When compared with the last movement of the "Paris" Symphony, the finale to Schubert's D-Major Quartet appears somewhat out of the ordinary, even without considering the strange general plan of the movement. At the very least, it exhibits little of the conciseness of the Mozart model. The passages where this difference between the two composer's styles is most apparent are those in which tonal instability comes to the fore--the transition and the developmental interior of the subordinate theme area. Judged against the two previous quartet movements discussed above, though, the finale of the D-Major Quartet represents a turn towards an exposition in which the tonal scheme is more carefully controlled: the transitional process has been reined in considerably, while the most tonally adventurous area of the form has been successfully contained within the subordinate key region. These two developments are

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[39]Such a practice is clearly indebted to Haydn, specifically his monothematic sonata forms.

particularly relevant in relation to Schubert's first major orchestral cycle, the Symphony in D Major, D. 82.

Classical Convention and Symphony in D Major, D. 82

The D-Major Symphony was the last piece of instrumental music Schubert finished before leaving the *Kaiserlich-königliches Stadtkonvikt* in the fall of 1813. He began it not long after completing the Quartet in D Major, D. 74. The strong resemblances between the two pieces, particularly in the slow movements and finales, place the Quartet in the position of a preliminary study for the Symphony.[40]

Numerous commentators consider the Symphony to be the crowning achievement of Schubert's student years. Maurice J.E. Brown's remarks are typical:

> The finest of these early works was finished on 28 October, the First Symphony, in D (D. 82). It is the consummation of those years of absorption of music at the college and the vital contact with its orchestra; it was his justification for the future.[41]

In its own right, the Symphony is quite an impressive piece of music. The orchestration alone shows both experience and even genius on the part of the young composer. Moreover, the sonata forms in the first and last movements of the Symphony are fairly clear structures that avoid many of the perplexing features of the earlier quartets. In fact, both these movements are quite conservative in their design. If an observer were to take this Symphony as Schubert's first sonata form, he would

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[40]See Werner Aderhold, preface to *NSA* series 6, vol. 4, ix.

[41]*The New Grove Schubert*, 6.

be justified in assuming that the composer had begun his career as an innocent imitator of the Classical masters, particularly Mozart.[42] Yet even in such an apparently traditional piece of music, Schubert's strong individuality can still be felt.

As a mark of its grand and festive character, the Symphony begins with an imposing introduction. This introduction, unlike those in the quartets, does not present the basic material of the following Allegro vivace; in fact, its material is quite distinct from that of the main movement. Instead it reproduces in its conventional dotted note rhythms and full orchestration the standard gestures of majesty found in the introductions of the high Classical symphonies of Haydn and Beethoven.

The harmonic design of the introduction is fairly orthodox as well, for it serves to prepare the beginning of the main movement through a concluding dominant prolongation. The one personal touch in this section may be found in the use of Schubert's favourite figure, the chromatic descent from tonic to dominant degrees, to open up the proceedings (bb. 1-9).

The following Allegro vivace presents a sonata form in which all of the constituent parts are treated as distinct entities–quite a departure from the blurring of formal functions in some of Schubert's earlier quartet movements. The structure may be

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[42]Chusid considers the period from the summer of 1813 to 1816 to be a time in which Schubert attempted to imitate the Classical style. See "The Chamber Music," 79ff. While many works composed in this time-frame often approach the Classical model, such a characterization is hard to apply to such works as the String Quartets in B-flat Major, D. 68, and D Major, D. 74, discussed above, and later works such as the String Quartets in B-flat Major, D. 112, and G Minor, D. 187. In fact, Rosen draws on the products of precisely this period as examples of Schubert's departures from Classical precedent, specifically the finale of the String Quartet in G Minor, D. 187 and the first movement of the Violin Sonata in G Minor, D. 408; see *Sonata Forms*, 357.

broken down into an exposition (bb. 21-216), a substantial development (bb. 217-361), featuring a return of the full introduction at its end, and a recapitulation with a modest coda (bb. 362 to the end). The introduction's recall in the body of the main movement represents the most unusual feature of the movement, at least on the surface.[43]

Each of the major divisions of the form are also clearly constructed, as may be seen in a closer look at the exposition. The main theme forms a sixteen-bar sentence (ex. 4.16, bb. 21-37). Unlike the earlier sentence-like main themes of the string quartets featuring prominent tonic to submediant moves in their opening phrases, this theme begins with a statement-response design involving the tonic and dominant. The continuation phrase (bb. 29-37) then moves to a perfect authentic cadence at bar 37 which elides with the beginning of the counterstatement of the theme.

The transition grows out of the counterstatement (ex. 4.17). Here Schubert uses a two-part transition as he did in the first movement of the Quartet in D Major, D. 74. However, a comparison of the length of these two transitions alone shows how much closer to Classical precedent Schubert is in his Symphony than in his Quartet. Now the initial non-modulating stage is the longest portion (bb. 37-73). It consists of the theme's counterstatement (bb. 37-48), a move to dominant of the submediant at bar 49, a return by sequence to the tonic (bb. 57-62) and a concluding dominant prolongation in D major (bb. 65-73). The second, modulating part of the transition amounts to a

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[43]The intrusion of the introduction into the first movement proper, though, has a substantial Classical precedent. See Haydn's Symphony no. 103, "The Drumroll," i, Mozart's String Quintet in D Major, K. 593, i, and Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique," i.

mere wisp of a thing, 5 bars in total (bb. 73-77), outlining a perfect authentic cadence in the dominant, A major. The use of a perfect authentic cadence to accomplish the modulation to the new key is the one unusual feature of the passage. Classical sonata form employs almost exclusively a half cadence or a dominant arrival in the new key to prepare the subordinate theme. Schubert's reliance on an authentic cadence here is an early Romantic feature of his writing which he shares with Ludwig Spohr and a number of other contemporaries.[44]

The subordinate theme arrives in bar 78. Its instrumentation, patterned accompaniment, opening figure (b in ex. 4.18), general contour and rhythm mark it as something quite distinct from the main theme (ex. 4.18 compared to ex. 4.16).[45] Certainly it contains derivations of the main theme's material. Bar 79, for example, is clearly an augmented variant of the little oboe tag in bar 24, while the scalar motives in both themes can be related to each other quite easily. However, the subordinate theme's basic idea, b, overshadows such thematic connections. The figure's rhythm and characteristic three-note up-beat dominate the entire subordinate key region. This single-minded treatment of the new figure continues into the development section, which begins with the subordinate theme in A major and then concentrates on the

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[44]See Caplin, *Classical Form*, chap. 9, for further details on the Classical transition.

[45]As numerous commentators have noted, this subordinate theme is very close to Beethoven's famous contradance tune from *The Creatures of Prometheus*, which he re-used as the theme of the finale of his "Eroica" Symphony. It is as if Schubert had simply dropped into his Symphony a melody that had impressed him, as he had with the quotes from Mozart's Overture to *Magic Flute* at the end of the first and last movements of the D Major String Quartet, D. 74.

theme's basic idea in a manner similar to the end of the exposition. Only the return of the opening introduction at bar 332 finally breaks the hold the subordinate theme has on the form and allows the focus to shift back to the main theme for the recapitulation.

The introduction of a truly contrasting subordinate theme represents a significant development in Schubert's handling of sonata form. Herein lies the first step towards the controlled contrast of such later sonata forms as the *Quartettsatz*. Yet the composer's intense concentration on the new theme's basic idea throughout the movement's centre reveals the monothematic reflex still at work. The obsession with the main theme, so prevalent in the quartet movements we have discussed, has simply shifted to the subordinate theme. The form of this movement thus breaks into distinct, thematic blocks, virtually sealed off from each other. Once again, this is an extremely significant development with respect to the construction of the *Quartettsatz*, D.703, for it points to the shift from a derivative to a complementary relationship between themes later in Schubert's writing.

Besides the penchant of the young composer to pursue one motivic idea to the exclusion of everything else, there is another feature of this ostensibly "Classical" symphonic movement that relates it to the unusual approach to sonata form in his quartets: the whole structure is based exclusively upon the tonic and dominant keys. The dominant is reached at the beginning of the subordinate theme area and remains, without any major excursions, through the rest of the exposition and the development section until the return of the introduction in D major at bar 305. In fact, the

maintenance of the dominant key in the development section is the most unusual aspect of this movement's sonata form. Thus, although the monothematic character of Schubert's sonata form has been somewhat relaxed with the appearance of a contrasting subordinate theme, the tonal concentration found in so many of his earlier sonata-form movements remains.

The Developments of 1813 in Review

The importance of 1813 in Schubert's growth as a composer is indisputable. The fertility of invention and rapid advancement in instrumental form during this period is evident above all in the variety of his sonata forms. The treatment of the subordinate theme alone spans a wide range of possibilities, from the total lack of contrasting material in the first movement of the String Quartet in C Major, D. 46, through the tightly controlled derivation of the subordinate theme in the first movement of the Quartet in B-flat Major, D. 68, to the contrasting theme of the First Symphony.

Certainly the handling of the form still lacks assurance. At times it even seems disturbingly awkward. But this very awkwardness reveals features of Schubert's writing that hold a great significance for his future development. The concentration on a single musical idea over a long period of time eventually leads to Schubert's treatment of those areas of the form that provide the principal thematic contrast as two mutually exclusive, homogenous regions--a situation in the later sonata forms anticipated by the First Symphony. Moreover, the ingenuity he exhibits in the

manipulation of the opening material's harmonic motives lies at the root of the intricate constructions of his later forms where a striking event early in the structure can have wide-spread repercussions later on.

The handling of the transitional process in the quartets of 1813 is another highly significant feature. Here the use of surprise and tonal uncertainty in some of the transitions–in the first movement of the B-flat Quartet, D. 68, for instance, or the first movement of the Quartet in D Major, D. 74–represents a radical departure from the clarity of the Classical transitional process. In both instances, the schemes used are so complicated and confusing that they appear inept, particularly when judged against the conciseness and efficiency of Classical practice; but their true potential becomes increasingly evident as Schubert refines his basic strategy in the subsequent quartets.

CHAPTER 5

THE ACHIEVEMENT OF A PERSONAL SONATA STYLE

After the high-water mark of 1813, Schubert's production of string quartets gradually fell off as other types of music claimed his attention. In 1814, for instance, he became intensely involved in writing *Lieder*. By October of that year he had already produced in his setting of " Gretchen am Spinnrade" one of the first great masterpieces of the German Romantic *Lied*. In the instrumental sphere, Schubert turned to the symphony and the piano sonata. During the period between 1814 and 1816, he composed three substantial orchestral works, the Second, Third and Fourth Symphonies and made his first serious attempt at the piano sonata.

Although the string quartet no longer occupied a pre-eminent position in Schubert's instrumental composition, it still drew from the composer some of his finest work before the *Quartettsatz* of 1820. All of the string quartets discussed in this chapter–in E-flat Major, D. 87, B-flat Major, D. 112, G Minor, D. 173, and E major, D. 353, as well as the fragment in C Minor, D. 103–show a high level of ability,

experience and even ingenuity on the part of the young composer. The diversity in Schubert's handling of sonata form in the quartets of this period is, in itself, quite impressive, ranging from the fairly conventional to the outright experimental. Out of this variety, though, gradually emerges what is now recognized as the composer's personal style, particularly in the striking manner of modulation, the lyrical tendencies in main and subordinate themes and the careful linking of the various tonal regions of the form.

As far as motivic work is concerned, Schubert's initial monothematic predisposition proves to be quite durable. One may see this trait as late as the first movement of the String Quartet in E Major, D. 353, written in 1816 (ex. 5.1). A syncopated figure (x) from the main theme pervades the whole movement. Most of the movements under discussion, however, tend to move away from literal motivic recall and rely increasingly on more subtle harmonic links–a shift in emphasis that lies at the root of Schubert's highly individual treatment of sonata form later in his career.

Melodic Contrast, Harmonic Continuity: Quartet in E-flat Major, D. 87, i

The move towards harmonic, as opposed to melodic, connections in Schubert's sonata forms may be seen most clearly in the first movement of the String Quartet in E-flat Major, D. 87. Here the individual sections are so clearly articulated that the resulting structure almost amounts to a caricature of the Classical model. (Indeed Dahlhaus has criticised this movement for its impersonal, "classicist" approach to form,

which exhibits a "blatant dissociation of thematic structure from motivic work.")[1] Despite their discreteness, though, the various formal subdivisions are all marked by the same harmonic motive derived from the main theme. This movement is thus closely related to a number of the earlier quartet movements which also exhibit the composer's preoccupation with the harmonic aspects of his main theme, above all the first movement of the B-flat Quartet, D. 68.[2] What is particularly striking in the present instance is the fracture between melodic and harmonic elements--deliberate melodic discontinuity masks underlying harmonic continuity.

The clearly divided, unambiguous structure of the E-flat Quartet is evident on all levels of the form. The exposition, for example, tends to break into a series of disjunct blocks with each major section carefully delineated by new melodic material, rhythms or accompaniments.[3] As a result, an overall sense of development is hindered by constant breaks and new beginnings.[4] The lack of continuity is reinforced by the immediate repetition of the new material, followed inevitably by a direct restatement of the larger section or theme.

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[1]"Formprobleme," 191-7. See chap. 1, pp. 50-3 for a more detailed discussion of the article.

[2]See also the Quartet in D, D. 94, i, the Quartet in C, D. 32, i and the Quartet in B-flat, D. 36, i.

[3]This exposition consists of a first main theme (bb. 1-14, repeated bb. 14-27); a second main theme (bb. 28-37, repeated bb. 38-48), a modulating transition (bb. 49-74); a subordinate theme in the dominant key (bb. 75-90) and a closing section (bb. 91-113).

[4]Thus the general process of this movement is the exact opposite of that of the first movement of the String Quartet in C Major, D. 46, which features direct continuity between its parts. See chap. 4, .

Such articulations extend even into the minor subsections of the form, as seen in the main theme. The presentation phrase of this sentence (ex. 5.2a) with its strictly scalar basic idea (A, bb. 1-6) contrasts sharply with the continuation (bb. 7-14), whose opening idea is characterized entirely by wide leaps and repeated notes (B, bb. 7-10).[5] This idea, in turn, differs from the concluding material of the continuation, which mixes triadic and scalar motion (C, bb. 11-14). Furthermore, each distinct component of the melodic line is set off from its neighbour by rests.

The sectional construction of the movement on the broader level may best be seen in a comparison of the opening ideas of the exposition's major subdivisions (ex. 5.3). Melodically, direct motivic links exist in only two instances: between the first and second main themes, which use the same descending three-note figure a^1, and between the transition and subordinate theme, joined by a common syncopated figure x.[6] These two joins prove important in the general grouping structure of the exposition.

Even when there is a motivic carry-over, each new section begins with some form of contrast, often enhanced by a complete or partial break in the texture. Moreover, the two thematic poles of the exposition, the first main theme and the subordinate theme, are quite distinct in character and melodic material (ex. 5.2a and b). According to Dahlhaus, the relationship between the two melodies marks Schubert's first, and

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[5]In each of these phrases, the larger idea is built up from repetitions of short, motivically identical fragments.

[6]As in the first movement of the String Quartet in E Major, D. 353, this syncopated figure involves a two-bar unit, the first bar of which may vary in rhythm while the second begins with the syncopation. The figure marks the beginning of both the transition and the subordinate theme.

largely unsuccessful, attempt at thematic dualism.[7] Indeed, the melodic independence of the subordinate theme is quite striking here, although a similar situation exists in the first movement of the Symphony in D major, D. 82, composed only a month previously. In the quartet, however, the opening rhythmic idea of the subordinate theme, the syncopated figure (x in ex. 5.2b, bb. 75-6, and closing section, bb. 91-108) has already been highlighted in the transition (bb. 49-50), while in the Symphony the subordinate theme begins as something quite new.[8] Thus the exposition of the quartet tends to fall into two motivic spheres: the first and second main themes pitted against the transition, subordinate theme and closing section.[9]

The development section must also be included in this last group, for it too is based upon the material of the transition.[10] When this larger grouping is taken into

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[7]"Formprobleme," 191-2.

[8]The foreshadowing of a major motivic element of the subordinate theme in either the transition or the final cadence of the main theme is an important feature of Schubert's mature sonata forms, as we have seen in the *Quartettsatz*. Further examples can be cited. In the first movement of the String Quartet in D Minor, D. 810, "Death and Maiden," the transition highlights a harmonic motive which is then incorporated into the head of the first subordinate theme (see chap. 8 for a discussion). In the String Quartet in G Major, D. 887, the characteristic rhythm of the subordinate theme is prefigured in the concluding cadence of the main theme. The general practice may be found already in the String Quintet Overture in C Minor, D. 8, and the first movement of the String Quartet in D Major, D. 74.

[9]The second main theme is linked to the first by motive a^1 (ex. 5.3, bb. 24-8). In fact, Dahlhaus has referred to this theme as a "continuation" (Fortspinnung) of the main theme, "Formprobleme," 191.

[10]As we have seen in preceding analyses, a number of the development sections of these early quartet movements basically act as transitions. In this case, the similarity in function between transition and development section is underlined by the reuse of material from the former in the latter. In fact, the present development section amounts to no more than a slight expansion of the transition.

account, we can see even closer parallels between the general motivic process of the quartet movement and the first movement of the First Symphony. As in the Symphony, the material of the main theme has been supplanted by a new motive, the syncopated figure x, which then predominates until the return of the main theme in the recapitulation. However, the motivic grouping in the Quartet is not as extreme as in the Symphony and certainly does not preclude incorporating motives, both harmonic and melodic, from the main theme area into the transition or subordinate theme. The descending figure a^1 of the main theme (b. 12), for instance, appears in the fourth bar of the subordinate theme (ex. 5.2b, b. 78).

As mentioned at the beginning of this section, many of the form's subsections, although melodically and rhythmically distinct, are linked by a recurring harmonic motive, which also plays an important role in the modulatory scheme. This harmonic motive is slightly more fluid than similar types of motives in the preceding quartets. It might best be defined as the "supertonic tendency" of the main theme, concentrated in the recurrences of the supertonic embellished by its applied dominant or diminished seventh (ex. 5.2a and b).[11] The motive often involves a step-wise progression to or from the tonic, as may be seen in the presentation phrase of the main theme. Here the

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[11]This idea is thus quite similar to the harmonic motive of the first movement of the String Quartet in B-flat Major, D. 36 (chap. 3, pp. 120-22, and ex. 3.17). The general progression of the presentation phrase of the main theme (ex. 5.2a, bb. 1-6), involving an initial I-VI-II (IV)-V gesture, also reproduces the basic progression of a number of Schubert's main themes, specifically those of the first movements of the following quartets: in D major, D. 94, in C Major, D. 32, and in B-flat Major, D. 68 (ex. 3.9, 3.12 and 4.5 respectively). What is different in the present case is the emphasis on the supertonic rather than the submediant.

basic idea (bb. 1-3) advances from the tonic to the supertonic through the submediant. The response (bb. 4-6) then returns to the tonic through the home dominant seventh. Supertonic harmony is also featured in the continuation phrase, (bb. 9-10), before it assumes its place in the concluding cadence (bb. 13-14).

The second main theme, which develops ideas from the first, also emphasizes the supertonic (ex. 5.4). The continuation phrase of the theme's "antecedent" begins with a sequence from supertonic to tonic (bb. 32-5).[12] The supertonic then returns quite prominently as the pre-dominant harmony in the series of cadences that brings the theme to a conclusion (bb. 42-8).

In the transition, the stepwise sequence between tonic and supertonic becomes the prime means of modulation (ex. 5.5). This process begins with a sequence from E-flat major to F minor (bb. 53-60), a direct expansion of the tonic-supertonic relationship of the main theme. The music then slips smoothly from F minor into its relative major, A-flat (b. 61), where the original sequence is itself sequenced, now moving from A-flat major to B flat minor, the parallel minor of the subordinate key. B-flat thus first emerges as the supertonic of A-flat, before it is prepared as the subordinate key by a dominant prolongation (bb. 73-4) preceding the arrival of the subordinate theme (b. 75).[13]

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[12]Broadly speaking, this theme resembles a period, with an "antecedent" (ex. 5.4, bb. 27-37) and a consequent (bb. 38-48). The one unusual feature of the structure is the use of sequence at the end of the "antecedent" phrase, thus undermining any sense of cadence for that phrase. As a result, the opening phrase stands as a large-scale compound basic idea.

[13]In terms of the general plan of the modulation, the music has arrived at the dominant key by a large-scale sequence on the subdominant (A flat), an odd manoeuvre by Classical standards. The reliance on a relative major/minor pair of keys at the

The supertonic is highlighted further in the subordinate theme (ex. 5.2b). During the expansion of the theme's concluding cadential progression (bb. 82-90), the II^6, embellished by its diminished seventh, is spun out for six bars. The manner in which the II^6 returns a number of times as the pre-dominant harmony of the cadence parallels a similar treatment of the supertonic in the concluding series of cadences of the second main theme (ex. 5.4, bb. 42-8). The delays in the final cadential arrival in both passages, as well as their similar fragmented rhythmic character, reinforce the parallel.[14]

The short development section (ex. 5.6, bb. 114-42) is based on the material of the transition, albeit with a reversal of the latter's tonal direction. The step-wise sequence associated with the "supertonic motive" again provides the mechanics of the modulation. Here, two tonic-supertonic pairs are called into service. The first pair appears in the dominant key at the beginning of the development with the move from the dominant of C minor to that of B-flat major (bb. 114-22), thus placing C minor in a supertonic relation to B-flat major, rather than a submediant relation to the home key, E-flat. The ensuing sequence from B-flat major to C minor (bb. 123-31) reverses

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centre of the transition links this modulation to numerous other tonal moves discussed in previous quartet movements.

[14]A further link between the two passages exists in the prominent tonicization of the C minor harmony. The V^6 of C intervenes in the first evaded cadence at the end of the second main theme (ex. 5.4, b. 43). The B-natural in the bass is left hanging. The C minor chord then returns as the expanded II^6 of B-flat major in the concluding cadence of the subordinate theme (ex. 5.2b, bb. 82-90). It is prepared this time by its applied diminished seventh. The B now resolves repeatedly in the melodic line of the first violin. The return of the C minor chord thus provides another early example of the Schubertian "sensitive sonority."

the previous move, bringing the music to the dominant of the latter key at bar 131. This sequence is answered by another stepwise sequence using the second tonic-supertonic pair, E-flat major and F minor (bb. 132-40). Now, though, the direction of the sequence is reversed, involving a move from F minor to E-flat major. The dominant of E-flat major is reached at bar 140 and prolonged for two bars to prepare the recapitulation. The development section thus amounts to little more than a retransition from the dominant key back to the tonic. The importance of the tonic-supertonic sequence to the modulatory scheme of the whole movement may be seen in the boundary points of this general process: the first move away from the tonic is accomplished by the sequence from E-flat to F at the beginning of the transition (ex. 5.5, bb. 49-60), while the final return is achieved by the direct reversal of this sequence at the end of the development (ex. 5.6, bb. 132-40).

The dependence of the modulatory process on a harmonic element of the main theme, is, as we have seen, a feature of many of the earlier quartet movements. In particular, the first movement of the E-flat Quartet continues a process first encountered in the opening movement of the Quartet in B-flat Major, D.68. In both cases, the recurring harmonic motive is no longer tied to a verbatim statement of the main theme, as it was in the first movement of the Quartet in B-flat Major, D.36. The link between the original melodic configuration and supporting harmonic progression has been broken, allowing for more varied manifestations of the harmonic motive in the course of the movement, as well as a more flexible treatment of it as a component of the modulatory process.

Tonal Cross-References and the Modulatory Process: Quartet Fragment in C Minor, D. 103

The Quartet Fragment in C Minor, D. 103, the torso of a once complete string quartet, was a casualty in the posthumous publication of Schubert's instrumental music. It was written in April of 1814, but like so many of Schubert's instrumental pieces, remained in manuscript during his lifetime. The full quartet was apparently among the music sold by his brother Ferdinand to the publisher Diabelli, who unfortunately did not issue it. Later in the century it found its way into the hands of the Viennese Gesellschaft der Musikfreunde. By this time, it was only a fragment and was thus omitted from the collection of early quartets in the *Gesamtausgabe* that appeared in 1890. The first publication was finally undertaken in 1939.[15]

Only the initial half of the first movement–the introduction, exposition and a substantial portion of the development–has survived. The high quality of the fragment makes the loss all the more unfortunate. The strong contrast in character between the main theme and first subordinate theme foreshadows a similar relationship in the *Quartettsatz*. Even more prophetic are the links between the various regions of the exposition. As in the E-flat Quartet just discussed, a number of the main theme's harmonic ideas are pursued throughout the rest of the exposition. The manipulation of some of these links once again looks forward to the subtlety of the *Quartettsatz*.

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[15]For further details on the fragments history see *Streichquartettsatz in c moll (1814)*, (Vienna: Universal Edition, 1939). See also Werner Aderhold's preface to *NSA*, series 6, vol. 4, xviii.

The Quartet Fragment begins with a slow introduction of fourteen bars, which, like many other introductions in Schubert's early quartets, presents the basic material of the main movement (ex. 5.7).[16] The pertinent ideas range from the most obvious melodic configurations (the last two bars, for instance, which anticipate the beginning of allegro's main theme) to a number of more general features. Chief among the latter are the chromaticisms which appear at various points: E-natural, B-natural, F-sharp and D-flat. All four of these chromatic alterations play a role in the following Allegro, with the most weight falling on B and E-natural. The present analysis will focus on these last two notes, each of which has two possible resolutions, depending upon their tonal context and spelling. B-natural, for instance may function as the leading tone of C minor, or, reinterpreted as C-flat, may equally act as the flat submediant of E-flat major. The movement as a whole is marked by a pervasive use of this enharmonic duality to link relative minor/major pairs of keys, specifically C minor and E-flat major through the B-natural/C-flat enharmonicism and F minor and A-flat major through E-natural/F-flat (the specific pitches B-natural and E-natural, with their underlying enharmonic potential are each referred to as motive x in the following examples).[17]

The introduction suggests at its outset the E-natural version of motive x (ex. 5.7, bb. 2-3), through the close proximity of E-natural and E-flat in the opening phrase of

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[16]In its general character, the introduction is quite conventional, with one exception–it ends on tonic rather than dominant harmony.

[17]This quartet fragment is so rich in pitch reinterpretations that "enharmonicism" itself becomes a major idea pursued throughout the form.

the first violin. The treatment of B-natural is more explicit: at bar 3, (vln. II) it resolves as the leading tone of the home key; at bar 9 (vlc), it resolves directly to B-flat, hinting at its enharmonic equivalent, C-flat, functioning within the key of E-flat major.

Equally important is the semitone sigh figure, y, which begins either on the tonic (bb. 4-5, vln. II) or the submediant (bb. 11-12, vln. 1). This figure is linked with motive x in the main Allegro, a connection already foreshadowed in bar 9 with the sigh on B-natural to B-flat in viola and cello. Another important motive consists quite simply of the diminished seventh of C minor coupled with its conversion to the dominant seventh through the move from A-flat to G. The former chord, along with motives x and y, becomes a powerful means of modulation in the ensuing Allegro.

The Allegro begins by taking up the last two bars of the introduction as the opening idea of its main "theme," an unusual structure, resembling a vastly expanded sentence (ex. 5.8, bb. 15-55). Despite its great length, the theme contains a very limited number of ideas: harmonically it is based upon the tonic, diminished seventh and dominant seventh chords, the last two of which are closely related; motivically, it first takes up the sigh figure y (on C-B, bb. 29-32) then comes to focus exclusively on a derivative of this motive, the semitone neighbour-note figure y^1, which emerges from the accompaniment into the leading voice (bb. 27-51). The intense concentration on this last motive creates a feeling of growing desperation across the full continuation phrase.

The transition (bb. 57-90) begins as a counterstatement of the main "theme," closely paralleling it until the arrival of the subordinate theme at bar 91. There is, however,

one important divergence: at bar 78 (ex. 5.9a), the music shifts into the relative major, E-flat, which becomes the subordinate key of the exposition. This sudden modulation depends entirely upon the harmonic-melodic motives highlighted in the main theme: x, y^1, and the diminished seventh of C minor. The point of entry into E-flat major is provided by a redirection of the diminished seventh of C minor. Here motive x comes into its own, the B-natural now functioning as C-flat and resolving to the dominant of the new key. An extension of motive y (y^2) is used as the melodic framework for the manoeuvre (ex. 5.9a, bb. 77-8 and ex. 5.9b).

A similar modulation, based on a diminished seventh common to both the minor and its relative major, also lies behind the slip from D major to F-sharp minor in the first movement of the Quartet in D major, D. 94 (see chap. 3, pp. 101-3 above). In both the Quartet and the Quartet Fragment the modulation is prepared through parallel passages highlighting the chord's two resolutions. However, the scope of the event is much broader in the Quartet Fragment; now the reinterpretation of the diminished seventh chord has become the mainspring of the move to the subordinate key. The Quartet Fragment thus clearly anticipates the *Quartettsatz*'s reliance on modulations through enharmonic double meanings.

From bar 81 until the beginning of the first subordinate theme at bar 91, the new function of the B-natural as C-flat is highlighted by a passage which basically reproduces bars 35 to 45 in E-flat minor (ex. 5.9a).[18] The constant Bb-Cb neighbour

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[18]A comparison of the two passages (ex. 5.9a bb. 81-90 and ex. 5.8, bb. 35-44), reveals that each is entirely devoted to one of the two resolutions of the diminished seventh chord held in common by C minor and E-flat major. In the main theme, A-

tone movement in the first violin smoothly prepares the first note, B-flat, of the new theme at bar 91.

The effect of the arrival of the first subordinate theme offers another similarity with the *Quartettsatz*. After the tense main theme and transition, the music suddenly opens up into an atmosphere of relaxed lyricism in which the tight oscillation between dominant and flat submediant expands into a wide-ranging melody supported by a rich harmonic background.[19] The C-minor Quartet Fragment thus represents one of the first instances in which Schubert not only manages to create a distinct contrasting subordinate theme, but also infuses it with the intense lyricism that becomes a characteristic quality of his mature writing.

The subordinate theme itself is structurally rather strange (ex. 5.10, bb. 91-101). It suggests an oddly proportioned sentence, consisting of an eight-bar presentation barely balanced by a three-bar cadence. In fact, both sections of the theme run together harmonically, for the whole structure rests upon one expanded cadential progression, beginning in bar 91 with the tonic chord in first inversion.[20]

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flat resolves to G to form the dominant seventh of the home key. Throughout the end of the transition, B-natural as C-flat resolves to B-flat forming the dominant seventh of the subordinate key (see ex. 5.9b). The modulatory process thus investigates the two key's common harmonic link, viewed first from one tonal perspective, then from the other.

[19]Both the main theme and subordinate theme emphasize an initial I^6 harmony. This shared harmonic element parallels the common subdominant tendency of the main theme and first subordinate theme in the *Quartettsatz*.

[20]Like other themes in the early quartets, this one is also built over one indivisible harmonic progression.

The theme is immediately repeated (ex. 5.10, bb. 101-27), beginning this time more conventionally on a root-position tonic. Its proportions are also considerably altered. The continuation is enlarged by an evaded cadence at bar 111 followed by a new cadential progression (bb. 113-27) involving an expansion of the pre-dominant German sixth (bb. 113-22). The final cadence elides at bar 127 with the beginning of an internal digression towards A-flat major.

Despite its entirely new character, the subordinate theme is framed by motive x (centred on the B-natural/C-flat duality). B-natural is introduced at the beginning of the first statement of the theme as an enlivening chromaticism in the general chord progression (ex. 5.10, viola, bb. 93 and 97). Here it behaves as the leading tone of C minor, recalling its original function in the home key.[21] B-natural then returns very prominently in the expanded cadential progression ending the theme's second statement, appearing there as the C-flat (bb. 113-22) that supports the pre-dominant augmented sixth chord.

The play on the double meaning of the B-natural carries over into the digression to A-flat major (ex. 5.11). This passage moves by a downward sequence of thirds from E-flat, back through the original tonic (C minor) to A-flat major (bb. 127-38). In the process, the B-natural is first highlighted as C-flat in E-flat major (bb. 129-30). Then it is taken up as the leading tone of C minor (bb. 132-5). The change in the note's

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[21]The reminiscence of C minor is reinforced by the appearance of its V7 (b. 97) as the preparation of the pre-dominant in the cadential progression ending the first statement of the subordinate theme.

function here is exactly the reverse of what occurred in the transition to the subordinate theme.

A-flat major is reached at bar 139, and the music remains there until bar 175. This key, however, is never confirmed cadentially, nor is it provided with a fully developed theme. The beginning of a theme, a sort of presentation, certainly is suggested (ex. 5.11, bb. 139-47), but a true continuation never materializes and ultimately the music moves back to E-flat major (bb. 167-75). Essentially then, A-flat major proves to be a harmonic expansion within the subordinate key of E-flat major, rather than a fully established tonality.

This internal digression, however, forms part of a network of allusions, stretching back to the introduction as well as forward to the development.[22] These allusions bring motive x on E-natural into play (ex. 5.12).[23] The enharmonic duality of E-natural is suggested as early as the second and third bars of the introduction in the first violin's answer to the viola and cello. Although the E-natural is introduced as the

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[22]The flirtation with A-flat major in the subordinate key region, in fact, prefigures the brief suggestion of that key (bb. 209-213) that prepares the move to F minor in the development section.

[23]Since this movement is incomplete, the true significance of the E-natural form of motive x can never be fully understood. The implication of a strong link between F minor and A-flat major contained within this motive is not realized in the exposition. However the main "theme" is recapitulated in F minor just before the movement breaks off and this last key has been approached through its relative major A-flat. Thus it is highly likely that the overall structure of the movement concentrated on two minor/relative major pairs of keys, each joined by a form of motive x, (on B-natural for the C minor/E-flat major pair and on E-natural for the F minor/A-flat major pair).

applied leading tone to F, the final goal of the melodic figure is E-flat, thus alluding to the other possible resolution of E-natural as F-flat.

E-natural next appears as an incidental chromaticism at the beginning of the subordinate theme, where it functions within an applied dominant to the supertonic chord (bb. 96 and 106). It is then transformed into F-flat in the dominant ninth that prepares the arrival of A-flat major (bb. 137-8). Soon after, F-flat emerges as the local climax of the melodic line (bb. 144 and 158), only being surpassed by the final move to high A-flat at bar 165.

The return to E-flat major is accomplished by a perfect authentic cadence at bar 175 (ex. 5.11). The cadential progression incorporates the most important harmonic motives of the exposition. A-flat major, which had threatened to become a tonality in its own right, is now reduced to a pre-dominant IV^6 (bb. 167-70). It is embellished in bar 168 by the diminished seventh of C minor. This unusual preparation not only makes a reference to the original tonic key, C minor, but also brings into play motive x on B-natural: after resolving to C in the bass, the B-natural is taken up as C-flat within motive y^2 in the first violin (bb. 170-1). Here the music explicitly recalls the modulation to E-flat major in the transition (ex. 5.9a, bb. 77-8).

A number of similarities between this Quartet Fragment and the *Quartettsatz* have already been mentioned during the preceding analysis. The chief parallel that may be drawn between the two movements lies in Schubert's attempts to link the main keys of his form by harmonic cross references. In short, an event in one key, or even that key itself, is alluded to once the music has passed into the next key. In the Quartet

Fragment, D.103, such references are concentrated in the enharmonic motive x, which comes to dominate the movement at all levels and plays a decisive role in the modulation to the subordinate key.

From Experimentation to Innovation: Quartet in B-flat Major, D.112, i

The String Quartet in B-flat Major, D.112, written in September of 1814, is considered by many commentators to be the finest of the early quartets.[24] According to Vetter, this work "attains, for the first time, genuine inner unity, and at the same time the will to achieve a personal style of expression is evident throughout...."[25]

One may sense this "will to achieve a personal style" most clearly in the Quartet's opening movement. Here, the experiments of the preceding quartets finally emerge as significant innovations that contribute to the uniqueness and beauty of Schubert's sonata forms. Such a transformation appears not only in the intensely lyrical character of the movement, rarely found in the early quartets, but also in its novel manner of modulation and subtle control of thematic contrast. To understand these developments in Schubert's writing, we must look at the exposition in some detail, with particular emphasis on its thematic relationships.

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[24]See in particular Brown, *Schubert*, 26 and Gray, "Schubert the Instrumental Composer," 492-3.

[25]*Franz Schubert*, quoted in translation by Monika Lichtenfeld in the booklet to *Die Streichquartette*, 34-5.

The exposition divides into a main "theme" in an unusual design (bb. 1-34), a long and involved transition (bb. 35-102) and a subordinate theme with a closing section (bb. 103-56). The motivic concentration of the main theme (ex. 5.13a) is reminiscent of many of the earlier quartet themes. The whole structure is built upon the repetition of one motive, a, on the dominant, mediant and tonic degrees (bb. 1-9). The motive is then repeated two more times on B-flat before the music moves to the $V^{6/5}$ in bar 17. Two further motives are contained within this opening statement of the theme. The first, x, consists of the upper neighbour tone figure on degree 5 (bb. 1-3). When the motive is transferred to degree 1 in bars 7 to 9, its harmonic background is stated explicitly–a move from I to II and back over a tonic pedal. This harmonization becomes an important feature of motive x and is developed further in the course of the movement (see ex. 5.13b).[26] The second motive, y, involves the chromatic descent from degrees 5 to 1 traced in two stages by the head of the theme (bb. 3 and 6-7). It also appears in inversion (y^1) towards the end of the theme (bb. 13-15).

The lyrical intensity of the main theme depends in part upon this motivic concentration. It also owes much to the theme's unusual harmonic make-up. With the exception of one progression ending the first statement of the theme (bb. 13-17), the whole structure focuses exclusively on tonic harmony, first in the unfolding of this chord at the theme's beginning (bb. 1-7), then in the ensuing tonic pedal (bb. 7-13).

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[26]The combination of the supertonic chord with the tonic pedal generates a subsidiary motive in bar 8, the II^2 sonority. The repeated chromatic approach to C through the B-natural (bb. 7-13) has important consequences in the recapitulation.

When the theme is repeated (bb. 18-34) the tonic pedal is maintained to the end.[27] The intense concentration on tonic harmony is characteristic of the whole movement, which consists of a series of tonal blocks in different keys featuring either long tonic pedals or prolongations.

If we compare the main theme to the subordinate theme (ex. 5.14a, bb. 103-146), we find a fair amount of contrast: the first part of the new theme (specifically bb. 103-10) is marked by a distinctive syncopated accompaniment and relies heavily upon a triplet motive b, first introduced in the transition (ex. 5.15a, b. 48).[28] Despite these differences, the two themes are still very closely connected.

The subordinate theme divides into two broad sections: bars 103 to 123 contain two presentations over a tonic pedal (bb. 103-11 and bb. 111-19, followed by a four-bar codetta, bb. 120-3); while bars 124 to 146 function as a long continuation which ends with a series of cadential progressions leading to a perfect authentic cadence in F major at bar 146. Each of these sections enlarges on the material of the main theme. The two presentations are based upon reiterations of an expanded version of motive x, which subsumes the new motive b. In the second one, x has been altered by an added lower neighbour tone, E-natural (motive x^1, ex. 5.13b). The repeated moves to

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[27]The resulting lack of cadential articulation in this theme is highly unusual compared to Classical practice. In fact, the theme has no clear-cut cadences whatsoever, unless the move to $V^{6/5}$ in bars 15 to 17 is considered a half cadence of sorts. A Classical half cadence, though, features the dominant in root position.

[28]The motivic process thus groups the main theme against the transition and subordinate theme, a situation similar to that of the first movement of the Quartet in E-flat Major, D. 87.

supertonic harmony over the constant tonic pedal in the first half of the subordinate theme also generate the II^2 sonority featured in the main theme (bb. 105-6 and 109-10). In turn this sonority is converted to the "VII^9" of F in x^1 (i.e. the VII^7 against the F pedal, bb. 114 and 118, and in the codetta, bb. 120 and 122, see also ex. 5.13b).

The continuation (bb. 124-45, and ex. 5.14b) brings back the chromaticism of the main theme's opening, specifically motive y and its inversion y^1, on both the large and small scale. The cello first states the initial half of y on F (b. 124) as the beginning of a model (bb. 124-7) which is sequenced twice by whole tones (bb. 128-35). Over the model and its sequences, the first violin fills in the chromatic space from B-flat to F, outlining motive y^1. The underlying relationship between main and subordinate themes is so close that the latter may be seen as a vast expansion of the first seven bars of the former, with the same pitches now reappearing in a new tonal context (ex. 5.14b).[29]

The material of the transition is also closely related to the chief motives of the main theme. The modulatory process begins suddenly with a strong move to G minor, the submediant, a fairly conventional ploy familiar from a number of other quartet movements (ex. 5.15a, bb. 35-45).[30] There then follows a long modulating sentence

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[29]The fact that the chromatic fifth ascent in the continuation of the subordinate theme is centred on B-flat rather than F and thus outlines a movement from degree 4 to 1 instead of the usual 1 to 5 reinforces the suspicion that the underlying material of the subordinate theme represents an expansion of the main theme's material at its original pitch.

[30]For instance, the first movement of the String Quartet in C Major, D. 46 (see chap. 4, pp and ex. 4.4).

(bb. 45-73) which moves from G minor back to the home key, B-flat major. The presentation of this sentence consists of a vastly expanded derivation of motive x, motive x^2, built upon the following progression in G minor: $I\text{-}II^2\text{-}V^{6/5}\text{-}I$ (ex 5.15a, bb. 45-57 and ex. 5.13b).[31]

The return to B-flat major in the continuation is accomplished by perfect authentic cadence in that key at bar 73 which elides with a second statement of the sentence, expanded, and altered (ex. 5.15a, bb. 73 etc.). Again x lies behind the presentation phrase, now in B-flat major, but the motive breaks off at bar 81 when the music moves to the V^7 of E-flat major.

When viewed together, the main theme, transition and the beginning of the subordinate theme thus represent almost consecutive repetitions of one principal motive, x, and its derivatives. The construction here recalls the first movement of the Quartet in B-flat Major, D. 36, and the last movement of the Quartet in C Major, D. 32. In the present instance, though, the repetitions are certainly not as obvious or literal. Instead the material has been transformed into a broad harmonic/melodic background onto which new foreground material, both melodic and rhythmic, can be projected. This movement thus occupies an intermediate position between the tentative experiments of the early quartets and the mastery of the *Quartettsatz*.[32]

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[31]In this version of the x motive, the II^2 resolves conventionally, instead of remaining an incidental sonority generated by the move to II over a tonic pedal.

[32]A similar type of construction may be found in the first movement of the Second Symphony, in B-flat Major, D. 125, where the transition begins as an abbreviated statement of the main theme's presentation in C minor.

Mention of the transition brings us to perhaps the most important topic in our discussion of the present movement--the manner in which Schubert establishes the subordinate key in the exposition. The highly original strategy he follows represents a refinement of the basic plan of the first movement of the Quartet in B-flat, D. 68, (see chap. 4, pp. 139-43). As in D. 68, the modulation to the dominant key involves three, rather than two, keys--the tonic (B-flat major) submediant (G minor) and dominant (F major). Unlike D. 68, though, the transition does not touch on the goal tonality, F major, before the very end of the transitional process.

The transition itself (ex. 5.15a, bb. 35-105) is quite unusual in its construction and general character. As mentioned above, it begins with an abrupt move to the submediant, G minor. This sudden tonal shift is accomplished through an elaborate cadential progression in G minor (bb. 35-45), involving first a deceptive cadence at bar 37, followed by an evaded cadence at bar 41, answered immediately by a perfect authentic cadence at bar 46. Such paired cadences, (specifically the last two in this chain--evaded, leading to perfect authentic, bb. 41-5) become the main means of modulation in this movement.[33] All the remaining cadential pairs involve an evaded cadence in one key answered by a perfect authentic cadence in another. This represents a significant departure from Classical practice, where both cadences are usually in the same key with the subsequent authentic cadence rectifying the preceding cadential evasion. The "double cadence strategy" pursued throughout this movement, in fact,

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[33]It is perhaps this prominent feature of the music that elicited Walter Vetter's perceptive comment that "each supposed end marks a new beginning" (*Franz Schubert*, 40, quoted in booklet to *Die Streichquartette*, 34).

becomes a prominent and recurring feature of Schubert's transitional process in his mature works and contributes to the unusual effects of his modulations.[34]

The cadence in G minor at bar 45 is followed immediately by a full-fledged theme in the form of a modulating sentence (ex. 5.15a, bb. 45-73). (The presentation, with its triple statement of the theme's basic idea, extends from bar 46 to bar 57. The continuation spans bars 58 to 73.) The emphatic move to G minor and the arrival of a theme in that key introduces a certain functional ambiguity into the beginning of the transition, as if one had just heard a short transition (the cadential progressions in G minor) and now was launched into a subordinate theme in the new key. However, the constant triplet motion, which marks this whole section with the rhythmic drive often associated with transitions, undermines such an assumption. What is more, the continuation phrase does not cadence in G minor but modulates back to the home key of B-flat major through another pair of cadences: evaded in G minor at bar 67 and perfect authentic in B-flat major at bar 73.

The perfect authentic cadence elides with the presentation phrase of a new modulating sentence beginning in the key of B-flat major (ex. 5.15a, bb. 73-103). This sentence first reverses the tonal direction of the previous sentence, the music suddenly shifting from B-flat major, back to the dominant seventh of G minor (bb. 93 and

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[34]The ploy, though, is not Schubert's invention, but may be found in the music of some of his slightly older contemporaries. See for example, Ludwig Spohr, String Quartet in G Minor, op. 4, no. 2, i, from 1807.

94).[35] At bar 95, the triplet rhythm stops abruptly and a new set of paired cadences is introduced, recalling the cadences with which the transition began back in bars 33 to 45. In the new cadences, the first in G minor is evaded at bar 99. The music then pivots on the G minor six/three chord into a perfect authentic cadence in F major at bar 103, which establishes the true subordinate key of the exposition.

This transition is marked by deliberate tonal uncertainty, as was the transition in the first movement of the Quartet in B-flat Major, D. 68. The modulatory process has become a dramatic struggle between two keys, the tonic and the submediant, with the balance shifting back and forth. At the crucial point in this tug of war--the transition's final pair of cadences--the decision falls to a third, previously uninvolved party, the dominant key. In effect then, the submediant has served as a screen to the true goal of the transition. Consequently, the arrival of the dominant key, with its sudden relaxation of the previous tensions, has the effect of an escape to a new tonal plane--a feeling that a Classically conventional transition would not normally achieve.

Schubert's transition certainly performs its function of modulating to the subordinate key. Yet it does so in such a highly unusual manner that its true nature is clouded by ambiguity. Its very length and its unusual construction suggest other formal functions. Dahlhaus, for instance, has most aptly referred to it as a "transition

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[35]Although this return towards G minor comes as something of a shock, it has been prepared quite subtly by the diminished seventh of B-flat which is prolonged from bar 88 to bar 90. This chord provides a link between G minor and B-flat as we have seen in other major/relative minor key pairs, specifically in the *Quartettsatz* and the C-Minor Quartet Fragment, D. 103.

with the character of a development section."[36] Webster, on the contrary, considers this movement an early example of Schubert's three-key expositions, an interpretation that implicitly accepts the transition as some form of a subordinate theme or key region.[37]

Despite these ambiguities, the present transition remains within the general lines of Schubert's earlier ones. Essentially the modulation may be reduced to the transition's beginning and end points, the paired cadences between bars 38 and 45, which initiate the move from B-flat major to G minor, and those between bars 95 and 103, in which the music advances directly from G minor to F major (ex. 5.15b). The general tonal process, then, amounts to a radical expansion of a pivot on the submediant chord (G minor) into the dominant key (F major). As we have seen, Schubert relied heavily upon this particular pivot chord modulation in the transitions of his earlier sonata forms.

What is new in this transition, though, is the elevation of the pivot chord to the status of an intermediate tonality between the tonic and dominant keys. Such a novel plan approaches the most prominent type of Schubert's later three-key expositions, one in which a tonality is interposed between the tonal poles of the exposition. To a large

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[36]"Formprobleme," 196.

[37]"Schubert-Brahms, I," 26, n.18.

extent then, the present transition provides the missing link between Schubert's mature three-key expositions and his earlier transitional strategies.[38]

Another feature of this movement's transition is shared by the mature three-key exposition--the reliance upon a specific harmonic connection between all the keys involved in the plan. In the present case, the link can be reduced to simply the G minor chord, embellished by either its dominant or diminished seventh. This harmonic link is established in the cadential boundaries of the transition (ex. 5.15a, bb. 35-45 and bb. 95-103, see also ex. 5.15b). The connection between the tonic key, B-flat major, and the submediant key, G minor, lies in the bass pedal, B-flat, with which the main theme ends. The transition begins with the conversion of this pedal tone into the bass of the G minor six/three chord, which initiates the first cadential progression in the latter key. In the last set of cadences (ex. 5.15a, bb. 95-103), the same G minor six/three, embellished by its diminished seventh, both interrupts the first cadence in G minor and, as pre-dominant II^6, launches the perfect authentic cadence in F major. Thus G minor, which had threatened to become an established tonality during the course of the transition, has returned to a purely harmonic entity within the subordinate key. The ultimate status of G minor is pointedly confirmed by the final F major cadence of the exposition (ex. 5.14a, bb. 143-4). Here the G minor six/three,

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[38]Webster has already advanced the theory that the three-key exposition is strongly related to Schubert's transitional strategies, although he has not attempted to trace its roots back into the earlier works. In fact, he maintains that the three-key exposition only took shape, apart from some early exceptions, after 1820 (ibid., 26).

once more embellished by its diminished seventh, returns as the cadential pre-dominant.

Admittedly, the harmonic link between the first and last cadences of this transition is more a compositional nicety than a clearly signalled musical reference: the G minor six/three is not highlighted as a feature of either cadence; however, the cadences are constructed motivically as parallel events, while the G minor six/three brings out the common bass tone, B-flat, that connects all three keys of the exposition–the tonic prolongation in B-flat major, and the linked cadences in G minor and F major (ex. 5.15b). There is thus a similarity with the harmonic linkage of the three keys of the *Quartettsatz*. In both cases, the main tonal movements are all accomplished by cadential progressions connected by a common harmonic component, although in the *Quartettsatz* the actual link itself, the $Eb^7/Aug^6$6 chord, is more prominent. Even the subtlety of absorbing the harmonic link into the final cadence of the exposition is shared by the two movements.

The B-flat Quartet's modulatory strategy has important consequences for its recapitulation. The exposition's elaborate transitional process does not simply aim at moving to the dominant key, but is geared to create a particular effect at the subordinate theme's point of arrival. The achievement of this effect depends upon the precise tonal relationships highlighted in the transition. If Schubert had constructed a modulating transition along Classical lines, the recapitulation would have presented no substantial problems. A simple readjustment of the transition's path would have sufficed to bring the music back to the tonic for the subordinate theme. But with the

present transition, such readjustments are difficult. If, for instance, the transition were to begin the same way as it had in the exposition, with a struggle between B-flat major and G minor, the final decision would fall to B-flat major. Yet the whole effect of the subordinate theme's arrival depends upon the sudden release of the music into a new tonal region. Only one solution preserves the intricate plan of the transition, thus recreating the same effect at the entrance of the subordinate theme--transposing the whole transition to the subdominant. This is precisely what Schubert does.[39]

The recapitulation begins in the tonic key at bar 207 (ex. 5.16). In the second phrase of the theme (bb. 213-18), the tendency to highlight the supertonic degree (C) is intensified by an actual move to the key of C minor (bb. 217-18), allowing a smooth entry to the C minor/E-flat major sphere. The phrase is repeated in C minor (bb. 218-22) at the end of which the music moves directly to the dominant seventh of E-flat major (IV) (bb. 222-5). A counterstatement of the theme in E-flat major (bb. 226-42) then leads straight on to the transition, which begins in that key at bar 243 and reproduces all the events of the original transition up a perfect fourth.

As can be seen, the necessary tonal realignment for the transition has been accomplished with a minimum of effort. What is particularly striking is the young composer's ability to draw out far-reaching consequences from his opening material, the door to the E-flat statement of the transition being provided by the move to the

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[39]According to Klaus Rönnau, the reason for Schubert's subdominant recapitulations often lies in such a re-creation of the specific harmonic manner in which the subordinate theme arrives. See "Zu Tonarten-Disposition," 435-41, and chap. 8 below.

supertonic in the main theme.[40] Such long-range planning is also quite evident in the first movement of the Quartet in G minor, D. 173, to which we now turn.

Interlocking Cadences and the Modulatory Process: Quartet in G Minor, D. 173, i

The first movement of the String Quartet in G minor, D. 173, written between March and April of 1815, continues to develop a number of the innovations of the B-flat Quartet, D. 112, particularly the latter's striking manner of modulation through paired cadences. In the G-minor Quartet, though, such cadential linkage has assumed a broader significance in the form, resulting in an unusual tonal structure, which confines itself to basically three keys connected by motivic cross references. This strange construction may be seen in the movement's major subdivisions. The exposition (bb. 1-94) moves to a subordinate theme that twice modulates from B-flat major (III) to D minor (v) suggesting a three-key plan whose latter half has been telescoped into one thematic area. The "development section" (bb. 93 [2nd ending]-124) clearly functions as a transition, sequencing through a series of dominant sevenths to the dominant of B-flat major. The recapitulation (bb. 125-215) then begins in B-flat major and fights its way back to the home key.

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[40]Similarly in the *Quartettsatz* the move from B-flat Major to E-flat Major at the beginning of the recapitulation is accomplished by intensifying the subdominant tendency of the first subordinate theme; see chap. 2.

This general plan resembles some of the early quartet movements in which the home key is not re-established until well into the recapitulation.[41] Its attempt to spread the precise tonal relationships outlined in the exposition across the whole form, though, looks forward to the *Quartettsatz*. To understand this aspect of the movement's construction, we must look at the exposition in some detail.

The exposition divides into a main theme (bb. 1-25), a transition (bb. 25-45) and a modulating subordinate theme group (bb. 46-94). The main theme itself consists of two closely associated constituent themes (ex. 5.17). The first is a period (bb. 1-8),[42] the second a sentence (bb. 9-25) with a certain continuational quality to it in relation to the opening period. This last sentence contains the kernel of the movement's modulatory strategy and tonal connections in its continuation (bb. 13-25), concentrated above all in a complicated cadential progression that recalls the cadential pairs of the previous quartet. The harmonic scheme can be reduced to two interlocking cadences: the first is evaded at bar 15 (echoed in bar 17) through a move to the I^6 harmony; the second begins with the I^6 in bar 17 and moves to a perfect authentic cadence in bar 25, eliding with the counterstatement of the first main theme.

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[41]See the first movement of the Quartet in D Major, D. 94, for instance (chap. 3, pp. 94-7) or the first movement of the String Quartet in D Major, D. 74 (chap. 4, pp. 147-51).

[42]The closed nature of this period is reminiscent of other earlier themes, such as the main theme of the first movement of the String Quartet in B-flat major, D. 36.

Several features of the cadential progression are significant. The first consists of the bass approach to the dominant of G minor through the submediant, E-flat.[43] This movement occurs three times: from bar 12 to 13, initiating the first cadential progression, which is evaded in bar 15; then from bars 18 to 19 to prepare the penultimate dominant of the perfect authentic cadence and finally at the end of the harmonic interpolation (bb. 21-22), where the E-flat once again prepares the penultimate dominant. . In both of these latter instances the E-flat supports the augmented sixth of G minor. Another salient feature of the cadential passage is the manner in which emphatic leading tone to tonic gestures in the first violin are consistently undercut rhythmically and harmonically. In bars 15 and 17, for instance, F-sharp moves to G within the bar (from strong to weak beats) supported by the V^2-I^6 progression through which the cadence is evaded.[44] When the leading tone returns again in bar 22, it does not resolve to the tonic but is deflected instead to F-natural.

A third important feature of the cadence consists of the subsidiary progression interpolated into the dominant prolongation (bb. 19-24). This passage (bb. 21-2), in fact, is recalled in the modulation to the first subordinate key, thus providing the link between the main theme's closing cadence and the transition's double cadence strategy (ex. 5.18, bb. 37-45, specifically bb. 42-3). The pair of interlocking cadences accomplishing the modulation (bb. 39-45) consist of an evaded cadence in G minor at

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[43]This feature has its origins in the main theme's opening period, specifically the antecedent's half cadence (bb. 3-4).

[44]The leading tone-tonic motion in the first violin over the V^2-I^6 progression is first presented in the opening period (bb. 2-3).

bar 43, followed by a perfect authentic cadence in B-flat major at bar 45. The precise connection to the concluding cadence of the main theme is found in the cadential evasion at bar 43. Once again F-sharp is deflected to F-natural over the applied VII^7 of C minor, while the bass line ascends stepwise from B-natural to E-flat. The E-flat in the bass, so prominent in the main theme's cadence, now provides the turning point in the scheme, preparing the dominant of the new key rather than that of the home key.

As in the B-flat Quartet D. 112, the effect of this "double cadence" modulation is quite striking with the music suddenly brightening into B-flat major. The unusual modulation ushers in an extraordinary subordinate theme (ex. 5.19, bb. 46-61), a modulating sentence beginning in B-flat major and ending in D minor. The presentation in B-flat major (bb. 46-9) introduces a new idea (motive b). For the beginning of the "continuation," this idea is immediately sequenced in G minor (bb. 50-3), which then becomes the pre-dominant IV in the concluding perfect authentic cadence in D minor at bar 57. A four-bar codetta over a D pedal lends some weight to the arrival of the new key. The subordinate theme is immediately repeated in an expanded form (bb. 62-73), once again moving from B-flat major through G minor to D minor, here reached through a half cadence at bar 73. The exposition is then brought to a conclusion with an expanded cadential progression in D minor (bb. 79-91), ending in a perfect authentic cadence at bar 91.

One of the most unusual features of the subordinate theme is its tonal plan, which involves a constant struggle between the chief tonalities of the form–the tonic G minor,

mediant B-flat major and dominant D minor. As in the first movement of the Quartet in B-flat Major, D. 112, the move to the concluding tonality of the exposition is far from a clear and concise manoeuvre, but is characterized instead by tonal uncertainty involving strong and repeated references to the home key. (In both statements of the subordinate theme, D minor is reached through a sequence of motive b in G minor). What separates this movement from the B-flat Quartet is the fact that when the tonal goal of the exposition, D minor, is reached for the second and final time, it appears as merely a temporary way station along the route to the recapitulation, rather than a fully developed tonality in its own right.[45] This effect is due not only to the strange construction of the subordinate key region, which contains no thematic structure wholly in D minor, but also to the pervasive use of sequence, associated exclusively with the new motive b and extending past the exposition through the complete development section and up to the recapitulation at bar 127. Consequently the whole interior of the form, from the beginning of the subordinate key to the recapitulation, takes on the character of a development section, while B-flat major, rather than D minor, emerges as the true subordinate key of the form.

This last tonal anomaly arises from both the unusual structure of the subordinate key region, just outlined, and the ensuing development section, which consists entirely

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[45]The local hierarchical relationship between B-flat major and D minor, however, is summarized in the final cadence of the exposition, where B-flat major is absorbed into the expanded cadential progression as the pre-dominant VI (ex. 5.19, bb. 79-85). In highlighting the Bb-A bass motion in D minor, this cadence also refers back to the prominent 6-5 (Eb-D) bass movements of the final cadence of the main theme. Such a tonal summing up in the final cadential area of the exposition, found also the B-flat Quartet, D. 112, i, becomes an important feature of Schubert's mature sonata forms.

of a long sequence of motive b, beginning on the dominant seventh of the home key G, and continuing by descending perfect fifths to the dominant seventh of B-flat major (bb. 93, second ending,-124). The development thus re-enacts the first modulation of the exposition from G minor to B-flat major. In so doing, it short-circuits the exposition's modulation to D minor and shifts the focus of the movement's tonal structure onto the relationship of G minor to its relative major, B-flat.

The recapitulation, beginning as it does in B-flat major, must subsequently regain the home key. This it accomplishes through a vast expansion of the transition's initial "double-cadence" strategy, transferred to the final cadence of the main theme (ex. 5.20a, bb. 139-69, compare to ex. 5.17, bb. 13-25). The passage begins as a cadence in B-flat major, moving eventually to a cadential six/four at bar 143. (Bars 136 to 145 follow closely the corresponding bars in the exposition, bars 12 to 21, ex. 5.18). Here the bass motion Eb-D in bars 137 to 141 is very significant, particularly the move from low E-flat to D in the cello at bar 141.[46] These two notes form the essential link between the two keys of G minor and B-flat major. First they outline a 4-3 bass motion highlighted in the cadential evasion in B-flat major (bb. 137-41). The cadential six/four is reached in bar 143 and prolonged for six bars (bb. 143-8), but the cadence is abandoned in bar 148: rather than resolving the six/four to a five/three, the music veers off through two applied chords (V^9 of G and the VII^7 of C, bb. 149-52) to return again to the Eb-D bass motion (153-5) with which the cadential progression began back

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[46]This motion, of course, results from the transposition of the parallel passage of the exposition into B-flat major (bb. 137-41 reproduce bb. 13-17).

in bar 141.[47] Now, though, these two bass notes are converted into a 6-5 move at the beginning of a cadential progression in G minor, the home key. This cadence is evaded by a move to I^6 at bar 161, as the parallel cadence was in the exposition (b. 15). A second cadential progression then begins over the same move from Eb to D in the bass at bar 164. This time a perfect authentic cadence is achieved at bar 169, with bars 164 to 169 paralleling the similar expansion of the cadential six/four in the failed cadence in B-flat major (bb. 142 etc.).

Essentially this involved cadential scheme reverses the form's initial modulation–the move from G minor to B-flat major at the end of the transition, (bb. 39-45, see above and harmonic reduction in ex. 5.20b). It has done so largely through a reinterpretation of a bass movement (Eb-D) characteristic of cadences in both keys. In its course, this passage alludes to previous tonal events in the form. For instance, the embellishment of the cadential six/four in B-flat major (ex. 5.20a, bb. 147-8) by the diminished seventh of D minor refers covertly to the second subordinate key of the exposition. Thus all three tonalities of the movement are incorporated in some way into the return to the home key in the recapitulation, thus summarising the main tonal relationships in the form.[48]

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[47]At bar 149, the bass returns to the D, now as the dominant of G minor, in the same low register as it had appeared as the third of the B-flat major chord at the beginning of the abandoned cadential progression in B-flat major (b. 141).

[48]Even details of voice leading are resolved in this cadential passage, specifically the leading tone to tonic motion (violin 1, bb. 168-9) with which the perfect authentic cadence ends. Previously, in the first set of cadences at the end of the main theme (bb. 15 and 17) as well as in the set of cadences which accomplished the move to B-flat at the end of the transition (bb. 42-3), the cadential arrival of G through its leading tone

As in the exposition, the first of the two ensuing statements of the subordinate theme is a modulating sentence, here moving from G minor to its subdominant C (ex. 5.21, bb. 170-185). The second statement (bb. 186 etc.), though, remains in G minor, moving to a half cadence at bar 197. The movement is then brought to a close with an expanded cadential progression which highlights one last time the Eb-D bass motion featured in all the form's crucial cadences (bb. 203-215).

In one sense, the general construction of this movement represents an advance in Schubert's handling of sonata form. The tonal concentration of the structure, as well as the delay of the return to the tonic until far into the recapitulation are characteristics of the composer's sonata forms from the outset of his career. What sets this movement apart is the overall control of its highly original tonal structure, where interlocking cadences have become the basic mechanism of the modulatory scheme. Above all, the use of the concluding cadential passage of the main theme to accomplish the return of the home key in the recapitulation not only allows a dramatic event early in the form to play an important role later, but also results in a very close linkage of the two principal keys, G minor and B-flat major.

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had been frustrated, first by cadential evasion then by a deflection of F-sharp to F-natural. Now the F-sharp to G motion returns as the final melodic gesture of the perfect authentic cadence that re-establishes G minor.

Towards a Personal Voice: The Developments of the Early Quartets in Summary

The evolution of Schubert's sonata form from 1810 to 1816 is the exact opposite of what one would expect from a composer who has been criticized for the length and looseness of his structures. Rather than a potpourri of vaguely related materials thrown together unthinkingly, the earliest quartets are, with rare exceptions, highly concentrated structures in which virtually every bar is derived from, or related to, the opening theme. Consequently the developments during the first six years of Schubert's career amount to a gradual expansion of the form to encompass the tonal and thematic contrast sorely lacking in these first attempts–specifically, a fully formed subordinate theme supported by a well-established subordinate key. In other words, Schubert does not begin with sonata form as a ready-made pattern he can simply follow, but must struggle to win its very basic features.

The initial stage of his development consists of attempts to generate the form entirely from the material of its opening theme, as can be seen in the first movement of the Quartet in G minor/B-flat Major, D. 18, the first and last movements of the C-Major Quartet, D. 32, and the first movement of the C-Major Quartet, D. 46. In all cases, the absolute control of the main theme leads to partially formed expositions lacking a clear subordinate theme and failing to establish a subordinate tonality.

In the second stage, where a complete exposition has been achieved, the monothematic reflex remains, but the structure has been loosened to allow some new material, albeit closely derived from the main theme, into the subordinate key area.

In a number of the structures concerned--the first and last movements of the Quartet in B-flat Major, D. 46, and the outer movements of the D Major Quartet, D. 74--Schubert follows the example of Haydn's monothematic sonata forms, the new material appearing in the subordinate theme only after the prominent return of elements of the main theme. In the first movement of the B-flat Quartet, D. 46, the main theme actually prefaces the subordinate theme, which is spun from a number of the former's subsidiary motives. A similar situation exists in the last movement of the same quartet, although here the main theme itself does not return, instead a closely related fugato acts as its proxy.

The third stage sees the generation of truly contrasting subordinate themes, beginning with the opening movement of the First Symphony and continuing into the Quartet Fragment in C Minor, D. 103, and the first movement of the B-flat Quartet, D. 112. Moreover, in the last two instances, the form admits the type of lyricism that becomes characteristic of Schubert's mature sonata forms. The infusion of such an atmosphere into the subordinate theme of the Quartet Fragment creates the type of extreme thematic contrast found in the *Quartettsatz*. In the B-flat Quartet, D.112, the lyricism is more pervasive, affecting both main and subordinate themes. In the latter theme, the second presentation (ex. 5.14a, bb. 111-23) has a particular intensity to it which also colours the whole development section. This late arrival of lyrical themes in Schubert's sonata forms[49] reveals that lyricism was not an overpowering urge that

[49]The one sonata-form movement that already featured such lyricism, the Quartet in D Major, D. 94, from ca 1811, remained a prophetic, but isolated, incident until 1814.

Schubert had to control early in his career, but a quality that finally opened up the structure, giving it a spaciousness missing in the tight monomotivic forms of his first years of writing.

The appearance of contrasting material in Schubert's sonata forms brings with it, even in its earliest manifestations, a type of construction characteristic of the composer, in which the musical discourse is split between two thematic regions. At times the main theme and transition are pitted against the subordinate theme, as in the First Symphony; at other times, the transition is grouped with the subordinate theme, as in the first movement of the Quartet in E-flat Major, D. 87. The motivic conflict is often centred upon the contrast between two motives, each of which dominates its respective area. With the exception of the First Symphony, the new motive does not simply leap out unprepared from the subordinate theme, but is usually covertly or overtly prefigured beforehand in the transition. The most obvious examples of this practice are found in those movements where the main theme is set motivically against the transition and the subordinate theme. In the first movement of the B-flat Quartet, D. 112, for instance, the triplet figure that dominates the subordinate theme is both introduced and highlighted in the transition. The same situation can be found in the E-flat Quartet's first movement. The transition of the first movement of the D Major Quartet, D. 74, in contrast, slyly mentions the opening rhythm of the subordinate theme in passing, without labouring the point.

From the very beginning of his career, Schubert attempted to mine not only the melodic but also the harmonic features of his initial material. This tendency is evident

as early as the first movement of the D-Major Quartet, D. 94, where the tonic-submediant shift of the main theme becomes a prominent feature of virtually all of the structure's modulations. As his sonata forms relinquish their intense, often stifling monothematicism, they also shift from explicit melodic links between their subdivisions to less obvious harmonic connections, which remain even when contrasting subordinate themes eventually make their appearance. The most extreme example of pervasive harmonic motives is the first movement of the B-flat Quartet, D. 68. Here the underlying progression of the main theme recurs wholly or partially throughout the form. Similarly, the transition and subordinate theme in the first movement of the Quartet in B-flat Major, D. 112 feature derivations of a harmonic motive first generated in the main theme. Less extensive links connecting the form's constituent tonalities are also prevalent from the earliest works on–the Overture in C Minor, D. 8, for instance, or the Quartet Fragment in C Minor, D. 103. In such cases, a striking chromatic progression in one key often refers to later or earlier tonal events. The C-Minor Quartet Fragment, for instance, colours the beginning of its subordinate theme in E-flat with references to the home key through the prominent use of B-natural. (The allusive nature of Schubert's harmonic practice is an important element of his sonata style and will be dealt with more thoroughly in the third part of this study.)

The pervasive use of harmonic motives in Schubert's early sonata forms has a profound effect on the transitional process. In the vast majority of the quartet movements studied, the transition relies heavily on the chief harmonic feature of the

main theme to achieve the modulation to the subordinate key.[50] As a result, none of these transitions are fully conventional by Classical standards. In particular, few prepare the new key by its dominant, as in Classical practice; in fact, a number of them rely on a tonal feint to arrive at the subordinate key. In the last movement of the C-Major Quartet, for instance, G minor is prepared by its dominant, but at the last moment the music veers to E-flat major for the opening statement of the subordinate theme. In the first movement of the B-flat Quartet, D. 36, the subordinate theme begins in C major, but then settles down into the proper key of F major.

As Schubert's sonata forms mature, they come to depend less on the harmonic material of the main theme for their modulatory process; yet the young composer continues to cultivate unusual transitions in which tonal uncertainty and sudden surprises are featured. The long developmental transition in the first movement of the D-Major Quartet, D. 74, is the most extreme example of these new strategies. Although reined in considerably in subsequent quartets, the transitional process remains an involved, even convoluted affair, which sometimes spreads across much of the exposition's interior. What Schubert's transitions lose in Classical economy and directness, though, they gain in power and effect. An unexpected tonal shift often provides the change in atmosphere necessary for opening up the form to new material, while an unusual modulatory path or a tonal feint can heighten the effect of the subordinate theme's arrival. The first movement of the B-flat Quartet, D. 112,

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[50]These movements consist of the Quartets in D, D. 94, i; in C, D. 32,i and iv; in B-flat, D. 36, i; in C, D. 46, i; in B-flat, D. 68, i; in E-flat, D. 87, i; in C minor, D. 103; and in B-flat, D. 112, i.

provides excellent examples of both these points. The abrupt move to the submediant at the beginning of the transition (ex. 5.15a) breaks the hold of the main theme, allowing the music to turn to the new triplet motive b.[51] The see-saw battle between the tonic and submediant keys in the transition's course then creates the necessary backdrop against which the music emerges onto a new tonal plane at the beginning of the subordinate theme.

In this particular instance, the introduction of new motivic material and the arrival of the subordinate theme are two separate events. In many later sonata forms, the first movement of the G-Minor Quartet, D. 173, for instance, the new motive is highlighted at the beginning of the subordinate theme.[52] Both the B-flat and the G-minor Quartets reveal how much Schubert's unorthodox modulatory strategies contribute to the generation of tonal and thematic contrast, for the striking effects of such modulations create a new tonal space in which the subordinate theme can assume a position equal in importance to that of the main theme. We will deal with this thesis in more detail when discussing the Schubert's innovative transitional process in the third part of this study (see chap. 7).

By 1816, then, the basics of Schubert's unique sonata style have been fully established. The form finally admits contrasting motivic material without precluding intricate harmonic connections between its constituent parts. Moreover, the first

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[51]In a Classical transition, the move to the submediant can be as dramatic and may bring with it distinctively new material, as in Mozart, Piano Sonata in F Major, K. 332, i.

[52]As in the *Quartettsatz*, this motive may be alluded to previously.

stirrings of a lyrical tendency in Schubert's themes may be felt, while the transitional process brings into play the unusual modulations so characteristic of his later forms. What remains to be considered in the third and final section of this study is the significance of these features with respect to both Schubert's mature sonata forms and the general developments in music during the early Romantic period.

PART III

THE MATURE SONATA STYLE

CHAPTER 6

MOTIVIC CONCENTRATION IN SCHUBERT'S LATE SONATA FORMS

Many of Schubert's instrumental movements written in the period from 1816 to 1818 stand at the opposite extreme to the tightly controlled, monomotivic, tonally restricted sonata forms of his earliest quartets.[1] The first movement of the Piano Sonata in B Major, D.575, for instance, is as experimental as its quartet precursors, only now Schubert seems to be exploring the limits of a new-found freedom.[2] Yet, despite its dramatic surprises and unsettling harmonic events, this movement still exhibits carefully worked out motivic connections between all of its constituent parts, for Schubert never relinquishes the interthematic links pioneered in his youthful quartets. At times, he even returns to the motivic concentration of his first-period sonata forms,

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[1]For example: the Violin Sonatinas in A Minor, D. 385, i and G Minor, D. 408, i (See Rosen, *Sonata Forms*, 357, for a discussion of the latter's un-Classical structure); the Symphony no. 4, in C Minor, D. 417, iv; the Piano Sonata in B Major, D. 575, i and the Sonata in B-flat Major for piano duet, D. 617, i.

[2]Miriam K. Whaples makes a similar point in "On Structural Integration,"194-5.

as may be seen in one of his last great masterpieces, the Piano Sonata in A Major, D. 959.

Monothematicism Transformed: Piano Sonata in A Major, D. 959, i

The Piano Sonata in A Major, D.959, is the second of three Schubert completed only months before his death. Together they are considered the pinnacle of his achievement in this genre and some of the finest piano sonatas in the whole repertoire. What is particularly interesting about the first movement of the A-Major Sonata is its highly concentrated motivic character, an aspect of the music already discussed in some detail by Ivan Waldbauer.[3]

Waldbauer identifies three "harmonic cells" (C^1, bb. 1-6; C^2, bb. 28-31; and C^3, bb. 43-7), which underpin various portions of both the main and subordinate key areas. In fact, these "cells" are all manifestations of one fundamental motive, A, which can be reduced to a stepwise diatonic ascent in parallel thirds, usually beginning on degrees 1 and 3.[4] The entire first phrase of the main theme (ex. 6.1, bb. 1-6) expresses this one motive. Here the upper voice of the parallel thirds outlines a move from degree 3 to 5, embellished by 6 as a neighbour tone. The overarching motive in this phrase also

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[3]"Recurrent Harmonic Patterns in the First Movement of the Piano Sonata in A Major, D.959," *19th-Century Music* 12 (1989): 64-73.

[4]In later appearances, part-writing considerations do not always allow the strict maintenance of parallel thirds in the interior of the progression.

contains a diminution of itself (bb. 4-6).[5] The progression is often, but not always, projected against a pedal tone–either the tonic, as here, or another suitable note.[6] Motive A also exists in a chromatic version, A^1, usually beginning on degrees 5 and 7. In fact, A^1 is immediately brought into play in the subsequent prolongation of the dominant seventh (ex. 6.1, bb. 7-13), where it ascends from 5 to 2 in the bass against the D pedal.[7] Two fragments of the larger motives become prominent in the movement: the first, a, consists of the initial two parallel thirds of the diatonic progression, often involved in a 1-2-1 neighbour-tone movement; the second, a^1, is the chromatic equivalent of a, usually built over a 5-b6-5 or, less frequently, 1-b2-1 motion in the lower voice.

Virtually every part of the movement is based on A, or its derivatives. The main theme itself, which forms an unusual small ternary design (ex. 6.1, bb. 1-21), consists of contiguous statements of A and A^1. Both "A" sections (bb. 1-6, and 16-21) employ A, the contrasting middle turns to A^1 (bb. 7-15). The transition (ex. 6.1, bb. 22-54) divides into three subsections. The first (bb. 22-8), which begins as a codetta-like extension to the main theme, works on a, now a neighbour-tone figure in parallel sixths, then tenths, on degree 1 and set against a tonic pedal. The second subsection

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[5]The motivic concentration here, in which the main theme consists entirely of repetitions of one basic idea, is reminiscent of the main theme's construction in the String Quartet in B-flat Major, D. 112, i. See chap. 5, ex. 5.13a.

[6]Motive A, complete with pedal, also returns as an important feature of every other movement in the cycle, thus becoming the hallmark of the whole sonata.

[7]This ascent begins with parallel thirds, but the thirds break off between G and A in the bass (see fn. 4, above).

(bb. 28-36) forms a descending sequence by major thirds, built from abbreviated statements of A^1 beginning on E-G# (bb. 28-9), then on C-E (bb. 30-1) on G#-B# (bb. 32-3) and again on E-G# (bb. 34-5).[8] The third subsection brings the transition to a close with a definitive move to, and prolongation of, the dominant of E major (bb. 36-54). This passage features a^1 as a 5-b6-5 motion in the new key (thus B-C-B). The low C-natural first arrives in the bass at bar 36, then returns as part of the long prolongation of the dominant chord (bb. 39-55, specifically bb. 39-46).[9] The end of the transition also includes embedded diminutions of A inverted (bb. 52-4).

The subordinate key area is as saturated with A and A^1 as the main theme and transition. The first part of the subordinate theme area (ex. 6.1, bb. 55-82) presents a small-ternary structure similar to that of the main theme. The first "A" section (bb. 55-64) is built upon a full statement of motive A. The initial phrase is immediately repeated, moving through E minor to the dominant of G major (bb. 62-4). The contrasting middle (bb. 65-77), concentrates on a^1, now reduced to a B-C-B neighbour tone motion without the upper thirds. This motive first appears within the context of a tonicization of bIII (as the bass of a V^2-I^6 progression) before settling on the B and

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[8]The tonal trajectory of this sequence brings the music back towards A major/minor before moving on to a dominant prolongation in the new key of E major. The transition thus represents a late example of the "circular" type first developed in Schubert's early sonata forms.

[9]It is interesting to note that this transition is one of the few instances in Schubert's sonata forms where the dominant of the new key is so carefully prepared and prolonged. Part of the explanation for this procedure lies in the motivic significance of the prominent 5-b6-5 motion. As shall be seen, this precise motion provides the harmonic/tonal background for most of the development section.

prolonging it as the dominant of E major (bb. 70-7). When the "A" section returns at bar 78, the underlying motive is abbreviated to a, which is played out from bars 78 to 82.[10]

Bars 82 to 95 bring back a varied reprise of the transition's central section, highlighting the sequence by descending major thirds. As in its first appearance (bb. 28-36), this sequence consists of abbreviated statements of motive A^1 on E-G#, C-E and G#-B#. This time, however, the whole passage is contained within the tonal sphere of E major and moves to the beginning of a cadential progression in that key at bar 95.[11]

The passage from bars 95 to 112 is concerned primarily with two dramatic evaded cadences in the key of E (ex. 6.1).[12] The first cadence is denied closure at bar 101, when the bass simply drops out at the last moment. In the second cadence, the whole progression is left hanging on its penultimate dominant at bar 112. This dominant is then converted into a preparation for the return of the subordinate theme's first phrase at bar 117. The concluding dominant prolongation (bb. 113-16) refers explicitly to the end of the transition (bb. 51-4).

The reappearance of the subordinate theme's "A" section at bar 117 brings with it motive A (ex. 6.1, bb. 117-23), now expanded by a two-bar ornamented repeat of the

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[10]In this respect, the returning "A" section takes on the motivic characteristics of the codetta-like extension of the main theme (bb. 22 etc.).

[11]Again the parallel thirds with which the cadential progression begins may be considered a feature derived from motive A (bb. 95-8).

[12]Cadential evasions are such an important and recurring feature of this movement that they become motivic in themselves and help to create the basic emotional character of the music.

phrase's last two bars.[13] The ensuing codetta/retransition works with the semitone thirds, a^1, now on degrees 1-b2 rather than 5-b6.[14] Thus the motivic process of the entire exposition consists of a series of statements of A or A^1, either in full or reduced to their opening a or a^1 motives. Generally speaking, the diatonic version alternates with its chromatic derivation, thus suggesting a set of double variations.[15]

The plan of the development section is considerably simpler, for it concentrates on one harmonic motive exclusively–the 5-b6-5 motion of a^1(ex. 6.2).[16] Rosen cites this part of the movement as an example of the feeling of stasis Schubert can create through the oscillation between two tonal levels, here C and B.[17] However, in the initial stage of the development (bb. 130-50), B major and C major are not so much different tonal planes as the expanded dominant and flat submediant chords of E major. (B major is approached from C major through the augmented sixth of E, while the C major chord is always regained directly from the B dominant seventh, thus forming a V^7-bVI

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[13]This innocent little addition to the subordinate theme not only closes off the exposition with the first perfect authentic cadence in the movement, but also provides in its sixteenth-note scale figure all the new motivic material for the development.

[14]The main aim of the first ending, in fact, consists of converting the figure from its initial 1-b2 status to the concluding 5-b6 gesture which prepares the repeat of the exposition.

[15]This type of double variation design is similar to the one discussed by Dahlhaus in the first movement of the G Major Quartet, D. 887; see "Sonata Form in Schubert."

[16]It does so in a manner that even conserves the parallel thirds, at least at the outset of the development.

[17]*Sonata Forms*, 360-2.

progression in E). This harmonic relationship represents an intensification of motive a^1 (ex. 6.2).

Certainly the expansion of the B and C major chords creates a certain ambiguity as to their true status,[18] yet it is only towards the centre of the development, starting with the turn from C major to B minor at bars 152 to 153, that C and B begin to assume the character of tonal levels rather than expanded chords. At this point, then, the 5-b6 motive is intensified further, as it is elevated from a harmonic to a tonal relationship.[19]

The establishment of C as a tonal plane, albeit briefly (ex. 6.2, bb. 157-67), is crucial to the overall design of the movement, for the proximity of C major to A minor (the former being the latter's relative major) provides the gateway back to the home key, A major. Schubert exploits the C major-A minor key relationship not so much in the melodic passage between bars 161-6, which is in C minor, but in the actual modulation from C to A, accomplished within the evaded cadence at bars 167 to 168 by a direct chromatic progression from V^7 of C to VII^2 of A.[20] The ensuing progression (A-:

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[18]The effect, indeed, is pure magic. Throughout the opening of the development section, time seems suspended, partly due to the fact that the music is shifting constantly between the dominant and flat submediant without ever arriving on the implied tonic.

[19]The chords' new role as tonalities is made explicit by both the turn to the minor mode, which washes away the suggestion of a dominant harmony from B, and the use of the augmented sixth in the approach to the latter key.

[20]Modulation through the diminished seventh chord held in common by a minor and its relative major may be traced back to the early string quartets, for instance, the Quartet Fragment in C Minor, D. 103 (see chap. 5, pp. 171-8 and ex. 5.9a).

VII^{2}-Ger^{6}-V, ex. 6.2, bb. 168-70) is built upon an inversion of a^{1} in A minor (F-E).[21] Thus, if we look at the development section from a broader perspective, we see that it is framed by one specific motive, a^{1}, which appears in E major (B-C, 5-b6) at the beginning of the development and in inversion in A minor (F-E, b6-5) at the end.

Waldbauer argues that Schubert's reliance upon recurring "harmonic cells" in this movement can be traced to the influence of Beethoven, specifically the first movement of the Piano Sonata in A-flat Major, op. 110, as well as the first movements of the "Appassionata," op. 57 and the Piano Sonata in E Major, op. 109.[22] However, we need go no further than Schubert's own oeuvre to find a possible model. The monothematic background of Schubert's movement is related directly and in detail to many of the monothematic sonata forms in his early string quartets. The same motivic saturation, also based upon harmonic "cells" or gestures, may be found in the first and last movements of the Quartet in C Major, D. 32 and the first movements of the Quartets in C Major, D.46 and B-flat Major, D. 68, to name only a few examples.

Furthermore, the first movement of the A-Major Sonata exhibits a tonal concentration similar to these youthful quartet movements. Its general structure is

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[21]As Rosen has stated, this is the one passage in the development section where any true movement occurs (*Sonata Forms*, 361). Although the tonic key has arrived "prematurely" in the last part of the development section, Schubert still manages to create an effective moment of recapitulation for the return of the main theme. The melodic phrase in A minor (bb. 173-9), a transposition of the same phrase previously given out in C minor (bb. 161-7), does not cadence, but moves on to a long dominant prolongation preparing the return of the main theme in A major at bar 198. As a result, the listener's focus shifts to the arrival of A *major* as the point of tonal return rather than the earlier appearance of A *minor*.

[22]"Recurrent Harmonic Patterns," 70-1.

built upon essentially two keys, the tonic and dominant: the latter extends across the interior of the form, from the subordinate theme of the exposition to the middle of the development section; the former returns before the end of the recapitulation and continues, with a brief diversion to F major, throughout the recapitulation and coda. The tonic key is re-established through the key of C, which, as an elevation of the 5-b6 motive to a tonal relationship, functions more as a hinge between the two principle tonal levels than as an independent tonality.[23]

In many respects, then, this late sonata movement harks back to the features of Schubert's earliest sonata forms. Yet the highly expressive melodies which are generated against each new appearance of the recurring motive A alone reveal the great artistic distance between the boy and the man. Both the main and subordinate themes are built upon the same progression; yet there is a world of difference between the striving of the former and the quiet, reflective lyricism of the latter. Once again, the specific technique of embellishing the returning material with new countermelodies may be traced back to such movements as the finale to the Quartet in C Major, D. 32 and the first movement of the Quartet in B-flat Major, D. 36. What were once a schoolboy's awkward attempts at counterpoint, however, have become some of the most moving musical transformations, which, as in Beethoven's late variations, reveal the emotional complexity latent within the simplest musical gestures.

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[23]As we have seen, sonata-form movements based upon just tonic and dominant keys include examples spanning the earliest period of the composer's creativity, from the Quartet in G Minor/B-flat Major, D. 18 to the First Symphony, in D Major, D. 82. The A-Major Sonata, of course, is not so crudely obvious in its two-key design.

Key Connections and the Harmonic Motive: The Symphony in C Major, "The Great," D. 944, i

Admittedly, the first movement of the Piano Sonata in A Major is an extreme example of monothematicism in Schubert's late works.[24] Certain other compositions of the period may approach such motivic concentration, but not in so rigorous a fashion. Dahlhaus, for instance, has drawn attention to the complex web of motives in the first movement of the String Quartet in G Major, D. 887.[25] Indeed many works of Schubert's maturity exhibit a similar intricacy of construction, involving the same type of carefully worked out harmonic links between the various tonalities of the form, as we have seen so often in the early quartets. A fine example is the first movement of the "Great" C-Major Symphony, D. 944.

This symphony, whose date of composition has been placed variously between 1825 and 1828, is considered, along with the "Unfinished" Symphony, D. 759, to be the crowning achievement of Schubert's orchestral composition. The first movement begins with a lengthy introduction, which, like so many of the early quartet introductions, reveals the most important motives and tonal/harmonic relationships of the main movement. The most obvious motive here is rhythmic: the dotted rhythm of bar 2, (ex. 6. 3b, i) when sped up, becomes the most prominent rhythmic feature of the Allegro's main theme. (The three-note motive itself returns prominently both in

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[24]The "Grand Duo" Sonata for piano duet, D. 812, i, provides another example.

[25]"Sonata Form in Schubert"; see also fn. 15 in this chapter.

the subordinate theme and towards the end of the development section as a rather unsettling reminiscence of the introduction.)

Equally important, though, are the series of keys touched on as the introduction unfolds: the tonic, C major, mediant, E minor, and flat submediant, A-flat major. All three figure prominently in the Allegro. Together they form a closed circle of major third-related keys.[26] The precise manner in which they are connected generates two of the most arresting harmonic motives in the piece (ex. 6.3a and b). A move up a major third creates the first of these motives, the pivot chord VI-V progression (designated x in ex. 6.3a), which highlights the flat submediant relationship of the lower key to the higher key. The modulation from C major to E minor, for instance, reinterprets the C major chord as the flat submediant of E minor to prepare the latter key's dominant. The same progression, of course, may be used to link A-flat major to C major.

The second harmonic motive (designated y in ex. 6.3a) outlines a more striking progression--the direct move from one dominant chord to the dominant chord of the key a major third below, for example from the dominant of E minor, directly to the dominant (or dominant seventh) of C major. Such moves are highlighted in the introduction and developed further during the main movement, in the course of which the motive is successively transformed from a progression involving two dominants, to the movement from a minor chord to a dominant (y^1) and finally to the progression

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[26]This is the same sequence by major third as found in the transition of the first movement of the Piano Sonata in A major, D. 959 (see above).

from a dominant to an augmented sixth chord (y^2), with each transformation reflecting the new harmonic context at hand. Consequently the motive can be reduced to its essential progression by descending major third, a harmonic motion that, in colouring the whole movement, partly defines the music's specific character.

The introduction epitomizes the lyricism for which Schubert is so famous. Its structure suggests a rondo which has grown out of a peculiar expansion of a small ternary form: A (repeated), bars 1-16; B (contrasting middle), bars 17-28; A, bars 29-37; C (a new contrasting middle), bars 38-61; A, bars 61-77.[27] Of the three A sections, only the initial one is closed off with a perfect authentic cadence in the home key; the second is diverted at the last moment to close on the dominant of E minor and the last ends with a long dominant prolongation to prepare the beginning of the main movement.

All of the motivic key relationships presented in the introduction occur within the two contrasting middles (sections B and C). The first highlights E minor, the mediant (ex. 6.3b, ii). Harmonic motives x and y are generated by the brief modulations to and away from that key. In bar 23, E minor is approached through a variation of motive x, (designated x^1 in ex. 6.3b, ii). Rather than advancing straight to E's dominant, the C major chord approaches it indirectly through an F-sharp $II^{6/5}$. The return to C major from E minor is accomplished by the second harmonic motive, y, the direct

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[27]The general form, though, may be reduced further by subsuming the second A and subsequent C sections into the central B section of a large ABA structure. The second A thus functions as a false return leading to a full-scale dominant preparation for the real return of A at bar 61.

move from the dominant of E to the dominant seventh of C (ex. 6.3b, ii, bb. 27-8), a particularly telling progression which Schubert repeats at the end of the second A section (ex. 6.3b, iii, bb. 37-8).

Section C features another important tonality, A-flat major (bVI), which functions here as an upper neighbour to the dominant of C. A-flat major is both prepared and quitted by motive x. The A-flat chord is reached directly from the preceding dominant ninth of C (ex. 6.3b, iv, bb. 47-8) thus producing a V^9-bVI progression–essentially x in retrograde. The return to this dominant (bb. 56-61) is more elaborate, involving the characteristic b6-5 bass motion of motive x, but now supporting IV^6-$V^{(6/4-7)}$ (designated x^1, bb. 56-60) within the C section's concluding perfect authentic cadential progression. The specific melodic line in the winds and the implied shift from minor to major mode are two elements of this cadential progression that prove significant for the first movement proper.

In the main Allegro, not only do the keys of E minor and A-flat major play an important role in the movement's structure, but they appear in the same order as they do in the introduction and perform similar functions. The Allegro itself is cast as a sonata with a three-key exposition consisting of the tonic (C major), the mediant (E minor) and the dominant (G major). As in a number of Schubert's other three-key expositions, the middle key is never confirmed cadentially. The transition to it from the home key amounts to no more than two bars (ex. 6.4, bb. 132-3) involving motive x exclusively. This modulation thus parallels the first move into E minor at bar 23 of the introduction.

The subordinate theme group consists of two large sentences (bb. 134-74 and bb. 174-240) followed by a closing section. The first sentence modulates from E minor to G major, where it cadences at bar 174, eliding with the beginning of the second sentence's presentation. Motive x is developed in the continuation phase of this first sentence (ex. 6.5a, bb. 150-74, specifically bb. 150-4). Here the music first moves from E minor to G major by motive x's VI-V pivot (bb. 151-2) then continues on to B minor from G by a sequence of the same pivot (now bVI-V, bb. 153-4). This last move recreates in the dominant key exactly the same tonal relationship as had existed previously between C major and E minor in the tonic.

The B minor chord, substituting for a I^6, initiates an expanded cadential progression in G major (ex. 6.5a, bb. 155-74 and ex. 6.5b for a harmonic reduction of the passage). The whole passage is somewhat complicated. B minor advances to the applied dominant seventh of C (G^7 as V^7/IV, b. 156 and repeated 157-8).[28] This move further develops motive y, creating the variant y^1. (Although the chord of B minor, rather than major, leads directly to G^7, the startling effect of the original y progression is maintained). Rather than resolving to the C major chord (IV), the applied dominant seventh leads directly to the French sixth on E-flat (bb. 162), an intensification of the subdominant harmony. This harmonic ellipsis yields another variant of y (y^2) through its bass movement of a descending major third, from G to E-flat.[29] The French sixth

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[28]Such a progression represents an intensification of B minor's function as the preparation of the cadence's pre-dominant harmony.

[29]Had Schubert used a German sixth instead, the original y motive would have been stated explicitly, since this chord also can be respelled as the dominant seventh of A-flat

on E-flat now prepares the cadential dominant. However, an interpolation intensifying the dominant with its own French sixth and applied dominant (bb. 164-5), followed by an evasion of the cadence (b. 168) through a repeat of bars 162 to 167 (bb. 168-74), delays the arrival of the perfect authentic cadence until bar 174 (see ex. 6.5b for harmonic reduction).[30]

The initial tonality of the first subordinate theme, E minor, is thus both established and quitted through a series of x progressions, while the final move into G major is largely accomplished through a chain of y progressions. The latter case reveals Schubert's brilliance in developing his harmonic motives. The series of chords involved–B minor, G^7 and the E-flat French sixth–is clearly related to the dominants connecting the original three keys of the introduction (B major [V/III], G^7 [V^7] and Eb^7 [V^7/bVI]), although the harmonies of the latter series are not stated directly and consecutively in the introduction. In their present form, the three chords now reflect the new context of the key of G major: the B minor chord bears the same relationship to the subordinate key G as E minor does to the home key C, while the E-flat French sixth prepares the dominant seventh of G.

The second sentence, which begins in bar 174, might be viewed as a "correction" of the first one. Both use the same material, but the second begins firmly in the

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major. As shall be seen, this possibility, latent in the present progression, is developed later in the subordinate theme region.

[30]Note that in the short final run-up to the perfect authentic cadence (bb. 166-7, evaded and bb. 172-3), the pre-dominant II^6 supplies the C bass note passed over in the move from the applied dominant of C (IV) to the French sixth of G major.

dominant key, G major, with melodic material clearly derived from the first sentence's presentation in E minor. Once again, the theme is characterized by a long continuation (bb. 181-240), even longer than that of the preceding sentence and bringing with it something of a developmental character. During its course, the two harmonic motives x and y come to the fore and the keys touched on in the introduction, E and A-flat, are again alluded to.

In many respects, this continuation may be viewed as an expansion on, and reworking of, the continuation of the first subordinate theme. Harmonically, it begins as a replay of the earlier continuation (ex. 6.6a): the music moves from G to B minor via motive x (bb. 183-4) then proceeds, as before, directly from the B minor chord to the G dominant seventh, through motive y^1 (bb. 185-6 and 187-8). From bars 189 to 192, though, the path of the continuation diverges from that of the previous sentence through a subtle harmonic change: instead of moving to the French sixth on E-flat, the G dominant-seventh now proceeds to a simple E-flat major triad, which is prolonged as the dominant of A-flat minor for nineteen bars (bb. 192-210).[31] The suggestion of A-flat minor is coupled with the intrusion of the trombone motive (a) from the introduction. The implied minor mode and the instrumentation create a dark foreboding from which the music will eventually emerge into a bright G major in the final cadential arrival.

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[31]This alteration converts the y^2 motive, found in the parallel passage of the preceding sentence (ex. 6.5a, bb. 161-2), back to y, the movement between two dominants.

At bar 211, the $V^{(6/4)}$ of A-flat minor moves to the dominant of E minor (ex. 6.6a). This progression proves to be yet another variation of y (y^3). The arrival on B in the bass at bar 212 initiates an expanded cadential progression in G major with the dominant of E minor substituting for the initiating I^6 (bb. 212-40, see ex. 6.6b for harmonic reduction).[32] One harmonic detail of the cadence is quite significant with regard to both the cadence of the first subordinate theme and the expansion of the dominant of A-flat minor prior to the present cadential progression. Instead of a French sixth to prepare the cadential dominant, as in the previous expanded cadential progression, we find a full German sixth on E-flat (bb. 226-7), which brings with it its latent potential as the dominant seventh of A-flat major. Thus both keys featured in the introduction, E and A-flat, have been absorbed into the tonal region of the dominant, through references to their own dominants. Indeed, the whole passage from the move to the dominant of A-flat minor at bar 192 to the final perfect authentic cadence in G major at bar 240 (ex. 6.6a) relies upon audible references to the introduction, specifically the end of the C section, with its long prolongation of A-flat leading to the perfect authentic cadence in C major at bar 61 (ex. 6.3a, iv, bb. 48-61). The same motive a, highlighted in this earlier passage and derived from the second bar of the introduction's theme, is introduced by the trombones (ex. 6.6a, bb. 199 etc.) in the introduction's "tempo" and flowers into the melody of the final cadential bars (ex. 6.6a, bb. 228-40) as it had in the cadence in C major (ex. 6.3b, iv, bb. 59-61).

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[32]The use of the B major chord as a substitute for the I^6 of the ECP clearly parallels the reliance on B minor as a I^6 substitute in the concluding ECP of the previous sentence.

In the development section, the two keys of E and A-flat resurface along with the harmonic motives connecting them. A-flat is particularly important in this part of the form. In fact, the development section is framed by a move to A-flat at its beginning and a move away from A-flat at its end. In the first instance, A-flat major is entered directly from the chord of G (ex. 6.7a, bb. 253-254). Although by now G major has been established as the tonic chord of the subordinate key region and the move to A-flat can be viewed as expressing a tonic-Neapolitan relationship, such a progression also carries with it the suggestion of the dominant to flat submediant motion first associated with it in the introduction (ex. 6.3b, iii, bb. 47-8).[33]

A-flat is prolonged until bar 275.[34] The music then moves through the chords of F minor and D-flat major to a tonicization of D minor.[35] The centre of the development section is taken up with an oscillation between D and F minor. A-flat returns, however, to prepare the journey back to the home key for the recapitulation.[36] Here it functions quite clearly as the flat submediant of C (ex. 6.7b,

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[33]This suggestion is reinforced by the fact that, in the repeat of the exposition, we have already heard the last G major chord of the exposition functioning as the dominant leading back to the tonic at bar 78. The A-flat chord at the beginning of the development thus has something of the surprise of a "deceptive" progression.

[34]None of the development keys are confirmed cadentially; thus all may be considered as tonicizations, their relative weights being determined simply by the lengths of their prolongations.

[35]The move from the chord of D-flat to the dominant of D minor in bar 280 involves y once again, here consisting of a descent of a major third between two major triads, only one of which is a dominant.

[36]The development section's heart is thus dominated by minor-third tonal relations (D-F-Ab) as opposed to the prevalent major-third relations of the rest of the movement.

bb. 302 etc.) resolving to V of C in bar 344 and again bar 352, thus expressing motive x on the large scale.

The actual move back to A-flat is accomplished by a sort of chromatic sliding progression from the diminished seventh of D minor to A-flat's dominant seventh (ex. 6.7b, bb. 297-301, and reduction ex. 6.7c).[37] The arrival on the dominant seventh initiates a descending major-third sequence through the three keys highlighted in the introduction, Ab-E-C (bb. 304-15). Latent within this sequence is motive y. Although direct movement between dominants is not exploited here, the effect of each tonal shift in the chain is similar to that of the first appearance of y at the end of the introduction's B section (ex. 6.3b, ii, bb. 27-8).

At bar 316, the A-flat major chord returns and is prolonged until bar 327. The descending major-third sequence then cycles once more through A-flat minor, E minor and on to C (bb. 328-39) before settling on A-flat as the bVI preparation for the home dominant (bb. 340 etc.). The whole passage from bar 304 to the beginning of the recapitulation at bar 356 may be considered a transformation of the end of the introduction's C section (ex. 6.3b, iv, bb. 48-61): functionally, both passages prepare the return of the home key C major; harmonically they are built upon an expansion of the bVI-V progression of motive x and melodically, they feature motive a from the second bar of the introduction's theme, a parallel reinforced by the appearance of this motive in the trombones, which had coloured its appearance in the C section. The

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[37]This progression, in fact, elaborates on the type of modulation through a common diminished seventh chord Schubert employs in his early quartets.

passage in the development, though, has been expanded in such a way as to incorporate within it references to all three "motivic" keys of the movement, now linked directly to each other in a descending sequence.

In general, then, the main movement features two important intrusions from the introduction (specifically the C section) which incorporate references to the recurring tonalities E and A-flat and their associated motives x and y. The first intrusion occurs towards the end of the subordinate theme, leading up to, and forming part of, the final expanded cadential progression in G major. Here E minor and A-flat minor are alluded to within the context of the new subordinate key. In particular, the reference to E minor, which had served as the opening tonality of the subordinate theme, clarifies that key's relation to the ultimate tonal goal of the exposition. The second intrusion, which prepares the return of the tonic key at the end of the exposition, parallels both section C of the introduction and the end of the exposition.[38] In so doing, it also features quite prominent allusions to E and A-flat, which are now linked by sequence directly to C major. In this way, both "motivic" keys are returned to their "proper" context with respect to the tonic key.

The general process here may be traced back directly to Schubert's handling of key relationships in his early sonata forms: in the first movement of the String Quartet in

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[38]Indeed the similarities between the end of the exposition and the end of the development are quite striking: the orchestration for one, with the introduction's motive a being played threateningly on the trombones and the enharmonic Cb-B connection between A-flat minor and E minor for another. Even the expansion of motive a at the cadence in the earlier passage is repeated, now transformed in the bass at the end of the development (ex. 6.7b, bb. 340-3, repeated bb. 348-52).

B-flat major, D.112, for instance, the expanded G minor harmony, which had played such a prominent role in the transition, is absorbed into the final cadence in the dominant key at the end of the exposition. What is new in the Symphony is the increased scope of such harmonic cross references. The movement's large-scale planning, evident in the deliberate parallels between the end of the C section in the introduction, the end of the exposition and the last part of the development, may also be seen in the final "intrusion" of the introduction, the reappearance of the A section in the coda (bb. 661-84). This is a particularly brilliant stroke, for in the introduction, both subsequent returns of A had been denied closure. Now the A section returns one last time to close off the whole movement with reiterations of its concluding cadential gesture.

The connections between the circle of keys in the first movement of the Symphony also reveal Schubert's genius in developing his harmonic motives, an ability foreshadowed by the first movement of the youthful Quartet in B-flat Major, D. 68. The various manifestations of motive y, in particular, provide an excellent example of the range of harmonic and formal functions to which a motive can be applied and the different emotions that can be drawn from its individual variants.[39] In most of its appearances in the exposition and development, this motive is restricted to movements between the B, G and E-flat bass notes, thus reinforcing the connections to the progression's initial statements in the introduction. However, what began as two

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[39]The two cycles through A-flat, E and C at the end of the development alone illustrate the great variety of emotions latent in the basic progression.

dominants a major third apart has been converted at various times into the move from a minor chord to a dominant, for instance, or from a dominant to an augmented sixth. Schubert treats the progression quite flexibly, adapting it to whatever the tonal context demands, so that the motive, in its basic form of root movement by a major third, comes to dominate the structure's harmonic and tonal workings almost as much as more obvious melodic motives had pervaded some of his early quartet movements.

CHAPTER 7

SCHUBERT'S EARLY SONATA FORMS IN THEIR HISTORICAL PERSPECTIVE

> *"But when we find...that some of the most obviously wrong digressions contain the profoundest, most beautiful and most inevitable passages, then it is time to suspect that Schubert, like other great classics, is pressing his way towards new forms."*
>
> Tovey, "Franz Schubert"

This study so far has attempted to show the continuity in Schubert's handling of sonata form throughout his career. Yet it is not enough merely to point out similarities in technique between the experiments of the boy and the masterpieces of the man; we must now look at the significance of the early quartets with respect to both Schubert's personal development as a composer and his position in the general history of musical style.

Much of the following discussion revolves around the main deficiency of Schubert's first sonata forms--their failure to present convincing tonal and thematic contrast within the exposition. Both types of contrast, of course, are inseparable in Classical sonata form, for the subordinate theme serves to articulate the new tonality and give it

substance through a specific thematic identity.[1] In Schubert's mature sonata forms, such as the *Quartettsatz*, the subordinate theme's distinctiveness is heightened beyond the Classical norm. The transition plays an important role in this intensification. Quite often, the way in which the subordinate key is reached contributes as much to the character of the subordinate theme as that theme's specific musical material.[2] The transition thus helps to fuse the new key and theme into a distinct, affective entity.

What then is the precise relationship of the early sonata forms to the later ones? Did Schubert merely abandon his initial preoccupation with monothematicism for thematic dualism, or is there a consistent and logical development in his handling of sonata form across his whole career? To answer this question we must first review the evolution of Schubert's sonata form against the backdrop of stylistic changes in the early nineteenth century.

The Early Quartets as an Expression of a Romantic, Rather than a Classical, Aesthetic

As we have seen time and again, Schubert's earliest attempts at sonata form exhibit a marked preoccupation with maintaining the motivic control of the opening idea. Such a tendency remains strong in the monothematic reflex of many of his later

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[1]Even in Haydn's famous monothematic forms, the return of the main theme in the subordinate key is never literal, but varied by reorchestrations or new continuations of the initial subject matter.

[2]This last statement is basically an enlargement on Klaus Rönnau's theory, to be discussed in some detail in the next chapter; see "Zu Tonarten-Disposition," 436.

youthful works, and surfaces again in a number of mature pieces, for instance, the first movement of the Piano Sonata in A major, D. 959.[3] Carl Dahlhaus has treated this characteristic as a remnant of an older aesthetic of unity, found in the writings of the late eighteenth-century theorist Johann Nikolaus Forkel.[4] Dahlhaus's thesis underlines the conservative aspects of Schubert's art, yet there is another way of looking at the early quartets' monothematic tendencies.

In virtually all of his youthful monothematic movements, Schubert seems to be caught up in the intensity of his initial idea and is unwilling, or unable, to generate a contrasting idea of equal weight. The aesthetic here may be more forward looking than Dahlhaus suggests, for behind these sonata forms lies an approach to music similar to that which underlies the Romantic character piece--an intense miniature based upon one striking musical thought.

To some extent, the only differences between the character piece and Schubert's quartet movements in sonata form lie in the length of the latter and the older traditions

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[3]A certain monothematic bent is also evident in the early works of Mendelssohn, although not as extreme. Often the opening idea of the subordinate theme will be derived from that of the main theme, as in the last movement of the Piano Quartet in C Minor, op. 1, the first and last movements of the Piano Quartet in F Minor, op. 2 and the first movement of the Piano Quartet in B Minor, op. 3 as well as the first movement of the Piano Sonata in G Minor, op. 105 (1821). In these cases the practice is similar to that of Haydn, in which the initial idea of the main theme is recalled and then developed further. The most unusual of Mendelssohn's "monothematic" sonata forms is undoubtedly the first movement of the Piano Sonata in B-flat Major, op. 106 (1827), in which virtually all of the material of the main theme group is transposed lock, stock and barrel into G major for the subordinate theme.

[4]"Formprobleme," 192. See chap. 1 of the present study, pp. 50-3, for a discussion of this article.

they bring with them. The actual character pieces Schubert composed reveal a similar monothematic tendency spreading across a substantial structure, as in the Impromptu in C Minor, op. 90, no.1, or the Impromptu in G-flat Major, op. 90, no.3.[5] From the beginning, then, Schubert's sonata forms follow essentially a Romantic rather than Classical aesthetic, specifically one in which the strong character of the initial material is valued more than its potential for development.

Some might argue that the musical ideas in Schubert's earliest quartets are hardly original or engaging. Miriam K. Whaples' point that the musical substance of these works amounts to a collection of "dryly motivic ideas" is certainly well taken,[6] but one would hardly expect highly original thoughts from a young composer learning his trade. What is more crucial is the presentation and treatment of these ideas–which brings us to the intense character of many of the early quartet movements.

A large number of Schubert's sonata forms, beginning with his very first quartets, feature highly dramatic opening material. The main theme of the G Minor/B-flat Major Quartet's first movement, with its dynamic extremes and unsettling tremolos, provides a good example of such a hyper-tense atmosphere; the main theme of the last movement of the String Quartet in C Major, D. 32, with its stern octaves and a powerful drive to the dominant, provides another. Nor does the music have to be

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[5]Indeed, the monothematic tendency in the Impromptu in C Minor, op. 90, no.1 is quite similar to that of the first movement of the Sonata in C Major, "Grand Duo," D. 812, for piano duet. In both cases the head of the main theme is omnipresent, articulating every major section of the form.

[6]"On Structural Integration," 194.

overtly dramatic to have a particularly intense aura, as may be seen in the mysterious tonic to submediant shift at the beginning of the first movement of the D-Major Quartet, D. 94. Furthermore, the constant return of such marked material contributes to the rather concentrated emotional effect of the whole movement.

The construction of Schubert's main themes also reflects a Romantic, rather than a Classical, aesthetic. Often they are woven seamlessly from the same material, and thus have none of the internal contrasts usually found in Classical themes.[7] As a result, Schubert's themes present one strongly delineated character, reinforced by the thematic structure itself, which dwells upon its initial musical idea.[8] Furthermore, their component parts often lack the type of harmonic articulation found in Classical themes. This is particularly true of those themes based upon one indivisible harmonic gesture, such as the chromatically descending tetrachord, which underpins the main

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[7]See for instance the main theme of the Quartet in G Minor/B-flat Major, D. 18, i, (chap. 3, ex. 3.6b) or that of the first movement of the String Quartet in B-flat Major, D. 112 (chap. 5, ex. 5.13). Chusid has also remarked on the concentrated construction of Schubert's themes. He considers that Schubert built themes with deliberate internal contrasts largely in his period of "Classic imitation, 1813-1816" (to use Chusid's phrase); see "The Chamber Music of Schubert," 110-13. In the present study, the separate analyses have noted where Schubert's thematic construction contains elements of contrast, as in the main themes of the String Quartets in E-flat Major, D. 87, in G minor, D. 173, and E major D. 353. These cases, however, represent the minority in his early work.

[8]In the main theme of the Quartet in G Minor/Bb Major, D. 18, i, the basic idea is reiterated four times (see ex. 3.6b), while the main theme of the String Quartet in B-flat Major, D. 112, i, consists exclusively of repetitions of its opening material (see ex. 5.13).

themes in the last movement of the String Quartet in C Major, D. 32 and the first movement of the String Quartet in C Major, D. 46.[9]

As a consequence of their motivic homogeneity and seamless construction, the young Schubert's themes cannot be broken down and developed as easily as a Classical theme can. This difficulty may have been a factor in the odd construction of some of his earliest sonata forms, which are built up from continuous repetitions of the opening idea.[10] Even when a movement does not exhibit such blatant repetitions, the initial musical material is often played out in a process of fragmentation that seizes upon and reiterates the main theme's basic idea. Consequently one particular melodic/rhythmic figure will come to predominate, leaving its imprint on the movement as a whole.[11] The sameness in rhythm in such cases is reminiscent, once again, of the Romantic character piece.

A significant trend begins to emerge in those later movements into which Schubert manages to infuse some form of a contrasting theme: the structure breaks into two

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[9]The works of Schubert's maturity also provide numerous examples of such structures. The main theme of first movement of the "Trout" Quintet, D. 667, for instance, is based upon a vastly expanded I-bVI-V-I progression. The main theme of the Piano Sonata in A Major, D. 959, i, consists of a reiterated I-VII^6-I^6-IV progression. Even in instances where a harmonic articulation does exist, say between a presentation and a concluding cadential progression, as in the main theme of the *Quartettsatz*, D. 703, the structure's balance is tipped in favour of the presentation. In the case of the *Quartettsatz*, the presentation, with its four repetitions of the two-bar basic idea, all but overwhelms the short, albeit climactic, cadential conclusion.

[10]See the last movement of the String Quartet in C Major, D. 32 (chap. 3, pp. 113-17) or the first movement of the String Quartet in B-flat Major, D. 36 (chap. 3, pp. 119-21).

[11]See the first movement of the String Quartet in B-flat Major, D. 68, or the first movement of the String Quartet in D Major, D. 74.

thematic/motivic regions, one controlled by the main theme's material, the other by the new material, whose predominance often extends through the whole centre of the form until the recapitulation.[12] Certain parallels can be drawn here with the thematic process within a character piece in a large ternary (ABA) pattern, for example Schubert's Impromptu in E-flat Major, op. 90, no. 2, or the first of the *Moments musicals* (sic). As in such pieces, the major sections of Schubert's sonata form rarely interpenetrate, but remain as distinct blocks, despite some motivic links. In passing from the main theme to the subordinate theme, the music abruptly changes topic. Many times, the sudden shift is marked by new accompaniment patterns, highlighting the divide between the two realms.[13]

Such block-like construction may be found in a substantial number of Schubert's mature sonata forms, from the *Quartettsatz*, through the first movement of the "Unfinished" Symphony, D.759, and into such later works as the first movements of the "Great" C-Major Symphony, D. 944, the Piano Sonata in G Major, D. 894, and the String Quartet in G Major, D. 887. In all of these works, the thematic process does not follow the typical Classical lines of continuous derivation from the contrasting material of the main theme, but rests upon the complementary relationship of themes of equal intensity and concentration. A highly unsettled and striving main theme, for instance, is counterbalanced by a calm and deeply lyrical first subordinate theme in the

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[12]See, for example, the Symphony no. 1, in D Major, D. 82, i, the String Quartet in B-flat Major, D. 112, i, and the String Quartet in G Minor, D. 173, i.

[13]See the Symphony no. 1 in D Major, D. 82, i, as well as the String Quartet in B-flat Major, D. 112, i.

Quartettsatz, In the first movement of the Piano Sonata in B-flat Major, D. 960 the converse is true. The themes thus tend to work off each other as distinct, indivisible entities. Even if they share motivic material, this material has been thoroughly transformed in its new surroundings.[14]

The logical outcome of such an approach to sonata form is the type of double variation structure Dahlhaus identifies in the first movement of Schubert's G-Major String Quartet, D. 887. In discussing this aspect of the movement, Dahlhaus takes great pains to emphasize the historical continuity of Schubert's approach, with respect to both the early history of sonata form and the form's late Romantic manifestations:

> The affinity for double variation, essential to the form of the G-Major Quartet, can be traced back to the early history of sonata form and continues to play a role in its later development. The treatment of the development section as a tonally extended variation of the main theme, whose contours it delineates, is related to the origins of the sonata form in the suite. And in Haydn's ever more apparent tendency toward thematic concentration, thus toward filling the functionally differentiated stations or "periods" of the form with similar thematic material, we can recognize another condition for the proximity of sonata and variation forms. The practice continues after Schubert as well: in Brahms and Mahler we observe the tendency to transform symphonic sonata form, now presented in an extreme fashion, into a cycle of variations on two theme groups in regular alternation. It can therefore be said without exaggeration that the first movement of Schubert's G-Major String

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[14]A number of the movements mentioned above involve three-key expositions. Such a structure does not necessarily present three, rather than two, themes in the exposition. Three distinct themes certainly may be found in those movements where each of the three keys represents a substantial, cadentially articulated tonal region. Even here, the two subordinate themes often group together motivically against the main theme, thus maintaining an overall thematic/motivic duality. Examples of such a grouping structure include the first movements of the String Quartets in D Minor, D. 810, ("Death and the Maiden") and in G major, D. 887. (In the latter case, the subordinate theme is merely repeated in another key, and then restated in the first subordinate key). However, Schubert's three-key expositions present a wide spectrum of tonal-thematic construction, which will be dealt with in some detail below.

> Quartet belongs to a tradition of sonata form–a tradition, however, that deviates substantially from the evolutionary path dictated by Beethoven.[15]

While Dahlhaus has highlighted the traditional roots of Schubert's sonata form, the present discussion is concerned more with that form's forward-looking, Romantic aspects. Unfortunately, Dahlhaus's reference to Haydn, particularly the Haydn of the monothematic sonata form, may be somewhat misleading with respect to Schubert's innovations. What is important about the first movement of the G Major String Quartet is not so much that it suggests a set of variations, but rather a set of *double* variations.[16] When Haydn "fills the differentiated stations of the form with similar material" he is concentrating the substance of the work within one theme. When Schubert builds up his form from two strongly delineated, contrasting themes, he has allowed the work's substance (in a more metaphorical sense of the word) to grow out of the new thematic interaction. These two approaches define the essential distinction between Classical and Romantic sonata form, as Dahlhaus has suggested in his

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[15]"Sonata Form in Schubert," 3-4.

[16]Again, such a form is also strongly associated with the work of Haydn, particularly his piano trios and string quartets, where it can occur even as a first-movement type. However, the two themes are not usually contrasting, but are instead strongly related, one being a reinterpretation of the other in either the latter's parallel minor or major key. In such instances, Haydn seems to be exploring the two modal facets of the same theme; see for example, the String Quartet in F Minor, op. 55, no. 2 ("the Razor") i. A similar idea lies behind the String Quartet in D Major, op. 76, no. 5, i.

references to the trend towards double variation in the sonata forms of Brahms and Mahler.[17]

Schubert's earliest sonata forms are thus essentially one-sided structures. Here the young composer is working within a single thematic sphere.[18] The tendency to derive all the major material of the movement from one initial motivic kernel does survive in a number of mature sonata forms–the first movement of the Piano Sonata in A major, D. 959, for instance, or the first movement of the "Grand Duo" Sonata, D. 812. Yet such a construction is only one possibility among many in Schubert's maturity, where the majority of movements tend towards thematic duality, or even plurality.

Ultimately, the early sonata forms do not evolve into a monothematic structure *à la Haydn*,[19] but rather move towards the type of complementary relationship between two contrasting themes so characteristic of Schubert's later forms. This direction emerges in the quartet movements of late 1813-1814 as well as the First Symphony. (The opening movement of this last work contains the young composer's first attempt

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[17]Such a distinction involves more than a harmonic versus thematic approach to the form, which, until recently, had become a commonplace in contrasting the two styles. What seems to lie at the root of the stylistic change is the tendency to intensify the difference in character between main and subordinate theme regions, a process, which, in Schubert's sonata forms at least, combines both harmonic and melodic elements.

[18]This is true, quite literally, of those movements where no subordinate theme or key is established by the end of the exposition, for instance, the first movements of the String Quartet in G Minor/B-flat Major, D. 18, the String Quartet in C Major, D. 32, and the String Quartet in C Major, D. 46.

[19]Even in those structures that suggest such a form, the monomotivic focus and intensity of affect have little to do with the Classical style.

at accommodating a second idea as equally striking as the initial idea of the movement).[20] In establishing a second thematic and tonal region, Schubert brings into play a number of innovative transitional strategies, which, in allowing the new theme and key to take on a distinct character of their own, contribute to the originality of his form.

The Early Transitions: The Emergence of a Coherent Strategy

The transitions are often the most extraordinary feature of the young Schubert's sonata forms. To appreciate fully their unique character we must first look at the transitions of his Classical predecessors. The following discussion will deal primarily with a modulation to the dominant key, since this is the key Schubert favours as the subordinate tonality of his early sonata forms.

Essentially Classical transitions may be reduced to two distinct types–the modulating and the non-modulating.[21] Invariably the non-modulating transition moves to a half cadence in the home key. The final dominant chord then becomes the tonic of the dominant key at the beginning of the subordinate theme.[22] The whole plan is based upon a sudden reinterpretation of the dominant chord's function as the

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[20]Thematic derivation is not abandoned. Just the contrary, Schubert continues to take great pains in establishing links and motivic derivations between themes, but the emphasis now lies in the distinct character of the new theme, which transforms the returning motive.

[21]A more detailed discussion of the Classical transition may be found in Caplin, *Classical Form*, chap. 9; Rosen, *Sonata Forms*, 244-61 and Ratner, *Classic Music*, chap. 13, 223-5.

[22]See for example Mozart, Piano Sonata in D Major, K.284, i, or the Piano Sonata in B-flat Major, K.330, i.

listener passes from the home to the subordinate key.[23] As for the Classical modulating transition, it can take a variety of paths to its destination; however its basic plan involves a pivot chord modulation to the dominant key, leading to a half cadence or dominant arrival there. A prolongation of the new dominant chord often follows.[24] Such a scheme dispenses with the sudden shift in tonal planes at the end of the non-modulating transition, replacing it with a forward-driving dynamic whose tonal destination is clearly announced ahead of time by the goal tonality's dominant. Much of the plan's tension resides in the listener's expectation of the final arrival in the signalled key when the subordinate theme begins.[25]

The concluding move to the new key's dominant is a crucial feature of such transitions. In fact, this chord itself is usually prepared by its own applied dominant, a procedure Rosen considers necessary for the success of the modulation:

> Merely going to the dominant and staying there will not work....What follows must still return to V of V and almost always to V of V of V as well–at least if the music has any ambition.[26]

As Rosen has pointed out elsewhere, this careful preparation of the subordinate key, even when it is a key other than the dominant, distinguishes Beethoven's Classically

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[23]See Robert Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* 42 (1989): 275-337.

[24]See Caplin, *Classical Form*, chap. 9, for details.

[25]Beethoven in particular can heighten this tension in a long dominant prolongation at the end of the transition. See the String Quartet in F Major, op. 18, no. 6, i (bb. 33-44), and the Piano Sonata in F Minor ("Appassionata"), op. 57, i (bb. 24-35).

[26]*Sonata Forms*, 236.

oriented practice from the sudden third-related shifts favoured by some of his younger contemporaries such as Rossini.[27] Here Rosen is concerned primarily with the weakening of the tonal hierarchy in triadic tonality during the early nineteenth century. Thus he is dealing with general stylistic differences. To illustrate these differences, however, Rosen compares transitions from Beethoven's sonata forms to internal modulations in operatic ensembles and character pieces by composers born around 1810. The formal context in a Beethoven transition is, strictly speaking, not the same as a colouristic excursion of four bars in a Chopin mazurka or polonaise–a point that is largely irrelevant to Rosen's argument, but very important to our own discussion of Schubert's sonata forms.

By the 1830s, the decade that saw the first significant works of the "1810" generation, sonata form had become a conservative structure loaded down with a fair amount of Classical baggage.[28] When composers, such as Schumann or Chopin, who had cut their teeth on the new character piece, applied themselves to larger, more traditional sonata forms, they often followed the tried and true formula of the Classical modulating transition, employing a move to the V/V/V and a subsequent dominant

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[27]*The Romantic Generation*, 237-57.

[28]Schumann had already written the obituary for sonata form by the late 1830s. See John Daverio, "Schumann's Opus 17 Fantasie and the *Arabeske*," in *Nineteenth-Century Music and the German Romantic Ideology* (New York: Schirmer Books, 1993), 19-47. While many of the new structures Schumann derived from sonata form were self-consciously innovative, they still relied on many of the older Classical techniques, particularly in the transition.

preparation of the new key, rather than taking up the more modern tonal shifts Rosen illustrates in his discussion of Romantic mediant relationships.[29]

The transitions in Schubert's sonata forms, though, stand apart from those of both his predecessors and his younger contemporaries. Very rarely does he follow the Classical plan described by Rosen. Instead, he prefers more abrupt, unprepared moves from the home to the subordinate key, vaguely paralleling the mediant tonal shifts in Rossini's music. (In Schubert's music, though, such shifts are more elaborately constructed.)[30] This tendency is already very marked in the sonata-form movements of his early quartets. In fact, a simple, conventional transition is quite a rare bird in Schubert's youth.

Certainly the harmonic fundamentals of a Classical modulating transition were not unfamiliar to the young composer, even in his earliest works. When the music finally modulates from the tonic to the dominant in the first movement of the String Quartet

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[29]A cursory survey of sonata forms from the early nineteenth century provides many examples in which the subordinate key, whether the dominant or the relative major, is approached by a V/V-V progression in the new key and a subsequent dominant prolongation. Cases in which the transition involves some of the unusual strategies Schubert uses, such as feints, are much fewer. They include the following: Beethoven, Piano Sonata in F Major, op. 10, no. 2, i, Piano Sonata in D Major, op. 10, no. 3, i; Hummel, Piano Sonata in D Major, op. 106, i; Mendelssohn, String Quartet in E Minor, op. 44, no. 2, i, and Schumann, Piano Sonata in F-sharp Minor, op. 11, i and iv. Despite these exceptions, the techniques of the older Classical modulating transition appear to have predominated in the early Romantic period. One composer, Ludwig Spohr, does consistently cultivate some of the novel procedures found in Schubert's transitions. A comparison of his practice with that of Schubert will be the subject of a separate paper.

[30]Chusid has suggested the influence of another Italian, Cherubini, on the young composer's keenness for unusual modulations; see "Schubert's Overture for String Quintet."

in G Minor/B-flat major, D. 18, it does so in a manner similar to that of a Classical modulating transition (ex. 7.1), approaching the new key through its own dominant (bb. 86-7). (Here Schubert relies on the augmented sixth as the pre-dominant harmony in the progression rather than an applied dominant [V/V/V], a preference which is quite marked in many similar modulations.)[31] Other examples may be found in the early quartets, yet Schubert does not pursue this type of transition very closely, preferring to tread a more tortuous path to establish the dominant as his subordinate key.

Since the dominant serves as the subordinate key in the vast majority of these movements, even those in the minor, one might be justified in seeking the root cause of such unorthodox transitional strategies in the composer's apparent attitude toward that key. From his analyses of many of the mature sonata forms, James Webster has concluded that "for Schubert, the dominant no longer commanded the power that it had for Classical composers."[32] The character of many of the early transitions certainly supports Webster's assertion. In the first attempts at sonata form, the dominant does not even emerge as a full tonality until after the exposition, which ends with a half cadence in the tonic key.[33] In quite a few of the later movements where

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[31]See also the end of the transition in the String Quartet in D Major, D. 74 (ex. 4.13).

[32]"Schubert-Brahms, I," 24.

[33]See in particular the String Quartet in G Minor/B-flat Major, D. 18, i, the String Quartet in C Major, D. 32, iv, and the String Quartet in D Major, D. 94, i. In some cases, the modulation to the dominant as a key is accomplished before the end of the exposition, but the move is so weak that the whole event amounts to nothing more than a heightened half cadence on the dominant. See the String Quartet in C Major,

the dominant is fully established as the subordinate key, Schubert literally puts a great distance between it and the tonic key by means of a long transition, amounting, at times, to half the exposition.[34] This treatment of the dominant implies that, for Schubert, the emergence of that key as an independent tonality required radical measures to break the hold of the tonic.

In contrast, moves to keys other than the dominant in the early quartets reveal a lively interest in new methods of modulation involving direct or unexpected tonal shifts. Such moves are handled with surprising dexterity, even in Schubert's very first quartet movements. For example, in the last movement of the String Quartet in C Major, D. 32, which is cast in C minor, Schubert employs a feint in the transition: the dominant key, G, is prepared by its dominant chord, but instead the music suddenly veers into the relative major, E-flat, for the beginning of the subordinate theme.[35] In yet another example, the first movement of the String Quartet in D Major, D. 94, Schubert draws upon the ambiguities inherent in a diminished seventh chord to slide obliquely between the keys of D major and F-sharp minor.[36] Both examples are already quite characteristic of a number of modulations in the composer's mature transitions.

D. 32, i, and the String Quartet in C Major, D.46, i. Chusid has discussed the quartets' treatment of the dominant in "The Chamber Music," 9-13.

[34]See the String Quartet in D Major, D. 74, i (chap. 4) the String Quartet in B-flat Major, D. 68, i (chap. 4) and the String Quartet in B-flat Major, D. 112, i (chap. 5).

[35]See chap. 3, ex. 3.16.

[36]See chap. 3, ex. 3.19.

When considered together, Schubert's precocity in unusual modulations and the extraordinary lengths to which he goes to establish the dominant as the subordinate key suggest that the real difficulty for him in his early sonata forms consisted of finding the means to accommodate his interest in unprepared tonal moves in the modulation to the dominant key. This hypothesis is borne out by the gradual refinement of one particular type of transition, consisting of a simple pivot chord modulation from tonic to dominant employing the submediant as the pivot harmony:

C major: I–VI
G major: II–V[37]

Of course, such a progression underpins many Classical modulating transitions in which the submediant harmony appears as the common link between the tonic and dominant keys.[38] What is new in Schubert's plan is his attempt to reach the dominant key through this modulation alone, without going farther afield than the dominant chord of the new key and without appreciably prolonging that chord to signal the imminent arrival of the new key. The music simply "goes to the dominant" to quote Rosen.

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[37]Such a scheme lies behind a large number of transitions. See the String Quartet in C Major, D. 32, i, the String Quartet in C Major D. 46, i, the String Quartet in B-flat Major, D. 68, i, as well as later works such as the String Quartet in E Major, D. 353, i. In the case of D. 32 and D. 68, the tonic-to-submediant progression forms an integral and prominent part of the main theme's harmonic configuration. Thus these two movements also belong to the group of sonata-form movements in which the transition is based upon the harmonic motive of the main theme.

[38]See Rosen, *Sonata Forms*, 235-6.

While sudden shifts from the tonic into, say, the mediant key in a minor-mode sonata-form movement can be very effective, even in Schubert's earliest quartets,[39] similar moves from tonic to dominant seem to have presented a great difficulty to the young composer.[40] Certainly a quick pivot chord modulation between the two keys could not produce the same arresting effect as one from, for instance, the minor tonic to the mediant or flat submediant. Indeed, Schubert's early modulations to the dominant bear out Rosen's observation about the need to continue on to V/V/V if the modulation is "to have any ambition." In some instances, for example the first movements of the String Quartets in C Major, D. 32 and D. 46, the new key is established so weakly that the whole subordinate key area of the exposition amounts to little more than an expansion of the dominant harmony in the home key. A number of the transitions in subsequent sonata forms do, in fact, turn towards a dominant preparation of the new key, but without going as far as a V/V/V. Furthermore, the general structure of these transitions is often quite unconventional.[41]

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[39]See, for example, the String Quartet in C Major, D. 32, iv mentioned above and the String Quartet Fragment in C Minor, D. 103.

[40]According to Chusid, Schubert felt the dominant was too closely related to the tonic to afford an exciting modulation ("The Chamber Music," 9).

[41]The first movement of the String Quartet in D Major, D. 74 has a two-part transition ending in a dominant preparation of the new key; however the transition has much of the character and length of a development section (see chap. 3). The first movement of the String Quartet in E-flat Major, D. 87 also ends with a dominant preparation, yet the general path of the modulation, which is determined largely by a prominent harmonic motive of the main theme, leads towards the flat side, rather than sharp side of the key spectrum (see chap. 5, pp. 168-9).

A more significant development lies in a highly original strategy Schubert devises from the basic pivot chord modulation noted above. This type of transition masks its true tonal goal by dramatically expanding the submediant pivot to a status somewhere between a tonality and a harmony. The first movement of the String Quartet in B-flat Major, D. 68, provides the first instance in which the new scheme comes to the fore, albeit tentatively and with some confusion (see chap. 5).

The scheme is considerably refined in the first movement of the String Quartet in B-flat Major, D. 112 (see chap. 4). To recapitulate briefly, the transition of this movement features a struggle between the tonic (B-flat major) and submediant (G minor). At the last minute, however, a third tonality, the dominant (F major), enters the field and is established as the subordinate key through the perfect authentic cadence terminating the transition. The arrival of the dominant key, with its great release of tension is quite striking. Ultimately the effectiveness of the scheme depends on its unsettling digression to G minor, which acts as a blind to the true tonal goal of the transition. Yet the tonic key is never entirely displaced. It reasserts itself in the midst of the transition and, even when the music turns again towards G minor, the tonic key remains in the background as the only apparent alternative to the submediant. (It is for this reason that the move to a third unsuspected possibility, F major, is so striking.) Essentially then, the entry into F major (ex. 5.15, bb. 97-103) represents an advance from the tonic to the dominant sphere.[42] The dramatic expansion of the submediant

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[42]The close relationship between the tonic and its relative minor, here and in many other youthful, as well as mature, works looks forward to an aspect of Romantic harmony discussed most recently by Rosen: "The original tonic was often loosely

pivot, however, has magnified the power of this relatively simple modulation a hundred-fold.[43]

The first movement of the B-flat Quartet, D. 112, represents an important stage in the evolution of Schubert's sonata forms. In the first place, it brings to fruition his early experiments in modulating to the dominant key: the rather dramatic transition sets up the subordinate key and theme in such a way as to fuse them into a new distinct entity, equal in power to the main theme in the home key. In executing his plan, Schubert has managed to combine an unusual modulatory scheme with an essentially simple move from tonic to dominant without any dominant preparation of the new key.[44] These last features of the transition not only anticipate the fundamental modulatory mechanism of Schubert's mature transitions but they also form the outlines of his later three-key expositions.

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enough defined to contain both its own minor mode and the relative minor as well...." (*The Romantic Generation*, 249). The difference in the present case lies in the dramatisation of the submediant: rather than an unconscious slide from tonic to submediant, the moves from one key to the other have become emotionally charged events.

[43]The origins of the scheme in the submediant pivot chord modulation are more explicit in the earlier String Quartet in B-flat, D. 68, i, although here the plan is ultimately less successful.

[44]The use of perfect authentic cadences here is a innovative feature of the plan which separates it from Classical precedent, a topic discussed later in this chapter.

The Mature Transitions: Schubert's "Wrong Digressions" to a New Form

Schubert's mature transitions are so varied in their structure and character that it is difficult to reduce them to one or two basic plans.[45] However, the vast majority of them, no matter what their configuration, involve a more dramatic or colourful type of modulation than that usually found in a Classical transition. The main aim in Schubert's unusual modulatory schemes appears to be the creation of the necessary space and distinct atmosphere for a contrasting theme. In fact, at the point of entry of the subordinate theme, the listener often feels as if he had crossed over into a completely different tonal world.

One can sense a strong continuity with the experimental transitions of the early quartets in the way this particular effect is achieved: in such modulations, Schubert usually dispenses with a traditional dominant preparation of the new key, preferring a more abrupt tonal shift. Consequently the focus now falls upon the new tonic (at the beginning of the subordinate theme) rather than the dominant of the new key (at the end of the transition), an important and highly significant departure from Classical precedent. In fact, it is the intense quality of this new tonic, created in part by the novel effect of the preceding modulation, that so deeply colours the beginning of the subordinate theme.

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[45]See Webster, Schubert-Brahms, I," 22-25, for a discussion of this topic. We will return later to a number of points he raises.

More traditional, Classically oriented transitions are certainly not lacking in Schubert's sonata forms.[46] For instance, in those three-key expositions where the first subordinate key is fully established, the second subordinate key, almost invariably the dominant, is often reached through a transition ending with a dominant preparation.[47] What is important in such cases is that contrasting thematic material already has been admitted into the movement by an unusual or striking modulation to the first subordinate key. The second subordinate key region will then continue to work on motives from the first subordinate theme, or main theme, or a combination of both, but normally does not introduce anything radically new. This type of construction supports the point made above, that the thematic duality of Schubert's forms often requires an innovative transitional scheme to give the new material both a distinctness and a dramatic *raison d'être.*[48]

Even when Schubert does turn to the older types of transitions, he will often intensify their effect, as in the first movement of the Piano Sonata in E Major, D. 459. Here the transition (bb. 17-20) consists of a new melody in octaves culminating in a half cadence on the dominant (ex. 7.2). This melody is immediately repeated in the

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[46]Examples may be found throughout the composer's career, for instance, the Fifth Symphony, in B-flat Major, D. 485, i (1816) bb. 41-64, or the Piano Sonata in C Minor, D. 958, i (1828), bb. 21-38.

[47]See, for instance, the String Quartet in D Minor, D. 810, "Death and the Maiden," i. The *Quartettsatz* also highlights the new dominant at the end of its second transition, even though that transition concludes with a perfect authentic cadence in the new key.

[48]Webster has characterised the first modulation in such forms as a "sharp break." See "Schubert-Brahms, I," 30.

dominant key as the presentation phrase of the first subordinate theme (bb. 21-4). The basic strategy is typical of the Classical non-modulating transition–the concluding dominant harmony of bar 20 being reinterpreted straight away as the new tonic. However, the power of this reinterpretation has been magnified by the melodic relationship of the transition to the first phrase of the subordinate theme. Since the subordinate theme begins as a direct transposition *en bloc* of the transition, one feels all the more acutely the abrupt shift onto a higher tonal plane.

A similar, though more extreme, type of harmonic reinterpretation forms the basic mechanism of those transitions based on tonal feints. Such feints usually consist of a move to the dominant harmony of the "wrong" key, followed by the unexpected arrival of the "right" key's tonic at the beginning of the subordinate theme. Once again, the scheme focuses upon the new tonic, whose specific character depends in part on the sudden tonal reorientation at its point of entry.[49] The first movement of the Piano Trio in B-flat Major, D. 898, provides a typical example of this ploy (ex. 7.3).

The actual transitional process is quite complicated, involving carefully worked out parallels between the middle section of the main theme and the transition itself. The main theme suggests a small ternary form. The B section moves to, and prolongs, the dominant of the relative minor, then falls back to the dominant seventh of the home

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[49]An exception to this general characteristic can be found in the String Quartet in G major, D. 887, i. Here the transition from the tonic to the first subordinate key, D major (V), moves to a prolongation of the dominant of B minor. The beginning of the subordinate theme features a direct move from this dominant to the dominant seventh of D major, rather than the new tonic. This striking progression then becomes a recurring aspect of the new theme.

key only two bars before the beginning of the A^1 section (bb. 18-25). The A^1 section (ex. 7.3, bb. 26-37), which actually initiates the transitional process, moves abruptly to a perfect authentic cadence in the dominant key (b. 37).[50] The following passage (bb. 37-58) parallels the B section, beginning now in F major and moving eventually to the dominant of F's relative minor, D (b. 49). This dominant is prolonged for ten bars (bb. 49-58). During the last two bars, its root, A, is held over by the cello to become the first melody note of the subordinate theme at bar 59. However, the theme enters in F major, not D minor, the cello's A being gently transfigured by the piano's accompanying F major chord.[51]

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[50]The whole transitional process roughly parallels what Caplin has referred to as "two-part transition" (*Classical Form*, chap. 9). In Schubert's transition the perfect authentic cadence in F major which closes the returning A section could have functioned as an intensified half cadence in the home key, thus providing the first non-modulating part of the scheme. The following passage then functions as the modulating part, complicated somewhat by its suggestion of a presentation in the new key. We have seen a similar plan, without the feint, in the first movement of the String Quartet in D Major, D. 74.

[51]The functional and tonal ambiguities of the transition from the perfect authentic cadence in F major at bar 37 to the final entry of the subordinate theme at bar 59 are quite striking. On the one hand, the whole transition is contained within the dominant sphere: the construction of its beginning (bb. 37-43) resembles a presentation in F major--even the turn to F minor is quite characteristic of the subordinate key region in Classical sonata forms. On the other hand, the deliberate parallels with the preceding B section including its increased rhythmic drive, the use of model-sequence constructions, the final move to and prolongation of a dominant, all mark the passage under consideration as a transition. What is interesting here is that the first B section had much of the character of a transition, yet functioned more like the contrasting middle of a theme, while the transition suggests the beginning of a theme, but eventually turns out to be a transition. The reigning ambiguity of the whole process serves to add more force to the final formal clarification with the arrival of the true subordinate theme.

The effect of the theme's entry is quite beautiful. The transformation of the melody's initial note imparts a lyrical intensity inconceivable in a more Classically prepared subordinate theme. However, the actual mechanics of the scheme do have a Classical precedent, specifically the practice of substituting the dominant of the relative minor for the dominant of the home key at the end of a sonata form's development section.[52] Schubert has simply transferred an effective modulatory ploy to a different part of the form in a manner that has increased its lyrical force.

The composer began to use this specific modulation very early in his career, as may be seen in the first movement of the B-flat Quartet, D. 68 (see chap. 4). He continued to rely on it into his last year, witness the first movement of the String Quintet in C Major, D. 956, with its famous move towards E-flat major at the beginning of the subordinate theme. Here the same chord progression is employed–a dominant seventh (G^7 as V^7 of C minor) progresses unexpectedly to a major chord a major third below (E-flat). All three cases just mentioned, the Piano Trio, String Quartet and Quintet, even rely on the same mechanics: the fifth of the dominant is held over to become the third of the ensuing major chord. This harmonic formula, down to the details of its part-writing, thus provided the basis for one important type of tonal feint throughout Schubert's creative life.

Another feature of a number of the early quartets' transitions also proves quite durable: the reliance upon a concluding perfect authentic cadence as the doorway into

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[52]See Webster, *Haydn's "Farewell" Symphony*, 134-6; Beach "A Recurring Pattern" and Caplin, *Classical Form*, chap. 10.

the subordinate key.[53] Many of Schubert's later transitions also end with a perfect authentic cadence in the new key. Since a large majority of these transitions remain in the tonic key for most of their length, the actual modulation often consists of a quick step from home to subordinate key accomplished at the junction of the transition and subordinate theme. In contrast, Classical modulating transitions employ the half cadence or dominant arrival.[54] Here the modulation involves two steps: a move to the new dominant at the end of the transition, followed by the arrival of the new tonic in the subordinate theme itself.[55]

The use of an authentic cadence and the directness with which the modulation is accomplished are major factors in the shift in focus from the new dominant to the new tonic harmony in Schubert's transitions. The precise way in which the perfect authentic cadence fulfils its function, though, varies widely in the composer's mature style. The first movement of the String Quartet in E Major, D. 353, the last of the youthful quartets, provides one interesting transformation of the basic plan (ex. 7.4). The main theme of this movement ends at bar 17 with a perfect authentic cadence in the home key. It is followed by what Caplin would refer to as a "false closing section,"

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[53]See for instance the first movements of the Quartets in B-flat Major, D. 112, and G Minor, D. 173.

[54]See Caplin, *Classical Form*, chap. 9. Those few Classical transitions that do apparently end with a perfect authentic cadence usually involve a fusion of formal functions in which the transition and subordinate theme are deliberately run together (ibid., chaps. 13 and 14). See for example Haydn's Piano Trio in C Major, HXV: 27, iii.

[55]Sometimes the subordinate theme may delay the new tonic, beginning instead with a dominant prolongation (ibid., chap. 8).

one that begins as a codetta-like structure to the main theme, but, is reinterpreted as the functional beginning of the transition.[56] In this instance, the transition is generated in a highly original manner (bb. 17-31). A perfect authentic cadence in E major is set up in bars 22 to 24, the last two chords being repeated in the next bar.[57] However, the closing section does not really end here, for the final $V^{(6/4-7)}$-I progression is sequenced immediately in C-sharp minor (VI, bb. 25-7) and then B major (V, bb. 27-31). In the latter case, the progression, stated three times, brings the music into the dominant key for the beginning of the subordinate theme. The whole transitional process is thus based upon the sequential diversion of the original cadence from E major to B major.[58] (The augmentation of the third and last repetition of the cadential harmonies in B major [bb. 29-31] restores to some extent the closing function of the progression, which had been weakened by the preceding sequence. The slower rhythm makes the final cadential gesture more emphatic, signalling that this indeed is the end point of the modulation.)

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[56]Ibid., chap. 9.

[57]The procedure of immediately leaving the tonic to repeat the cadence's concluding chords also becomes a prominent feature of the final cadences of the subordinate theme (bb. 56 ff). Thus Schubert treats this ploy as a "motivic" element.

[58]The harmonic path, on the other hand, enlarges on Schubert's favourite pivot-chord modulation to the dominant key: I-VI-V/V. A very similar plan, involving the sequence of a cadential idea in the tonic, submediant and dominant keys supports the transition of the first movement of the earlier Piano Sonata in E Major, D. 157 (bb. 35-47). A precedent for Schubert's transition may be found in the finale of Haydn's String Quartet in D Major, op. 76, no. 5. Here the same abrupt sequence of a cadential gesture on I, VI and V/V carries the music from D major to the dominant A (bb. 17-24). However, this transition is part of the movement's "joke" and the sudden modulation is later filled out and regularized in the course of the subordinate theme.

This side-tracking of a cadence in one key into another is featured in quite a number of Schubert's transitions. A good example is found in the first movement of the Piano Quintet in A Major, "The Trout," D. 667. The basic strategy here is closely related to the "double cadence" type of mechanism found in the first movement of the String Quartet in B-flat Major, D. 112 (see chap. 5). To recapitulate briefly, the plan depends upon two cadences in quick succession, the first evaded in some way, the second, brought to completion, but in a different key from that of the first. While the "Trout" Quintet's transition is not as dramatic as that of the B-flat Quartet, it still manages to accomplish the modulation in an original manner, gently lifting the music from the tonic into the dominant sphere (ex. 7.5).

The transition grows out of a counterstatement of the main theme starting in bar 40. From bars 50 to 58 the theme's concluding cadence in the tonic key is played out by a chromatic digression through the dominant of C (bIII). At bar 58, the music returns to the pre-dominant harmony of the original cadential progression. The cadence is evaded, however, at bar 60 by a sudden turn back to the dominant seventh of C, initiating a replay of the chord progression of bars 56 to 58. A second cadence paralleling bars 57 to 58 is set up in bar 62. This time the music pivots into E major on the A major chord, which now functions as the pre-dominant harmony in a perfect authentic cadence at bar 64 (see ex. 7.5b for harmonic reduction). As in the transition of the E-Major Quartet, the whole transitional process is largely taken up with cadential material. An orientation towards the tonic prevails until the sudden tonal

realignment of the final cadence, which elides with the beginning of the subordinate theme. This surprise move strongly colours the new theme's initial tonic harmony.[59]

Cadential diversions can also form the basis for some of Schubert's most dramatic modulations, as may be seen in the transition of the first movement of the Piano Sonata in B-flat Major, D. 960. The Sonata begins with a long and lyrical main theme in a ternary design: an opening A section (bb. 1-18), ending with a perfect authentic cadence in B-flat, is followed by a "contrasting middle" built upon an expansion of the flat submediant chord (G-flat, bb. 19-35); this passage in turn leads to a counterstatement of the second half of the A section, beginning in bar 36. Here the music moves to the same concluding cadential progression as in the opening A section (ex. 7.6, bb. 40 etc.). At the last minute, however, the cadence is evaded by the substitution of the diminished seventh of C minor for the expected tonic chord (b. 45). This diminished seventh is then converted into the dominant seventh of F-sharp minor (b. 47), resolving to the F-sharp minor chord at bar 48. Thus the perfect authentic cadence that should have closed off the main theme in B-flat major has been diverted to F-sharp minor to begin the transitional process. Tonal stability is not re-established until the arrival of the subordinate theme in F major at bar 80.

Similar strategies may be found in Schubert's transitions, even when authentic cadences are not overtly involved. In the first movement of the Piano Trio in E-flat

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[59]An even more arresting effect is produced by a similar plan in the transition of the last movement of the Piano Sonata in A major, D. 664 (bb. 19-35). Here, however, both cadences are evaded (bars 26 and 34). In the second cadence, the music seems to balance on the edge between the two tonalities, finally tipping towards the dominant key in the enharmonic respelling of F as E-sharp in bar 32.

Major, D. 929, the transition involves a modulation so dramatic that it approaches a *coup de théâtre* (ex. 7.7). Once again the transitional scheme is quite complex. The main theme (bb. 1-12) ends with a perfect authentic cadence in the tonic key eliding with a counterstatement of the theme. The counterstatement initiates a quick move to the dominant key (bb. 16-22). However the music then returns through a sequence on G-flat (bIII) and C-flat (bVI) to a series of forceful half-cadential gestures in the tonic key (bb. 32-41), the second of which employs the tonic minor as the pre-dominant harmony (bb. 38-9). The run-up to the second half cadence is repeated in bars 44 to 46. This time though, the pre-dominant harmony has been subtly altered to the German sixth of B-flat major. At this point, then, the music could possibly pivot into the dominant key in a manner similar to what we have seen in the previous example of the "Trout" Quintet (see ex. 7.7b for a recomposition of the present passage). Yet the true surprise has been reserved for the end of the modulation. At the very last moment what should have been the German sixth of B-flat major suddenly becomes the dominant seventh of B minor, the music "crashing into" the latter key, to quote Webster, in a dramatic resolution to B minor in bar 48.[60] Although there is not a

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[60]Here we have another example of a "two-part transition," in which the first part, the counterstatement of the theme (bb. 12-15), approximates a Classical non-modulating transition ending with a half cadence at bar 15, and the second part constitutes a highly unusual modulating transition. Of particular interest is the way in which this last section suggests the beginning of a theme in the dominant key (B-flat major, bb. 16-23), before returning back through the tonic and on to the surprise modulation to B minor. This particular ploy–a non-modulating transition followed by the beginning of a theme in the proper key, then further modulations to the true subordinate theme–was first developed in the opening movement of the String Quartet in D Major, D. 74. The use of a two-part transition in the Piano Trio is important in the overall scheme, for it allows Schubert to allude to the eventual destination of the modulation, the dominant,

true perfect authentic cadence here, as there was in the previous example, the focus of the modulation is still firmly fixed on the new tonic chord, B minor, rather than the dominant, F-sharp[7], which emerges so unexpectedly out of the reinterpretation of the augmented sixth chord.

The music does eventually reach the key of B-flat major (b. 84), but only after an unsettled, modulatory passage passing back from B minor, through the original tonic E-flat, and on to the dominant key. The basic plan of this movement's transition opens up a major category of Schubert's transitional schemes in which the tonal feint has been elevated to a complete and fully worked out digression. This strategy embraces the full range of the composer's famous three-key expositions.

According to Webster, Schubert's three-key expositions essentially grow out of an expanded transitional process:

> In harmonic terms, the first section in a double second group always leads from the tonic to the dominant, and thus always constitutes a transition. Hence there is no need to feel bound by Tovey's stricture that Schubert was "searching" for new forms–he had already found them. The correlation between lyrical interlude and remote (or unstable) key within an overall I-V framework, is logical and compelling. When the opening of the second group is unstable, its transitional function is clearest. The only possible criticism would be a felt dissociation between the "otherworldly" character of a lyrical theme and its tonal instability, as in the Quintet [in C major D. 956]. When the opening section is tonally stable, one might feel a dissociation between its firmness of character and its tonal function as a transition."[61]

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before sidetracking the modulatory process so dramatically. In short, the first part of the scheme provides the necessary perspective for the events of the second half.

[61]"Schubert-Brahms, I," p. 30.

Unfortunately Webster's formulation is rather extreme. Granted, the three-key exposition does function within the transitional process of Schubert's sonata forms. As a group, though, these expositions exhibit such a wide range of structures that some differentiation between sub-categories must be made. The problem lies specifically in those movements where a fully established and cadentially closed subordinate theme occurs in the middle key. This part of the form cannot be reduced simply to a transition. Even though it appears within the context of an expanded transitional process, the intermediate key still introduces a new thematic and tonal element whose role in the form must be taken into account. Thematically, the first subordinate theme often acts as the affective pole to the main theme. Many later events, specifically the second subordinate theme, depend upon this duality for their significance and motivic make-up, as we have seen in the *Quartettsatz*. Tonally, the intermediate key, when fully established, is rarely a passing phenomenon; quite often its relationship to both the home key and the second subordinate key is worked out in detail during the course of the movement–a topic we will deal with more thoroughly in the next chapter.

However, Webster's underlying thesis that the three-key exposition has its origins in Schubert's transitional strategies is borne out by the first movement of the B-flat Quartet, D. 112, as well as a number of Schubert's other experiments in his early quartets. In the three-key exposition, the sudden reorientation of expectations, so characteristic of Schubert's transitional process, has been heightened. Essentially such a scheme elevates the tonal feint from a local diversion to a large-scale digression engendering a whole range of tonal and thematic relationships.

The digressive character of the transitional process is most obvious in those three-key expositions whose modulation depends upon a "revolving door" strategy. In such schemes, Schubert employs a chord with a multiple meaning, either a German sixth or a diminished seventh. The first modulation explores the hidden side of the chord's dual nature, opening a secret doorway into a distant tonal realm. The second modulation returns the chord to its "proper" tonal context. In the *Quartettsatz*, D. 703, for instance, the German sixth of G major first acts as the dominant seventh of A-flat major, before fulfilling its function in G major (see fig. 2.1). Another example, the first movement of the Piano Sonata in B-flat Major, D. 960, uses a diminished seventh chord to shift to, and away from, F-sharp minor.[62]

In both cases, the pertinent chord returns in virtually its original position and register, thereby bringing the listener back to the same fork in the road. Schubert's practice is not always so transparent: there are many instances in which the reappearance of the crucial harmony does not parallel so precisely the original appearance,[63] as well as quite a number of movements where such recurring references

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[62]Rosen has referred to this chain of events as "a magnificent detour" (*Sonata Forms*, 261). The diminished seventh enters as the crucial harmony in the cadential diversion to F-sharp minor discussed above. It then returns as the pre-dominant chord initiating the dominant preparation for the second subordinate theme in F major (bb. 72-4).

[63]The first movement of the "Grand Duo" Sonata in C Major, D. 812, for example, follows a three-key plan similar to that of the *Quartettsatz*. The second key, A-flat major, is established by a sudden move to its dominant seventh, (bb. 44-50). This chord also doubles as the augmented sixth of G major when it prepares that key's dominant at the end of the second transition (bb. 74-5). The whole plan is more complex than that of the *Quartettsatz*,for it involves another augmented sixth/dominant seventh chord (on E) which is first alluded to in the main theme (bb. 15-16 and b. 20) and resurfaces in the first transition as the augmented sixth of A-flat major (b. 44).

are even more attenuated.[64] In all cases, though, the second transition brings with it some suggestion of the home key, which, although it is never firmly re-established, maintains a shadowy presence in the background.[65]

Drawing implicitly on Classical norms, Webster considers that this and other features of Schubert's modulatory strategy reveal two important weaknesses in the composer's approach to large scale structures. The first of these apparent failings consists of Schubert's "reservations" with respect to the dominant, particularly his avoidance of dominant preparations for the subordinate key.[66] The second, which is related to the first, involves Schubert's "inhibitions against leaving the tonic." Webster discusses this last point with reference to the three-key exposition, although as he himself states, his general comments apply as well to more conventional expositions:

> A more solid basis for criticism, partly because it reflects a more pervasive aspect of Schubert's style in larger works, is his delay in leaving the tonic. In the three-part expositions, there is usually no transition to the first section of the second group, the modulating transition to the dominant follows that section, and the tonic itself tends to appear at crucial places. We now have a different and more powerful dissociation. The first section of the first group sounds like a sharp break, and it presents a new idea in a new key; but the

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[64]As we have seen above, the transition in the first movement of the E-flat Piano Trio depends upon a redirection of the G-flat German sixth chord as the dominant seventh of B minor. This specific harmony does not return in the move to the dominant key after the diversion. The simple G-flat chord, though, is quite prominent in the series of authentic cadences that finally confirm the dominant key (bb. 104-8).

[65]The chief method of allusion consists of a prolongation of the tonic key's dominant (see the *Quartettsatz*, ex. 2.4, and the C-Major Symphony, D. 944, ex. 6.5). In these cases, Schubert seems to delight in juxtaposing the original function of the chord as dominant with its imminent role as a tonic, an interest which may be traced back to his earliest sonata forms. Such a ploy has its roots in the Classical non-modulating transition.

[66]"Schubert-Brahms, I" 34.

> underlying reality--in Schubert's unconscious, one is tempted to add--is that the tonic still holds sway. Perhaps the violence of Schubert's moves to remote keys masks his reluctance to take the truly significant step to the dominant. Only after having gone through this shadow-play--by this hypothesis--could he fulfil the destiny of sonata form in the dominant.[67]

We will deal with each charge in turn. First, Schubert's avoidance of a dominant preparation in many of his most striking modulations is a major factor in the effect of those modulations. To recapitulate briefly, a Classical modulating transition announces its tonal goal through its concluding move to the dominant of the new key. The tension of this scheme is derived from the listener's expectation of the arrival in the new key at the beginning of the subordinate theme. Beethoven in particular can increase this tension through playing out the dominant preparation.[68]

Such a declaration of tonal intent is largely dispensed with in Schubert's transitions, as we have seen in the examples discussed so far. Instead we find either a deliberate clouding of the music's tonal goal (accomplished by a feint towards another key or a revolving door modulation) or a transition that moves suddenly to a perfect authentic cadence in the new key. At the entrance of the subordinate key, one is thus faced with a sharp tonal reorientation rather than a confirmation of one's expectations.

If we were to "correct" Schubert's transitions by adding a "proper" Classical dominant preparation, we would destroy one of the most original features of his sonata forms--the heightened moment of arrival of the subordinate key, which can appear with the force of a sudden revelation. Anything remotely resembling the same effect is

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[67]Ibid., 30.

[68]See the Piano Sonata in C Major, op. 53 ("Waldstein"), i.

impossible if the new key has been carefully prepared beforehand by its dominant. The intensely lyrical character of Schubert's subordinate themes attests to the enhanced power of his modulations. In fact, it is not necessarily the remoteness of the subordinate key, as Webster has stated, but the way in which that key has been reached that allows "Schubert to sing."[69] Even the dominant key can accommodate such lyricism when it has been entered through an unusual modulation, as in the first movement of the Piano Trio in B-flat Major, D. 898.

The second charge Webster levels against Schubert's sonata forms--that they exhibit an "inhibition against leaving the tonic key"--brings up a more complicated issue. Two categories of expositions, the two and the three-key, must be dealt with separately, although their transitions follow the same lines. In those sonata-form movements whose exposition contains only one subordinate key, the transition often remains for quite some time in the home key, or will seem to be moving off towards the subordinate key, but will circle back towards the tonic. Whatever scheme is used, the main aim is to reserve the actual modulation to the very end of the transition. This procedure alone does not indicate any "inhibitions" on Schubert's part against leaving the tonic key. Rather, it is part and parcel of his attempt to make the modulation more effective, something with the *éclat* of a tonal shift, accomplished at times through the type of "double-cadence" strategy we have seen in the first movement of the "Trout" Quintet.

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[69]"Schubert-Brahms, I," 24.

When Schubert builds his transition on a feint away from its true tonal goal, he certainly shows no reluctance in leaving the home key. The transition of the Piano Trio in B-flat Major moves with singular purpose to the dominant of D minor (ex. 7.3, bb. 48-56).[70] In many ways the dynamic path to the new dominant is an important aspect of the feint, convincing the listener that all is well and that the music is headed in the right direction, thus enhancing the surprise at the beginning of the subordinate theme. No trace of the home key may be found in the whole process. Furthermore, the key towards which the music drives, D minor, is defined in relation to the dominant key, F major, which appears as the true subordinate tonality at the beginning of the subordinate theme. The music has clearly left the tonic long before its final arrival in the subordinate key.

Turning to Schubert's three-key expositions, we may now deal in detail with many of the points Webster raises. In the first place, Webster's assertion that there is no transition to the first section of the double second group is untenable. The first subordinate key of the three-key exposition is almost invariably prepared by a passage with a clear transitional function. In fact, it is in such passages that Schubert's most original modulations occur. As in his transitions in the two-key exposition, though, the modulation is shifted to the transition's very end, where it often forms part of a perfect authentic cadence eliding with the beginning of the subordinate theme (see for

[70]See also the String Quartet in G Major, D.887, i, where the transition moves from the tonic to the wrong dominant.

instance the *Quartettsatz*).[71] What Webster seems to be objecting to when he denies the first transition its status as such, is its unorthodox character. Instead, he has privileged as a true transition the more conventional modulation to the dominant after the first subordinate key has been left. Yet the first transition is extremely important in the larger modulatory scheme, and cannot be ignored. In many of Schubert's three-key expositions, the unusual modulation of the first transition, Webster's "sharp break," appears as a disturbance in the tonal workings of the form, an event that must be absorbed into the second transition and "corrected" in some way. The second transition thus often cycles back towards the tonic to allude to the original context of the modulation it is set to redirect.

This plan is most obvious in the "revolving door" modulations we have discussed above, which depend upon the double meaning of a specific chord. The chord resolves in an unexpected way in the first transition, thus opening the door into the digression, then returns later to resolve as it should. In these instances, and indeed many other types of three-key schemes, the tonic key is passed through in a sequence, as in the first movement of the Piano Trio in E-flat Major, D. 929, or is alluded to in a dominant prolongation, as in the *Quartettsatz*, but is never fully re-established. Furthermore, in the revolving-door modulations at least, the pivotal harmony that provides the means

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[71]Granted, in German a distinction is often made between a full-fledged "Überleitung" or transition and a short "Zwischenglied" or join, as one would find in the first movement of the "Great" C-Major Symphony. Here the quick move from C major to E minor involving only two chords almost amounts to a juxtaposition of keys. However, the two-chord progression itself is motivically important and does act as a modulation, albeit spectacularly abrupt.

for the digression is related to the dominant key, not the tonic. This harmony, usually a diminished seventh or German sixth, ultimately prepares the dominant chord of the new key.[72] In short, Schubert's "magnificent detours" are usually routed through a chord that plays a crucial role in establishing the dominant as the subordinate key. Considering the expanded role of these pre-dominants, it is ironic that Schubert has been criticised for his failure to properly prepare the new dominant chord in his transitions.

The status of the middle key is another important point Webster raises in discussing Schubert's inhibitions against leaving the tonic. The first modulation in such structures establishes an intermediate tonal area between tonic and dominant keys, and here the word *intermediate* must be emphasized. At first, the new key may be defined in relation to the tonic, particularly when the second transition refers back to the latter key. In this respect, Schubert's three-key expositions differ from those of his contemporaries who, according to Rosen, placed the first subordinate key in relation to the dominant that would follow.[73] However, once the music has passed into the second subordinate key, deliberate, even dramatic references to the intermediate key allow that key to be defined retrospectively in terms of the new key--a clarification, essentially, of the intermediate key's ultimate status in the exposition. A fine example

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[72]In the first movement of the Piano Sonata in B-flat Major, D. 960, the pre-dominant revolving door is the VII^7/V of the dominant key; in the *Quartettsatz*, it is the German sixth of the dominant key.

[73]The difference is implied, but not explicitly stated in the examples Rosen draws from Beethoven and Schubert (see *Sonata Forms*, 246-7).

of this process is provided by the *Quartettsatz*, where the middle key, A-flat major, may first be understood as the flat submediant of the tonic, C minor. The prominent return of A-flat harmony in the final cadential passages of the second subordinate key, G major, allows the intermediate key to be redefined explicitly as the Neapolitan of the dominant.[74]

Essentially then, Schubert three-key expositions do not indicate a reluctance to leave the tonic key. They do, however, reveal a complex transitional process beyond the norms of Classical practice. Although the Classical tonic-dominant poles of the exposition are maintained, the traditional modulation from one point to the other in a more or less straight line has been replaced by a shifting focus on three keys whose relationships are viewed at various points from different perspectives.

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Of all of the experiments in Schubert's youthful quartets, it is the novel transitional process, with its reliance upon feints, allusions, and deliberate tonal as well as formal ambiguity, that represents the most important innovation in the composer's handling of sonata form. The exploitation of illusion and surprise in the transition has important consequences not only in the immediate context of the exposition but throughout the form, as will be shown in the next chapter.

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[74]See chap. 2.

CHAPTER 8

THE SIGNIFICANCE OF SCHUBERT'S MODULATORY STRATEGIES FOR THE FORM AS A WHOLE

In the preceding chapter, it was argued that the unusual modulatory schemes of Schubert's transitions are as important to the unique character of the subordinate theme as that theme's motivic make-up. This thesis was first enunciated by Klaus Rönnau:

> The examples [the "Unfinished" Symphony, D.759, i, and the String Quintet in C major, D. 956, i] show quite clearly that Schubert considered the modulation leading to the new tonality of the subordinate theme so crucial for the meaning of this theme, that he maintained it unchanged (or simply transposed) in the recapitulation, where, according to the standard conception of sonata form, it had no place. One might take it to be an inadmissible enlargement of the concept of a theme, to grant a thematic meaning to those modulations that, as modulating transitions or joins, are considered to be non-thematic in analytical terminology; that Schubert maintains them unchanged in their close association with the subordinate theme in the recapitulation, however, suggests that a quasi thematic function has been attached to them: they give the actual theme that follows an expressive colour, without which it would lose its specific meaning.[1]

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[1]"Zu Tonarten- Disposition," 436.

The transpositional relationship of Schubert's recapitulations to his expositions (in short, his reluctance to make more than minimal changes in the returning material) has often led to charges of a mechanistic approach to form. According to Rönnau's thesis, though, the nature of Schubert's recapitulations is also affected by the unorthodox modulatory strategies of his exposition. One can further amplify this assertion, for a closer look at the topic reveals that more is involved in these recapitulations than simply maintaining an effective modulation.

The Recapitulation Problem

As Rönnau has suggested, Schubert's idiosyncratic methods of modulation pose a specific difficulty for the recapitulation–the preservation of those harmonic relationships between the transition and the beginning of the subordinate theme that helped create the theme's "expressive colour" in the exposition.[2] When the exposition moves from the tonic to the dominant, these relationships can be maintained by simply beginning the recapitulation in the subdominant, a practice strongly associated with,

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[2]Schubert's sensitivity to the specific character created in the subordinate theme by such modulations sets him apart from some of his contemporaries. In the first movement of Hummel's Piano Sonata in D Major, op. 106, the subordinate theme, in A major, is approached through a feint to the dominant of F-sharp minor. In the recapitulation this ploy is abandoned for a conventional dominant preparation in the home key. Similarly in the first movement of Beethoven's Piano Sonata in F Major, op. 10, no. 2, the subordinate theme in C major is entered through the dominant of A minor. Once again this dramatic event is not repeated in the recapitulation. The main theme simply cadences onto the subordinate theme. In this last case, though, Beethoven has worked out the implications of the unusual manoeuvre in the exposition at the end of the development section.

and roundly condemned in, Schubert's work.[3] A slightly more complex solution consists of starting off the recapitulation in the home key, then shifting to the subdominant region to retain the harmonic path of the transition. This procedure, rather than an outright subdominant recapitulation, is the one favoured by Schubert.[4]

When the exposition moves to a key other than the dominant, clearly a subdominant recapitulation will not work. The first movement of the Violin Sonatina in A Minor, D. 385, has a three-key exposition consisting of a main theme in A minor, a first subordinate theme in C major (III, bb. 23-31) and a second subordinate theme in F major (VI, bb. 41-55). A simple transposition of the recapitulation to the

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[3]A subdominant recapitulation has been considered rightly or wrongly a lazy man's recapitulation, since it can quite easily amount to nothing more than a transposition of the exposition down a fifth, or up a fourth. Tovey refers disparagingly to movements with such transposed recapitulations as "fold-up forms." The "Trout" Quintet in particular draws his ire, for three of its five movements employ "fold-up forms" ("Franz Schubert," 101-2). It is unfortunate that, since Tovey's essay, the subdominant recapitulation of the first movement of the "Trout" Quintet has been taken as Schubert's common practice and has become a symbol of his "laziness." In a number of early works–the String Quartet in D Major, D. 74, for instance, or the Second Symphony, D. 125–Schubert uses as a type of cyclic procedure parallel forms in the first and last movements. In the "Trout," the high incidence of "fold-up" movements, each of which relies on a different level of transposition for the recapitulation, would seem to indicate that, once again, Schubert is experimenting with a specific formal procedure throughout the whole cycle. There are, in fact, very few works that are as blatantly "fold-up" as the "Trout."

[4]Such a realignment to the subdominant in the recapitulation may also be found in some Classical sonata-form movements. See, for example, the slow movement of Mozart's Piano Sonata in G Major, K. 283, where, in the recapitulation, the music is suddenly routed to the subdominant for the beginning of the transition (b. 27). All that follows is a transposition of the exposition. A slightly more complex redirection to the subdominant may be seen in the last movement of the Piano Sonata in F Major, K. 280. See also the first movement of Beethoven's Violin Sonata in E-flat Major, op. 12, no. 3.

subdominant would bring the movement to a close in the key of B-flat major, the Neapolitan. In order to end in the tonic, A, an unaltered transposition would have to begin in C-sharp minor, an impossible choice even for a harmonically adventurous soul like Schubert. In this case, a compromise is reached: the recapitulation begins in the subdominant key, D minor, and the harmonic path is preserved right up to, and including, the first subordinate theme, which appears in F major (bb. 100-8). The second transition (bb. 108-18), however, is slightly altered to bring the music back from F major to the tonic, A minor.[5] This movement thus provides another example, to add to those already discussed by Rönnau, of Schubert's minimal alterations to his recapitulations. (Despite the reorientation of the second transition, there is actually no difference in bar count between the exposition and the recapitulation, with the exception of the final six-bar codetta to the movement.)

In Rönnau's view, such realignments are usually motivated by Schubert's concern to avoid a distant, and thus unsuitable, key at a late juncture in the form.[6] When considered within the overall tonal scheme, however, the recapitulation of the A-Minor Sonatina reveals more than just a desire to return to the tonic well before the last bar of the piece. In fact, it is designed to focus on a specific tonal relationship central to the movement's design–the connection between A minor and F major, the tonal poles

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[5]The key scheme of this movement bears certain similarities to that of the first movement of the Violin Sonatina in G minor, D. 408, written during the same period. Again the move to VI (E-flat) at the end of the exposition is resolved in the recapitulation, although this time all three keys of the exposition return. See Rosen, *Sonata Forms*, 357, for a discussion of this movement.

[6]"Zu Tonarten-Disposition," 437.

of the exposition. One aspect of this relationship, F major's status as submediant to A minor, is stated explicitly at the end of the exposition (ex. 8.1, b. 56). Here the music pivots on the F-major chord to return to A minor for the exposition's repetition. The same pivot chord modulation ushers in the development section, which essentially functions as a transition from A minor to D minor.

As mentioned above, beginning the recapitulation in the subdominant allows the music to arrive in F major for the first subordinate theme without any readjustments to the original plan of the exposition. Once F major is reached, its relationship with A minor becomes the music's main topic. To understand the mechanics of what follows in the recapitulation, we must briefly turn to the parallel passages in the exposition (ex. 8.2a). Here the first subordinate theme is constructed as a sentence in C major. The ensuing transition begins with a restatement of the theme's presentation in C major (bb. 31-5), then continues through a sequence by step from D to E (bb. 36-9) and on to a perfect authentic cadence in F major (bb. 39-41) to initiate the second subordinate theme.[7] The basic modulatory scheme thus consists of a scalar ascent from C up a perfect fourth to F.

In the recapitulation, the structural relationship between the first subordinate theme and the ensuing transition is maintained: the transition begins as a restatement of the theme (both in F major, ex. 8.2b, bb. 108-12), then moves by stepwise sequence from G to A minor (bb. 112-15). At this point, the transition diverges from its parallel

[7]This goal tonality is suggested as far back as the presentation of the first subordinate theme with its tonicization of IV in C major (bb. 23-6).

in the exposition: rather than proceeding one semitone higher to B-flat major, it remains in A minor for the concluding perfect authentic cadence (b. 118). The rest of the movememt continues in the home key. In this manner, the transition not only "corrects" the immediately preceding theme by leading the music back from F major to the home key, A minor, but it also reverses the overall A-F tonal movement of the exposition.[8]

Once the home key has been re-established, F major is highlighted as a harmony within the series of cadences that bring the movement to a close (ex. 8.3a). The first two of these cadences are deceptive, with F major (VI) substituting for the final tonic chord. A perfect authentic cadence then closes off the movement. Even harmonic details contribute to this concluding summary: in each of the three cadences, the pre-dominant harmony recalls a "sensitive sonority" from the recapitulation (ex. 8.3b). The first cadence employs the subdominant, D minor, referring to the tonality of the recapitulation's beginning. The second turns to the German sixth of the home key, which had appeared as the dominant seventh of B-flat major in the presentation of the first subordinate theme (bb. 100-104) and the beginning of the subsequent transition (bb. 108-10). The allusion in the third cadence's pre-dominant is more subtle: the B-flat Neapolitan six does not refer directly to a previous harmonic event, but to a potential modulation that was deliberately avoided. If the path of the exposition had been followed right to the end of the subdominant recapitulation, the music would

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[8]Viewed from a broader perspective, the whole movement is thus based upon a modulation from the A minor/C major sphere to the D minor/F major sphere and back again.

have ultimately arrived in B-flat major. This goal is suggested in the tonicization of B-flat at the beginning of the transition to the second subordinate theme, but A minor proves to be the final destination.[9] Instead B-flat is granted the role of a crucial cadential harmony in the final cadence of the movement. The appearance of B-flat's dominant seventh as the German sixth of the preceding cadential progression refers obliquely to the key's thwarted potential.

This movement reveals two aspects of Schubert's sonata form that must be kept in mind when dealing with the "recapitulation problem" discussed below. First, key relations can assume a motivic significance in themselves, a characteristic also evident in the first movement of the "Great" C-Major Symphony.[10] Schubert's recapitulations are thus often motivated by broader concerns than simply retaining a complex harmonic pattern worked out in the exposition. Second, Schubert does not invariably preserve the "expressive colour" of the subordinate theme in his recapitulations. Although the A-Minor Sonatina's recapitulation maintains the character of the first subordinate theme, such is not the case with the second subordinate theme: there is a world of difference between its statement in F major in the exposition, and its return in A minor in the recapitulation. This difference is directly related to the alteration of the second transition in the recapitulation, as well as the theme's change of mode in its second appearance. In the exposition, the theme has a certain brightness to it,

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[9]In the exposition's transition, the goal suggested at the beginning, F major, had indeed turned out to be the tonality of the second subordinate theme.

[10]See chap. 6.

partly due to the move from E minor to the perfect authentic cadence in F major at the end of the transition. Here the music seems literally to step into a higher tonal realm. In the recapitulation, the opposite effect is felt. Instead of this sudden brightening at the end of the transition, one feels a darkening: the music reaches A minor and stays there for the final cadence, lending an almost fatalistic air to the home key's return (compare in particular ex. 8.2a, bb. 39-42, and ex. 8.2b, bb. 116-19). In such cases, then, the deliberate change in the theme's character holds a crucial significance for the general "meaning" of the movement. Admittedly, though, instances like this one are a minority, as shall be seen now that we return to the "recapitulation problem" of Schubert's sonata forms.

Most of the examples Rönnau presents of specially coloured themes involve a preparation by dramatic or swift modulations, often based on feints, or abrupt tonal shifts. These cases strongly support his contention that the unusual way in which the theme is approached is essential to its character and must be maintained in the recapitulation if that character is to be preserved.[11] Such modulations, represent only a portion of the transitions that would have posed a problem to Schubert in his recapitulations.

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[11]Only one major instance exists in which such a striking modulation is abandoned in the recapitulation: in the first movement of the "Great" C-Major Symphony, D. 944, the sudden shift from C major to E minor at the beginning of the subordinate theme becomes quite simply a turn from C major to C minor in the recapitulation. Again, as in the A-Minor Sonatina, the change in the theme's "colour" is significant in the movement as a whole, although the alteration is not as great as in the Sonatina due to the maintenance of the minor mode for the theme's return.

The root cause of the difficulty is the heightened profile of the subordinate theme and key. Even a transition clearly built upon Classical procedures may prove intractable when the composer wishes to re-create its effect in the different tonal context of a recapitulation. The first movement of the Piano Sonata in E Major, D. 459, provides a good example (see ex. 7.2). As we have seen in the preceding chapter, the transition (bb. 17-20) basically follows the plan of the Classical non-modulating type, which, for Schubert's predecessors, would have posed no problems in the recapitulation: the transition would be repeated verbatim, then the subordinate theme would begin in the home key. Schubert's transition, though, cannot follow this path. The whole effect of his scheme depends upon the transposition of the transitional material to a new tonal level at the beginning of the subordinate theme. A simple repetition would be at best lame: if the subordinate theme is to enter as an otherworldly reinterpretation of the transition itself, it clearly cannot be stated in the same key. Schubert's solution is the only one possible in this case--a subdominant recapitulation which preserves the original scheme of the exposition.

The tendency in Schubert's sonata forms to run the end of the transition into the beginning of the subordinate theme through an authentic cadence also presents substantial difficulties if the original effect in the exposition is to be maintained in the recapitulation. Again, a Classical modulating transition allows more flexibility, since it is essentially a modulation in two stages, involving first a half cadence, or dominant prolongation in the new key at the end of the transition, followed by the definitive arrival of that key's tonic at beginning of the subordinate theme.

In the Classical transition, the move to the new dominant acts as a well-established sign, a convention one can hear in sonata form after sonata form, each example drawing on the same effect. When Schubert's transitions avoid this standard feature, they leave themselves less room to manoeuvre in setting up the new tonality, for now one finds a closer, more individual association of the transition with the subordinate theme, particularly if the path to the transition's concluding authentic cadence is unusual as well. For example, let us look at the first movement of the last of the youthful string quartets, the Quartet in E Major, D.353.

As we have seen in the preceding chapter (see pp. 254-5), the transition consists of a sequence of the final chords of a cadence in the home key (E major) onto first the submediant (C-sharp minor) and then the dominant (B major), where the music cadences in bar 31 (ex. 8.4a). The problem this scheme presents for the recapitulation lies in the necessity of having a different beginning and end point tonally, since sequences of the same cadential material make up the whole transition. If the music begins in the tonic, sequences somewhere else, then returns to the tonic with exactly the same material as it started out with, the whole transition becomes somewhat redundant, even ridiculous. One solution might be to cadence directly into the subordinate theme, omitting the transition completely. An immediate cadence would be too abrupt, particularly since the wit of Schubert's original transition depends upon the repetition of the cadential idea on different degrees ending with an augmentation for the final statement. The cadence would thus have to be played out a little.

Another solution, the one we would expect from a composer supposedly so ready to embrace the quick fix, could consist of some form of a subdominant recapitulation. Schubert, however, does not follow this easy path, for reasons that will become clear in the following discussion. Instead he opts for something much more radical (ex. 8.4b): the recapitulation begins in the tonic; the basic strategy of the original transition is maintained, but now the music moves from E major, though a sequence on F-sharp minor (II) to cadence in G major, (bIII) for the beginning of the subordinate theme; it is then up to that theme to regain the home key.

To understand the rather odd chain of events in the recapitulation we must broaden the scope of our discussion to the whole movement, beginning with the exposition. Here we must look first at the structure of the subordinate theme, which follows the lines of a large sentence (ex. 8.4a). The presentation extends from bars 31 to 39. The continuation (bars 39-65) is expanded by what Tovey would refer to as a "purple patch" (43-53). The theme itself is firmly grounded in the dominant key, B major. The continuation's "purple patch," however, forms a momentary digression: it first moves away from B major, through a reinterpretation of that key's augmented sixth as the dominant seventh of C major, only to return in a descending sequence through the subdominant minor, E, to a series of cadences in B major beginning at bar 57. (In the recapitulation, this "purple patch" becomes a feature of great importance in the tonal mechanism of the movement).

Leaving the exposition, we come to a rather modest development section which concentrates on two keys, G major, (bIII, bb. 83-91) and A major, (IV, bb. 93-110).

The music then leaves A major through a move from its parallel minor to F major (bII), which in turn leads to the dominant preparation for the return to the home key at the beginning of the recapitulation. The tonal plan of the development section is of some significance in the overall structure. The use of the subdominant key as its central tonality makes any form of a subdominant recapitulation redundant and thus virtually impossible. Yet, the consequent restriction in choice is not necessarily a miscalculation on Schubert's part. The construction of the recapitulation, particularly its subordinate theme, reveals the broader significance of the events in the development.

In the recapitulation, the subordinate theme becomes a modulating sentence, moving from G major (bIII) back to the tonic, E major (ex. 8.4b). Thus the transition and subordinate theme together form a substantial digression within the concluding tonic region of the movement. The modulation from G back to E major incorporates into it an echo of the tonal path of the development section, G-A-F, although the precise harmonic connections between these keys are not maintained in the later passage (ex. 8.4b).[12] The subordinate theme's presentation phrase is squarely in G major. The continuation begins in that key, moving from the dominant chord to the diminished seventh then German sixth chords. At the parallel point in the exposition, a reinterpretation of the German sixth had initiated the "purple patch" discussed above.

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[12]The return of a specific sequence of keys in the E-Major Quartet is characteristic of the composer's sonata style, as seen in the first movement of the "Great" C-Major Symphony. Another example is found in the "Reliquie" Piano Sonata in C Major, D. 840, where the tonal series B-D-F-Ab constitutes an important recurring element of the key structure, most evident in the transition, the development and the very odd recapitulation, which begins as a false recapitulation in B major and moves through D major and F major before reaching the tonic C.

In the present instance, the music flirts with the possibility of the German sixth's resolving as the dominant seventh of A-flat minor (bb. 178-9). At the last moment, though, such a remote tonal shift is sidestepped through a chromatic move to the dominant seventh of A (IV). A deceptive resolution of A's V^7 to the F major chord (bb. 180-1) is followed by a prolongation of F major, (bb. 181-184) then a descending sequence oriented towards A minor (bb. 185-8). This sequence brings us back to the A minor chord (IV) as the pre-dominant harmony of the theme's concluding series of cadences in E major (beginning in bar 193).

Schubert's solutions to the recapitulation problem in both this movement and the first movement of the A-Minor Violin Sonatina reveal more flexibility than Rönnau's thesis would imply.[13] Furthermore, while some of the alterations in the recapitulations may be minimal in terms of a simple bar count, they can often involve some fairly complex harmonic changes which form part of a carefully constructed network of tonal relations extending over the whole form. The two examples we have looked at so far, though, are relatively early works, dating from 1816. The great subtlety of Schubert's art is better illustrated by one of his mature masterpieces, the String Quartet in D Minor, D. 810, "Death and the Maiden."

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[13]For a more thorough summary of Schubert's recapitulations with specific references to his treatment of key relations, see Webster, "Schubert-Brahms, I," 31-4.

Motivic Key Relations: The First Movement of the Quartet in D Minor, D. 810 ("Death and the Maiden")

The Quartet in D Minor, D. 810, is undoubtedly the best known of the Schubert string quartets. It was composed between February and March of 1824, shortly after the "Rosamunde" Quartet, D. 804. In an oft-quoted letter to his friend Leopold Kupelwieser, Schubert stated that the two quartets, along with a projected third, were to "pave the way to a grand symphony." These intentions are reflected in the symphonic breadth and emotional force of the D-Minor Quartet, which is admired today as one of Schubert's most powerful instrumental works.

The first movement of the Quartet is so intricately constructed that it can sustain a detailed study on any number of levels. The present discussion, though, shall concentrate on certain key relations in the exposition and how they are maintained or transformed in the recapitulation.[14] In general four keys are involved: the tonic, D minor; the mediant, F major; the dominant, A major and the submediant, B-flat major. The exposition concerns itself with three of these keys (D minor, F major and A major), while the recapitulation reduces its focus to two (D minor and B-flat major).

Of particular importance is the relationship between D minor and its relative major, F. On the broadest level of the form, a simple enharmonic pun linking these two tonalities provides the mechanism for the first modulation away from the home key in the exposition and the reconfirmation of that key in the recapitulation. To

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[14]The key scheme of this movement has been discussed in some depth by Webster (ibid., 34).

understand this feature of the movement we must look at the transition to the first subordinate theme in some detail.

The transition gets under way at bar 41 with a counterstatement of the main theme and ends at bar 60 with a move to the dominant seventh of the first subordinate key, F major (ex. 8.5a). At first glance, then, this part of the form seems entirely conventional: the modulation to the relative major is standard in a minor-mode sonata form, and the transition moves to an orthodox dominant preparation of the new key. However, the basic mechanics of the scheme and the tonal path travelled are actually quite unconventional. The transition's first half remains firmly ensconced in D minor (bb. 43-51). At bar 51, the music suddenly slips into F major and remains there to the end.[15] The event in bar 51 is a carefully constructed surprise. One would expect the D minor 6/4 chord to resolve as a $V^{6/4}$ to a V or V^7 in an authentic cadence or half cadence in the home key. Indeed, up to this moment the inner voices have been saturated with the D-C# motion so characteristic of such a cadential progression. This time, though, when the D does fall a semitone, the C-sharp has been respelled as D-flat and resolves to C, opening the door into F major. The modulation thus consists of a quick, unexpected tonal shift occurring at the transition's midpoint.[16]

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[15]Such a "premature" tonal arrival is characteristic of virtually all of the modulatory formal functions of the movement: in the second transition, the move from F major to A minor is outlined in the very first harmonic progression, with the rest of the transition returning again and again to this inital move (see below); in the development section, the last twenty-five bars are spent in D minor.

[16]Not only is the basic mechanism of the modulation unusual, but the configuration of the second half of the transition in F major has a strong suggestion of a new theme, its first four bars standing as the antecedent of a failed period.

In the recapitulation, Schubert's alteration of the first transition is brilliantly simple (ex. 8.5b). The first half is left unchanged.[17] When the crucial D minor 6/4 is reached, however, it now truly functions as a $V^{6/4}$, resolving to a $V^{5/3}$ (207-8). The surprise at this point consists of the sudden brightening to the tonic major for the latter half of the transition and first subordinate theme. Essentially, then, Schubert has based his whole modulatory scheme upon what in Haydn would have been a local pun (see comparison of two points of modulation in ex. 8.5c).[18]

The D minor/F major relationship outlined in the two transitions is clearly foreshadowed in the main theme, even down to the reliance on a cadential 6/4 in the home key (ex. 8.6a, bb. 1-14). These references are concentrated in the theme's first half cadence (bb. 5-14). The initial $IV^{6/5}$ of the cadential progression (b. 5) has been played out, in part, by a brief diversion suggesting F major (bb. 9-10). (The pertinent progression consists of what would be a I^6-V-I^6 move in F.)[19] Of particular importance is the bass note A, which is emphasized three times over the course of the expanded cadential progression. In each instance this note expresses a different

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[17]In fact, the transition, which begins as a counterstatement of the main theme, acts as a proxy for the recapitulation of the full theme. This manoeuvre is made possible by the strong move to D minor at the end of the development section.

[18]A similar use of such "puns" on the large scale can be found in some of the works of Schubert's younger contemporaries. The last movement of Mendelssohn's early Violin Sonata in F Minor, op. 4 (1825), makes use of the diminished seventh chord held in common by F minor and its relative major A-flat. In the transition of the exposition, the diminished seventh resolves to the A-flat chord (bb. 22-5); at the parallel point in the recapitulation it resolves to F minor (bb. 143-6).

[19]The I^6-V move itself has some potential as the beginning of a cadential progression, although this potential is not fulfilled here.

harmonic function: it first appears as the bass of a $I^{6/4}$ passing between the $IV^{6/5}$ and IV^{7} in D minor (b. 6); it then supports the first inversion of F major in the diversion mentioned above (bb. 9-10) and finally it provides the bass for the cadential 6/4 at the end of the half cadence (bb. 13-14). Taken together, these three A-based harmonies summarize the movement's crucial D minor/F major tonal relationship. They also present the basic modulatory strategy of the whole movement in a nutshell. The D minor 6/4 and the F major 6 are the two pivotal harmonies in the exposition's modulation to F major (ex. 8.6, bb. 50-2). (In fact, the $D^{6/4}$-F^{6} progression itself becomes an important harmonic motive, y, outlining either a $VI^{6/4}$-I^{6} move as here [y] or a $III^{6/4+6}$-V move [y^{1}] as in the cadences of the first subordinate theme [ex. 8.5d].) The concluding $V^{6/4+5/3}$ resolution in the main theme's half cadence (ex. 8.6a, bb. 13-14) prefigures the way in which the first transition is reoriented to D minor in the recapitulation (ex. 8.5b, b. 208).

Let us now turn to the exposition for a closer look at how its constituent tonalities are linked together. As was suggested above, we are dealing with one of Schubert's three-key expositions, consisting of a series of main themes in D minor (bb. 1-41), a first transition (bb. 42-60), a first subordinate theme in F major (bb. 61-83), a second transition (bb. 83-101) and a second subordinate theme in A major, later minor (bb. 102-34), followed by a short closing section in A minor (134-40).

In the course of the exposition, the focus shifts from the relationship between D minor and F major to that between F major and A major/minor. Passages that both generate and define the D-F connection include those we have looked at above–

specifically the first half cadence in the main theme (bb. 5-14) and the point of modulation in the first transition (b. 51). To these must be added a third important link, the diminished seventh on G-sharp, which can prepare equally the dominant of D minor and that of F major. This chord's double function, in fact, frames the transition (ex. 8.5a). The diminished seventh (marked x) forms the upper part of the V^9/V^9 of D minor at the beginning of the transition (bb. 45-7). Once the music has passed over into F major, the chord returns as a simple diminished seventh now preparing the V^7 of the new key at bar 54 and, more prominently, bar 59.

References to the G-sharp diminished seventh become an integral part of the first subordinate theme. The chromatic neighbour tone motive of the theme's basic idea generates that specific sonority in bar 62 (marked x in ex. 8.7a) after which the theme continues to play with the characteristic G#-A motion. Here one may sense a subtle change in orientation away from the D minor-F major link towards the new relationship between F major and A minor: the G-sharp diminished seventh is, of course, the diminished seventh of A minor; while the G#-A motive suggests a leading tone to tonic motion in that key. For the moment, however, these motives function as embellishments of a melodic line firmly grounded in F major.

The chromatic neighbour tone motive is even more significant in the realignment of F major towards A minor than it would appear to be on the surface, for it introduces in passing an important harmonic progression linking the two keys. If we take the full basic idea of the first subordinate theme, (ex. 8.7, bb. 62-3) then we find embedded within it (again as an ornamental detail) a move from the E-major to the F-

major chord–in short what would be a V-VI progression in A minor. This progression as well as its reverse VI-V, which together encapsulate the submediant relationship of F to A, gains prominence as the exposition continues.

Another harmonic motive, y^1, contributes to the strong A minor colouring of the first subordinate theme. As mentioned above, this motive is first prefigured in the main theme, then fully generated by the unusual modulation to F major in the first transition (ex. 8.1a, b. 51). In this instance, it stands as an explicit link between D minor and F major. The motive is then taken up in the first subordinate theme's cadences (ex. 8.7a, bb 64-6 and ex. 8.8a, bb. 83-4). Here the second inversion of A minor consistently embellishes the V^7 of F major, thus impregnating the cadential process with strong allusions to A minor.

The F-A connection engendered by the head of the first subordinate theme comes to the fore in the second transition (ex. 8.8, bb. 83-101), where the chromatic neighbour-tone motive with its supporting VI-V-VI progression actually provides the means of modulation. As with the first transition, a cursory glance suggests a fairly conventional modulatory scheme: the music begins in F major and has moved to a dominant preparation of the new key, A, by its end. However, the actual tonal path is extremely unconventional: this second transition does not so much modulate from F to A, as define and then underline repeatedly the submediant relationship of the two keys.

At its very outset, the transition pivots on the F major chord into A minor through a VI-V harmonic progression in the latter key (b. 83). This progression grows

directly out of the head of the first subordinate theme as it appeared in bar 63 (ex. 8.7a). Now, however, the significance of the A-G# figure has gained a tonal as opposed to a purely ornamental dimension, since it now participates straightforwardly in the pivot chord modulation, rather than simply embellishing F major harmony.

The two initial chords of the transition form part of a larger harmonic progression (bb. 83-6) that summarises the whole set of tonal relations in the movement so far: F major advances to E major, thus outlining a VI-V progression in A minor; E major then resolves to A minor, which in turn is converted to the dominant of D in bars 85 to 86. Thus on the small scale, we hear F functioning as the submediant of A which then becomes the dominant of D. Each tonality thus briefly assumes its proper place within the overall tonal structure. What is important at this point in the form, though, is that F major has been defined in terms of A instead of D.

Rather than advancing progressively from its point of departure to its destination, the transition announces the modulation from F to A in its initial F-E harmonic progression, then returns again and again to the same VI-V chord pair in A minor (bb. 87-9 and b. 92). For the final definitive move to the dominant of A from bars 96 to 97, the basic motive is used again, but with the F major chord, VI, intensified as a French augmented sixth.

One important detail of the second transition, the chromatic descent from A (bb. 90-3), helps to clarify the role F plays in the broad-scale move from D minor to A minor in the exposition. The chromatic descent is in fact an important motive of the

whole movement.[20] It is prominently featured at the beginning of the first transition, (ex. 8.5a, bb. 45-50 and comparative reduction, ex. 8.8b). However, instead of continuing down to E, as is usually the case in such figures, and thus outlining a move to the dominant of A, the descent stops on the penultimate note, F (b. 50), which is then taken up as the intermediate tonality of the exposition. (In fact, the arrival on F forms the "fault line," so to speak, that marks the odd shift from D minor to F major in that transition.)

In the second transition, the same chromatic descent from A is outlined in the first violin part (ex. 8.8a, bb. 90-3, and summary, ex. 8.8b). This time, though, the line goes all the way to the E, which is reached from F-natural through the ubiquitous VI-V progression (bb. 92-3). (Due to part-writing considerations, both chords are now in first inversion.) With the journey through the chromatic tetrachord completed here, the intervening sojourn in F appears in retrospect as a rest station along the way.[21]

The F-A submediant relationship is further emphasized in the series of cadences ending the second subordinate theme (ex. 8.9, bb. 112-34), a passage of quite some significance with respect to the plan of the recapitulation. At bar 114, the F major chord suddenly and dramatically intrudes, marking a turn from A major to minor,

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[20]The inversion of this figure, a chromatic ascent from D to A, is a prominent motivic feature of the main theme (bb. 15-25 and, fragmented, bb. 36-40).

[21]In the recapitulation, the chromatic descent of the first transition carries through from A to E and then continues diatonically on to D, thus completing a definitive move from tonic to dominant for the re-establishment of the home key (see ex. 8.8b and discussion below).

which mode is maintained until the end of the exposition.[22] Two cadences follow, the first, deceptive at bar 120, the second, perfect authentic in A minor at bar 134.

By its very nature, the deceptive cadence brings back the "submediant" progression in its concluding V-VI cadential gesture. More significant is the behaviour of the G-sharp diminished seventh during both cadential progressions. In the deceptive cadence, this chord resolves to the F major chord (bb. 117-18) in a manner recalling the ornamental neighbour tone motion of the first subordinate theme (bb. 117-18, compared to ex. 8.7a, bb. 62-3). This slightly odd resolution is followed immediately by a move to F's applied dominant, C major, further deepening the F major colouring of this A minor cadence.

The second cadence is somewhat more complex and features more elaborations on the G-sharp diminished seventh link between F major and A minor. From bars 124 to 128, the G-sharp diminished seventh is played out by a sequence involving the chromatic descent from A to E (violin 1), as in the second transitions (see above). The sequence leads away from, then back to the G-sharp diminished seventh, which becomes the dominant ninth of A minor in bar 128. After being prolonged for three

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[22]The F major chord, of course, is more closely related to the minor mode of A than its major mode, and thus helps to orient the music to this modal change. Webster has criticised the return of F major at this point of the form, suggesting a weakness through redundancy in the tonal plan of the exposition ("Schubert-Brahms, I," 34). Such a view ignores Schubert's way of developing and highlighting key relationships, and the important role the "submediant motive" plays in the exposition and, indeed, the form as a whole. Furthermore, although F major returns, so to speak, its previously lyrical character has been transformed into a fierce intrusion, which contributes significantly to the pathetic character of A minor in the concluding section of the exposition.

bars, this dominant ninth resolves "deceptively" to the F major chord at bar 132. The subsequent bars (132-4) then parallel bars 118 to 119 in the previous cadence, this time reaching a full perfect authentic cadence in A minor at bar 134. Thus, the final cadential passages of the exposition both sum up the previous tonal events of the form and absorb their most striking relationships into the final tonality of the exposition.[23]

Turning now to the recapitulation, a number of options were open to Schubert. All of the material of the exposition could have been recapitulated in the tonic, a solution the composer adopted in the first movement of the "Grand Duo" Sonata for piano four hands, D. 812. Such a recapitulation, however, would have erased the pervasive submediant relationship linking the two subordinate keys. Another possible plan for the recapitulation could have placed the main theme in D minor, the first subordinate theme in B-flat major and the second subordinate theme in D major/minor. This solution would have preserved the tonal relationship of the first subordinate theme to the second one. It would also have produced the type of long-term formal balance Rosen has discussed in the tonal plans of Beethoven's sonatas: the return of the first subordinate theme in the submediant would have acted as a counterpoise to that theme's original appearance in the mediant F in the exposition.[24]

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[23]It is important to note that in all such concluding "summaries" throughout Schubert's career, references to previous tonal events are not merely incidental but are contained within passages of structural importance, such as expanded cadential progressions.

[24]See Rosen, *The Romantic Generation*, 240-6. Of course, the mediant keys Rosen discusses are all substitutes for the dominant in major-mode sonata forms. Schubert's mediant is the conventional tonality of the subordinate theme in a minor-mode sonata form.

Finally, the move to D major/minor in the second subordinate theme would have satisfied what Rönnau has seen as Schubert's preoccupation with spending sufficient time in the tonic towards the end of the form. Whatever the merits of this plan, Schubert does not follow it. His recapitulation begins in D minor with an abbreviated form of the main theme. (In fact, only the counterstatement of the theme that begins the transition returns; all the preceding material is jettisoned.) The first subordinate theme is stated in D major. The second subordinate theme then appears in B-flat major, which turns back to D minor for the theme's concluding series of cadences. A coda in D minor further reinforces the tonic.

Schubert's choice of this tonal plan for his recapitulation is conditioned by two important considerations. The turn to D major for the first subordinate theme allows that key to be prepared by a resolution of the Db-C# "pun" set up in the first transition of the exposition. (A modulation to B-flat major could not have played on this enharmonic pair as directly as the move to D major.) Furthermore, the statement of the second subordinate theme in B-flat major maintains the submediant key relationship between the last two tonalities of the exposition, now transferred to D, the tonic, and its submediant, B-flat.

To turn once again to the tonal balance of Beethoven's forms, there is no question here of "grounding" a theme by having it return in the recapitulation on the flat side of the key it appeared in during the exposition. By setting the second subordinate theme of the recapitulation in B-flat major, Schubert answers the exposition's A-major statement of that theme by a tonality a semitone higher, not a fifth lower, and one far

too remote from A to function as its counterweight. The tonal relationship of the first to the second subordinate theme is thus conditioned more by immediate linear and motivic considerations than by a carefully controlled equilibrium of parallel tonal weights. These comments are not meant as a condemnation of the structure, nor do they contain a value judgement; Schubert's form works beautifully, but the specific means by which Classical forms achieve a tonal balance are no longer operational in this case.

The recapitulation of the D-Minor Quartet also holds a certain significance with respect to a number of the early sonata forms we have looked at. In the recapitulations of the first movements of the String Quartet in G Minor, D. 173, the Violin Sonatina in A Minor, D. 385 and, to a lesser extent, the String Quartet in E Major, D. 353, tonalities from previous parts of the form have returned quite prominently in the recapitulation. In the first two instances mentioned, the recapitulation has amounted to a tonal re-ordering of the exposition, in which the move away from the tonic is reversed through the same keys. In the first movement of the D-Minor Quartet, however, it is not the identical keys that return, but a distinct tonal relationship, the "submediant motive," so to speak, which is now worked out within the tonic field of D minor.

A comparison of the tonal plan of the recapitulation with that of the exposition, reveals that the relationship of the two last keys has been reversed. Rather than moving up a major third from F major to A major, as it had the exposition, the music in the recapitulation now descends a major third from D major to B-flat major.

Consequently the second transition (ex. 8.10, bb. 241-59) must be altered somewhat, a task Schubert accomplishes adroitly without changing its length in any way.

His solution consists of rewriting the transition's beginning and end passages, (bb. 241-3, and bb. 253-9, specifically 253-4), while maintaining the exact configuration of its core, which stands as a transposition down a fifth of the parallel passage in the exposition's second transition. The preservation of the original transition's interior, coupled with an interchange of its beginning and end points, means that the new transition's tonal relationships have been completely reoriented: now the music looks back towards its point of departure, the tonic key, D, instead of pointing ahead towards its tonal destination, as it did in the exposition. The initial focus on D is accomplished through the "submediant motive," at the unaltered heart of the transition: after descending through a circle of fifths from D through G to C, the music moves twice to a prominent VI-V progression in D (bb. 246-7 and bar 250). This progression, along with the overriding orientation towards D minor, helps to place the goal of the transition, B-flat major, in its proper tonal context. The balance is tipped in favour of B-flat only in the latter part of the transition, when the music advances to the dominant of that key through its augmented sixth (bars 254-5). Following five bars of dominant prolongation, the second subordinate theme begins in B-flat major and remains in this key until after the perfect authentic cadence there at bar 270.

Up to this bar, the second subordinate theme has been virtually a transposition of the same structure in the exposition. From bars 270 to 278, the exposition and recapitulation part company. Once again, the change Schubert makes is so minimal

it does not even affect the bar count. In the exposition, the chord of F major had suddenly intruded into the concluding tonality, A (ex. 8.9, bb. 114 etc.). In the present instance, the submediant of D, B-flat, is already established, since the order of the exposition's two subordinate tonalities is reversed. The problem now consists of turning back from B-flat major to the tonic D minor. This move Schubert accomplishes with the utmost economy: the B-flat chord becomes the subject of the fortissimo outburst (bb. 270-3); it is then taken up directly as the submediant in D minor in the subsequent deceptive cadence. The remainder of the second subordinate theme (bb. 272 ff.) amounts to an exact transposition to D minor of the concluding bars of the exposition. As a result, the submediant relationship is featured as prominently here as in the end of the exposition.

The D-Bb relationship continues to be highlighted in the coda (ex. 8.11a, bb. 298-341). This section's very first harmonic gesture consists of a progression from I to VI^6, the change in harmony producing a particularly ghostly effect (bb. 298-304). The VI^6 is embellished twice by the diminished seventh of B-flat over a D pedal (bb. 303 and 307), recalling a similar outburst on the same chord near the end of the development (b. 176),[25] which, in turn, is related to bars 27 to 30 in the exposition.

A more apparent reference to the exposition may be heard in the return of a passage from the main theme group, bars 15-24, which first enunciated the chromatic

[25]Like the G-sharp diminished seventh, the A diminished seventh has also played a fairly prominent role in the structure. See specifically the cadential evasions at the end of the first subordinate theme, bars 71 etc., as well as those instances cited above.

rise from D to A.[26] The initial half of this passage is restated note for note (bb. 311-15 compare to ex. 8.6a, bb. 15-19). In the exposition the first five bars were immediately repeated up an octave (bb. 20-24). In the coda, however, these bars are partially sequenced on B-flat (bb. 316-18). The move to B-flat is achieved through a "deceptive" progression from V-VI (with an intervening V^7/VI). This progression is derived from the y^1 motive, in the form it appeared in during the first transition of the exposition (ex. 8.4a, bb. 51-2). Now, however, the second-inversion D-minor chord passes through the dominant of D minor to the applied V^7 of B-flat.[27] The momentary shift from D minor to its submediant B-flat allows the music to ascend an octave and a half in an unbroken line from low D to the upper A (violin 1, bb. 311-21) in its approach to the final perfect authentic cadence of the movement at bar 326. This long line creates an overwhelming amount of tension leading up to the cadence. The partial sequence on B-flat, in particular, contributes something akin to the fierce brightness of the submediant outbursts heard towards the end of the subordinate theme. Thus, not only is the submediant relationship allowed to play an important role in the final

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[26]The one missing chromatic note, E-flat, is supplied in the move to the diminished seventh of B-flat major in bar 28. Embedded as an incidental detail within the chromatic rise from D to A is the "submediant motive," specifically the progression V-VI in A minor. This exact progression occurs at bar 18 and again at bar 23. It returns in the coda at bar 314, as well as being repeated in diminution in bar 320 within the final perfect authentic cadence (see ex. 8.11a).

[27]The part writing at this point also contains a reference to bars 27 to 32. The chord progression, featuring a chromatic descent in parallel sixths in the inner voices (b. 315) is very close to that of bar 28, which initiates the mysterious turn towards the submediant.

cadential progression of the movement, but it also adds an emotional colouring to that ending, one that draws on references to a whole series of events in the form.

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The way in which an initial harmonic relationship, suggested at the very outset, gradually gathers meaning as the music unfolds is an important aspect of Schubert's sonata form, which the "Death and the Maiden" Quartet shares with many other works, including the *Quartettsatz* and the "Great" C-Major Symphony. The form thus becomes the framework for a tightly woven web of allusions that colour each successive tonality. In the "Death and the Maiden" Quartet, the suggestions of F major in the home key and of A minor in the first subordinate key appear as veiled prophecies, while the references to F, once A major is established, evoke the memory of the past.[28] This allusiveness in Schubert's writing, the constant shifting between presentiment and remembrance, transfigures the whole character of his sonata forms. The clear and concise tonal process of Classical sonata form now yields to one in which mystery reigns. Modulation becomes revelation, while returning material is often coloured with the sadness of the irretrievable past. It is this subtle transformation in style that lies beneath the anomalies of the early quartets, as shall be seen in the concluding chapter of this study.

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[28]For the importance of memory and reminiscence in Schubert's sonata forms, see Dahlhaus, *Beethoven*, 89-90.

CHAPTER 9

CONCLUSION: SCHUBERT'S SONATA FORM AS A VEHICLE FOR ROMANTIC SENSIBILITY

The history of Western music offers very few instances of sharp stylistic breaks. The rise of monody and the *stile rappresentativo* around 1600 could be cited as one example. Yet even this change in style may at times be more apparent than real: some of the period's most famous monodies still involve the detailed contrapuntal thinking associated with the *prima prattica*, as Monteverdi's five-voice version of his *Lamento d'Arianna* reveals. Schoenberg's invention of the twelve-tone technique might be mentioned as another example; but he and his pupils would have been the first to argue that their work, in fact, realized the historical imperative of German musical traditions, rather than breaking with them.

Rosen's comment that "Schubert's innovations in sonata form are less extensions of classical style than completely new inventions, which lead to a genuinely new style"

is thus somewhat misleading.[1] Although the aesthetic tendencies in Schubert's sonata forms place him clearly in the first generation of Romantic composers (see chap. 7, pp. 230-8), his actual technique does not diverge sharply from that of his predecessors. There is, in fact, very little in Schubert's writing that cannot be found in the works of Haydn, Mozart and Beethoven.[2] The crucial stylistic shift arises more from a subtle change in emphasis: what were once exceptional occurrences become increasingly the norm in his music, while procedures that were originally employed at one point of the form or on one formal level are moved to another. Although such changes may seem negligible in isolation, taken together they do indeed "lead to a genuinely new style."

Herein lies the "problem" of the early quartets: superficially they seem so close to what we know as the Classical style that their unusual characteristics can easily be taken for a simple misunderstanding of Classical practice. Yet, as these characteristics return in the quartets and are further developed in movement after movement, their influence on the nature of the form deepens until even the basic mechanism of the structure has been affected. Thus, in retrospect, the quartets' anomalies not only reveal the emergence of a distinct musical personality but also signal an important change in the fundamental nature of sonata form.

This last chapter will look at a number of these extraordinary features in some detail and will try to show how they contribute to what can be termed the Romantic

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[1]*Sonata Forms*, 360.

[2]Even Schubert's use of tonal feints in his transitional process is prefigured in Beethoven's Piano Sonata in F Major, op. 10, no. 2, i.

orientation of Schubert's sonata forms. The main features to be discussed consist of (1) the lyrical quality of Schubert's themes, which begins to appear in his sonata forms around 1814, (2) Schubert's reliance upon illusion, or, in other words, tonal and formal ambiguity in the form's musical processes and (3) his allusive manipulation of harmony, in which tonal references are allowed to spread back and forth across the whole structure. Together, these characteristics of Schubert's sonata form allow it to become the perfect expression of Romantic sensibility, so evident in the literature and art of the early nineteenth century, as shall be seen in the concluding sections of the chapter.

Lyrical Sonata Form

The first characteristic to be discussed, lyricism, only gradually enters Schubert's earliest sonata forms, yet it emerges as the solution to their most serious problem–the stifling control of the initial musical idea. As argued in Chapter 7, Schubert's very first attempts at sonata form are one-sided affairs, in which the young composer focuses on maintaining the pre-eminence of the main theme throughout. As his form develops, though, it expands to accommodate broad lyricism, specifically in the subordinate theme. Consequently the subordinate theme of such a work as the C-Minor Quartet Fragment, D. 103, or the first movement of the Quartet in B-flat Major, D. 112, gains a distinctiveness that allows it to assume a position of equal importance to that of the main theme, rather than appearing merely as a strictly controlled, rather bland derivative of previous material. Furthermore, the stability and relaxed atmosphere that

often characterize lyrical subordinate themes furnish the necessary counterbalance to the involved and, at times, disturbing modulatory process favoured by Schubert.

As discussed in chapter 1 of this study, many writers have dealt with Schubert's lyricism, particularly in his mature instrumental music.[3] The topic, though, is a rather difficult one to tackle, largely because a simple and precise definition of "lyrical," beyond the most general equations with singing or tunefulness, is hard to formulate. To this point, the present discussion has also been guilty of using the term in its broadest and most ill-defined sense; yet to measure the effect of Schubert's "lyricism" on his sonata forms, one must at least be able to list its essential characteristics.

Salzer has provided the ground work for such a definition in his 1928 essay "Sonatenform bei Schubert." Here he isolates two important features of Schubert's lyricism: first, the reliance on the "three-part song form" for subordinate themes (an idea Webster later refines and enlarges to include "symmetrical periods or closed forms, such as ABA" applied to both main and subordinate themes);[4] second, the tendency to repeat the same motivic chain over a long time span. In Salzer's view, both characteristics militate against the type of forward-driving dynamism he deems essential to sonata form.[5] A third feature of Schubert's lyricism–what Webster refers to as the

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[3]See in particular Salzer, "Die Sonatenform bei Franz Schubert;" Tovey, "Franz Schubert;" Bruce, "The Lyrical Element in Schubert's Instrumental Forms"; Webster, "Schubert-Brahms, I" and McClary, "Constructions of Subjectivity."

[4]"Schubert-Brahms, I," 20.

[5]As mentioned previously, Salzer's charges have been answered by Dahlhaus, who has shown that such dynamism is not a necessary prerequisite for a successfully integrated sonata form. See "Sonata Form in Schubert" and also chap. 1 of the present study, pp. 43-4, for a discussion of Dahlhaus's arguments.

"lyrical tone" of his themes--must be added to the two already mentioned. Such a tone arises from the theme's intense and uniform affective character, due in part to the pervasive repetition discussed by Salzer.[6] Moreover, this strongly delineated character is often enhanced by distinctive patterned accompaniments.

Of course there are many lyrical themes in Classical sonata forms, in both the broad and more restrictive sense of lyricism; we are not dealing with a Schubertian invention. Yet a qualitative difference exists between Schubert's lyricism and that of his predecessors. A closer look at this difference will help to define Webster's "lyrical tone." In Beethoven's Fifth Symphony, for instance, the first movement, like Schubert's *Quartettsatz*, opens with an explosive main theme answered by a lyrical subordinate theme. The subordinate theme (ex. 9.1), though, is infused with a latent tension, a sort of coiled energy felt not only in the jabbing motive of the main theme, which becomes increasingly insistent in the accompanying cellos and basses, but also in the motivic character of the melodic line. Here the focus falls on the development of the opening four-bar idea rather than the creation of a long, seamless melody. The initial idea is first isolated as a distinct entity, echoed by different instruments (bb. 63-74). It is then subjected to a long fragmentation process (bb. 75 etc.) which gradually comes to focus on the idea's central semitone component. The increasing concentration on one element of the melody gives the overall line a gathering

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[6]In fact, Salzer's discussion clearly outlines the differences between the Classical and Romantic approaches to the motivic make-up and character of themes, particularly in the comparison he makes between Schubert's themes and the main theme of Mozart's Symphony no. 40 in G Minor, K. 550, i, "Sonatenform bei Schubert," 92.

momentum, as if it were threatening to shatter into its constituent motives. Indeed, the final cadential phrase (bb. 95-110) does explode in this manner. Thus motivic development tending towards fragmentation dominates the theme, giving the whole structure a strong forward drive. In fact, the relaxation in dynamism at the theme's beginning merely allows the music to gain renewed force as the theme proceeds, rather than opening up the movement to a lyrical idyll.

While Beethoven's subordinate theme offers only an uneasy lull in the surrounding storm, the first subordinate theme of Schubert's *Quartettsatz* provides a complete escape (ex. 9.2). Here the new theme's melody does not call attention to its motivic components, but rather emphasizes its long line, which unfolds leisurely over a gently rocking accompaniment. The forward-driving compressions in the latter half of Beethoven's theme are nowhere to be found. Quite the contrary, the consequent phrase of Schubert's theme is expanded by a particularly touching suggestion of the minor mode. The overall effect is thus one of stability coupled with a feeling of timelessness, often referred to as "otherworldly." And the theme's contemplative stillness remains constant; there is no gradual return to action, as in the final release of the pent-up tensions in Beethoven's theme. Thus, when a change must occur, it appears as an intrusion from outside, which literally sweeps the subordinate theme away at the beginning of the second transition (b. 61).[7]

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[7]One might argue that the preceding discussion has exaggerated the difference between Beethoven's and Schubert's practice by comparing two radically different theme-types: a sentence, the most dynamic of such structures, and a period, the most stable. To some extent this objection is valid; yet it must be added that fragmentation, which gives Beethoven's sentence so much of its dynamism, is usually not as evident

The intense nature and relaxed, floating atmosphere of Schubert's lyrical themes mark them as distinct, highly memorable entities, whose heightened character, particularly in darker minor-mode works, can even carry with it a sense of lost happiness or yearning for an impossible dream. Themes approaching this type of lyrical intensity do exist in Classical instrumental cycles, but are usually found in slow movements. The Andante of Mozart's Piano Concerto no. 21 in C major, K.467, is a prime example, or Beethoven's hymn-like slow movements, such as the Adagio of his Piano Sonata in C major, op. 2, no. 3 or the Adagio un poco mosso of the Fifth Piano Concerto, op. 73. The basic nature of such movements, though, is quite different from a sonata-allegro form. Their structures, often large ternaries or rondo-like ABABA patterns, are more block-like in construction, often with sharp contrasts between the constituent parts. One finds less of the forward-driving momentum of a first-movement type. Even when an abridged sonata form is employed, its dynamism is often sharply reduced.[8] Schubert's innovation in his lyrical themes thus consists essentially of importing into a first-movement sonata form the contemplative atmosphere characteristic of slow movements. The consequences for the form as a whole are far-reaching: the strongly etched character of the subordinate theme is

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in Schubert's sentences. In fact, Schubert often maintains the initial length of his musical ideas throughout the structure, which thus breaks down into a consistent two-plus-two or four-plus-four bar grouping. The reluctance to reduce the original grouping structure is an important factor in the "lyrical repose" of Schubert's themes. Of course Schubert is also capable of writing dynamic themes, as in opening of the Piano Sonata in C Minor, D. 958.

[8]Those parts of the form severely shortened or even omitted–the development section or transition–are in fact the most dynamic of the structure's formal functions.

essential to the shift in Schubert's sonata forms from derivative to complementary thematic relationships. Furthermore, the distinctiveness of the subordinate theme contributes to the allusive, non-teleological quality of the form, in which memory–the constant shadow of the past over the present–plays a crucial role. This last aspect of Schubert's sonata forms, one which more than any other characteristic places his writing firmly under a Romantic aesthetic, has been discussed in some detail by Dahlhaus, and shall be dealt with below.

Ironically, the lyrical quality of Schubert's sonata forms has been criticized as unsuitable to the basic nature of the form. The most influential writer in this camp is undoubtedly Salzer, who, as mentioned above, sees sonata form as essentially dynamic in nature and considers any slackening of this dynamism as a threat to the form's cohesion and logic. Recently Webster and, above all, Dahlhaus have argued against this view, accepting lyricism as a legitimate attribute of sonata form, though one that distinguishes Schubert's approach from Beethoven's.[9]

Even today the lyrical tendency in Schubert's sonata forms can still be considered an inherent weakness. The basic problem consists of the perceived self-sufficiency of the composer's long, song-like passages, which are often viewed as something separate–an island of song around which the processes more appropriate to sonata form flow. This criticism is implied in Salzer's description of the lyrical structures in Schubert's sonata forms as "closed song forms." Similar terminology is used by Webster when he

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[9]Webster "Schubert-Brahms, I"; Dahlhaus, "Sonata Form in Schubert."

refers to Schubert's use of "symmetrical periods and closed forms, such as ABA."[10] Even though he accepts Schubert's lyricism as valid and does not criticise the composer's thematic structures per se, the adjectives he uses are not entirely neutral. The term "symmetrical period," for instance, infers that an internal equilibrium has been achieved which can render the theme a self-contained unit.[11] In other words, the dynamic of such structures is inward rather than outward-looking. Such perfect balance may be seen in the main theme of the first movement of the B-flat Quartet, D. 36, where the structure tends to break down into contiguous repetitions of the opening four-bar unit (see chap. 3, pp. 119-20). One can find many instances of "symmetrical periods" as well in the music of Schubert's maturity, although the two phrases are not always identical in their actual length. The main theme of first movement of the B-flat Piano Trio, D. 898, for instance, consists of a five-bar antecedent followed by a seven-bar consequent (bb. 1-12), the first subordinate theme has a four-bar antecedent and a six-bar consequent.

In the early examples, the construction of the theme poses a real problem for the young composer when he tries to generate a larger structure from it (see chap. 3). In

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[10]Webster's treatment of lyricism in Schubert's form consists essentially of a non-judgemental resume and refinement of a number of Salzer's points.

[11]To some extent, Webster's term is a tautology since periods are by nature symmetrical structures, the consequent balancing the antecedent phrase structurally and cadentially. Perhaps by "symmetrical" Webster means that both phrases are equal in length. If so, his comment is not entirely accurate, considering how flexible Schubert is in his phrase expansions. For instance, the first subordinate theme of the *Quartettsatz* has a twelve-bar antecedent answered by a twenty-bar consequent; the first subordinate theme in the "Death and the Maiden" Quartet's first movement consists of a six-bar antecedent and a seventeen-bar consequent.

many of the later examples, however, such difficulties are no longer present, or at least are not so blatantly obvious, due in part to Schubert's ability to spin out the consequent phrase. The structure is thus more versatile than the term "symmetrical period" would imply. Furthermore, Schubert's reliance on this particular theme-type does not simply indicate the "lyrical" tendency of his writing–the period's inherent balance often serves an important function within the movement as a whole, as shall be demonstrated below.

The implication of self-sufficiency in Schubert's lyricism is more apparent in Salzer's reference to "closed three-part song forms," a term further defined by Webster as ABA forms. The adjective "closed" implies that these structures are something embedded within the movement, a lyrical patch cut off from the development of the musical argument. In discussing this issue, two different formal contexts must be dealt with separately, as Webster indeed has done: ABA structures as main themes and as subordinate themes.

Just delineating the ABA structure can present a problem in the main themes of Schubert's sonata forms. Often the transition begins with a counterstatement of the main theme, either partial or in full, a procedure with a solid Classical tradition behind it.[12] A long-range view of the main theme and transition may thus yield an apparent large ternary form, particularly if the return of the "A section" (the main theme itself), which is often highlighted by Schubert, is taken as the defining moment of that structure. Yet quite often these "large ternaries" do not behave as such and are

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[12]See Caplin, *Classical Form*, chap. 9.

certainly not closed off.[13] For example, the beginning of the first movement of the Piano Trio in B-flat Major, D.898, consists of a main theme (A, bb. 1-12), a modulating transition-like passage, which moves away from the tonic then returns (B, bb. 13-24), the main theme again, now ending with a perfect authentic cadence in the dominant key, F (A^1, bb. 26-37) and a second transition-like passage paralleling the first, but now moving from the cadence in F major to the dominant of D minor (B^1, bb. 37-58). The subordinate theme subsequently begins in F major at bar 59. The overall design thus amounts to ABA^1B^1.

The music from bar 1 to the perfect authentic cadence in F major at bar 37 could be considered a large ABA^1 structure, which indeed is cadentially closed off, although in a key other than the one it began in. Such an interpretation, however, would ignore the obvious parallels between the B and the B^1 sections (the latter being excluded from the structure) as well as the overarching transitional process, which is initiated before the cadence in F major at the end of the A^1 section and flows on through the B^1 section. In short, despite its concluding cadence, the final A^1 section hardly closes off a supposed ternary form, but is involved in a larger design that does not really fulfill its function in the form until the arrival of the subordinate theme at bar 59.

Admittedly this last example is something of a red herring with respect to Webster's comments. At no point does he mention any structure involving such counterstatements of the main theme with concomitant shifts in formal function. Indeed the examples he cites are all fairly straightforward small ternary forms. Yet

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[13]Ibid, chap. 9, for a discussion of returning A sections that function as transitions.

even some of these forms provide grounds for further discussion. The first movement of the Piano Sonata in B-flat Major, D.960, whose transitional strategy we have already dealt with, provides a good example. The first forty-five bars of this piece clearly form an ABA design: an initial periodic theme (section A, bb. 1-18) is followed by a contrasting middle, consisting entirely of an expansion of the flat submediant chord, G-flat major (section B, bb. 19-35); this passage in turn leads to an altered statement of the concluding phrase of section A (A^1, bb. 36-45). However, the larger structure is not closed off cadentially; the final cadence in B-flat major is evaded at the very last moment (bar 45) and the music is diverted into F-sharp minor (G-flat minor or bvi).[14] One might argue that the only thing separating this ABA design from a fully rounded large ternary form is one chord, the missing B-flat tonic of the cadence; but the apparently pedantic distinction is in fact quite significant.

The dramatic cadential evasion is crucial in determining the ultimate function of the concluding A^1 section. Once again we are dealing with a "counterstatement problem," for the A^1 section does not close off the structure, as one would expect in a simple ternary form, but propels the music forward into the transition. And this forward propulsion does not result from simply tripping over the last cadence of the ABA structure; it has been prepared as far back as the end of the contrasting middle, which thrusts the music forward onto the dominant of B-flat major for the beginning of the A^1 section. This dominant, rather than immediately resolving to the tonic, is prolonged through the first phrase of the A^1 section. The tonic is indeed reached at

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[14]See chap. 7 above and Rosen, *Sonata Forms*, 258-61.

bar 39, but this is only a momentary resolution of the harmonic tension of the passage, for the music quickly turns back to the dominant, whose resolution, this time, is thwarted.

A closer look at the harmonic background of this ABA structure shows that the whole design is built upon a descent from the tonic (the initial A section) through an intervening flat submediant (the B section) to the dominant (the A^1 section) which, as we have seen, essentially remains unresolved.[15] Thus the structure is not static, but dynamic: the A^1 section, rather than acting as the matching bookend to the original A section, has been subtly altered to open outwards into the rest of the movement. Furthermore, the harmonic motives that dominate this ABA form are central to the whole movement and continue to be developed after the boundaries of the A^1 section have been crossed. The focus on the flat submediant (G-flat or F-sharp) is particularly important. It first appears in the low G-flat trill in the bass (bar 8), subsequently blossoms into the expansion of the G-flat chord in the B section, and then returns as the diversion to F-sharp minor at the beginning of the transitional process. The turn to F-sharp minor, in fact, reverses the Gb-F bass motion at the junction of the B and A^1 sections in the main theme area. The final move to the dominant key, F major, for the subordinate theme is accomplished through the same diminished seventh chord that intervened in the final cadence of the A^1 section (see chap. 7, pp. 256-7) Thus the ABA

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[15]The overall harmonic structure, I-VI-V, is one encountered again and again in the main themes of Schubert's early sonata forms, including those themes built upon the descending tetrachord. Now, however, the harmonic foundation is vastly expanded, as it is in the main theme of the first movement of the "Trout" Quintet.

structure is not "closed off" as far as the general motivic processes of the sonata form are concerned; it actually sets these processes in motion, although it does so in an indisputably lyrical fashion.

A comparison of the two examples just discussed with main themes drawn from other movement types further demonstrates that the main themes in Schubert's sonata forms, though often apparently ABA structures, are not "closed song forms." Small ternaries and binaries used as the themes of variations or rondos are indeed fully closed designs. Such a degree of definition is important to their role in the overall scheme, which is much more sectionalized than a first-movement sonata form. The main themes that we have looked at, though, remain more open to the broader forces at work in the continuous development of the large-scale form.[16]

Turning to the use of "closed" ABA patterns as subordinate themes, a reductive categorization of the outer form can often pass over the true significance of that form in the larger scheme of the movement. The first movement of the A Major Piano Sonata, D. 958, analyzed in chapter 6 (see ex. 6.1), stands as a typical example. Webster considers the whole subordinate theme region (bb. 55-129) as a large ternary form: the A section extends from bars 55 to 82, the B section from bars 82 to 116 and the A^1 section occupies bars 117 to 129. Furthermore, the return to the A section is prepared by the dominant of E major in a manner that is often found at the end of a contrasting

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[16]Only two examples Webster cites have the same feeling of closure as a rondo or variation theme have: the main theme of the Piano Sonata in A Major, D. 664, i, and the main theme of the Piano Sonata in G Major, D. 894, i. Both begin movements that stand out, even within the oeuvre of such a lyrical composer as Schubert, as exceptionally lyrical pieces of music.

middle in such ternary forms. Yet there are many ambiguities in the whole structure that make it much more loose and open than its characterization as a "closed" ABA form would suggest.

In the first place, the A section elides with the B section, a highly unusual occurrence in such ternary forms, whose constituent parts invariably remain distinct.[17] In the second place, the initial A section itself is a localised small ternary form: the first two phrases (bb. 55-9 and bb. 60-4) form the A section; the next phrase (bb. 65-77), the contrasting middle and a final codetta-like return of the beginning of A serves as the A^1 section (bb. 78-82). Nevertheless, the usual boundaries of such structures as well as the tonal functions of their component parts are somewhat blurred. In particular, the A section runs into the contrasting middle, which begins as a continuation in G major of the previous phrase. In the course of the contrasting middle, the bass note B is converted from the mediant of G major to the dominant of E major. The dominant chord it supports first appears as the penultimate harmony of a cadential progression (bb. 71-6), but then, at the last moment, the cadence is dropped and the dominant simply acts as the preparation for the return of the A section at bar 78.[18]

Such formal ambiguity is featured throughout the whole subordinate key area. As a result, the large-scale ABA structure suggested by Webster is not as clear-cut as one would expect, particularly if we also look beyond the confines of the structure. The

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[17]Caplin, *Classical Form*, chap. 6.

[18]For a discussion of the formal ambiguity of this passage, see Caplin, "The 'Expanded Cadential Progression'."

large B section (bb. 82-117) is actually an expansion of the transition (bb. 28-55). The parallels between the two passages are most evident in their beginning and end points (bb. 82-92, compared to 28-38 and bb. 113-16, compared to bb. 52-55). The audible references to the transition in the B section mean that the larger ABA structure is not entirely closed off. Could we conceivably count the transition then as a preceding B section, producing a BAB^1A^1 design? Such a suggestion may sound facetious, but it does underline how difficult it can be to cut the ABA structures out of the general fabric of the movement when overarching processes and cross-structural references are involved.

Another problem arises from the internal organization of the ABA structure itself, specifically the ramifications of using something resembling a small ternary form for the larger design's A section. One of the defining moments of the small or large ternary is the dominant preparation for, and the return of, the initial A section. These events occur not once, but twice in the course of this ABA design (bb. 76-9 and bb. 113-16). Admittedly the second return is more prominent, hence the first one occupies a subordinate position in the larger plan. Yet a certain amount of local ambiguity is still present.

Furthermore, the process leading up to the second return, the conversion of a penultimate cadential dominant (b. 111) into a dominant preparation (bb. 113-17), is clearly an intensification of the events involved in preparing the earlier return (bb. 71-7). In short, cadential evasion is subject to "developing variation" across the ABA structure, thus infusing into the structure a certain dynamism not usually associated

with carefully balanced, and hence static, forms. And prominent cadential evasion does not remain confined to the subordinate theme area; indeed, this procedure is developed throughout the whole form. Since the motivic processes of the movement sweep through the subordinate theme and even define some of its most unique features, there is thus no question of viewing that theme as self-sufficient or closed, apart from the simple fact that it ends eventually with a perfect authentic cadence, as all subordinate themes do.

The examples discussed above show some of the dangers of simply labelling a large structure within a sonata form as a "closed" ABA form. Such an approach can gloss over deliberate local and long-range ambiguities Schubert cultivates in his sonata forms, as well as arbitrarily isolating structures that fit into a larger design or process. Yet there are indeed numerous instances in the sonata forms of Schubert where the subordinate theme is a "symmetrical period" or a balanced ABA pattern, and many more instances where the subordinate theme is of a less clear-cut design, but still shares the quality of "lyrical repose" Webster associates with Schubert's subordinate themes. The most important question that arises in these circumstances is what function does such thematic stability and repose serve?

The answer consists of two basic points. First, in a sonata form where the main theme has an introductory or tentative feel to it, as in the first movement of the String Quartet in G Major, D. 887, or has a highly dramatic or unsettled character, as in the *Quartettsatz*, the subordinate theme brings with it a solidity, both structural and emotional, that is crucial in "balancing" the exposition after the disturbances of the

main theme and transition.[19] In the case of the *Quartettsatz*, the first subordinate theme is an "asymmetrical" period, but just as firmly grounded as a "symmetrical" one, perhaps more so, since the expansion of the consequent phrase both increases the weight of the final cadence and heightens the lyrical intensity of the melodic line. In the case of the G-Major Quartet, the subordinate theme is a sentence, but again the final cadence is emphatic. Furthermore the sentence is repeated immediately. Such clear-cut repetitions increase the solidity of the subordinate theme *vis-à-vis* the more fluid main theme region.[20]

The second reason for Schubert's lyrical subordinate themes may be found in his attempts to give such structures a heightened profile quite distinct from that of the main theme. In other words, the special nature of Schubert's subordinate themes grows out of the tendency of his sonata forms to split the thematic discourse between two personas, rather than having it grow out of the initial "mother" theme. In the past, the intensified character of the subordinate theme has proved detrimental to Schubert's reputation as an accomplished composer of sonata forms--and this brings us to the underlying objection against references to the "closed" forms of Schubert's lyricism. Such references carry with them the implication of an intrusion from another musical

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[19]As we have seen, Schubert's transitional schemes are often longer and more unsettling than those of his Classical predecessors. Even when the transition amounts to almost nothing, it can bring with it a disruptive shock which must be absorbed by the ensuing theme.

[20]The main theme group features widespread repetition involving transpositions and sequences, while rhythmically and harmonically it has more the character of an introduction than a straightforward main theme.

genre, the *Lied*. While Webster avoids making the connection explicit in his discussion of Schubert's lyricism, Salzer does not and refers consistently to "closed song forms."[21]

Due to its strongly etched profile, the lyrical theme, be it main or subordinate, might be taken as the primary concern of Schubert's sonata form, as if it were a separate song whose qualities were definable in isolation, with the rest of the form merely providing an enhancement, or a background. Yet such themes are only one half of an opposition that animates the whole structure. Their very meaning depends on their position in the form. In turn, they impart meaning to other themes or structures.

Imagine, for instance, cutting out the first subordinate theme from the *Quartettsatz* and hearing it on its own as a pretty tune. Immediately the theme would loose something of its character, because that character resides not merely in the theme itself, but also in the memory of what has gone before it in the form–the bitter opening of the main theme, which makes the relaxed lyricism of the new theme all the brighter, and the sudden shift into A-flat major, which lifts the music into a new tonal sphere. Separated from these events, the lyrical intensity of the theme dims. And what effect would such an excision have on the second subordinate theme? Since that theme draws so much of its own material, character and even function from the opposition of the two preceding themes, clearly it would become absolute nonsense. The point to be made here is that Schubert's themes never function as passive structures, no matter how full of "lyrical repose" they may be. A lyrical main theme can still initiate the motivic

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[21]"Die Sonatenform bei Franz Schubert."

and harmonic processes that will drive the form, just as a lyrical subordinate theme can provide a temporary counterweight to previous imbalances. At times the thematic opposition itself, pursued incessantly across the movement, becomes the central "idea" of the music, with each structure and theme playing a precise role in the unfolding events.

One aspect of Schubert's themes, their affective characters, can indeed be termed "closed." When the individuality of the theme has been so strongly delineated, then that theme comes to inhabit a separate emotional world. Yet, despite the "closed" individuality of its themes, Schubert's mature sonata forms do not break down into a series of independent structures; a sequence of lieder or character pieces, so to speak. As we have seen time and again, there are ample motivic connections–rhythmic, harmonic and melodic–throughout the form. Schubert, though, often makes them covert links, as if another, partially hidden process were taking place within the music. The gradual emergence of G-flat as a tonality in the first movement of the Piano Sonata in B-flat Major, D. 960, or the eruptions of F major in the second subordinate theme of the "Death and the Maiden" Quartet's first movement–each seems to break the music's surface, allowing the listener a glimpse of something at work on a deeper level. These events give to the music a certain mysterious quality, not found readily in the more overt motivic practice of Classical composers, with the exception of some of the works of late-period Beethoven, contemporary with Schubert's own late masterpieces. This retreat of the musical process from the clear sunshine of Classicism into the twilight world of Romanticism depends upon two linked features of Schubert's

approach to sonata form: his cultivation of ambiguity and the suggestive quality of his writing, particularly in his harmonic practice.

Illusion and the Processes of Sonata Form

The second unusual feature of Schubert's sonata forms to be discussed in this chapter is what can be referred to as his use of illusion in the unfolding of the structure. Such ambiguity, both formal and tonal, is perhaps the most bewildering aspect of Schubert's early quartets. When encountered in his first attempts at sonata form, this lack of clarity can be ascribed all too readily to inexperience; but deliberate ambiguity is such a prominent characteristic of the later forms that it is hard to simply reject early instances of this tendency as mere mistakes. In the structural sphere, the quartets' experimentation with various formal functions reveals an innovative spirit at odds with the charges of a classicistic or formulaic approach to sonata form often laid at Schubert's door.[22] At times, the young composer even seems to be reinventing the form as he proceeds.

The status of the "slow" introduction provides a good example of some of the formal experimentation in the early quartets. Motivically, a number of Schubert's introductions are closely tied to the main movement. In itself this is not an innovation; many introductions of the later Classical period present material that is

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[22]See Rosen, *Sonata Forms*, 357-9.

taken up in the first movement proper.[23] What is new, though, is the degree of explicitness in the connection as well as the more developed nature of the recalled material. The introduction to the Quartet in G Minor/B-flat Major, D. 18, for example, unveils a slow version of the first movement's complete main theme. The Quartet in C Major, D. 42, provides a more extreme case: the introduction actually sets in motion the first movement's thematic process with a full statement of the main theme, which is then fragmented at the beginning of the ensuing Allegro (see chap. 4, pp. 131-8, and ex. 4.1 and 4.2).[24]

Although no later work approaches such a radical design, there is still a degree of formal ambiguity in the opening bars of some mature sonata forms. The long note values and rhythmic fluidity at the beginning of the C-Major String Quintet, D. 956, suggest an introduction, as does the diversity and fractured discourse at the outset of the late G-Major Quartet, D. 887. The same may be said of the first twenty-five bars of the "Trout" Quintet, D. 667, with their slow, leisurely gait, long pedal tones and sudden harmonic shift to F major. In all three instances, the music has an aura of mystery in which each detail seems to carry some profound significance, an impression that more often than not proves true as the movement unfolds.

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[23]This is particularly true of Beethoven's work; see the Fourth and Seventh Symphonies, as well as the Piano Sonata in E-flat Major, op. 81a ("Les Adieux").

[24]The closest Classical example to the type of recall found in these two quartet movements is found in Beethoven's Piano Sonata op. 81a, "Les Adieux." Here, though, the material recalled in the main movement, the opening two-bar horn call, is still at the motivic level of the structure, rather than a fully formed theme.

Once again, Schubert did not invent such suggestive openings: they are latent within Classical sonata form itself, which can begin with a certain tentativeness. In fact, it is often up to the transition to "get things going."[25] Beethoven, in particular, could play on such ambiguity, as seen in the introductory-like beginnings of a number of the late string quartets, op. 127 in E-flat Major, for instance, or op. 132 in A Minor. These quartets are roughly contemporary with, or even later than, the works by Schubert mentioned above (except, of course, the C-Major Quintet, written over a year after Beethoven's death). Earlier examples by Beethoven may be found, though, as in the famous opening of the Piano Sonata in D Minor, op. 31, no. 2.[26]

The penetration of the main movement by the introduction in a number of Schubert's works also indicates how closely the two structures are tied together. Once again precedents may be found in Classical works, for instance Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique."[27] Here the initial bars of the introduction return at the major points of demarcation in the form: the beginning of the development section and the coda. The original introductory function of the recurring

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[25]See Caplin, *Classical Form*, chap. 9.

[26]For a discussion of the introductory quality of the Sonata's beginning see Dahlhaus, *Beethoven*, 116-18, and Janet Schmalfeldt, "Form as the Process of Becoming: The Beethoven Hegelian Tradition and the 'Tempest' Sonata," *Beethoven Forum* 4 (1995): 37-71.

[27]Other examples from Classical literature include Haydn's Symphony no. 103, "The Drumroll," and Mozart's String Quintet in D Major, K. 593.

material is thus maintained in the later appearances.[28] The same may be said of the reappearance of the introduction to Schubert's First Symphony at the beginning of the recapitulation of the first movement, or the similar return of the introduction in the first movement of the String Quartet in C Major, D. 42.

In the "Great" C-Major Symphony, however, the introduction's presence in the first movement proper is more widespread (see chap. 6, pp. 216 ff.). Furthermore, the returning material has been absorbed into the main movement in such a way that it has lost its introductory function: in particular, the intrusive trombone motives at the end of the exposition and development are associated with important cadential moments in the form. The introduction thus hovers over the music as a shadowy presence, whose ghost is not fully exorcised until the coda, when its opening theme is finally laid to rest with all the requisite pomp and circumstance.[29] This pervasive incorporation of the introduction into the main body of the movement goes far beyond the discrete references of Beethoven's "Pathetique" Sonata and leads to a certain blurring of the previous functional distinction between the two structures.

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[28]The introductory function is also maintained in the two other examples cited in the previous footnote. In Mozart's D-Major Quintet, the introduction returns briefly at the beginning of the coda, to launch one last appearance of the main theme. Similarly in Haydn's "Drumroll" Symphony, the introduction prefaces the coda, thus underlining the derivation of the material of the main movement from the introduction's opening idea.

[29]A similar, though less extensive, reminiscence of the introduction my be found in the Haydn "Drumroll" Symphony. Here the introduction's opening idea, already incorporated into the main theme (specifically bb. 74-5), returns at its original pitch and with a similar orchestration in the midst of the development section (bb. 113-14), thereby pointing out the connections between the introduction and first movement proper.

Often the interiors of Schubert's sonata forms, particularly the transitions, are also characterized by widespread ambiguity. In fact, the reliance on illusion in the transitional process is a key factor in the transformation of the structure's underlying modulatory mechanism. This new tendency is most evident in the early quartets, where the transitions can often be quite difficult to fathom–the first movement of the D-Major Quartet, D. 74, for instance, with its long "developmental" transition, or the first movement of the B-flat Quartet, D. 68, where the whole interior of the exposition is given over to a disturbingly convoluted transitional process (see chap. 4, pp. 139-43). In both of these cases and many others, the usually distinct boundaries of the movement's internal subdivisions are blurred, making deliberate formal ambiguity a part of the music's modulatory plan. In the D-Major Quartet the arrival of a subordinate theme in A major is suggested a third of the way through the transition, but almost immediately denied; in the B-flat Quartet, it is even difficult to tell at first if the music has left the exposition and launched into a development section. Once again, the examples are admittedly extreme, but more refined structural ambiguities animate Schubert's sonata forms throughout his life, as in the strange ternary groupings in the first movement of the Piano Sonata in A Major, D. 959 or the transitional scheme of the first movement of the B-flat Piano Trio.[30]

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[30]Classical composers could also play on the listener's formal expectations, as in Haydn's false recapitulations, but even a false recapitulation was often coded texturally to reveal itself to an attentive ear. See Janet Levy, "Texture as Sign in Classical Music," 482-7. For the decline of the false recapitulation after 1770 see Rosen, *Sonata Forms*, 156-7.

As we have seen, Schubert's transitional process also depends upon tonal ambiguity in its use of feints towards the wrong key, key struggles, unexpected resolutions of double-edged chords, circular tonal trajectories, etc. Of course, tonal illusion can also be found in Classical sonata forms, sometimes even with similar effects. Classical practice differs from Schubert's, though, in the placement and extent of such ambiguity. Moments of uncertainty are often short-lived and carefully contained within the controlling tonality, as in a Mozartian "purple patch," within the subordinate tonality of an exposition. The finale to Mozart's String Quartet in C Major, K. 465, "Dissonance," provides a good example of this practice.

The exposition's subordinate key area, G major, is quite extensive and contains a number of clearly defined themes. Of particular interest here is the expansion of the E-flat harmony (bVI, ex. 9.3a, bb. 89-97). The sudden turn to the flat submediant at bar 89 brings with it something of the floating, "otherworldly" effect of Schubert's unexpected third-related shifts. This feeling of suspension is played out over the next nine bars as the E-flat chord is expanded through its own applied dominant. There is never any doubt, though, as to the overall tonality of the passage. G major has been firmly established by the first subordinate theme (bb. 55-69) and two subsequent presentations in G major (bb. 70-7, and 78-83), while the expanded bVI, which resolves to V through the German sixth, functions quite clearly within a cadential progression in G major (see reduction in ex. 9.3b).[31] The initial appearance of the bVI may seem

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[31]The parallel passage in the recapitulation is expanded even further (bb. 292-324) when the move to A-flat major (bVI) is followed by one to D-flat major (bII). The V^7 of D-flat (Ab^7) is also the German sixth of the home key and resolves as such (b. 323-4)

momentarily to suspend the forward motion of the music, but in reality this reduced momentum acts as the wind-up to a more emphatic cadential progression.

A similar expansion of an E-flat chord colours the beginning of the subordinate theme in the first movement of Schubert's String Quintet in C Major, D. 956 (ex. 9.4a). The whole process, though, is much more complicated than in the Mozart example and involves a deeper tonal ambiguity. In the first place, the expansion occurs right at the beginning of the subordinate theme, before the true subordinate key, G major, has been established (in fact the transition has not left the home key, C major); thus the E-flat chord at first appears to be the new tonality itself. The tonal uncertainty is compounded when the music turns back to C major (bb. 63-65 and bb. 71-4), prior to moving on to a perfect authentic cadence in G major at the end of the phrase (b. 79).[32]

While the effect of the chordal expansion here is similar to that of the Mozart example, albeit more extreme, its position in the form and consequent significance are radically different. The suggestion of E-flat major, occurring as it does between two keys (the home, C, and the subordinate, G) is not clearly framed within one tonality, even though the controlling tonality remains C, as Rosen has pointed out.[33] The

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in the expanded cadential progression in C major that closes off the whole passage (bb. 310-26). We have seen precisely the same double meaning of the German sixth in some of Schubert's surprise modulations. Here, though, the bII^6 and its applied dominant are controlled within the larger expanded cadential progression–ambiguity has thus been restricted to a very local level.

[32]See Rosen, *Sonata Forms*, 256-8, for a more complete discussion of the passage.

[33]Ibid., 258.

point at which the E-flat chord is expanded, the junction of the transition and the subordinate theme, is one in which a change of key is expected. Thus at first E-flat can be accepted quite readily as a true tonality rather than an inflection of C minor. When C major does momentarily reassert itself (beginning in bar 71), not only is the tonal status of E-flat undercut but the general direction the music is taking is also thrown into doubt. This ambivalence adds to the feeling of mystery throughout the beginning of the subordinate theme. The music hangs in tonal limbo. With all forward momentum suspended, events take on an intense dream-like quality in which allusions to the past and future mingle with the present. This temporal layering is concentrated in the final modulation to the subordinate key, where the gateway to G major is provided by the return towards the home key, C major (bb. 71-9). What is more, the actual progression that initiates this move to G (ex. 9.4a, bb. 73-6) recalls the movement's mysterious initial progression, an embellishment of the tonic by a neighbouring diminished seventh chord, which is also the diminished seventh of G (ex. 9.4b, bb. 1-5). The oracular pronouncement of the movement's opening bars is now fulfilled in bars 73 to 76. The diminished seventh of G resolves this time to the I^6 in G major, thus initiating the perfect authentic cadential progression which accomplishes the modulation to the subordinate key.[34]

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[34]The original progression has been altered somewhat to reflect its new position and function (see ex. 9.4b). Now four, rather than two, harmonies are involved: the initial C-major chord advances to the diminished seventh of G through the A-minor chord, while the diminished-seventh this time resolves to G. The whole progression thus represents the pivot chord modulation on VI (A minor) that Schubert favoured in his early quartets.

Schubert's Quintet, however, does not represent a total break with Classical practice: although the subordinate theme usually begins clearly in the subordinate key in Classical sonata form, there are a number of examples in which this point in the structure is marked by a tonal surprise. The works of Beethoven provide most of the examples. The first movements of the Piano Sonatas in F Major and D Major, op. 10 nos. 2 and 3 have already been mentioned. To these can be added the finale of the String Quartet in F major, op. 18, no. 1, the first movement of the Piano Sonata in D Major, op. 28, the first movement of the Fifth Piano Concerto, op. 73, and the first and last movements of the Eighth Symphony, in F major, op. 93.[35] Admittedly, the examples cited represent a mere handful of the great number of sonata forms Beethoven wrote over his career. Since all are well-known works, though, they may have exerted some influence on Schubert. Furthermore, they may well indicate a more broadly based practice in the music of Vienna's Golden Age.[36]

An important difference emerges, though, between many of the Beethoven examples and Schubert's Quintet. Often Beethoven's tonal surprise heightens the dynamism of the subordinate theme rather than reducing it, as in the Quintet. In the

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[35]A number of other instances have been mentioned by Longyear and Covington as instances of their second type of three-key exposition. They include Beethoven's String Quartet in D Major, op. 18, no. 3, i, and Mozart's String Quartet in E-flat Major, K.428, i (see "Sources of the Three-Key Exposition," 461-4). Both cases, though, are actually "purple patches" or tonicizations within the subordinate key area, since they occur after the subordinate key has been fully confirmed cadentially.

[36]See Roger Hickman, "The Flowering of the Viennese String Quartet in the Late Eighteenth Century," *Music Review* 50 (August 1989): 157-86, for some parallel examples of dramatic modulations in the works of Paul and Anton Wranitzky, E. A. Förster and A. Gyrowetz.

first movement of the Eighth Symphony, for instance (ex. 9.5), the transition travels the wrong way around the circle of fifths from F major, through its subdominant, B-flat, to the dominant seventh of E-flat major (bb. 20-33)--a delightful witticism reminiscent of Haydn. Despite the departure from F major, this transition has a rather static feel to it: the move to the new dominant seventh is accomplished quickly and the bass remains largely on F throughout. At bar 34, the last three bars of B-flat dominant seventh harmony are suddenly sequenced down a semitone to the dominant seventh of D major.[37] The subordinate theme then begins in bar 38 as if in D major; but during the first phrase, the music moves on to the G major chord as the dominant of C major (V, the true subordinate key). Once the new dominant is reached at bar 44, it is prolonged for another bar; then the subordinate theme starts up again, only this time firmly in C major (bb. 46 etc.). The function usually associated with the transition has thus been transferred to the beginning of the subordinate theme, which now establishes the subordinate key's dominant chord, G, through that chord's own applied dominant, D.[38]

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[37]The connection between the two dominants is vaguely reminiscent of some of the secret links in Schubert's music, for the B-flat dominant seventh is also the German sixth of D major, and indeed functions as such here, although it does not resolve conventionally as far as the part writing is concerned.

[38]A similar type of forward momentum marks the beginning of the subordinate theme in the finale of the F-Major String Quartet, op. 18, no. 1, where the opening phrase of the theme appears first in the dominant of the dominant key (bb. 43-9), then is restated in the dominant key (bb. 52-8). In the first movement of the Piano Sonata in D Major, op. 28, to cite another example, the subordinate theme begins with a tonicization of II, which forms part of a larger progression driving towards the cadence in the subordinate key at bar 70. The supertonic tonicization is then expanded over the next phrase, the whole process, coupled with consistent cadential denial, giving the

Not only is there an increased dynamism in Beethoven's theme, but the suggestion of the "wrong" key at the theme's beginning is immediately corrected by the theme's repetition in the "right" key. Schubert, on the other hand, repeats his subordinate theme exactly, beginning it one more time with the floating E-flat chord. In doing so he has heightened the chord's ambiguity, for now, after the cadence in G major, E-flat has three potential meanings: a tonic in its own right, a flat submediant in the key that has just been established, or a flat mediant in C major, which again reasserts itself briefly (bb. 92-5). This sort of tonal movement, a hovering between past and future, is an important characteristic of Schubert's allusive approach to harmony, which can affect the temporal quality of his sonata forms.

"The Traces of the Past and Future in the Present": Tonal Allusion and Romantic Time

The third characteristic of Schubert's sonata forms to be discussed, his allusive manipulation of harmony, brings us to an important element in Romanticism–the treatment of time. In his most recent work, *The Romantic Generation*, Charles Rosen has compared the temporal process of Schubert's *Winterreise* to that of a Romantic Landscape:

> The time of this song cycle is that of a Romantic landscape: not the successive events of a narrative but a succession of images, of lyrical reflections which reveal the traces of the past and future within the present. What we

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theme a very restless character.

> directly perceive as happening is the change of meaning of the motifs from picture to picture.[39]

This treatment of time in Schubert's writing is not confined to his vocal music (although it is more obvious in genres with an explicit text), but may be found in his instrumental works as well. Here Schubert's use of chromatic harmony and enharmonic respellings as an allusion to past or future tonal events is particularly important.

The projection of a temporal quality onto a harmonic element–a chromatic chord or a momentary tonicization–may seem questionable at first. Surely we are dealing merely with harmonic relationships. The suggestion of time, though, arises from the progressive character of the tonal scheme in a Classical sonata form, where once a key is left, it remains in the music's past, with the one important exception of the tonic, which must be re-established in the recapitulation. Rarely does a subordinate key return after it has been quitted. The dominant, for instance, does not usually reappear in the development of a major-mode sonata form. Keys that are highlighted by extensive tonicizations in the exposition, are not normally emphasized again in the recapitulation, rather they are answered by other keys, usually on the flat side, as so often happens in Beethoven's recapitulations.[40] This progressive tendency is reflected by the transitional process as well, in which modulations usually follow a straight line.

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[39]*The Romantic Generation*, 183.

[40]See Rosen, *Sonata Forms*, 354-5.

Once the tonic key has been left and the path towards the new key begun, the music does not usually return towards the tonic.

Admittedly, Classical practice appears to be motivated primarily by a concern for efficiency: the return of secondary keys is a redundancy that impedes the striving for newness in the unfolding of the form. Such an attitude underlies Webster's criticism of the exposition of Schubert's D Minor Quartet, "Death and the Maiden":

> The exposition shows the three-key plan somewhat weakened by the recurrence of F (already used for the lyrical theme) in the later outbursts. The recapitulation avoids this problem.[41]

The tonal organization of the Classical form, in which each key occupies a distinct and unambiguous place, though, does allow a certain temporal quality to be associated with the tonalities of the form; for, due to their fixed position, the keys themselves may be viewed as past or future events from various points in the movement.

Schubert plays on these temporal associations in the tonal allusions of his own sonata forms. Once again, his practice has its roots in the Classical style, as may be seen in the beginning of Haydn's String Quartet in B Minor, op. 33, no.1 (ex. 9.6a). This is probably the most famous example of Haydn's harmonic wit. Due to delightfully ambivalent writing in the first two bars, the Quartet appears to be starting off in D major, rather than B minor, thereby suggesting the future (the subordinate key) in the present (the home key). Once D major has been established as the subordinate key, A-sharp, with its sly allusion to B minor, is allowed to creep into the final cadential progression of the subordinate key area as a chromatic inflection of the

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[41]"Schubert-Brahms, I," 34.

melody (ex. 9.6b, bb. 27-30). What is important to note here, though, is that these cross references are carefully controlled, and that the chromaticism introduced, the A-sharp/B-flat, helps to clarify the true tonal context. The D-major "mistake" of the opening two bars is implied, not explicit. The strict two-part writing can either be understood as outlining a I^6 in D Major or a $I^{6/4}$ in B minor.[42] The situation is clarified in bar 3 with the introduction of the crucial A-sharp, which is then emphasized throughout the whole main theme area as the leading tone of the home key. (In fact, out of the remaining fifteen bars in B minor, there are only three in which it does not appear, two of which are involved with a tonicization of IV [bb. 13-14].) In the subordinate key area the A-sharp indeed returns, but first as a B-flat, which, as the flat submediant degree in D major, resolves quite prominently to an A (b. 26). Thus A-sharp and B-flat each fulfill their usual function within their respective keys. It is only after the new status of A-sharp as the flat submediant of D major has been established that Haydn allows himself the subtle joke of introducing the leading tone of B minor into his melodic line (b. 28 and b. 30).

In contrast, Schubert underlines the ambivalence of his enharmonic chromaticisms. Unlike the Haydn example, the function of the chromatically altered note is not immediately established within its tonal context, but often points forward or backward to its other tonal association, thus acting as a subtle prophecy or memory. This characteristic of Schubert's writing is already quite evident in his early quartets. The

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[42]Older editions of this movement are corrupt, in that they supply an A in the second violin, b. 1 and an A-sharp, b. 2; see Webster, *Haydn's "Farewell" Symphony*, 127-130.

beginning of subordinate theme in the C Minor Quartet Fragment, D. 103, for instance, is shot through with B-naturals resolving to C's, thereby colouring the new key of E-flat major with strong suggestions of the home key (see chap. 5, ex. 5.10, bb. 91-104). The situation is more extreme in the first movement of the B-flat Quartet, D. 68 (see chap. 4, ex. 4.5), where F-sharp within the V/VI is highlighted in the main theme, thus looking forward to the expansion of the V^7 of G minor in the transition. (At only two points in the home key area, [b.7 and b.12] does the chromaticism behave as G-flat, the flat submediant of B-flat major.) Once F major has been established as the subordinate key, F-sharp returns quite prominently (bb. 72-88), now infusing the new key with the memory of the transition. In this instance, and indeed many of the early sonata forms, the prophetic quality of the movement's initial chromatic harmonies results from the generation of the transition out of the material of the main theme. In short, the main theme itself predicts the course of the transition, since the latter is basically an expansion of the former (see in particular the first movements of the B-flat Quartet, D. 32, and the E-flat Quartet, D. 173).

In his mature sonata forms, Schubert deepens his tonal allusions, as can be seen in both the *Quartettsatz* and the first movement of the "Death and the Maiden" Quartet, where the purity of each successive key has been "contaminated" by suggestions of previous or forthcoming keys. In the "Death and the Maiden" Quartet, for instance, the references to F major in the home key and to A minor in the first subordinate key colour the *present* music with "traces of the *future*," while the emphasis on F major in the final cadences of the exposition appears as a vestige of the *past*. Consequently,

Schubert's sonata forms depart from the progressive, concise and clear succession of discrete keys often found in Classical forms.[43] The new tendency is compounded by his modulatory process, which, from the beginning of his career, relies upon circular paths and tonal ambiguity to achieve the main modulations in the structure.[44] Taken together, these aspects of Schubert's writing–the use of tonal allusion and the circular manner of modulation–contribute to what Dahlhaus has called the "non-teleological" nature of his sonata forms, from which arises a certain quality characteristic of the portrayal of memory in Romantic literature.

The Remembrance of That Which Never Was: Schubert's Lyricism and Romantic Memory

Dahlhaus's characterization of Schubert's sonata forms as "non-teleological" is based upon his observation that the lyrical quality of Schubert's thematic material, its "melodic richness," causes the music to circle constantly around a given theme rather than steadily pressing forward, as in Beethoven's forms:

> Thematic material that is 'in the service of form' is almost always melodically rudimentary....As a result it provides less a constant point of reference and more the mere starting point of the development. But in Beethoven's case the functionally determined poverty of the material is not

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[43]The most extreme examples of this departure are found in those early sonata-form movements where keys established in the exposition return in the development or recapitulation, the String Quartet in G minor, D. 173, i, for instance, or the Violin Sonatina in A Minor, D. 385, i. Such a practice is related to the tonal concentration of Schubert's early sonata forms, which often pursue the relationship between two principal keys across the whole structure.

[44]See, in particular, the Quartets in C Major, D. 32, i and iv, in B-flat Major, D. 68, i and again in B-flat Major, D.112, i.

> infrequently linked to the formal concept of transferring the 'real' thematic material from the surface of actual melody to a lower 'submotivic' substratum, consisting of more abstract structures....
>
> If we allow that melodic poverty and abstraction can be proper attributes of thematic material, the whole purpose of which is to be the function of a goal-oriented formal process, we can also, conversely, see a relationship between melodically richer material and a passage of time that is more like a circling motion than a teleological process....
>
> The idea of a circling motion, showing a theme from a succession of different aspects, and serving to establish a specific temporal structure of the music, provokes the objection that it is impermissible to project characteristics of a process that takes place in time on to time itself. In the face of the problematical relationship between theme-dependent and teleological identity, different emphases are possible: an elaborative, backward-looking orientation consequent upon richly differentiated thematic material on the one hand, and, on the other, the effectuation of an urgently forward-moving formal process; but these are, however, processes in which time not only represents a medium but is also, to some extent, 'composed'. In a Schubertian development, the first-subject material is constantly present in the mind as the object of exegesis, and in this aesthetic present time it wears the colours of the past; the 'past-ness'–the conception of the time that extends between the development and the exposition–is, however, one of the aesthetic facts of the music. But if the past is 'subsumed' in the present, as an aesthetic fact of a goal-directed process that leaves the past behind, circular motion around the thematic material is like a memory in which the past reaches out into the present.[45]

Dahlhaus's comments are directed primarily at the main theme, since its more developed nature is the source of the past's intrusions into the present in Schubert's sonata forms. The general significance of such "melodic richness" may be extended to Schubert's subordinate themes as well, whose material can also return in the development section wearing the "colours of the past." What is more, these backward glances are not confined to the development section; the exposition can also feature a circling motion around a given theme, particularly when large ABA structures are involved.

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[45] *Beethoven*, 89-90.

A good example is provided by the first movement of the A Major Piano Sonata, D. 959 discussed above. As already noted, the beginning of the subordinate theme returns twice before the end of the exposition (bb. 78 etc. and bb. 117 etc.). In each instance the material comes back as it first appeared. Exact repetition in the subordinate theme area is fairly common in Classical sonata forms, but it is usually immediate, as in the close restatement of a theme or the parallelism of an antecedent and consequent phrase in a period. The distances between the repetitions in Schubert's Sonata are considerably longer. In fact the whole subordinate key area is punctuated at its middle and end by the return of its beginning. Passages that seem to promise some advancement, the B section, for instance, thus only lead back to the beginning, albeit a beginning that ultimately functions as an end. What is more, the B section is itself a reminiscence of the earlier transition. Such circular motion suggests an internalized sense of time, as if one were turning an idea or a memory over and over in one's mind. A similar effect may also be felt in other subordinate theme areas that exhibit broad ABA structures, for example the first movement of the String Quartet in G Major, D. 887.[46]

Not only can Schubert's themes appear as reminiscences of the past intruding into the present, but they can also bring with them the tragic side of Romantic memory summarized so aptly by Rosen:

> The most signal triumphs of the Romantic portrayal of memory are not those which recall past happiness, but remembrances of those moments when future happiness still seemed possible, when hopes were not yet frustrated.

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[46]See Dahlhaus's discussion of this movement in "Sonata Form in Schubert."

> There is no greater pain than to remember past happiness in a time of grief–but that is the Classical tradition of the tragedy of memory. Romantic memories are those of absence, of that which never was.[47]

The longing to reclaim a lost vision of happiness not only attracted Schubert in the poems he used as song texts, but was something he experienced personally, as can be seen in the details of his own life.[48] The famous letter to his friend Kupelwieser, written following the first onslaught of the composer's ultimately fatal illness and the trauma of a year of desperately poor health, expresses his yearning for that innocent time before the catastrophe.[49] Schubert's despair is couched in a language reminiscent of the literature of the period (he even quotes from Gretchen am Spinnrade–"Meine Ruh ist hin"), but the sentiment is achingly personal:

> To put it briefly, I feel myself the most unfortunate, the most miserable being in the world. Think of a man whose health will never be right again, and who from despair over the fact makes it worse instead of better, think of a man I say, whose splendid hopes have come to naught, to whom the happiness of love and friendship offer nothing but acutest pain, whose enthusiasm (at least the inspiring kind) for the Beautiful threatens to disappear, and ask yourself whether he isn't a miserable, unfortunate fellow.
>
> My peace is gone, my heart is heavy

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[47]*The Romantic Generation*, 174-5.

[48]The yearning for a past and future Utopia is a subject of central importance to German Romantic literature and philosophy. For an excellent discussion of Schiller's theory of history as an upward spiral from Paradise lost to Paradise regained see M. H. Abrams, *Natural Supernaturalism: Tradition and Revolution in Romantic Literature* (New York: W. W. Norton, 1971), 199-217.

[49]One must not assume, though, as E. T. Cone has, that Schubert's illness acted as some catalyst for the deeply tragic or unsettling aspects of his work ("Schubert's Promissory Note," 241): he was receptive to the dark undercurrents of Romanticism, its alienation and despair, long before he actually contracted syphilis, as may be seen in many early works from the First Quartet in G Minor/B-flat Major to the *Quartettsatz*. Living with such a fatal illness at most intensified an attitude already present in his psychological makeup.

> I find it never, nevermore....
> So might I sing every day, since each night when I go to sleep I hope never again to wake, and each morning merely reminds me of the misery of yesterday. So I should pass my days joyless and friendless, if it weren't for Schwind, who frequently visits me and sheds a light from those dear departed days.[50]

How, though, can a musical theme capture that yearning quality of Romantic memory; more specifically, how can a concrete structure in music suggest the remembrance of a vision–a substance twice removed from reality? To answer these questions we must turn once more to Dahlhaus' comparison of the different constructions of time in Schubert's and Beethoven's sonata forms. According to Dahlhaus, the goal-oriented process of a Beethovenian symphonic allegro involves an unbroken chain of events moving irresistibly forward in time:

> It is not that the themes of sonata-form movements represent protagonists and antagonists, acting together or against each other; rather, the temporal structure of the symphonic allegro is equivalent to that of dramatic style, which was characterized by Emil Staiger as 'reißende Zeit' (a term which represents time as something in motion that snatches up and bears away whatever lies in its path, like a river in spate).
>
> If we translate the metaphor into a language appropriate to musical matters, the temporal quality manifested in Beethoven's symphonies can well be described as teleological: the symphonic allegro seems to strive inexorably towards an end that is both a goal and a result; and the individual musical moment, rather than being self-sufficient, demands to be understood as the consequence of what has gone before it and the premiss of what comes next. The substance of the present consists in the past from which it has emerged, and in the future to which it beckons.[51]

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[50]In Brown, *Schubert*, 154. The yearning in Schubert's letter is suggested in some of the instrumental works of the period, the A Minor String Quartet, D.803 and the F Major Octet, D.804, which quote Schubert's own setting of Schiller's "Die Götter Griechenlands," a lament for the vanished Golden Age of man, which begins with the line "O beautiful world where are you?" For the extent and significance of the quotes from this song, see ibid., 183-5.

[51]*Beethoven*, 81.

The preceding description presents Beethoven's "teleological" form as (1) a logical process (each moment is both a consequent and a premiss) (2) activated by will (it strives towards its goal) and (3) perceived as moving forward in time. Dahlhaus has expanded on this last point:

> The fact that the symphonic allegro is goal-directed means that the time to which it belongs is not merely a medium in which it moves but is itself sensed as a forward movement that the music makes palpable and perceptible. Music enables time to be experienced as a process. Processuality is embodied in a particularly emphatic and extreme form in Beethoven's symphonies, where it manifests itself in the development of a theme or that of the interaction of themes.[52]

Dahlhaus' mention of thematic development brings us back to his thesis concerning the melodic poverty of Beethoven's themes, which, as "the mere starting point of a development," provides the necessary prerequisite for his goal-oriented forms. When Schubert's richer themes weaken or even thwart this forward drive, replacing it with a circular motion, then we find the main attributes of Beethoven's approach reversed: Schubert's sonata forms thus often involve illogical, involuntary events that appear outside time. The arrival of the subordinate theme, the most important of these unusual events, is what concerns the present discussion.

A process based upon the unbroken, forward-driving derivation of later ideas from previous ones carries with it a certain feeling of logical discourse. Dahlhaus has made the connection explicit by stating that each moment is the consequent of what came before and the premiss of what follows. On a broader scale the subordinate theme itself emerges as a local goal or consequent that in turn takes its place as a premiss

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[52]Ibid., 81.

within a continually evolving process. Such a feeling of logic is not confined to the chain of motivic derivation, but also adheres to the harmonic progression involved in the modulation to the subordinate key. A Classical modulating transition, for instance, that orders its harmonic constituents in a path moving progressively from a tonal point of departure to a tonal goal, can also create the effect of an unbroken chain of harmonic premisses and consequents.[53]

By Classical standards, at least, Schubert's early "circular" transitions are thus illogical. Their very trajectory does not set up the sort of harmonic logic inherent in a Classical straight-line modulation. What first appears as an evolving argument, or a forward motion towards one goal, very often retreats to the original premiss or point of departure, as in the constant vacillation between G minor and B-flat major in the first movement of the B-flat Quartet, D.112. In fact, denial of logic is central to Schubert's cultivation of tonal ambiguity and surprise in his transitional schemes throughout his career.[54] Thus tonally the entry of the subordinate theme can become an "inexplicable" event in relation to the process preceding it: the subordinate key does not follow directly as the consequent of the transition, it simply appears, thus taking on the character of an involuntary as opposed to a willed occurrence.[55]

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[53]To some extent, convention plays a role here, for what is familiar and expected often appears as "logical."

[54]Such a rupture of logic is most evident in the feint, where the wrong dominant prepares the new tonic.

[55]Rosen discusses the importance of involuntary memory in Romantic literature. See *The Romantic Generation*, 150-3.

The suspension of both logic and will at the beginning of the subordinate theme can give that theme an unreal, visionary quality, which seems to lift the music out of actual time. The specific character of the theme itself, its floating lyricism so often referred to as "otherworldly," reinforces the feeling of arrested time. This hovering, dream-like state approaches the intimation of the infinite so central to the Romantic aesthetic.[56] If the concrete return of Schubert's themes can suggest the "past reaching out into the present," then the theme itself, in its illusory, timeless quality, can appear as the remembrance of not necessarily what was but of what could have been–in short, the memory of a vision. And when this theme returns in the recapitulation, following the same "illogical" course of the transition, then the music often seems to be chasing a dream. It is this suggestion of unfulfilled happiness that often colours Schubert's sonata forms with a melancholy familiar from many of the Romantic texts of longing and loss that he set, Novalis's "Nachthymne" (D. 687), for example, or Heine's "Die Stadt" from *Schwanengesang*.[57] While Beethoven has become synonymous with the heroic triumph of the Napoleonic period, Schubert is often associated with yearning and the transcendent power of death–the quintessence of Romanticism.

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[56]The yearning for the infinite and concomitant longing for death are topics of such importance to German Romanticism, from Caspar David Friedrich's "Wanderer above the Mists" to E. T. A. Hoffman's essay on Beethoven's Fifth Symphony and Goethe's "Wanderers Nachtlied," set by Schubert (D.768), that they scarcely need to be discussed here. The floating quality of Schubert's lyricism compares to the Romantic sensation of contact with the infinite described by Rosen in *The Romantic Generation*, 161.

[57]Susan McClary has also discussed this despairing tone in Schubert's music with reference to his modulation to, and away from, the flat-submediant region ("Pitches, Expression, Ideology").

A Last Glance at the School Room: Schubert and Classicism

Before taking leave of this study, we must return one last time to the early quartets and their unusual nature. Schubert has often been treated as a classicist in his approach to sonata form. This idea marks many of the surveys of his instrumental music, where his quotations from the works of Haydn, Mozart and Beethoven are mentioned quite prominently. Recently, a more subtle and thought-provoking view of Schubert's classicism has been advanced by Charles Rosen.[58] He argues that Mozart's music provided the first model for classicising composers at the beginning of the nineteenth century and that such a tendency may be seen in the expansion of sonata form and the increased emphasis placed on melody, two features clearly associated with Schubert's practice, although Rosen also includes the early works of Beethoven in this category. In Beethoven's case, though, Rosen maintains that the composer left the classicising tendency behind in the "Eroica" Symphony and the opus 31 piano sonatas. Thereafter his work reconfirmed the basic principles upon which the Classical sonata style was founded, the tonic-dominant polarity, the creation and resolution of large-scale dissonance, the antithesis between dominant and subdominant, etc. Consequently his "innovations are largely conflations of Haydn's and Mozart's different methods and...he is best comprehended within their tradition."[59]

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[58]*Sonata Forms*, 353-64.

[59]Ibid., 356.

According to Rosen, then, Beethoven escaped classicism by becoming more authentically and thoroughly Classical through his assimilation and further development of the fundamentals of the Classical style. Schubert, however, is shown to break with that style while still imitating its exemplary works. If we accept that the melodic orientation and expansion of Schubert's sonata forms indeed imitate Mozart's approach to the form, then Schubert is, in Rosen's terms, a classicist. Certainly Schubert's sonata style compares most closely with that of Mozart in its symmetrical layout and melodic richness.[60] Here, though, Rosen's own comments made concerning the relationship of early Mendelssohn to late Beethoven are particularly apt:

> One of the most important steps in the development of a personal style by a young composer is not inventing it but discovering it where it already exists in one's precursors. The next step is to isolate and intensify those stylistic characters that give the greatest promise for one's own work.[61]

This is precisely what occurs in Schubert's case: he is at first drawn to the tunefulness of Mozart's music, as may be seen in the many reminiscences of the older master's melodies in Schubert's early works; but in the course of his development as a composer he "isolates" and "intensifies" this element in his own writing, transforming Mozartian melodiousness into a quality of lyricism that becomes one of the most original aspects of his writing. The String Quartet in D Major, D. 74, with its outright quotes from the Magic Flute Overture and the "Paris" Symphony, may thus be considered an imitative or classicising work; the young composer is still discovering himself in the

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[60]This point has already been made by Klaus Rönnau, among others ("Zu Tonarten Disposition," 440).

[61]*The Romantic Generation*, 571.

older master's music. In the "Unfinished" Symphony, with its aching lyricism, though, Schubert's writing can no longer be considered classicist, for here the composer has gone far beyond the melodic prettiness of such classicist composers as Hummel or Moscheles to an entirely original and profound type of melodic expression shot through with Romantic longing. The spectre of Mozart vanishes in the air of a new aesthetic.

We must now turn to another point made by Rosen, that Schubert never lost "the classicistic dependence on models."[62] That Schubert patterned some of his own works after those of his predecessors, even at the end of his life, has been quite convincingly demonstrated by Rosen and E. T. Cone. A case in point is the finale of the Piano Sonata in A Major, D. 959, which uses the concluding rondo of Beethoven's Piano Sonata in G Major, op. 31, no.1 as a virtual template.[63] Rarely does a classicist composer thoroughly assimilate what he imitates; the imitation often calls attention to itself as a foreign element or a reminiscence of someone else's style. If the composer manages to surpass his original model by transforming the borrowed material into something new and personal, his status as a classicist is called into question. (Indeed, Rosen has stated that, in the case just cited, the Schubert finale is "unquestionably greater than its model.")[64] Admittedly there are numerous instances, particularly before 1820, in which the borrowings are only half-digested and point to barefaced

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[62]*Sonata Forms*, 357.

[63]See Rosen, *The Classical Style*, 455-9; Cone, "Schubert's Beethoven," 783-91.

[64]*The Classical Style*, 458.

imitation, for instance the allusions to Mozart's Symphony no. 40 in Schubert's Fifth Symphony noted by Rosen.[65] The originality of many of the later works, however, often negates these references. Certainly the tonicization of the supertonic at the beginning of the B-flat Piano Sonata's finale (D. 960) points to an inspiration in the replacement finale to Beethoven's B-flat String Quartet, op. 130; but, apart from the actual harmonic progression, the style is so strongly personal that if one were tempted to accuse Schubert of plagiarism here, it would be of the finale of his own "Trout" Quintet, not of anything by Beethoven.

From surface imitation we now pass to the underlying mechanism of Schubert's sonata style. Since the form itself originated in the Classical era and became the embodiment of the Classical style, its very use by post-Classical composers could be considered classicistic. Where do we draw the line, though? For Schumann, who sensed that the sonata was threatened with extinction in the 1830's, and even advocated new forms to replace the worn out clichés and aping of Beethoven he so roundly condemned, the attempt to renew sonata form was a self-conscious act directed at something that was becoming increasingly irrelevant. In Schubert's case, the form's relevance never seems to have been in question; there is certainly no attempt to find an alternative and no suggestion that sonata form was outmoded and incapable of expressing what he wanted it to express. In short, Schubert never had to re-enter the sonata-form tradition.

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[65]ibid., 455.

Of course, there are many composers of the early nineteenth century who wrote sonata forms throughout their lives without apparently any doubts or questions–Weber, for instance, or Hummel–yet their work can still be considered classicistic. It is the actual handling of the form and the premisses on which the composer works that count. If the form is treated as something set, defined and perfected, then its basic attributes are taken as givens rather than features to be won with each new work. Since it no longer demands the type of creative invention that marked its development, it becomes an artifact, recreated by a mechanistic imitation of what it was rather than a continuing pursuit of its latent possibilities. The codification of sonata form by such writers as Czerny, Reicha and Marx in the first decades of the nineteenth century thus marked the end of that form's potential for change. The situation is summarized by Rosen:

> When sonata form did not yet exist, it had a history–the history of eighteenth-century musical style. Once it had been called into existence by early nineteenth-century theory, history was no longer possible for it, it was defined fixed and unalterable. Except for a few small and unimportant details, sonata form will be for all eternity what Czerny said it was.[66]

But was sonata form already "fixed and unalterable" in Schubert's hands? The answer to this question is crucial in determining whether his sonata forms are classicistic or not. Here we must turn one last time to the early string quartets and the comparison made to Mendelssohn's juvenilia at the beginning of the introduction to this study.

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[66]*Sonata Forms*, 365.

In a discussion of Mendelssohn's early Piano Sonata in E Major (op. 6 from 1826), Rosen has called attention to a characteristic defect in the composer's writing:

> Mendelssohn's opening, however, displays an essential weakness in his style which remained a liability throughout his life, although he managed often enough to exploit it and make it appear a virtue. Mendelssohn rounds off his phrases, his paragraphs and eventually his sections with a certain comfortable sweetness."[67]

If we look at Mendelssohn's early sonata forms, we see a similar shortcoming masked by the music's elegance and control; in fact the elegance itself may be deemed part of the problem. Of particular interest is a series of chamber works composed between 1823 and 1826 leading up to and including the composer's first masterpiece, the String Octet in E-flat, opus 20. These pieces consist of the three Piano Quartets, op. 1 to 3, the Sextet in D Major, op. 110, the String Quartet in E-flat Major from 1823 (not the later E-flat Quartet, op. 12), the String Quintet in A Major, op. 18, and the Octet itself.[68]

Virtually every one of the sonata forms in these works exhibits the clarity and repose so obviously lacking in Schubert's early quartet movements. The individual subdivisions are well articulated, the modulations efficiently crafted along the lines of Classical modulating transitions, often ending with a substantial dominant preparation of the subordinate key. The themes are well rounded and distinct. All in all there is no, or very little, ambiguity in the form, either tonal or structural. In short, the young

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[67]*The Romantic Generation*, 571.

[68]The early string symphonies, particularly nos. 1 through 5, have been excluded here as well as the early Piano and Violin Concerto in D Minor due to their neo-Baroque characteristics.

composer seems to be working quite fluently within what have become the accepted outlines of sonata form.

This does not mean that there is a lack of originality here. The secure grasp of form, in fact, allows the composer to develop his own voice, most obviously in the E-flat Octet, but also in some of the personal touches of the earlier works, the decidedly Mendelssohnian cast of the subordinate theme in the Piano Sextet's first movement, for instance, or the lyrical sweetness of the String Quintet's opening theme. These marks of individuality can indeed transform some of Mendelssohn's borrowings, but at this point in his career such transformations may often weaken the original material. The last movement of the Piano Quartet in F Minor, op. 2, for instance, clearly recalls the opening motive of the Finale to Beethoven's Piano Sonata in C Minor, op. 10, no. 1 (ex. 9.7a and b). The Quartet movement is cast as a monothematic sonata form, with the returning theme graced by a new counterpoint when it appears in the relative major (ex. 9.7b, ii)–a type of variation characteristic of thematic repetition in Mendelssohn's work throughout his career.[69] However, Beethoven's explosive idea

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[69]The most obvious inspiration for this type of thematic/contrapuntal work is the fugal finale of Beethoven's String Quartet in C Major, op. 59, no. 3, which predicts so accurately even the Mendelssohnian sound and tone in its contrapuntal combinations. The contact between this movement and Mendelssohn's own work is most obvious in the last movement of his Octet in E-flat Major, op. 20. Of course such contrapuntal elaboration already had a Classical history by the time it reached Beethoven, witness the famous finale to Mozart's String Quartet in G Major, K. 387, which applies the technique of double fugue to the subordinate theme, which proves to be a countersubject to the main theme. Mendelssohn was thus drawing on a long tradition, but he did infuse it with a new intensity when applying it to thematic return, either in the subordinate theme of a monothematic sonata form (as in the first movement of the Scottish Symphony) or the beginning o the recapitulation (as in the aching counterpoint applied to the main theme at the beginning of the recapitulation of the

has been reduced in both Mendelssohn's main and subordinate themes to a chattery surface detail reminiscent of some of the Biedermeier prettiness of Weber's finales.

In his first maturity, Mendelssohn also exhibits an inventiveness, which has received well-deserved attention from Rosen with reference to some of the slightly later works, specifically the first two string quartets (op. 12 and 13).[70] Rosen concentrates, though, on the transformation of borrowings from works of Beethoven's late period, with particular emphasis on cyclic procedures across the works. The handling of sonata form itself is not discussed in great depth, with the exception of the lyrical tendency of the E-Major Piano Sonata, op. 6, and the striking recapitulation of the E-flat Quartet, op. 12, the last of which indeed points to Mendelssohn's later innovations. Where Mendelssohn shows his greatest ingenuity, originality and even genius is largely in the details of the form, the contrapuntal elaborations, the pursuit of harmonic implications. There is a certain "comfortableness" though, in the underlying structure: it has become a given whose basic assumptions are not questioned. This solidity and definition allow the impressive technical polish and control of the overall form, but also lie at the root of what Rosen refers to as Mendelssohn's "lack of daring," later in his career. The fixed clarity of his conception becomes his downfall.

In contrast, composers of the high Classical period were guided by the spirit, not the letter, of sonata form's then unwritten laws. The fundamentals of the structure could be realized in a variety of ways, some of which may seem unusual to today's

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String Quartet in F minor, op. 80, i).

[70]*The Romantic Generation*, 569-89.

listeners who are familiar with the textbook rules of the nineteenth century. Granted, Classical sonata form often exhibits the clarity and definition found in Mendelssohn's piano quartets; yet there are also cases that do not, particularly in the works of Haydn and Beethoven. It was here, in the fuzzy edges of the form as a category, that the potential for new developments was the greatest. Once the norm was accepted as the true path, though, these exceptional instances became marginalised oddities and the form lost its conceptual flexibility.

It is difficult to place Schubert's first sonata forms within the general process of ossification that began to set in during the early nineteenth century. For him the structure does not appear to have existed as something fully defined, a convenient mould so to speak. One is struck by the apparent formal ineptitude of the early quartets, which, compared to Mendelssohn's piano quartets, are extremely gauche. There is no security in either the details or even the basic plan of the design, and the situation only gradually improves over the five years of writing surveyed in Part II of this study. It might be argued that Schubert did not understand what the form required until later in his career; but a full "understanding," at least in the comfortable sense we have seen in Mendelssohn, never really emerges in Schubert's work.

A broader view of the early quartets within the general evolution of the composer's style suggests another interpretation: when we see that those aspects of sonata form in which Schubert goes most spectacularly "wrong"–the modulations to the subordinate key, the homogeneity of material, the pervasive tonal and formal ambiguity–are the very features that hold the most promise for the future, then we can conclude that, for

Schubert, the form was not a fully defined, fixed structure he was struggling to master, but something he reinvented in his own image.

The urge to make what he inherited his own is most obvious in his efforts to create tonal and thematic contrast. His form still depends upon the Classical principle of tonal "polarization,", to use Rosen's term, but achieves it by a range of techniques that are unconventional by Classical standards. The techniques themselves are not entirely new; they already existed as isolated instances in peripheral examples of sonata form. Schubert simply draws them into the main stream of the form's development. The three-key exposition, for instance, may be seen in Haydn's "Farewell" Symphony and Beethoven's "Coriolanus" Overture as well as more numerous occurrences in the music of such lesser-known contemporaries as Clementi, Cherubini and Spohr. Schubert took this unusual construction and made it such a powerful and expressive feature of his own style that today it is associated first and foremost with him.

Here he was not merely tinkering with details, but reworking the fundamental mechanism of the form. One can feel this profound change not only in his innovative use of the three-key exposition, but also in the increased intensity of his lyricism, the unusual modulatory strategies, the new dynamic of the form and many other features that admit a Romantic atmosphere into the structure. Rather than accepting sonata form as it was, Schubert transformed it by pursuing what he sensed to be its latent expressive potential. In this respect, he cannot be considered a classicist. The classicizing tendency, instead, is evident in the theory of the form that arose after his death and was applied as an unbending standard to his highly original accomplishments.

During the nineteenth century, one major musical figure in particular understood Schubert's unique achievement in instrumental music. In the fall of 1838, Robert Schumann travelled to Vienna in the twin hopes of finding a publisher for the *Neue Zeitschrift für Musik* and of establishing himself there as a composer. The journey proved a bitter disappointment and, after six months of frustration, he returned to Leipzig. During his stay in the Imperial capital, he paid a visit to Schubert's brother, Ferdinand. There, among the stacks of unpublished manuscripts, he discovered Schubert's "Great" C-Major Symphony. The originality of the Symphony was a revelation for Schumann, who, to that point, knew only a handful of Schubert's larger instrumental works. In his review, which he wrote shortly after his return to Leipzig, he held the Symphony up as proof to a generation of derivative composers that the genre was still a vital art-form with the potential for creative renewal. Unfortunately, in his appreciation of Schubert's instrumental genius, he remained a lone voice, heeded only by his circle of friends. However, he did communicate his admiration for Schubert's instrumental music to his protégé Brahms, who later discovered the *Quartettsatz*, and championed its publication. It is fitting, then, that the last words of this study should be those of the first man to recognize Schubert's genius as an instrumental composer:

> It is true that of late we have had but few orchestral works of consequence; and those few have interested us rather as illustrations of their composers' progress, than for their art or as creations of decided influence on the general public. Most of the others have merely been pale reflections of Beethoven; not to forget those tiresome manufacturers of symphonies who recall the powder and perukes of Mozart and Haydn, but not the heads that wore them....The hope I had always entertained,...that Schubert, who had shown himself in his older compositions firm in form, rich in imagination and versatile, would also

turn to the symphony and find a mode of treatment certain to impress the public, is here realized in the most glorious manner. Assuredly he never proposed to continue Beethoven's Ninth, but an indefatigable artist, he continually drew from his own creative resources symphony after symphony....Here [in the C-major Symphony] we find, besides the most masterly technicalities of musical composition, life in every vein; colouring down to the finest gradation; meaning everywhere; sharp expression in detail; and in the whole a suffusing romanticism such as other works by Franz Schubert have made known to us.[71]

[71]*On Music and Musicians*, 108-10.

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SCHUBERT'S APPRENTICESHIP IN SONATA FORM: THE EARLY STRING QUARTETS

Volume II
(Musical Examples and Figures)

LIST OF MUSICAL EXAMPLES AND FIGURESS

Introduction

Ex. i.1. Beethoven, Piano Sonata in F Minor, op. 2, no. 1, main theme.
Ex. i.2. Beethoven, Piano Variations in F Major, op. 34, theme.

Chapter 2

Fig. 2.1 *Quartettsatz* in C Minor, D. 703; linked cadences
Ex. 2.1. *Quartettsatz* in C Minor, D. 703; motivic links x and y
Ex. 2.2. Subdominant tendencies of themes
Ex. 2.3. Transition to first subordinate theme
Ex. 2.4. End of second transition
Ex. 2.5. End of development section to beginning of recapitulation
Ex. 2.6. Final cadences of the exposition
Ex. 2.7. Recapitulation, transition to second subordinate theme

Chapter 3

Ex. 3.1. Overture in C Minor, D. 8, recurrences of principal motive of main theme
Ex. 3.2. Overture, D. 8, main theme complex
Ex. 3.3. Overture, D. 8, 1st transition
Ex. 3.4. Overture, D. 8, 2nd transition
Ex. 3.5. Overture, D. 8, derivation of motive y
Ex. 3.6. Quartet in G Minor/B-flat Major, D. 18, i, principal motives
Ex. 3.7. Quartet, D. 18, i, main movement, dominant prolongation ending 1st part
Ex. 3.8. Quartet in D Major, D. 94, i, 2nd theme of exposition
Ex. 3.9. Quartet, D. 94, i, main theme complex
Ex. 3.10. Quartet, D. 94, i, development section, modulation from D to C
Ex. 3.11. Quartet in C Major, D. 32, i, modulation to dominant at end of exposition
Ex. 3.12. Quartet, D. 32, i, main theme complex, initial sentence
Ex. 3.13. Quartet, D. 32, i, main theme complex, middle section
Ex. 3.14. Comparison of two modulations in the exposition
Ex. 3.15. Quartet, D. 32, i, end of development section
Ex. 3.16. Quartet in C, D. 32, iv, main theme, transition and beginning of subordinate theme
Ex. 3.17. Quartet in Bb, D. 36, i, harmonic motive of main theme and its role in the transition
Ex. 3.18. Quartet, D. 36, i, generation of subordinate theme from material of main theme
Ex. 3.19. Quartet in Bb, D. 36, iv, end of main theme and transition
Ex. 3.20. Quartet, D. 36, iv, main theme

Chapter 4

Ex. 4.1. Quartet in C, D. 46, i, initial statement of main theme in introduction
Ex. 4.2. Quartet, D. 46, i, first wave of fragmentation, end of introduction and beginning of main movement
Ex. 4.3. Quartet, D. 46, i, second wave of fragmentation
Ex. 4.4. Quartet, D. 46, i, transitional process
Ex. 4.5. Quartet in Bb, D. 68, i, main theme
Ex. 4.6. Quartet, D. 68, i, first modulation to F major and subsequent theme
Ex. 4.7. Quartet, D. 68, i, shift to V of G minor
Ex. 4.8. Quartet, D. 68, i, subordinate theme
Ex. 4.9. Quartet, D. 68, i, first of series of concluding cadences in exposition
Ex. 4.10. Quartet, D. 68, i, recapitulation, subordinate theme
Ex. 4.11. Quartet in D Major, D. 74, quotes from the works of Mozart
Ex. 4.12. Quartet in D Major, D. 74, i comparison of main and subordinate themes
Ex. 4.13. Quartet, D. 74, i, transition
Ex. 4.14. Quartet, D. 74, iv, main theme
Ex. 4.15. Quartet, D. 74, iv, subordinate theme
Ex. 4.16. Symphony in D Major, D. 82, i, main theme
Ex. 4.17. Symphony, D. 82, i, transition
Ex. 4.18. Symphony, D. 82, i, subordinate theme
Ex. 4.19. Symphony, D. 82, i, continuing work on motive b in subordinate theme region

Chapter 5

Ex. 5.1. Quartet in E Major, D. 353, i, motivic saturation
Ex. 5.2. Quartet in E-flat Major, D. 87, i main and subordinate themes
Ex. 5.3. Quartet, D. 87, i, motivic grouping
Ex. 5.4. Quartet, D. 87, i, second main theme
Ex. 5.5. Quartet, D. 87, i, transition
Ex. 5.6. Quartet, D. 87, i, development section
Ex. 5.7. Quartet Fragment in C minor, D. 103, introduction
Ex. 5.8. Quartet Fragment, D. 103, main theme
Ex. 5.9. Quartet Fragment, D. 103, transition
Ex. 5.10. Quartet Fragment, D. 103, subordinate theme
Ex. 5.11. Quartet Fragment, D. 103, digression to A-flat
Ex. 5.12. Quartet Fragment, D. 103, appearances of motive x on E-natural
Ex. 5.13. Quartet in B-flat Major, D. 112, i, main theme
Ex. 5.14. Quartet, D. 112, subordinate theme
Ex. 5.15. Quartet, D. 112, i, transition
Ex. 5.16. Quartet, d. 112, i, realignment of recapitulation to IV
Ex. 5.17. Quartet in G Minor, D. 173, i, main theme
Ex. 5.18. Quartet, D. 173, i, end of transition
Ex. 5.19. Quartet, D. 173, i, subordinate theme
Ex. 5.20. Quartet, D. 173, i, modulation back to G minor in recapitulation

Ex. 5.21. Quartet, D. 173, i, recapitulation, subordinate theme

Chapter 6

Ex. 6.1. Piano Sonata in A Major, D. 959, i, exposition
Ex. 6.2. Piano Sonata, D. 959, i, development section
Ex. 6.3. Symphony in C Major, "The Great," D. 944, i, main keys and their connections (motives x and y)
Ex. 6.4. Symphony, D. 944, i, transition and beginning of subordinate theme group
Ex. 6.5. Symphony, D. 944, i, continuation of first subordinate theme
Ex. 6.6. Symphony, D. 944, i, subordinate theme group, continuation of second sentence
Ex. 6.7. Symphony, D. 944, i, development section

Chapter 7

Ex. 7.1. String Quartet in G Minor/B-flat Major, D. 18, i, modulation to dominant
Ex. 7.2. Piano Sonata in E Major, D. 459, i, transition and beginning of subordinate theme
Ex. 7.3. Piano Trio in B-flat Major, D. 898, i, transition and beginning of subordinate theme
Ex. 7.4. String Quartet in E Major, D. 353, i, transition and beginning of subordinate theme
Ex. 7.5. Piano Quintet in A Major, D. 667, i, transition and beginning of subordinate theme
Ex. 7.6. Piano Sonata in B-flat Major, D. 960, i, transition
Ex. 7.7. Piano Trio in E-flat Major, D. 929, i, beginning of transition until modulation to B minor

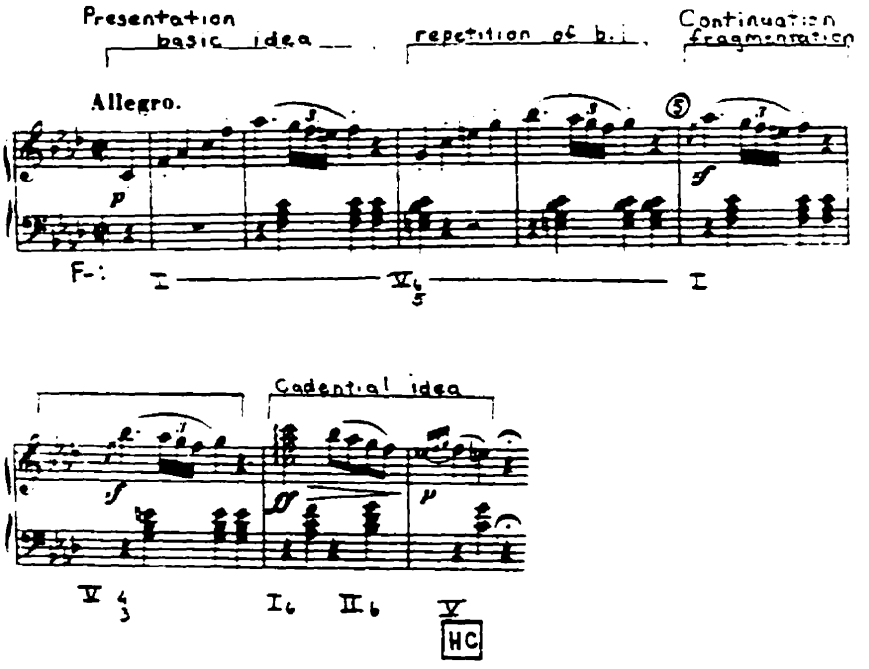
Chapter 8

Ex. 8.1. Violin Sonatina in A Minor, D. 385, i, end of exposition
Ex. 8.2. Violin Sonatina, D. 385, i, comparison of first subordinate theme and second transition in exposition and recapitulation
Ex. 8.3. Violin Sonatina, D. 385, i, concluding cadences
Ex. 8.4. String Quartet in E Major, D. 353, i, comparison of subordinate theme in exposition and recapitulation
Ex. 8.5. String Quartet in D Minor, D. 810, (Death and the Maiden"), i, comparison of first transition in exposition and recapitulation
Ex. 8.6. String Quartet, D. 810, i, main theme
Ex. 8.7. String Quartet, D. 810, i, first subordinate theme in exposition
Ex. 8.8. String Quartet, D. 810, i, second transition in exposition
Ex. 8.9. String Quartet in D Minor, D. 810, i, concluding cadences of second subordinate theme in exposition
Ex. 8.10. String Quartet, D. 810, i, second transition in recapitulation
Ex. 8.11. String Quartet, D. 810, i, coda

Chapter 9

Ex. 9.1. Beethoven, Symphony no. 5 in C Minor, op. 67, i, subordinate theme
Ex. 9.2. Schubert, *Quartettsatz* in C Minor, D. 703, subordinate theme
Ex. 9.3. Mozart, String Quartet in C Major, K. 465, "Dissonance," iv, expansion of bVI in subordinate key
Ex. 9.4. Schubert, String Quintet in C Major, D. 956, i, end of transition and subordinate theme
Ex. 9.5. Beethoven, Symphony no. 8 in F Major, op. 93, i, transition and subordinate theme
Ex. 9.6. Haydn, String Quartet in B Minor, op. 33, no. 1, i, main theme (bb. 1-12)
Ex. 9.7. Comparison of Beethoven, Piano Sonata in C Minor, op. 10, no. 2, iii and Mendelssohn, Piano Quartet in F minor, op. 2, iv

Ex. 1.1. Beethoven, Piano Sonata in F Minor, op. 2, no. 1, main theme.



Ex. 1.2. Beethoven, Piano Variations in F Major, op. 34, theme.

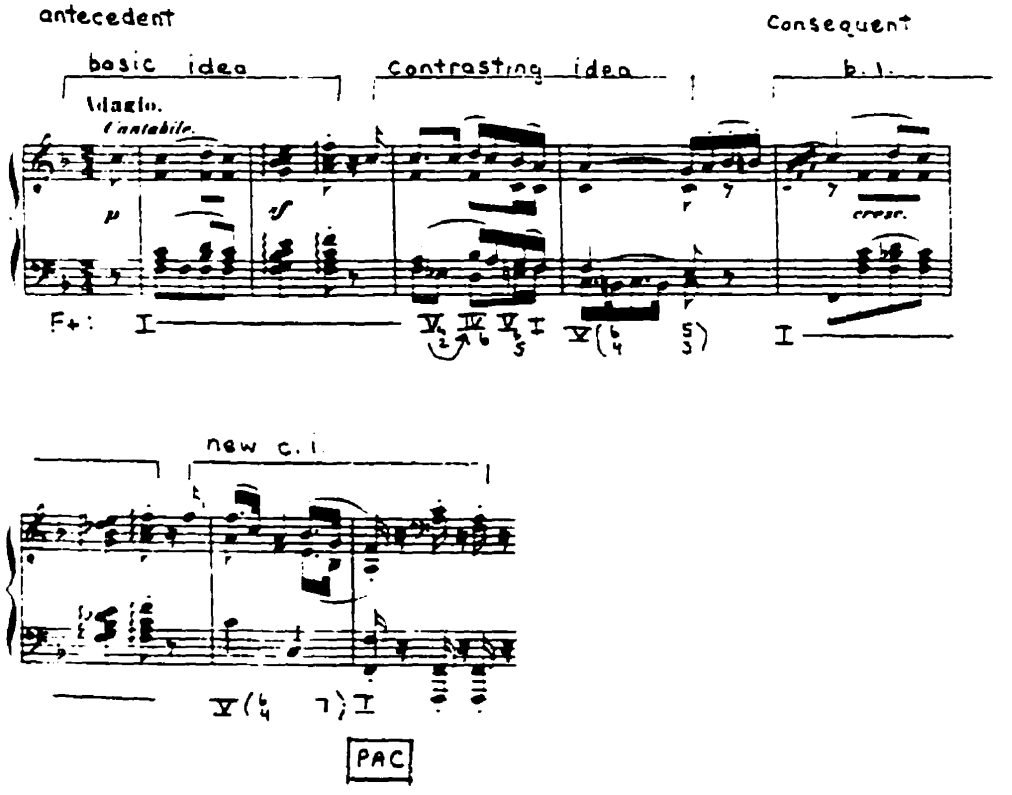
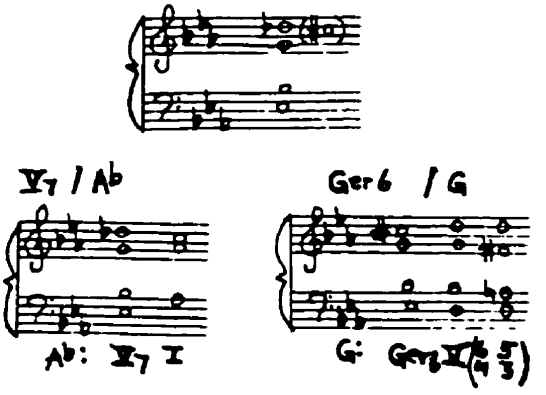
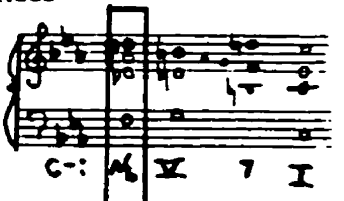
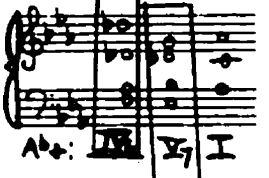
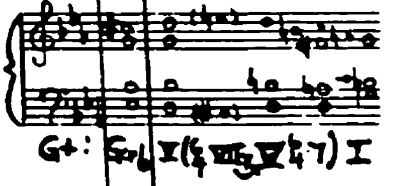
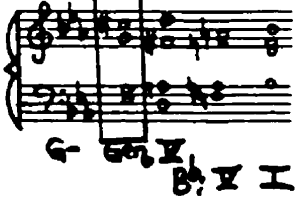


Fig. 2.1. *Quartettsatz*, D. 703, linked cadences

a) possible resolutions of Eb^7/Ger^6

b) succession of linked cadences

1) main theme (9-13)
PAC in C-

2) transition to
1st sub. theme
(23-7)
PAC in Ab+

3) transition to
2nd sub. theme
(87-93)
PAC in G+

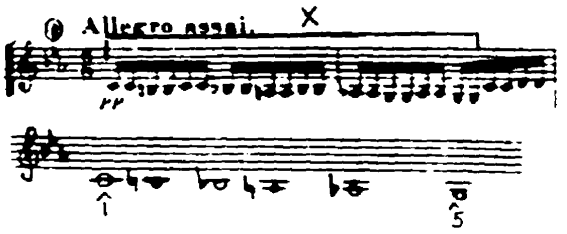


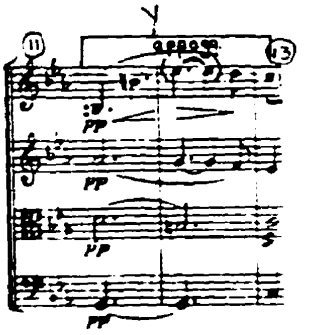
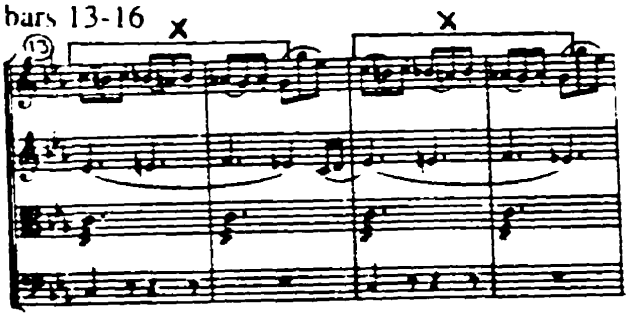
4) end of
development
(189-95)
dominant prep.

Ex. 2.1. Motivic links x and y

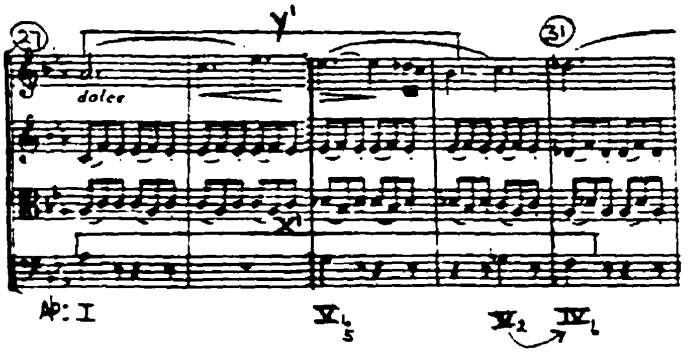
a) main theme

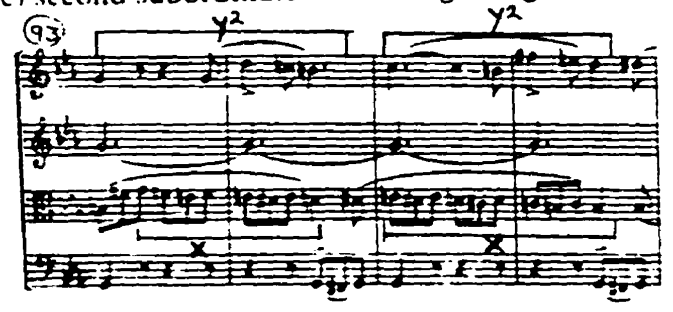
i) motive x

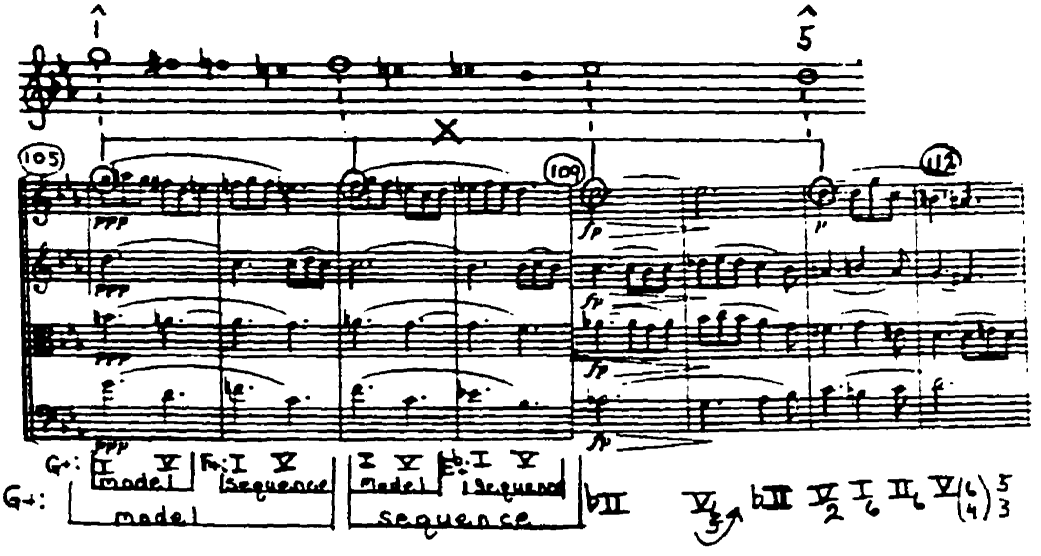
bars 1-2

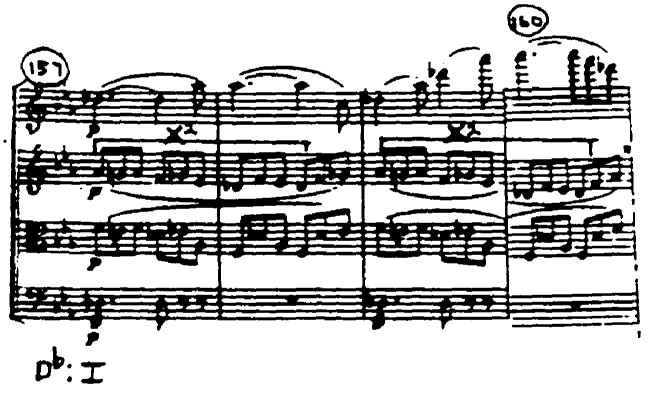


ii) motive y

bars 13-16

b) first subordinate theme



c) second subordinate theme, beginning

Ex. 2.1 cont'd

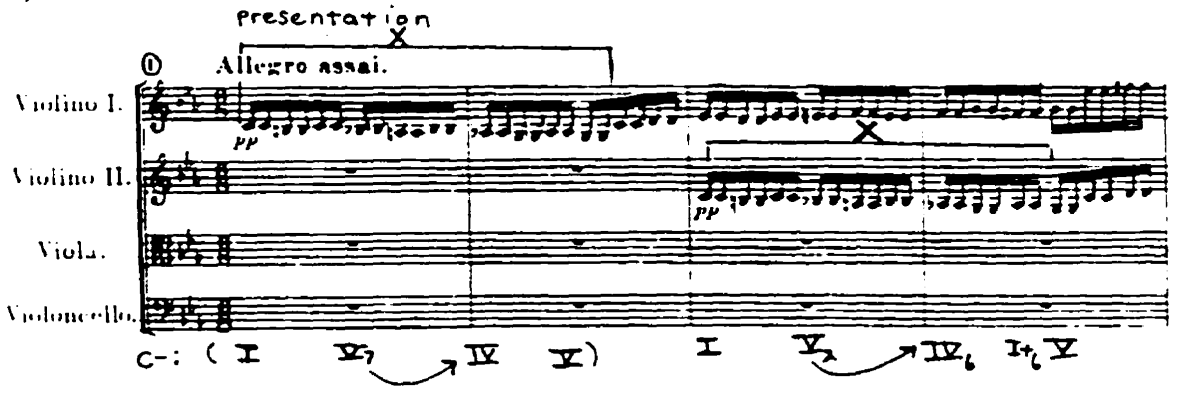
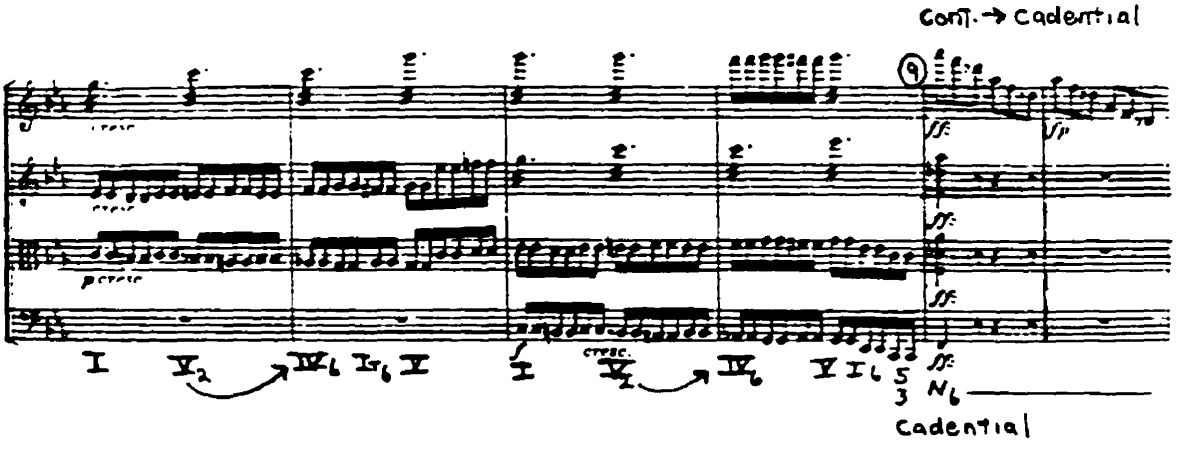
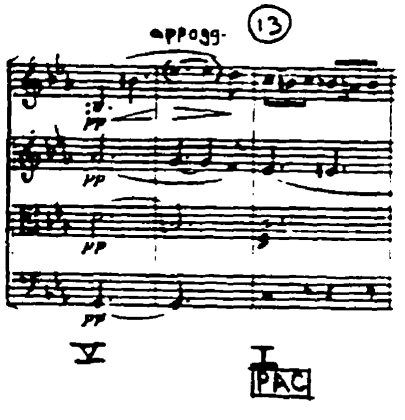
d) second subordinate theme, interior

e) development section

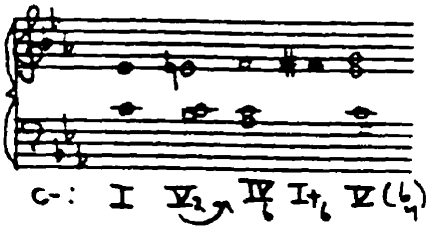


Ex. 2.2. Subdominant tendencies of themes

a) main theme

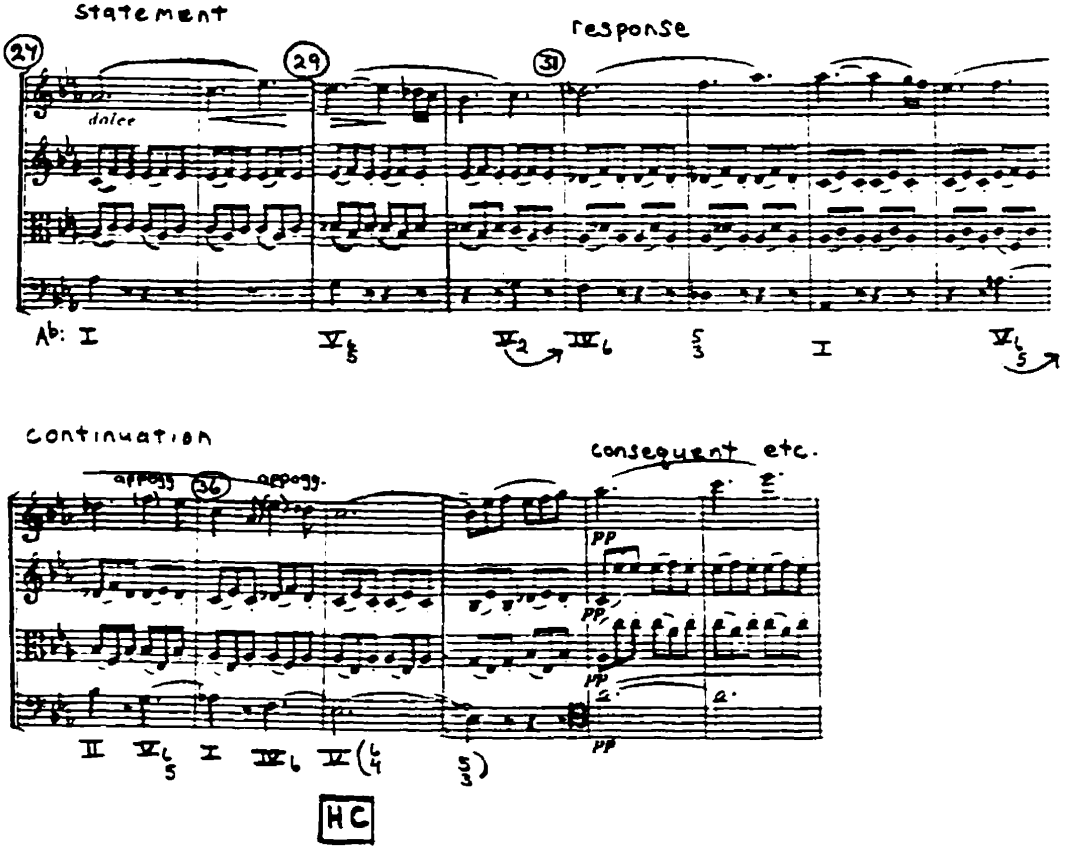
i) first sentence

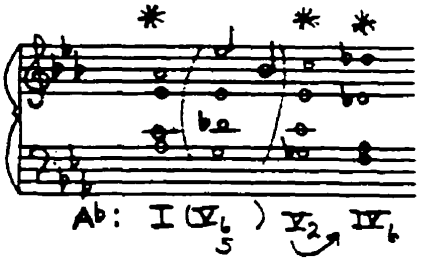
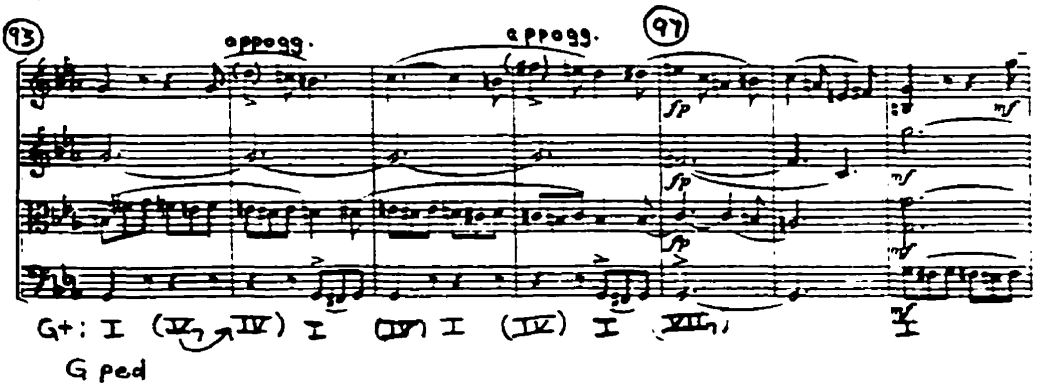
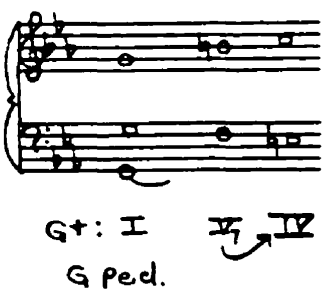


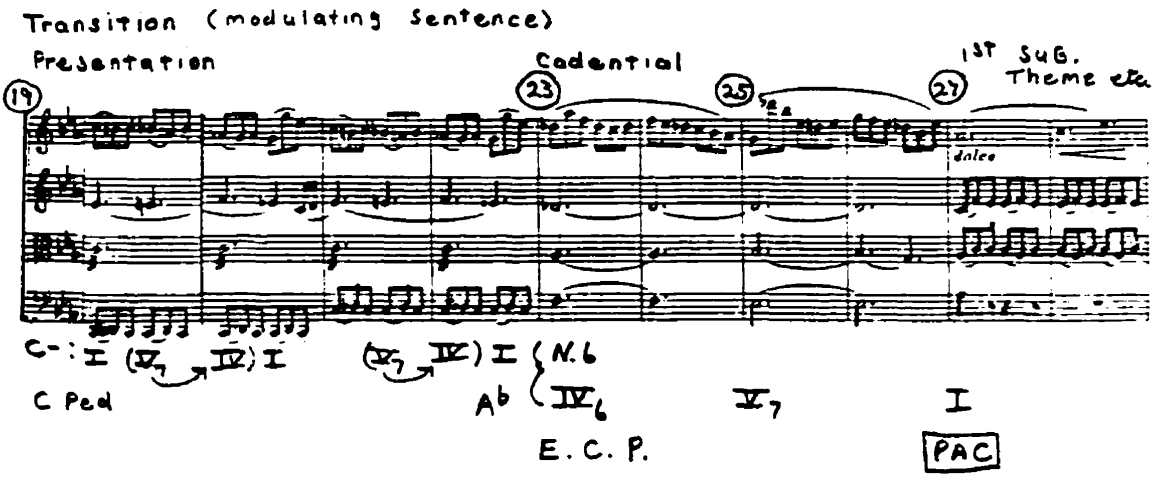
ii) recurring harmonization of motive x

Ex. 2.2 cont'd

b) first subordinate theme

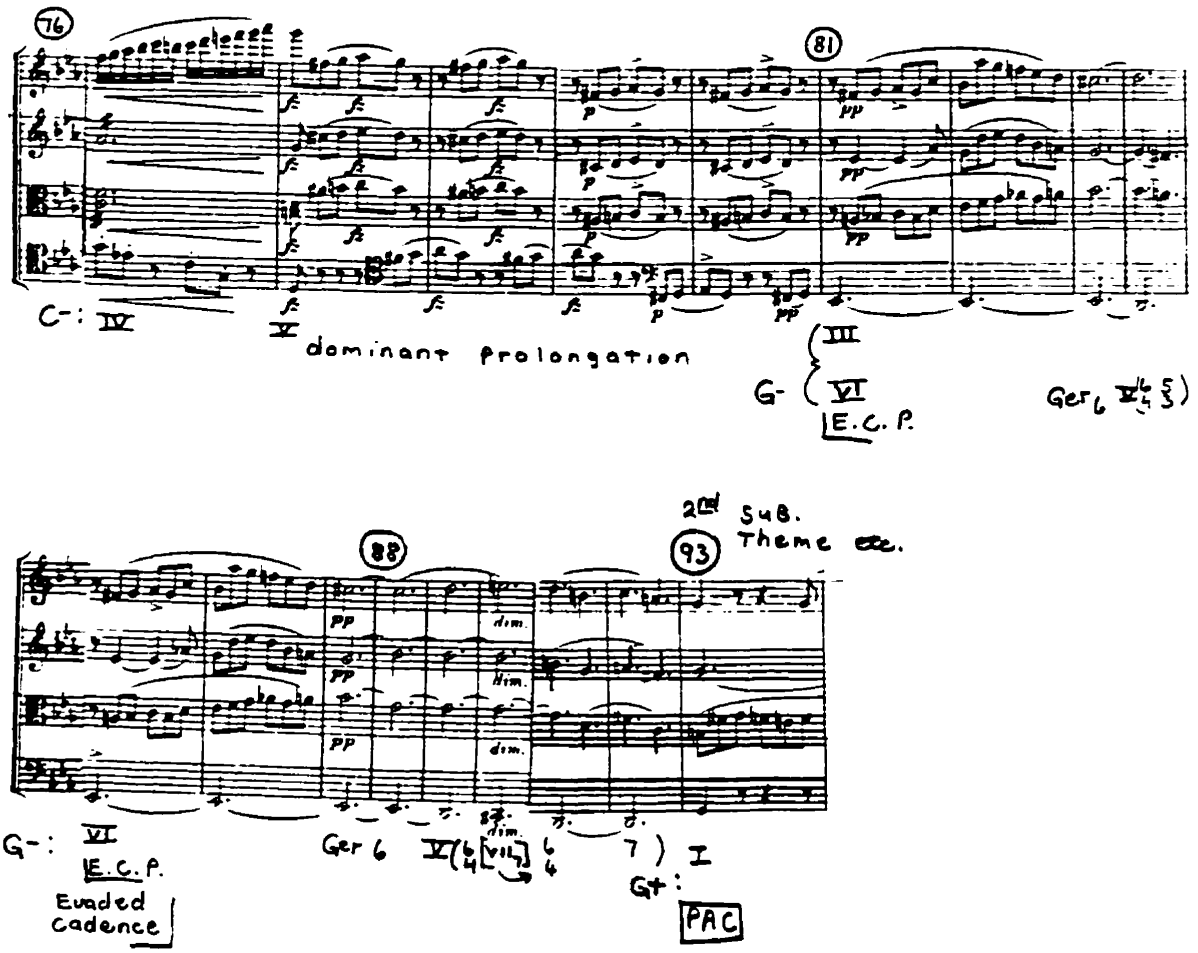
i) antecedent



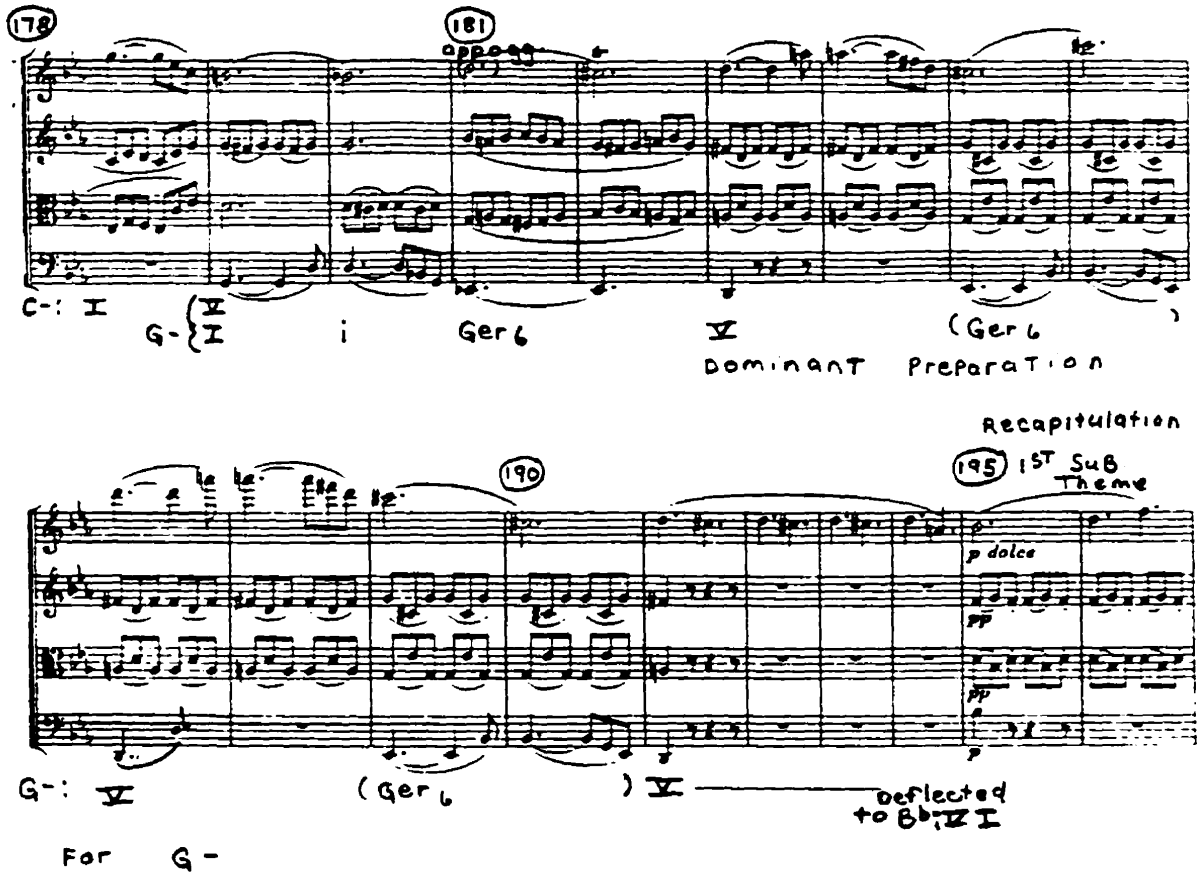
ii) harmonic reduction of bb. 27-31

Ex. 2.2 cont'd
c) second subordinate theme
i) opening phrase

ii) harmonic reduction of bars 93-4

Ex. 2.3. Transition to first subordinate theme

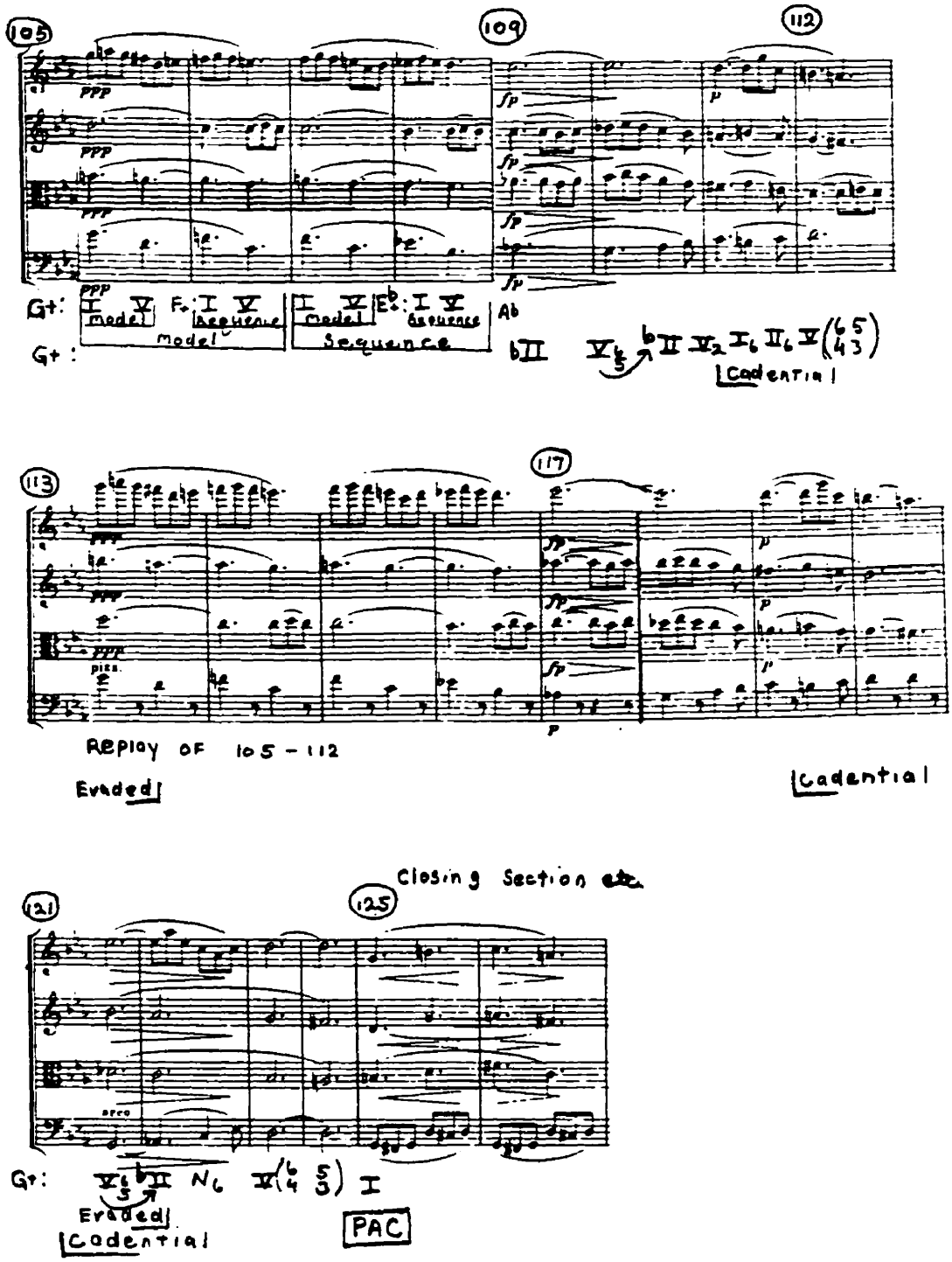
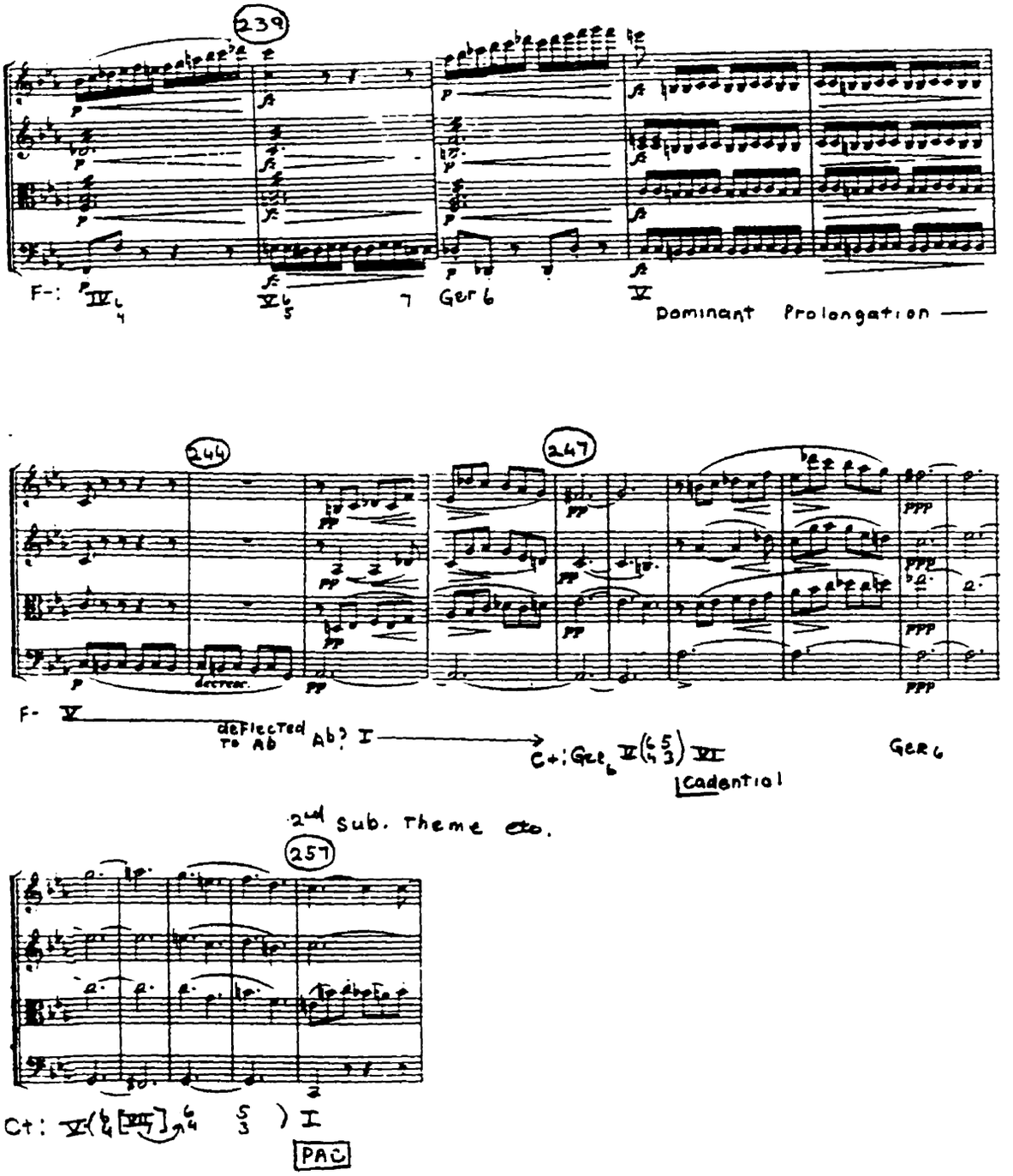


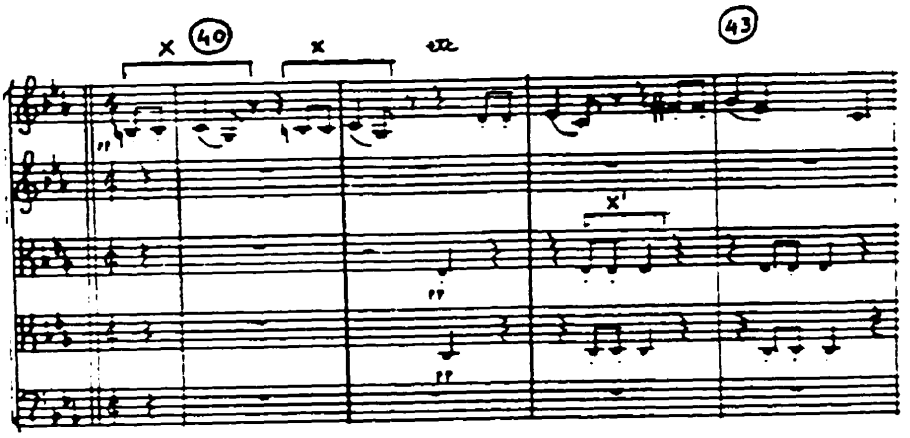
Ex. 2.4. End of second transition

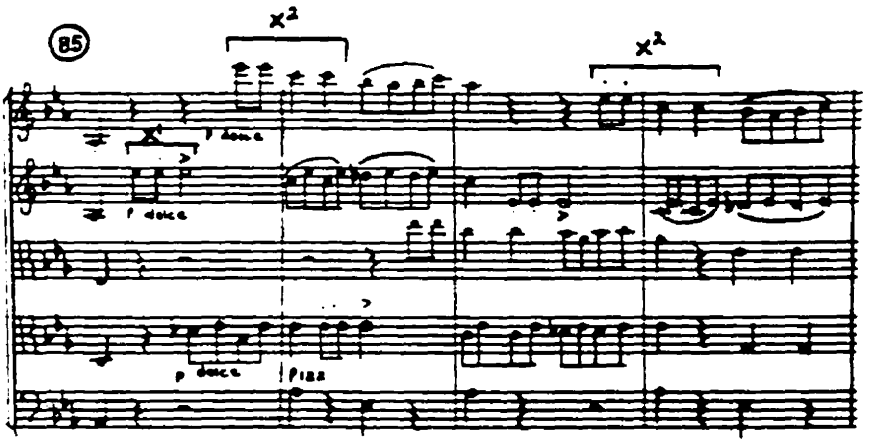


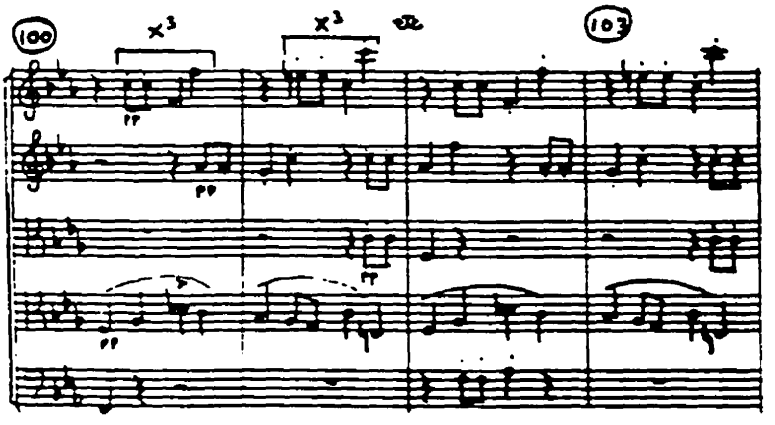
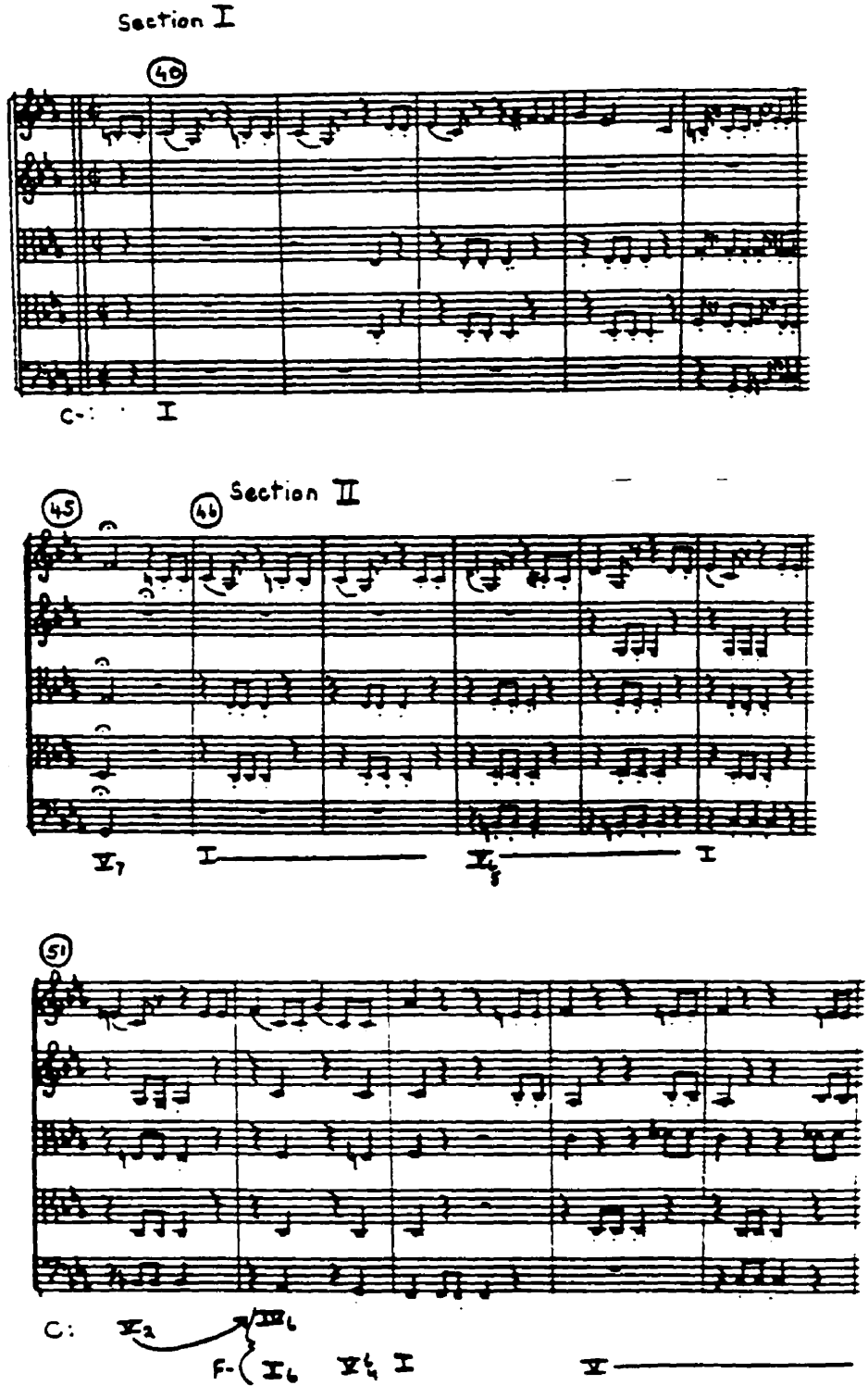
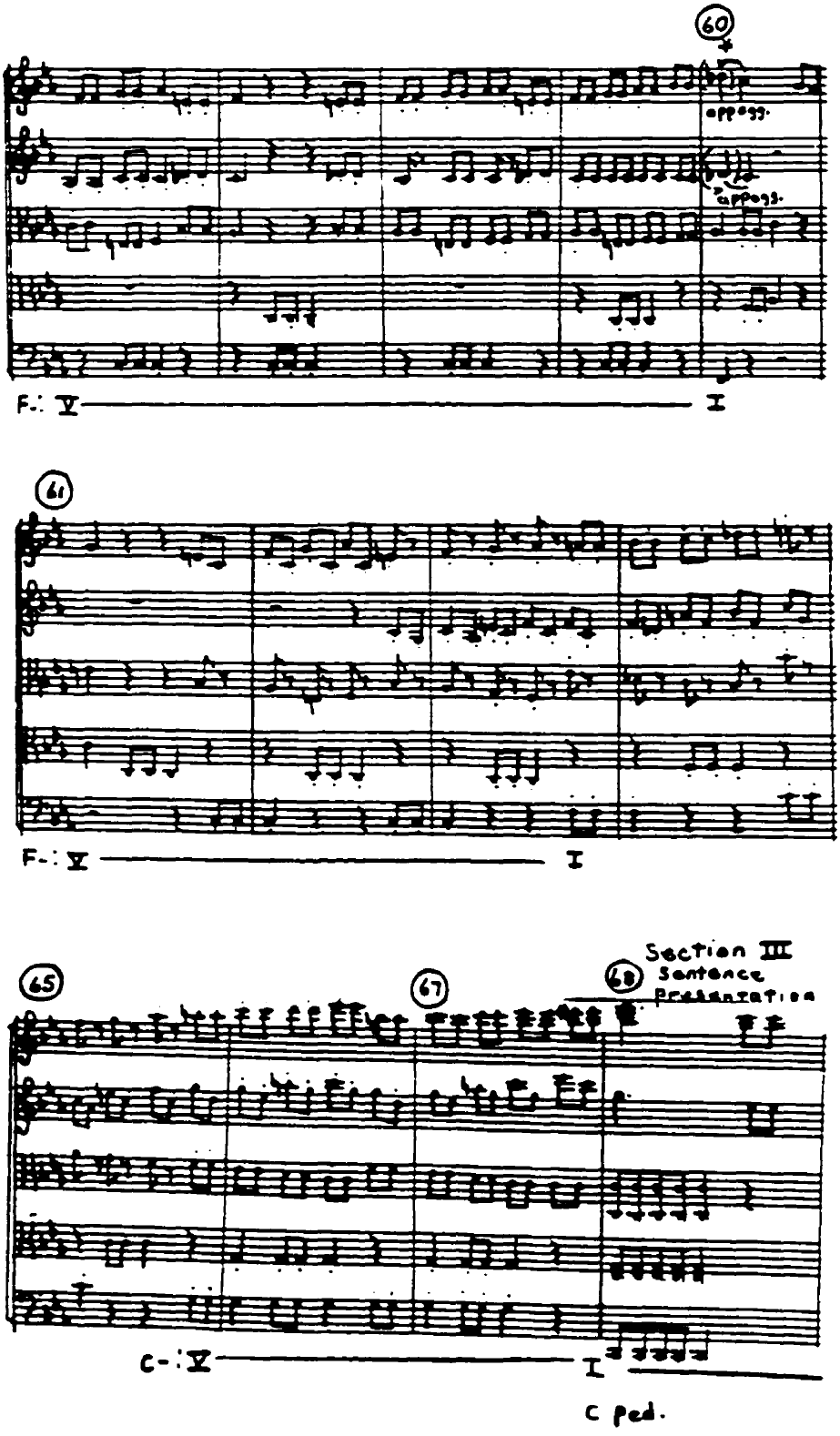
Ex. 2.5. End of development section to beginning of recapitulation

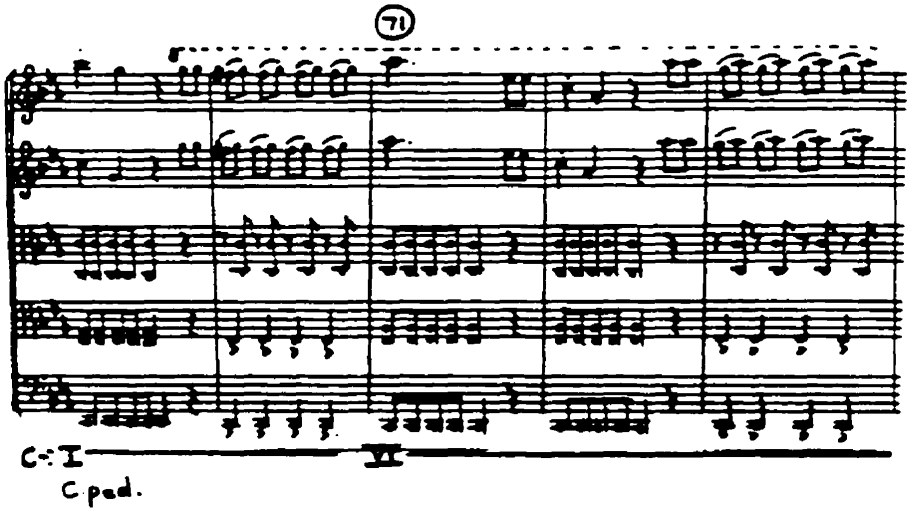
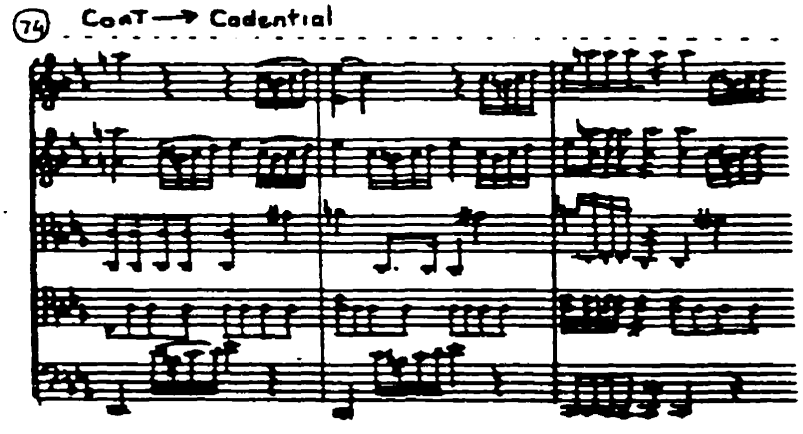
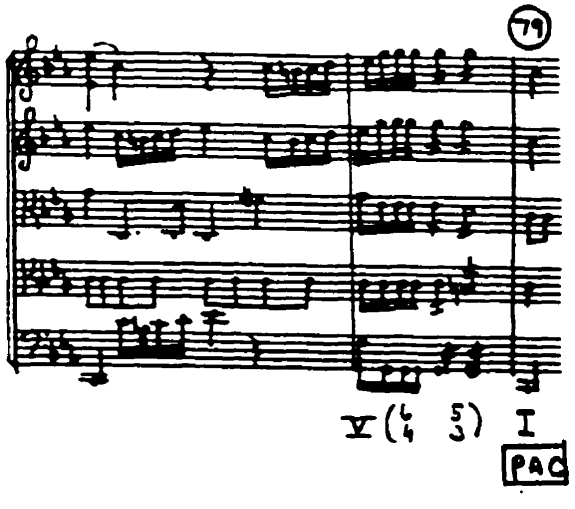


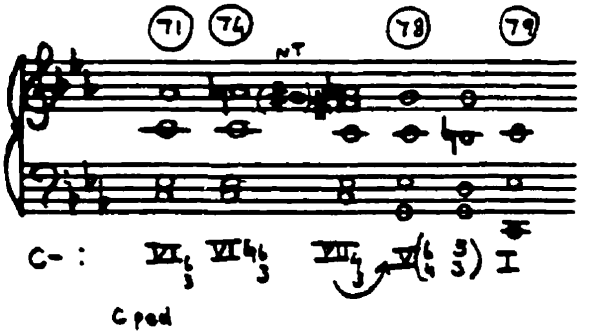
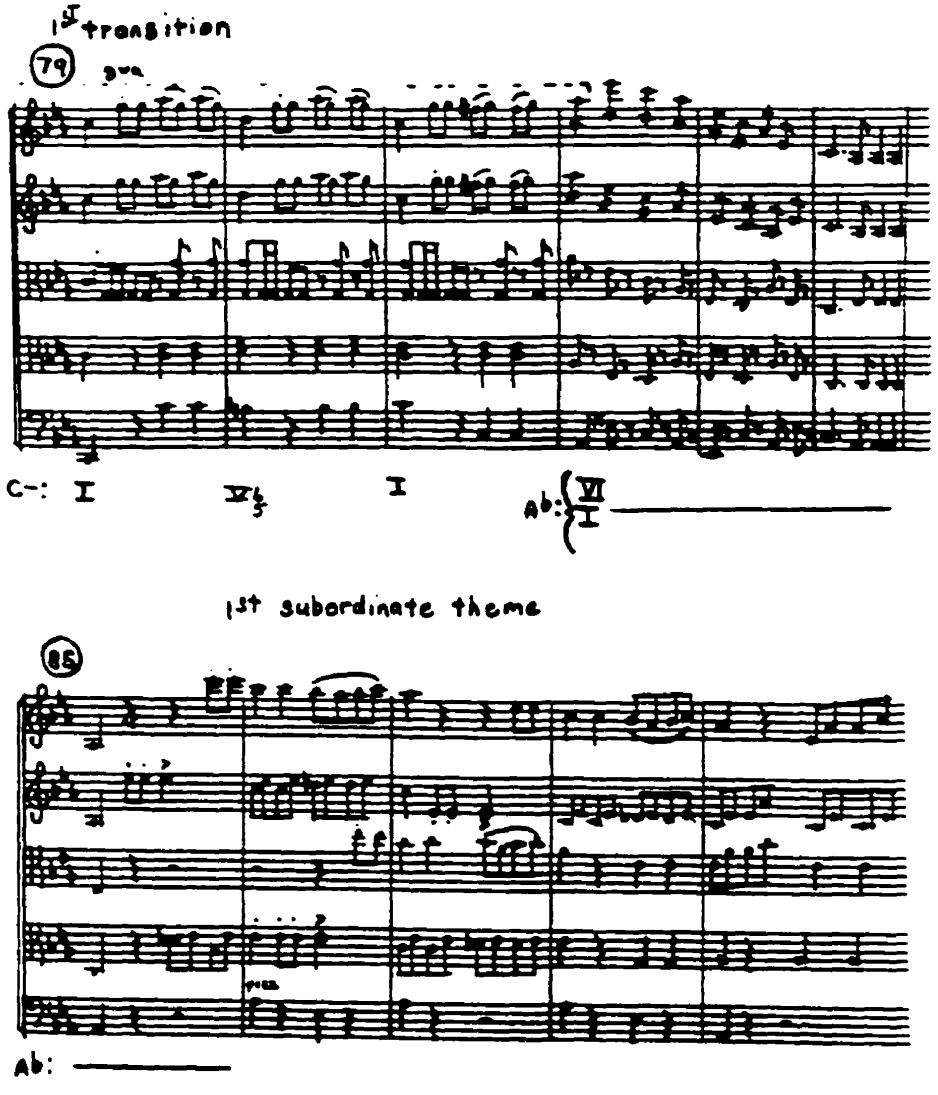
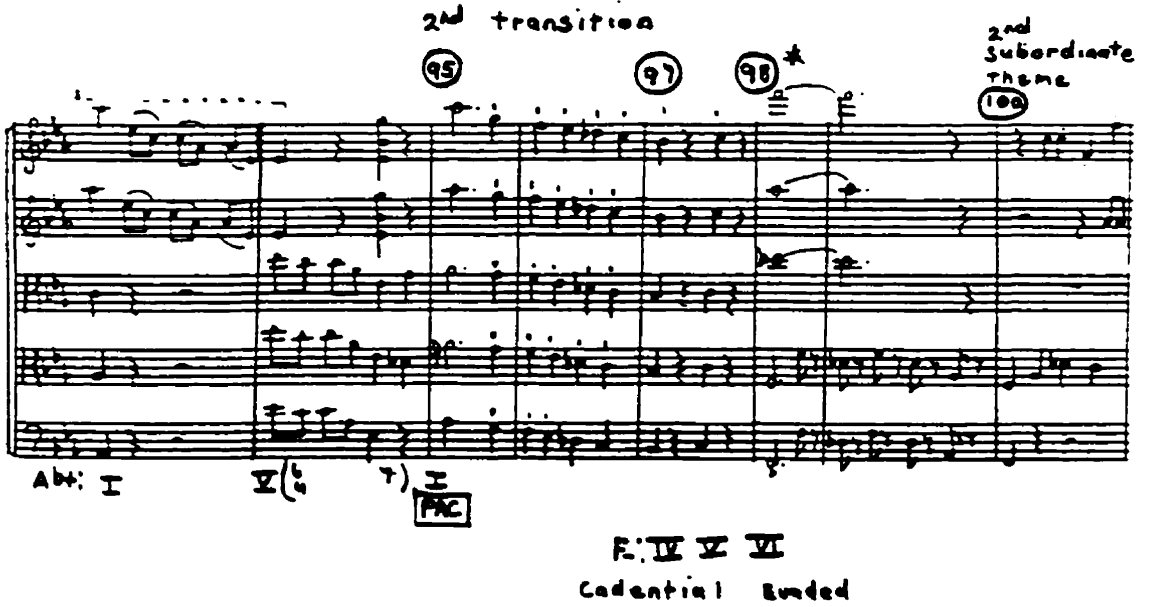
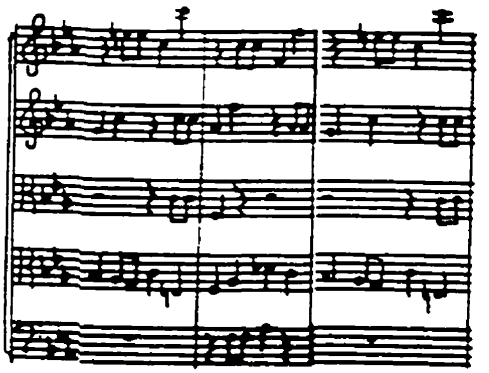
Ex. 2.6. Final cadences of the exposition

Ex. 2.7. Recapitulation, transition to second subordinate theme

Ex. 3.1. Overture in C Minor, D. 8, recurrences of principal motive of main theme

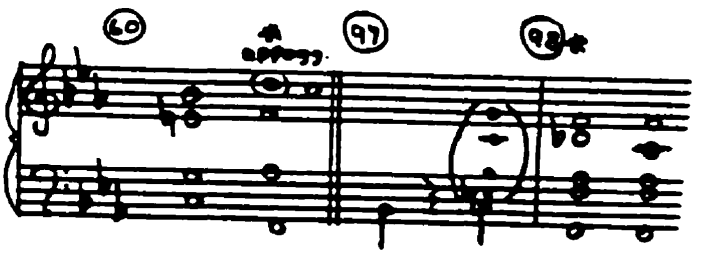
a) beginning of main theme

b) 1st subordinate theme



c) 2nd subordinate theme

Ex. 3.2. Overture, D. 8,
a) main theme complex

Ex. 3.2a cont'd

60
arpeggs.
arpeggs.
F.: V
I
61
F-: V
I
65
67
68
Section III
Sentence
Presentation
C-: V
I
C ped.

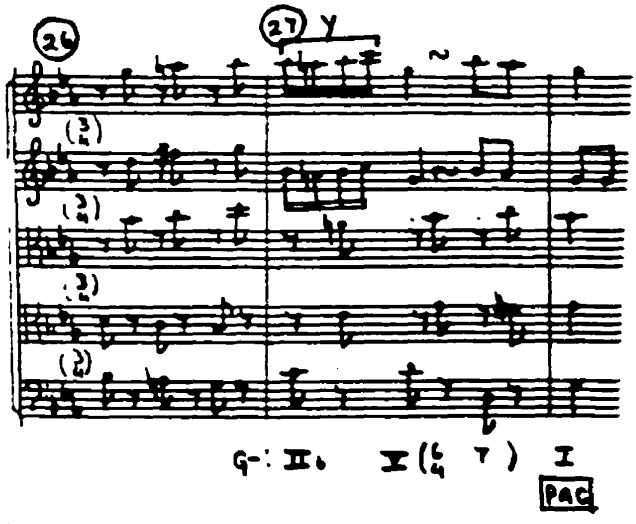
Ex. 3.2a cont'd



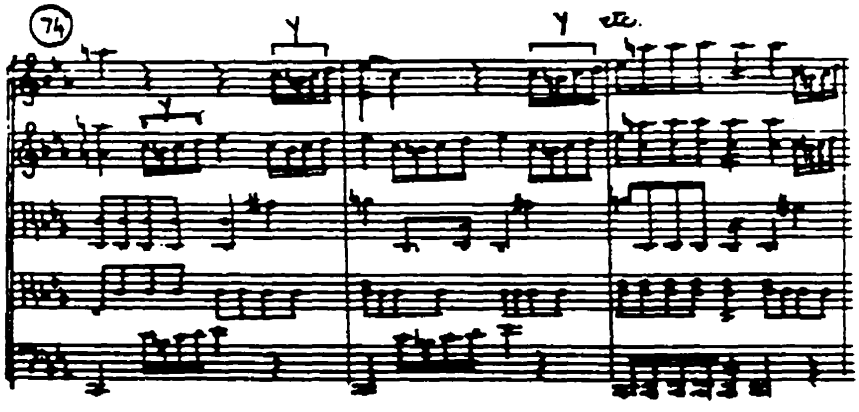
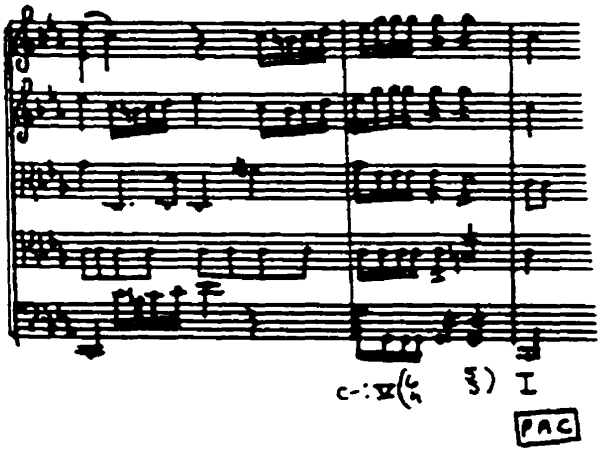
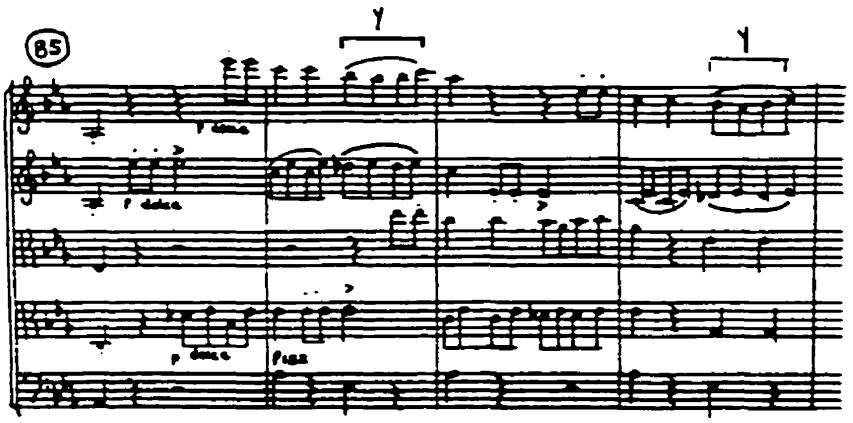
b) harmonic reduction of bb. 71-9 .

Ex. 3.3. Overture, D. 8, 1st transition

Ex. 3.4. Overture, D. 8,
a) 2nd transition

b) "sensitive" sonority linking main theme, II, to 2nd transition and 2nd subordinate theme

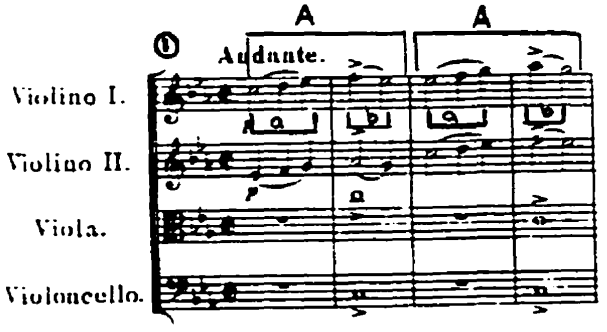


Ex. 3.5. Overture, D. 8, derivation of motive y

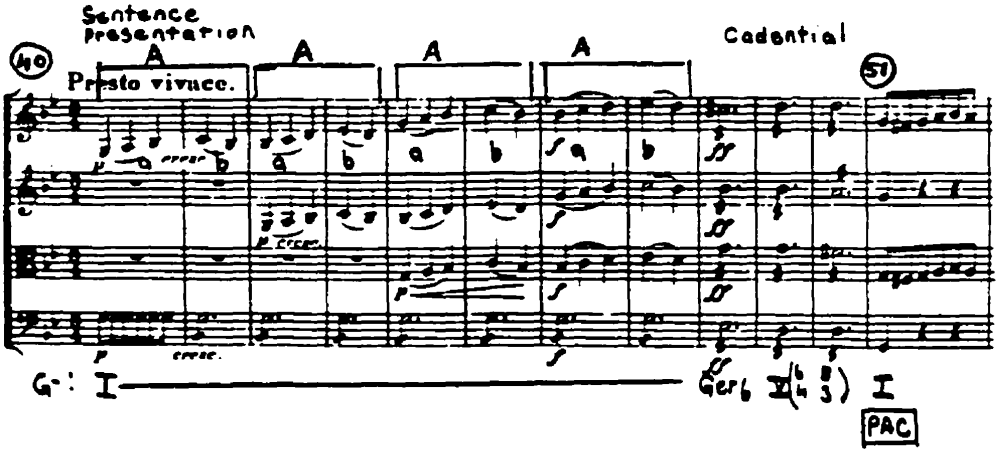
a) introduction



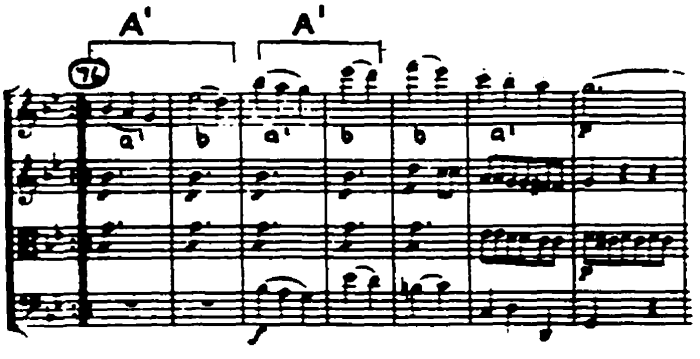
b) main theme final cadence

c) 2nd subordinate theme

Ex. 3.6. Quartet in G Minor/B-flat Major, D. 18, i

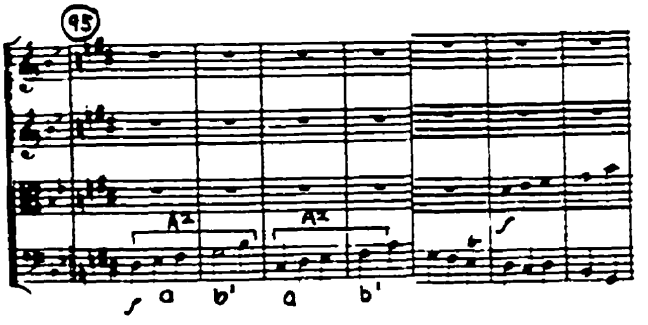
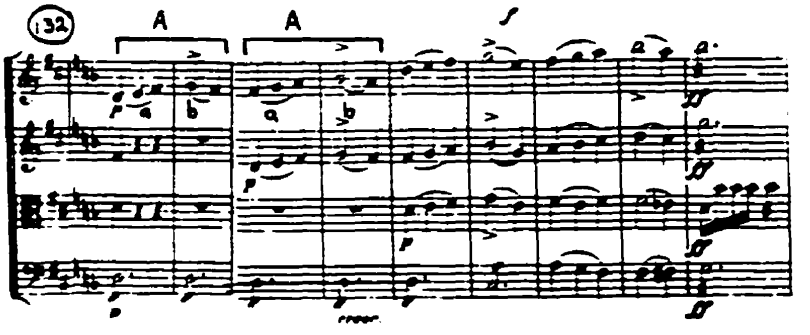
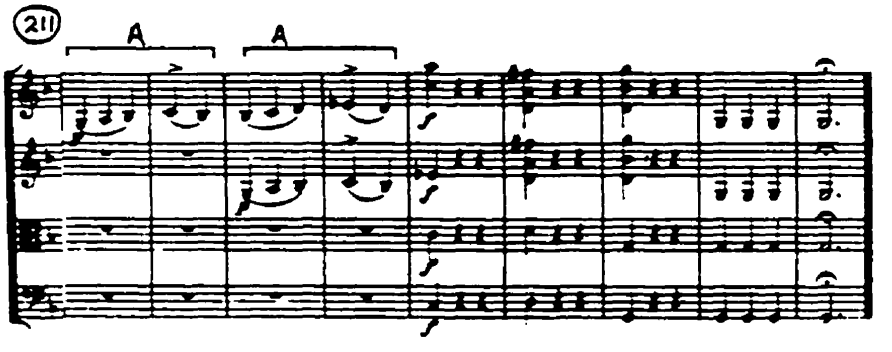
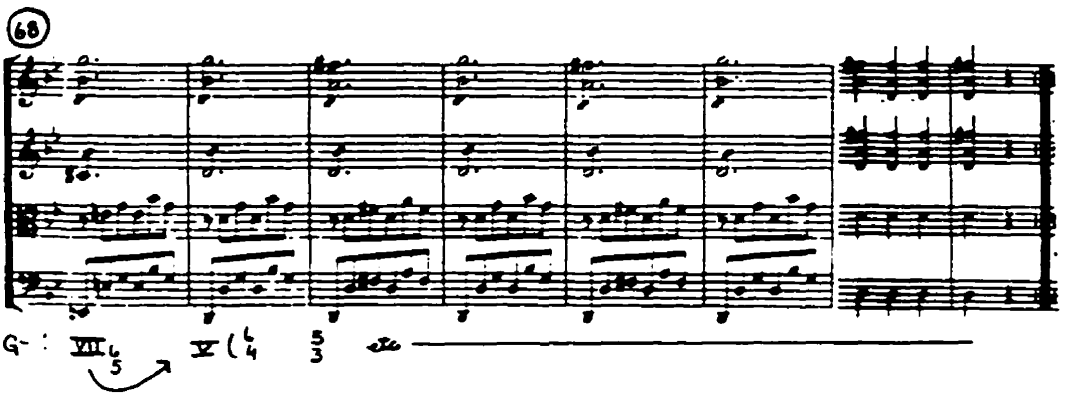
a) principal motives, introduction

b) appearances in main movement

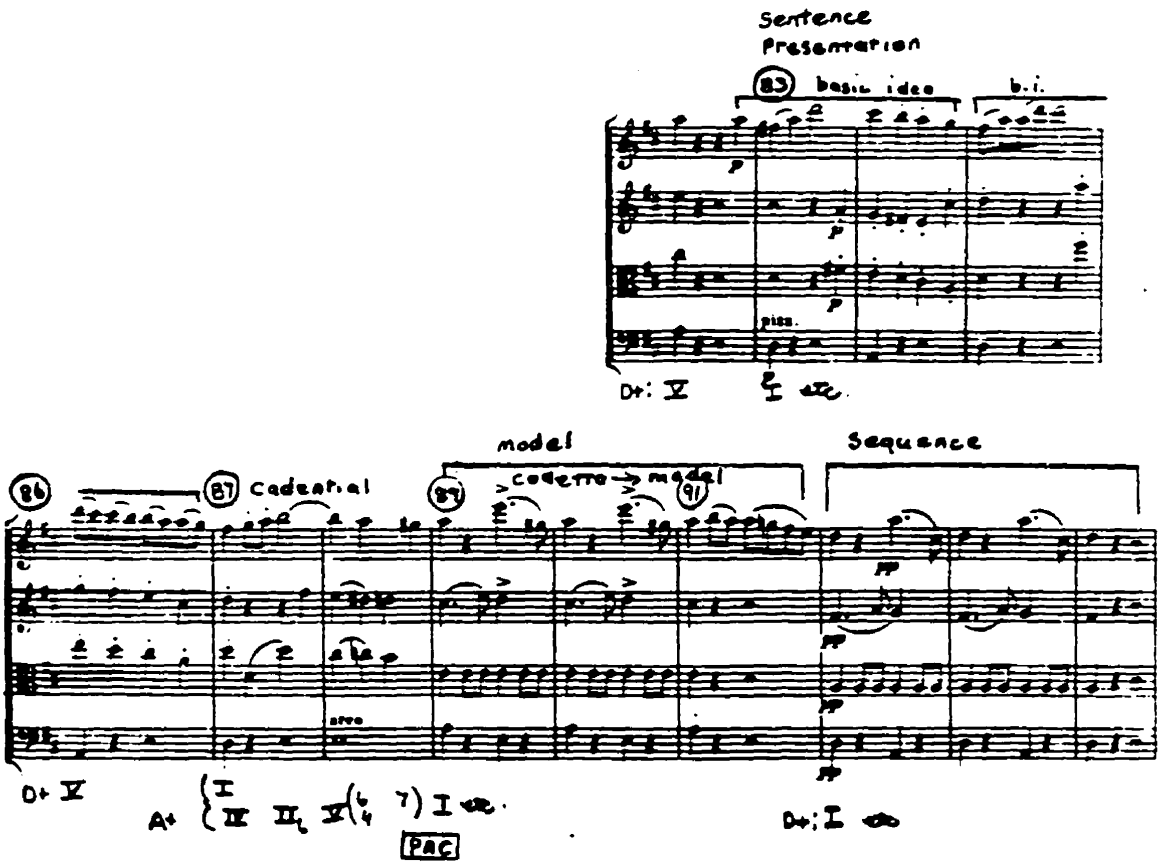
i) main theme



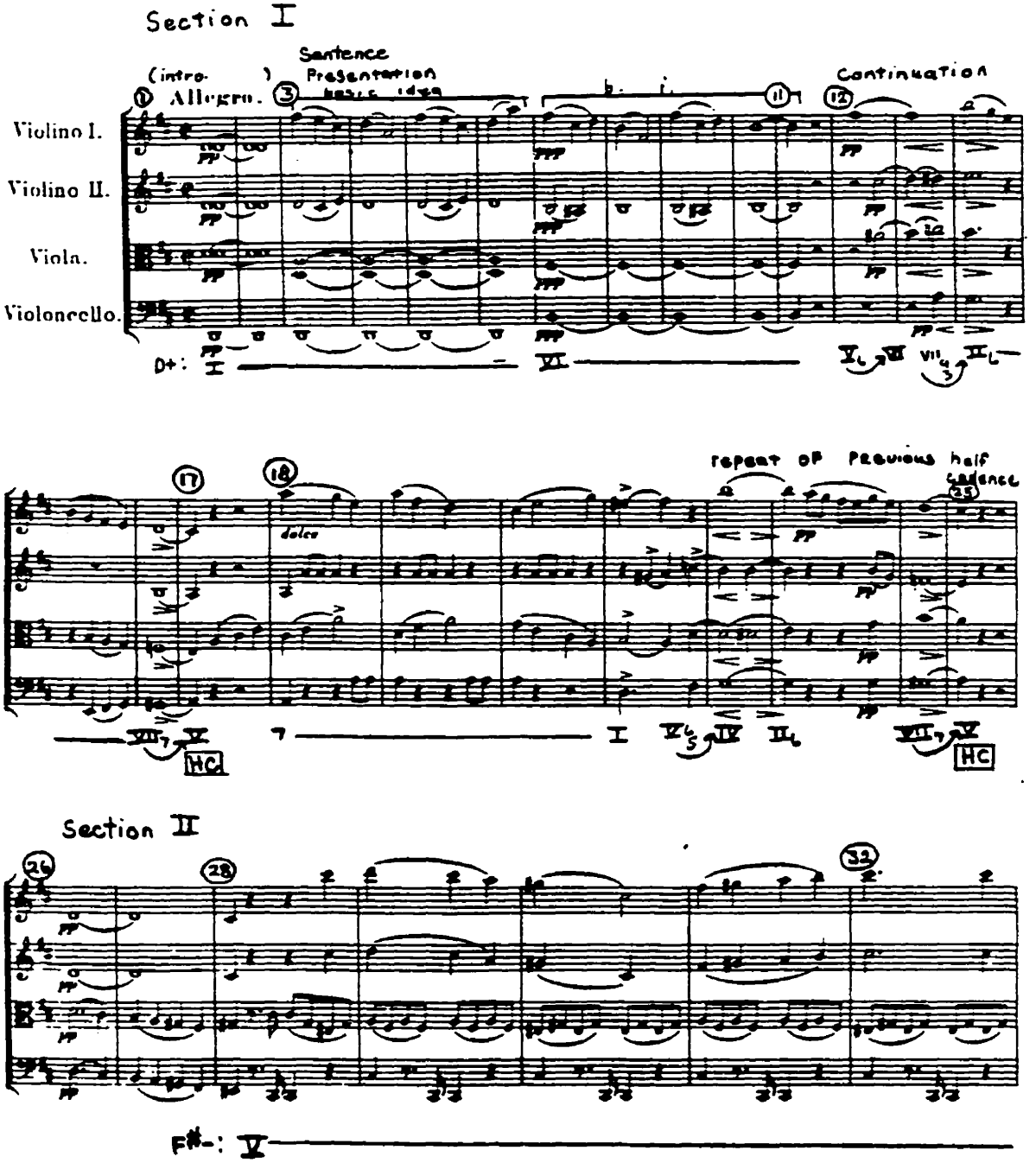
ii) beginning of 2nd part

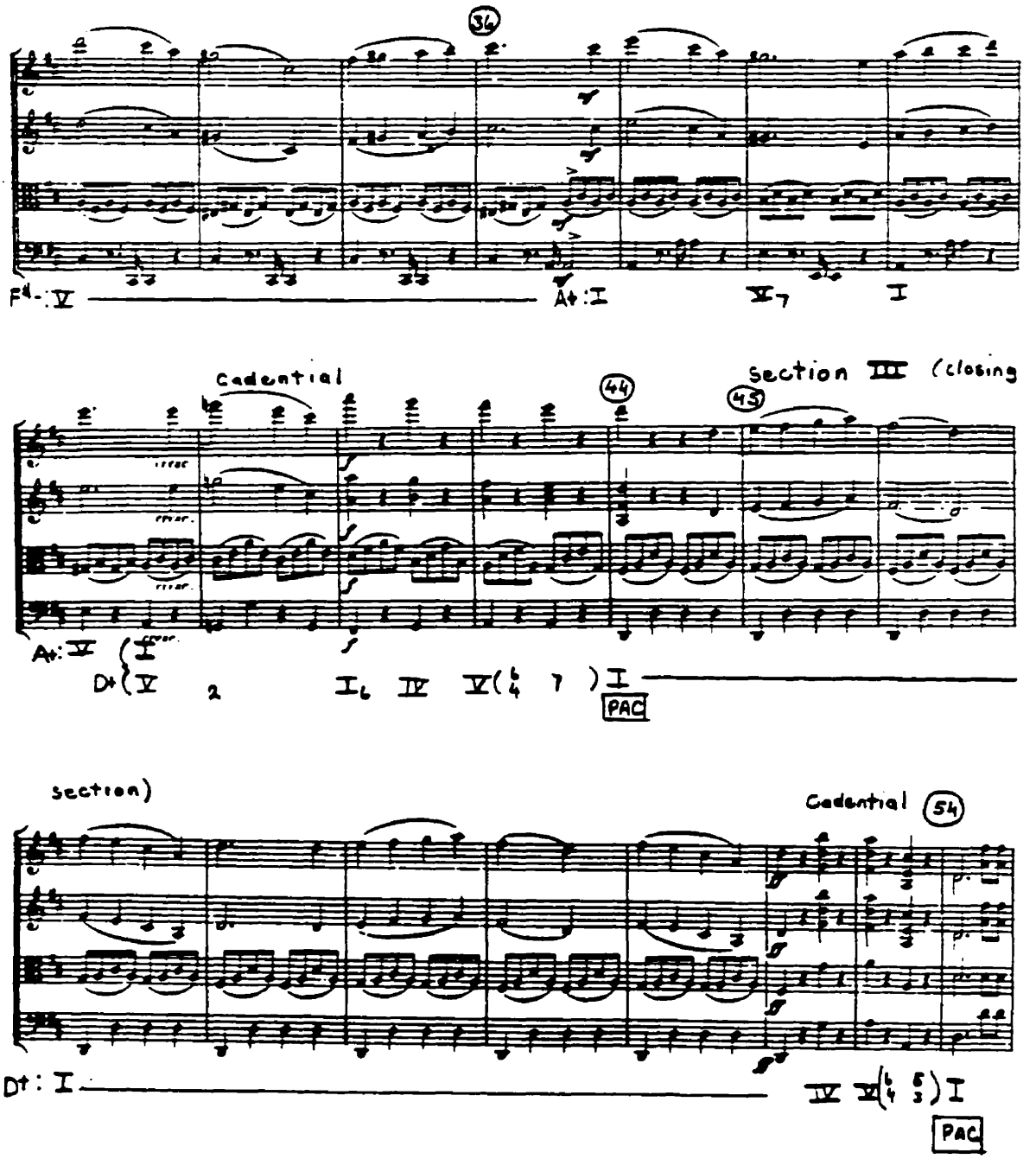


iii) subject of fugato

iv) recapitulation

v) coda

Ex. 3.7. Quartet, D. 18, i, main movement, dominant prolongation ending 1st part

Ex. 3.8. Quartet in D Major, D. 94, i, 2nd theme of exposition

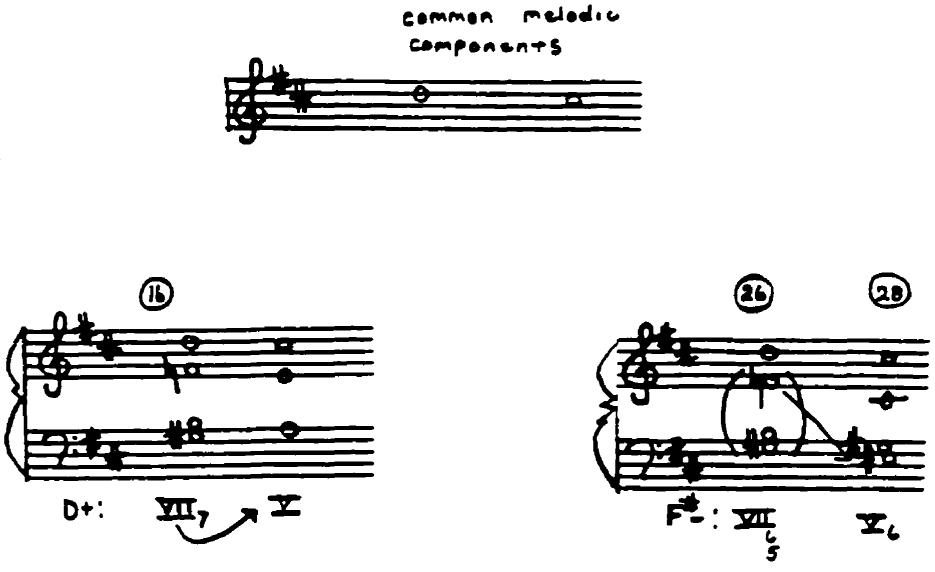


Ex. 3.9. Quartet, D. 94, i
a) main theme complex

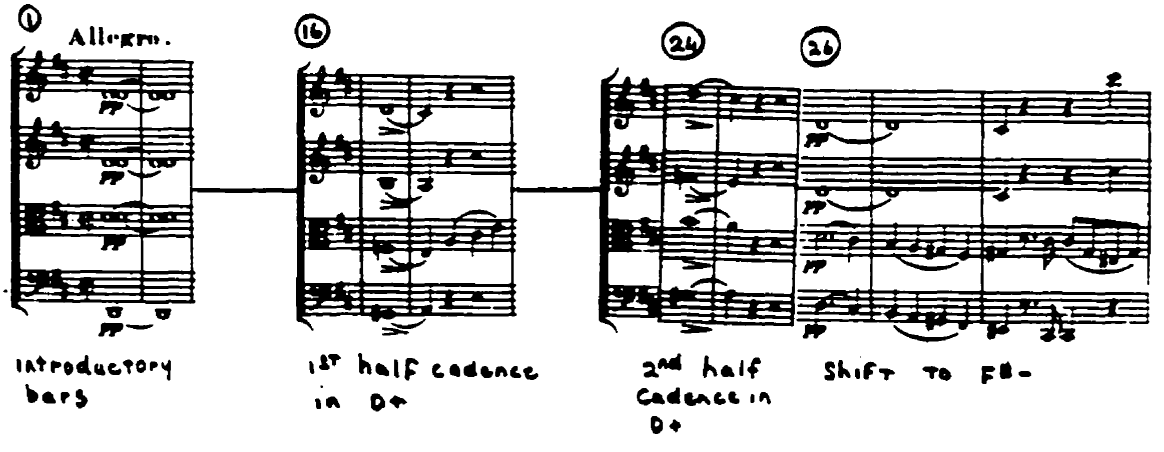


Ex. 3.9a cont'd

36
F♯: V
A♭: I
V7
I
Cadential
44
45
section III (closing
A♭: V
D♭
I
V
2
I6
IV
V(6/4 7)I
PAC
section)
Cadential
54
D♭: I
IV
V(6/4 5/3)I
PAC

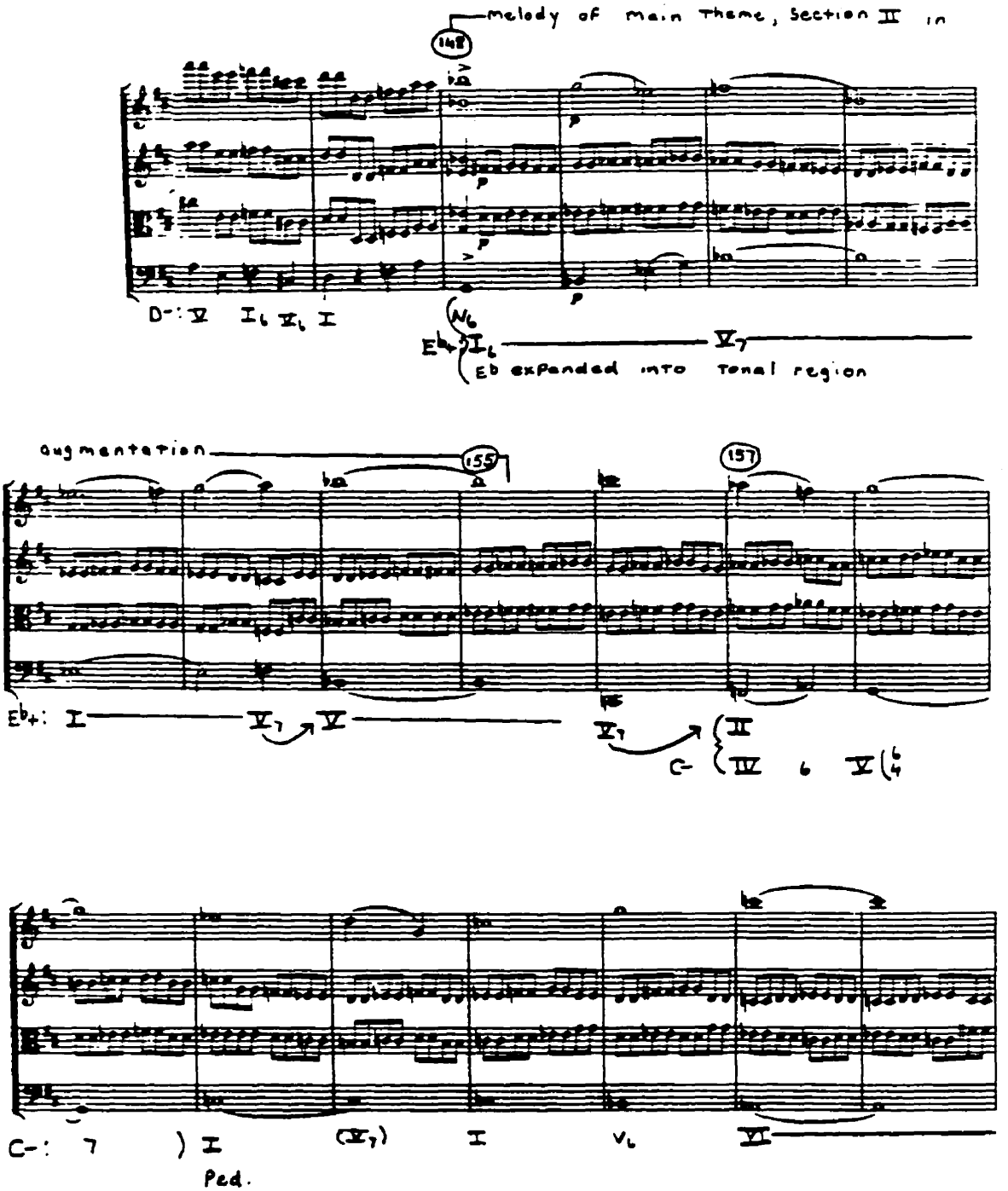
b) feint from D to F-sharp minor



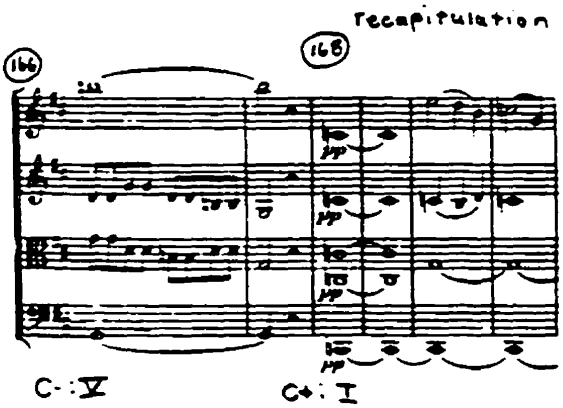
c) link between introductory bars and feint to F-sharp minor



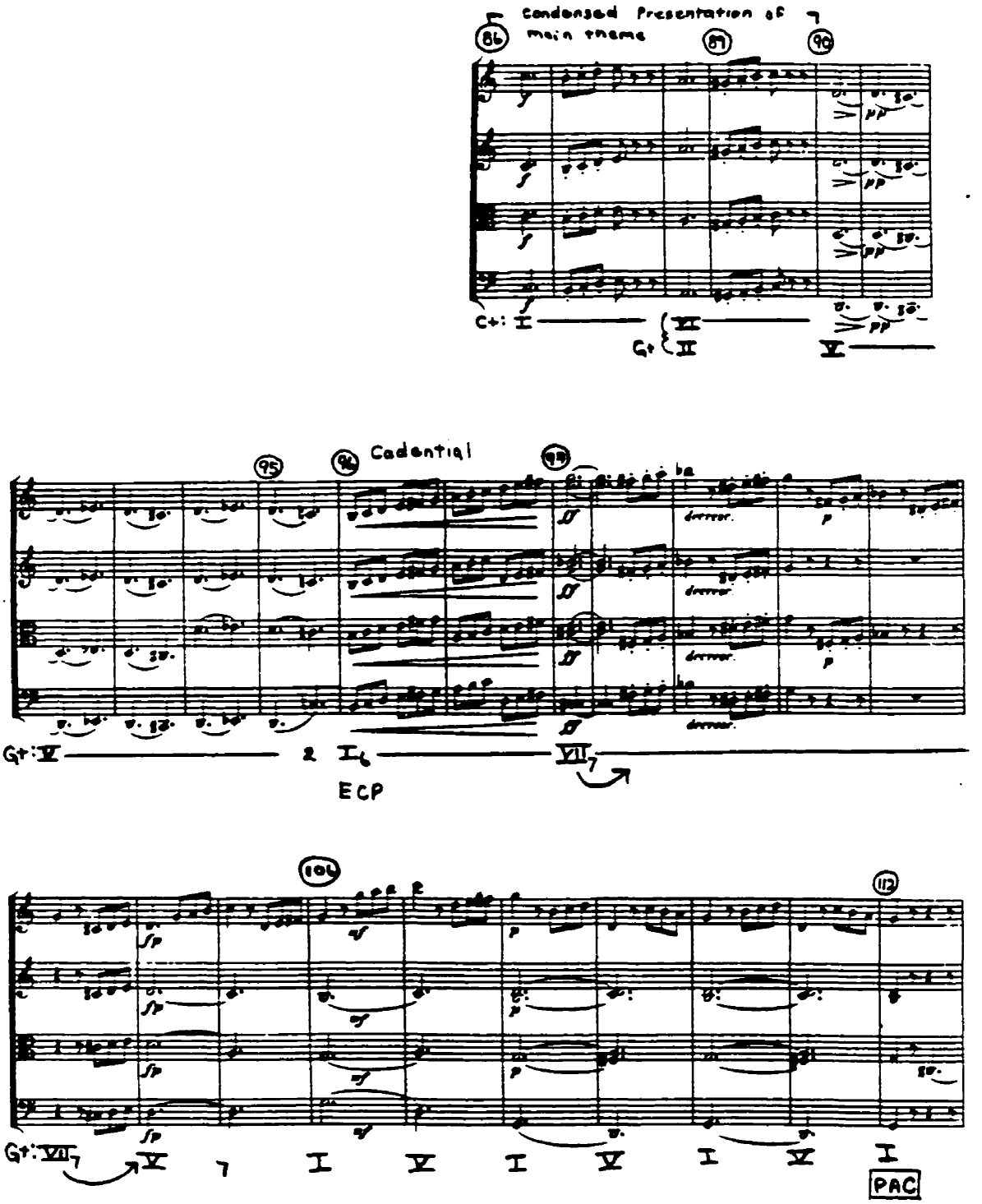
Ex. 3.10. Quartet, D. 94, i, development section, modulation from D to C



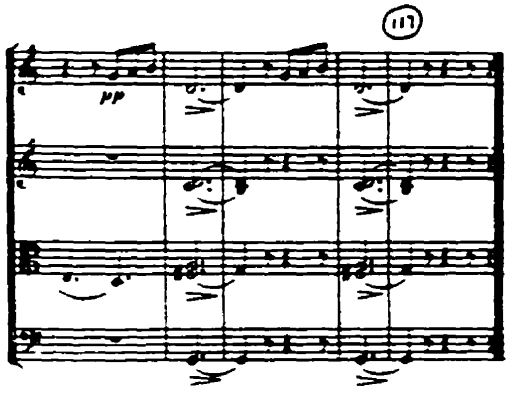
Ex. 3.10 cont'd

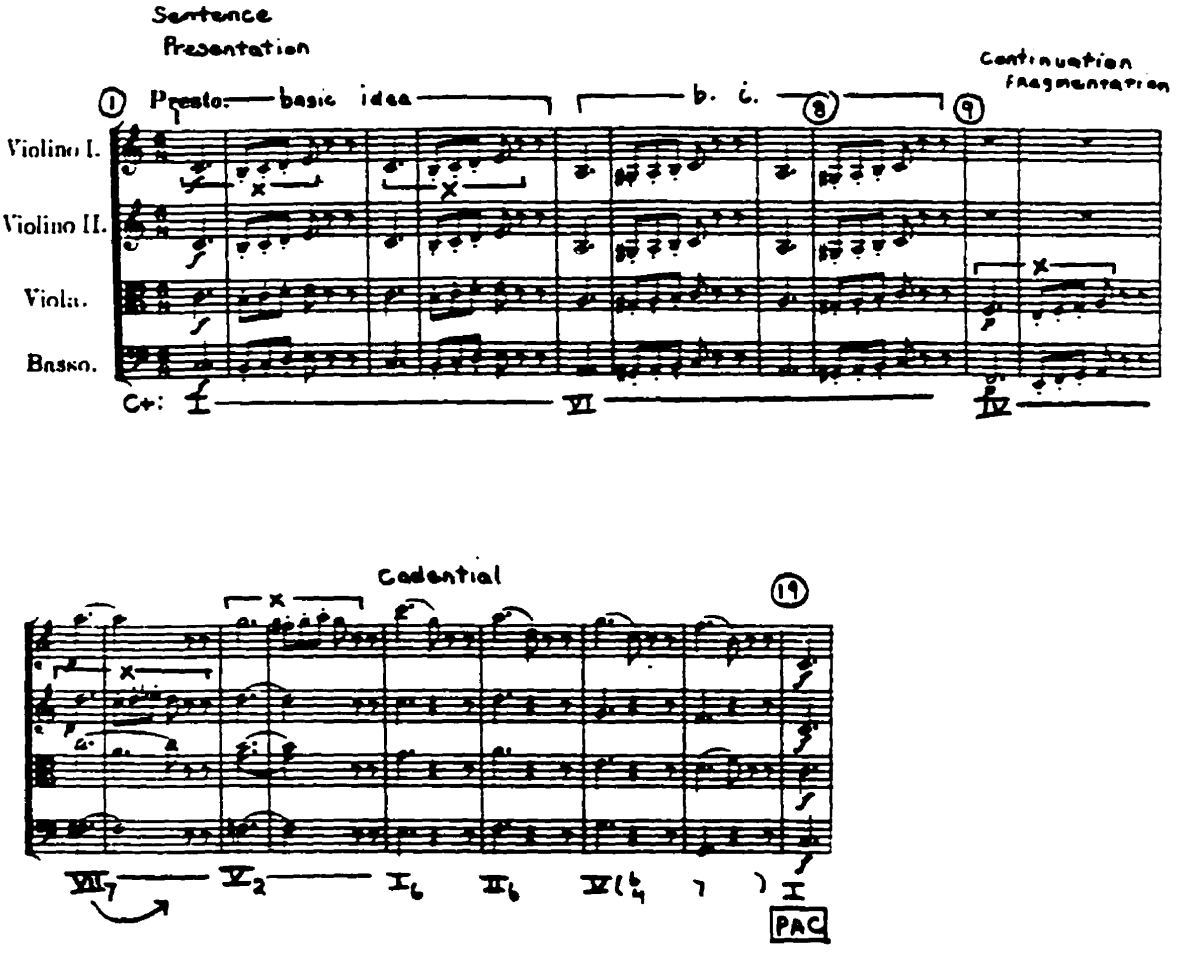
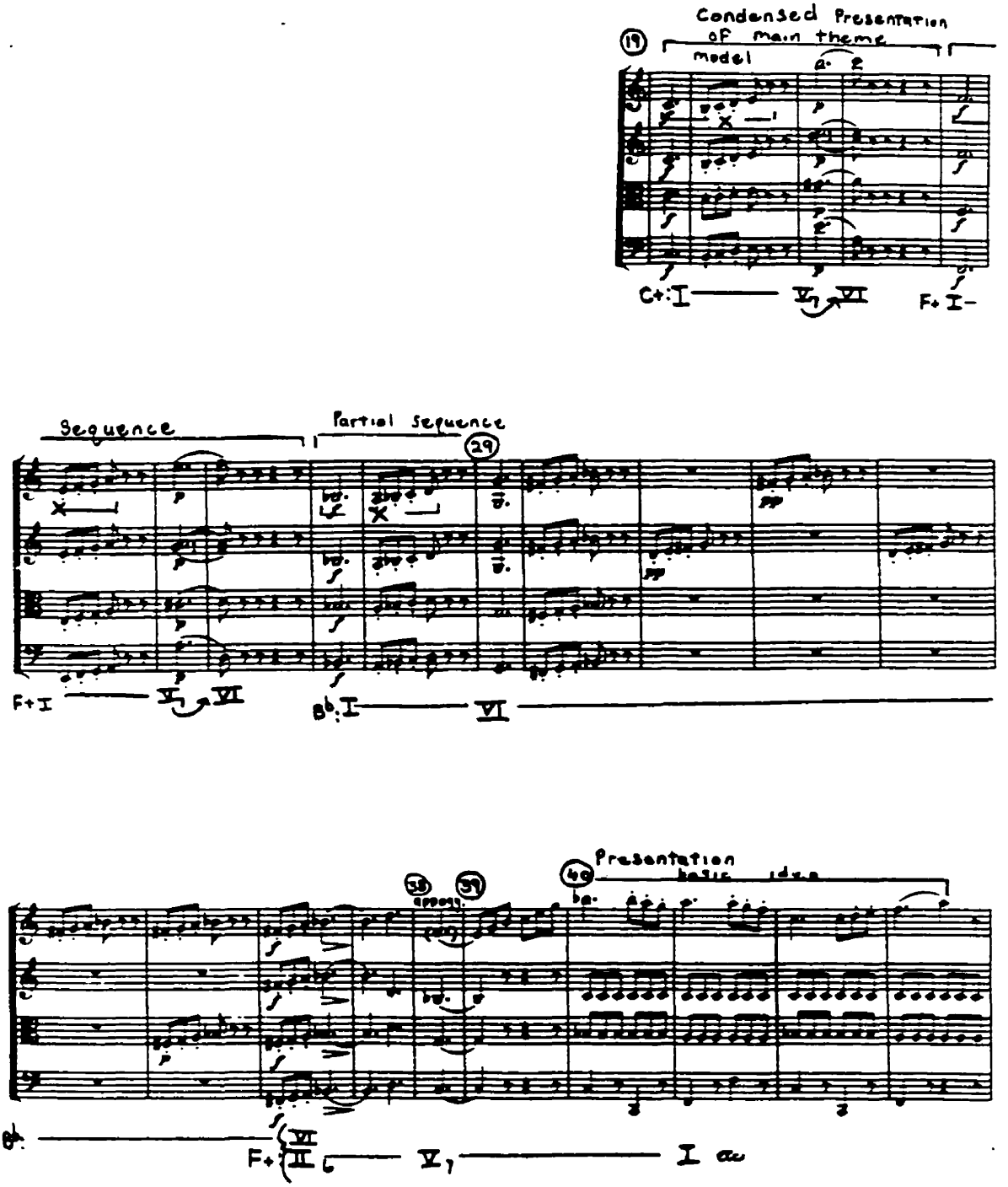
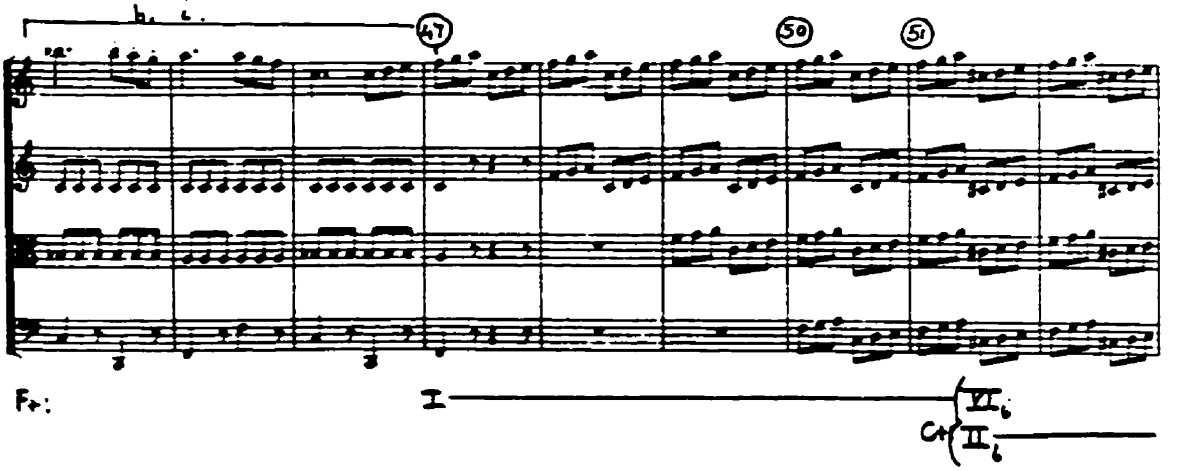
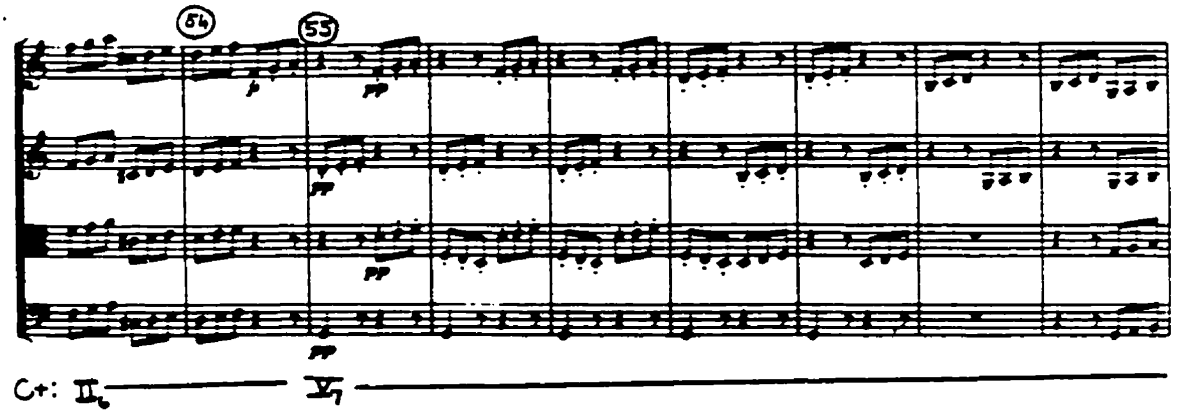
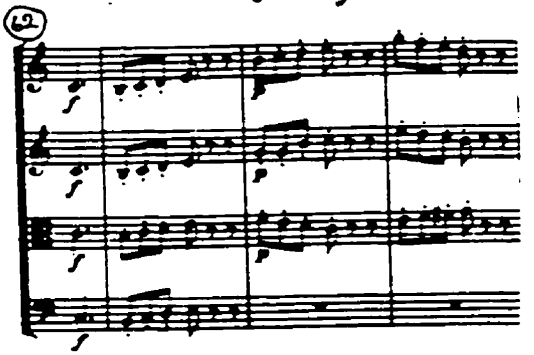


Ex. 3.11. Quartet in C Major, D. 32, i, modulation to dominant at end of exposition

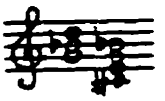


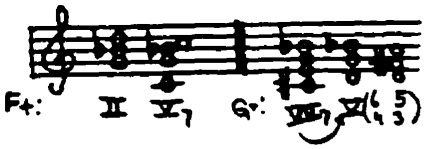
Ex. 3.11 cont'd



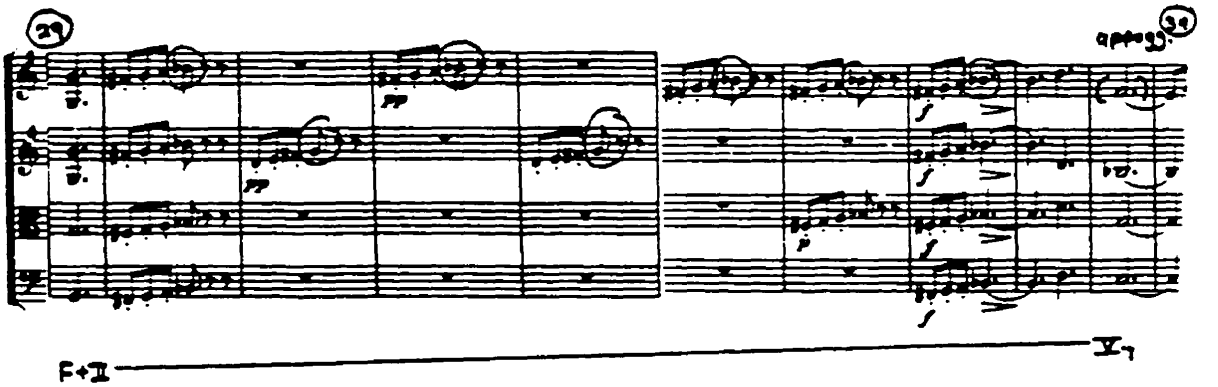
Ex. 3.12. Quartet, D. 32, i, main theme complex, initial sentence

Ex. 3.13. Quartet, D. 32, i, main theme complex, middle section

Ex. 3.13 cont'd

Section III, beginning

Ex. 3.14. Comparison of two modulations in the exposition

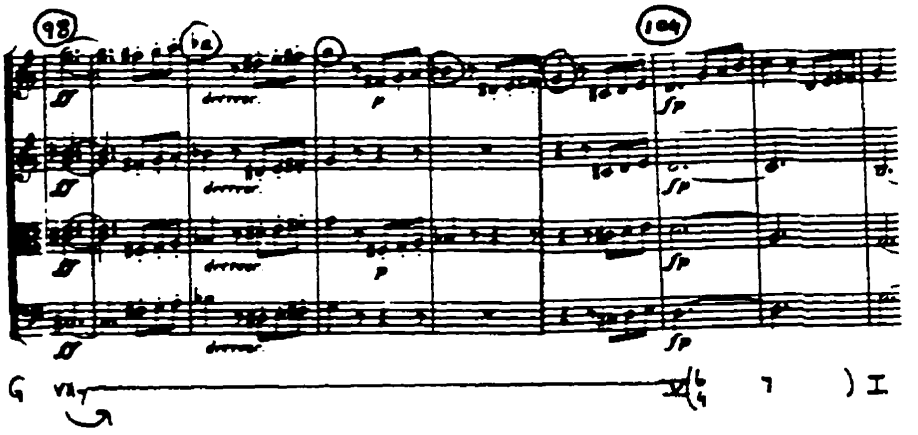
a) tones held in common by parallel pre-dominant chords

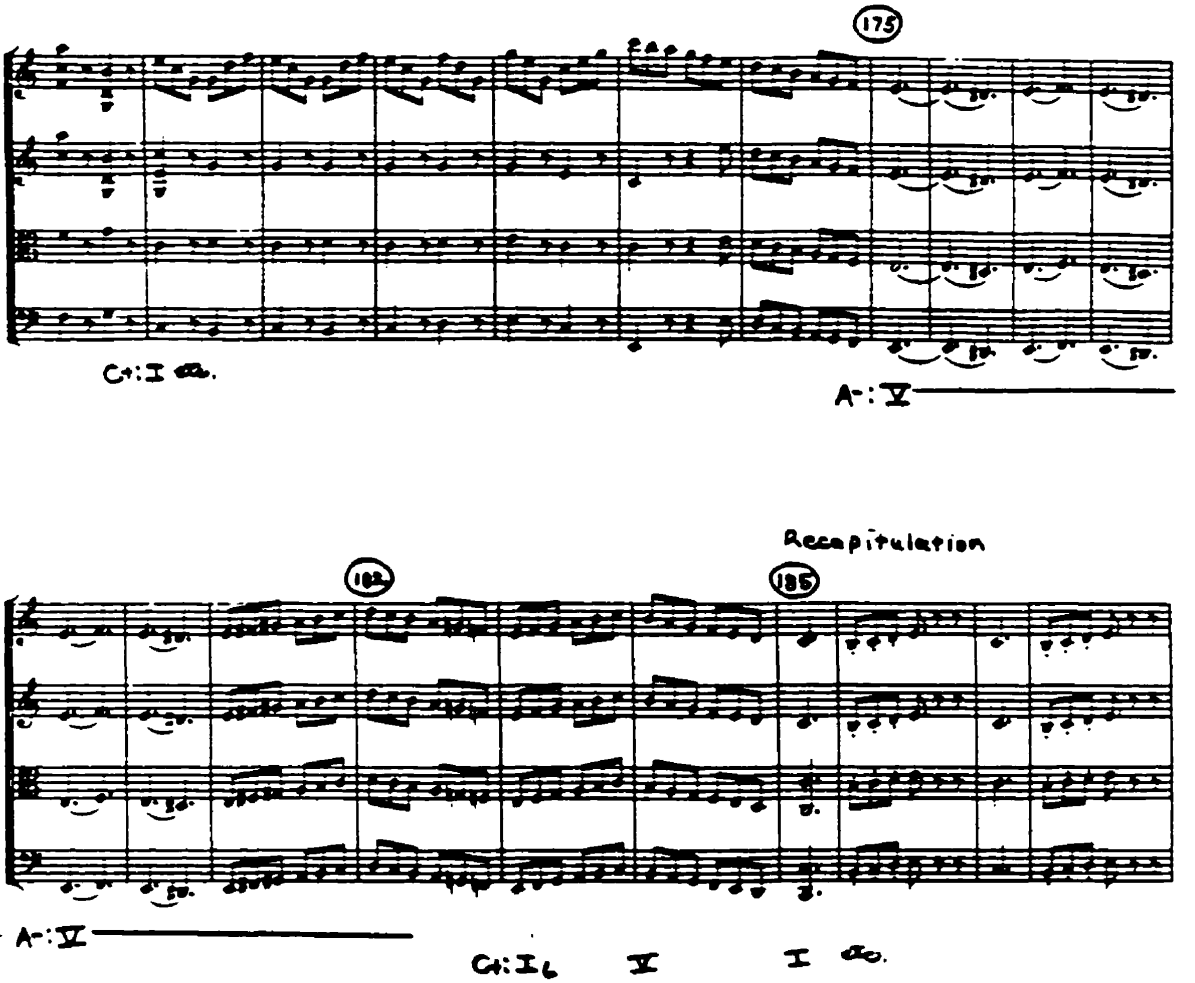


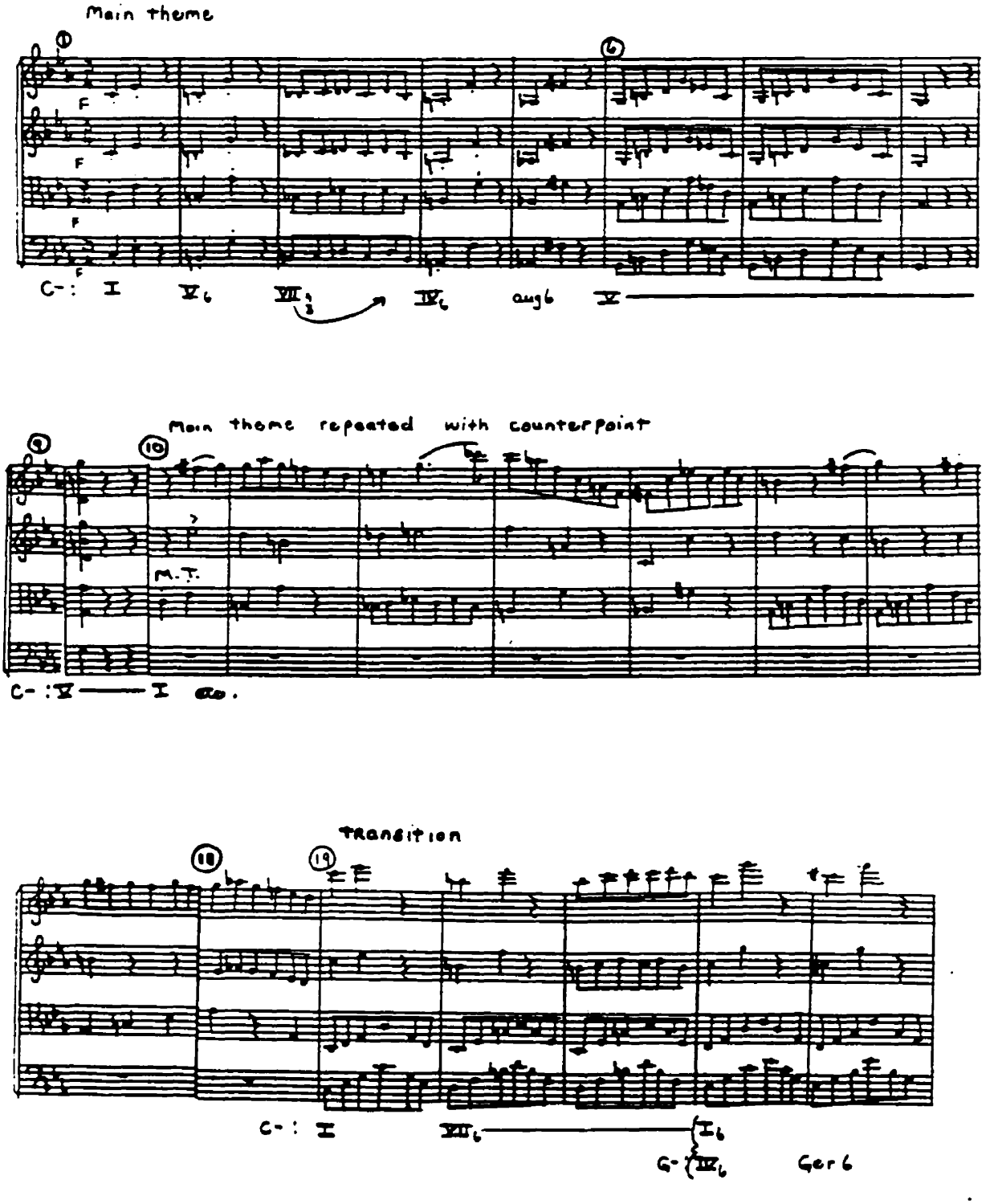
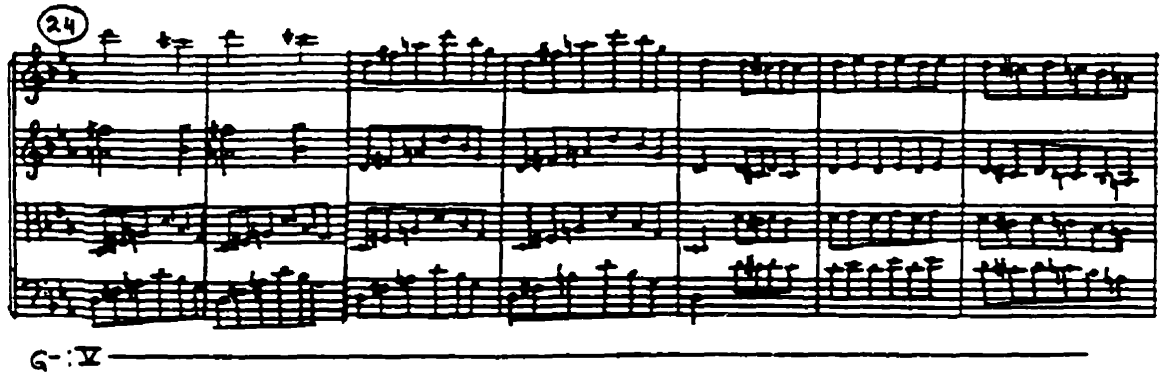
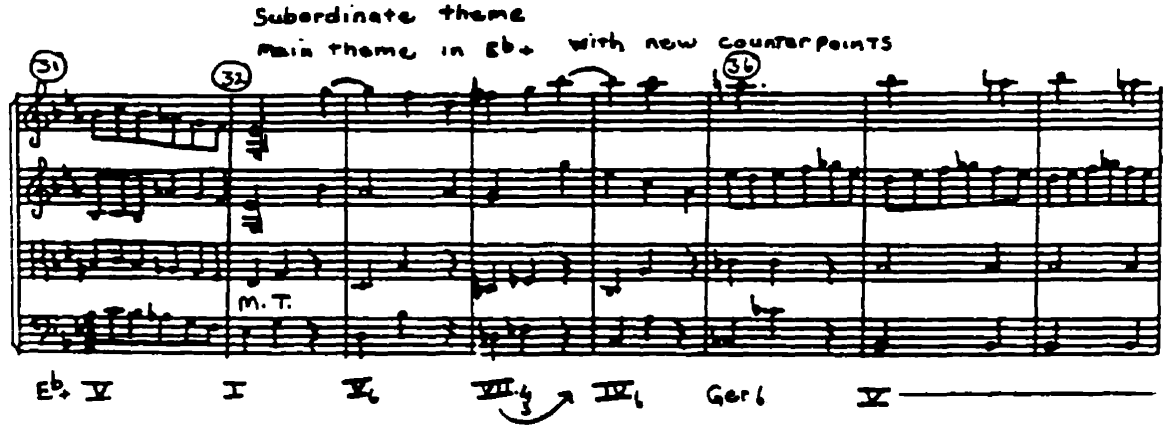
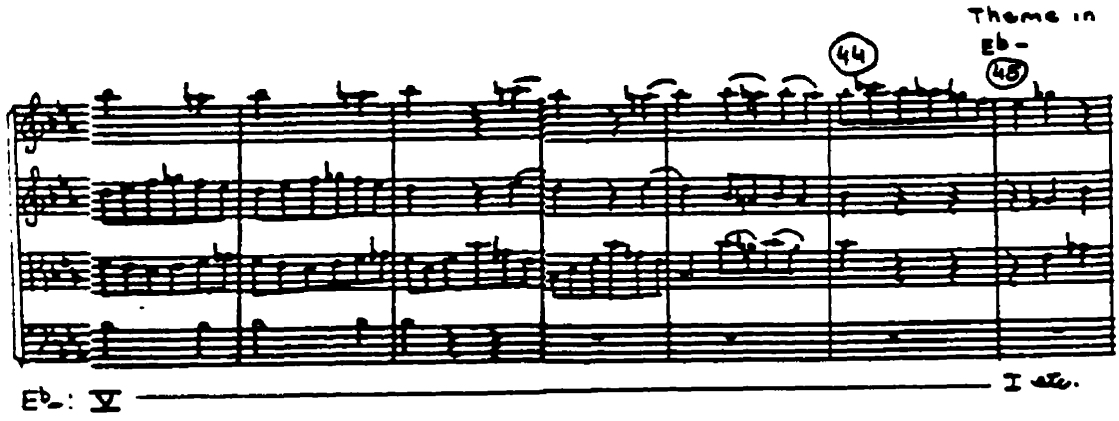


b) feint to F major

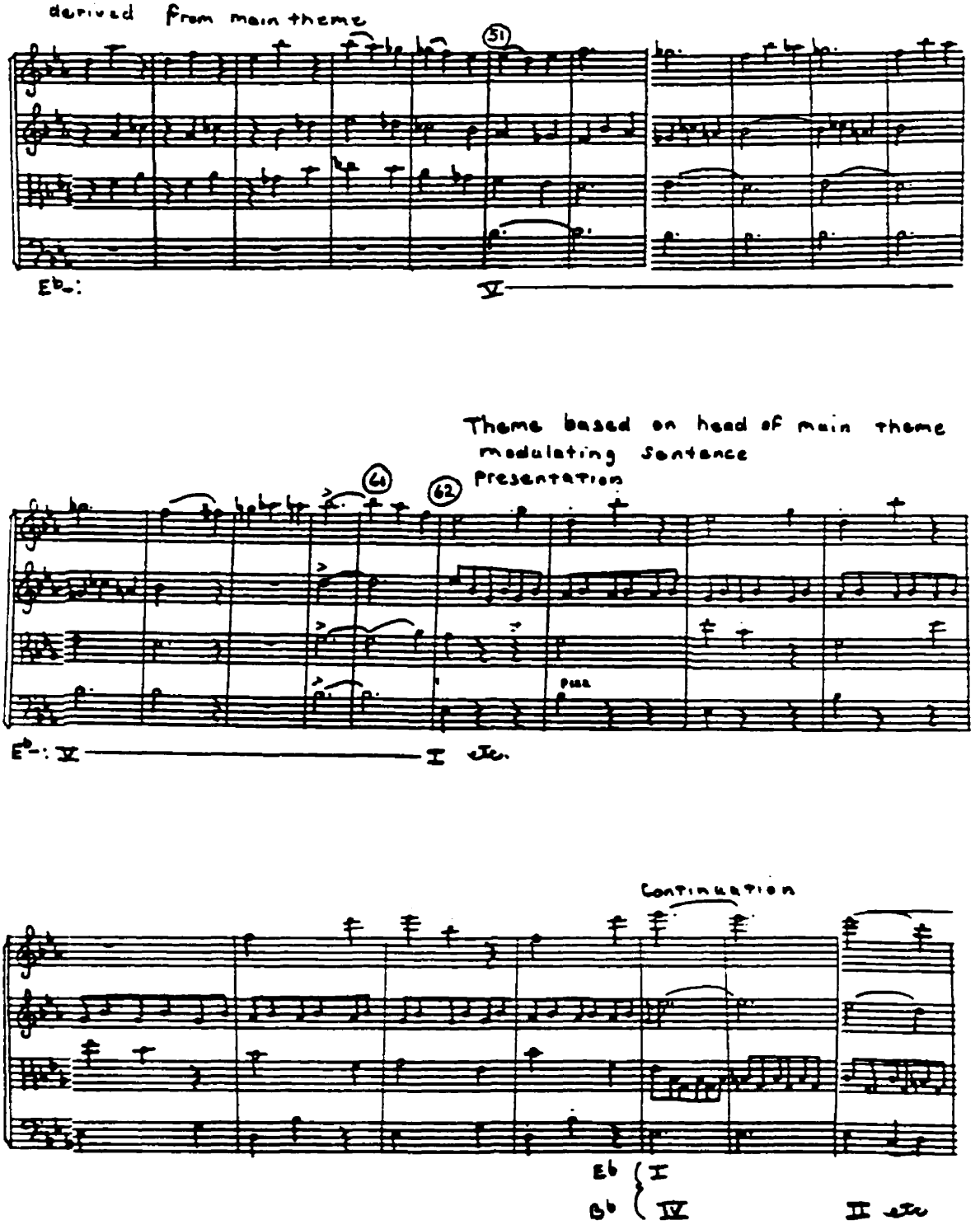


c) modulation to G major

Ex. 3.15. Quartet, D. 32, i, end of development section

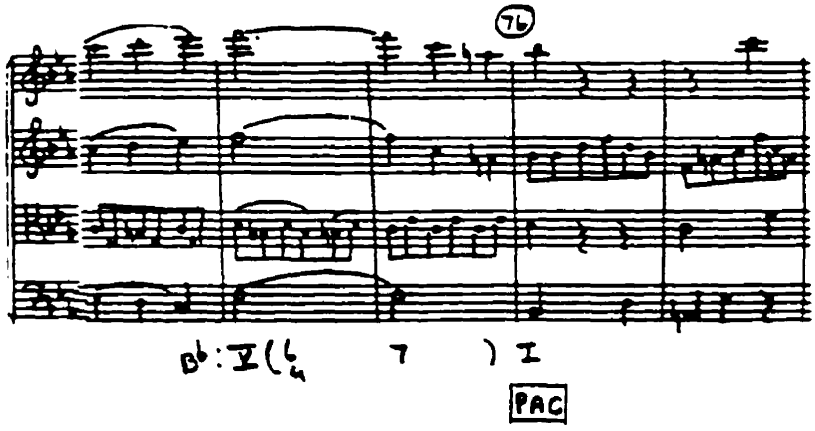


Ex. 3.16. Quartet in C, D. 32, iv, main theme transition and beginning of subordinate theme

Ex. 3.16 cont'd

24
G-: V

Subordinate theme
Main theme in Eb+ with new counterpoints
31
32
36
M.T.
Eb+ V
I
V6
VII6/3
III6
Ger6
V

Theme in Eb-
44
48
Eb-: V
I etc.

Ex. 3.16 cont'd

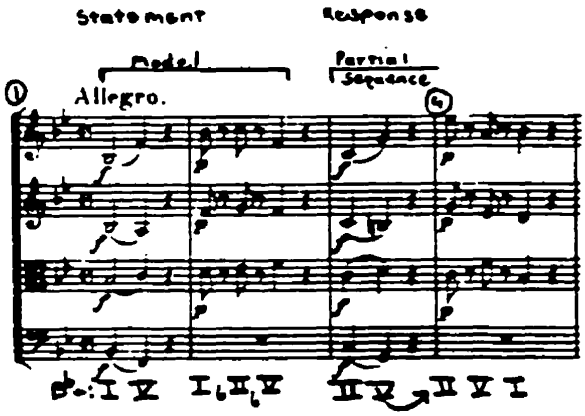

derived from main theme
51
E♭:
V
Theme based on head of main theme
modulating sentence
presentation
61
62
pizz.
E♭: V
I etc.
Continuation
E♭ I
B♭ IV
II etc.

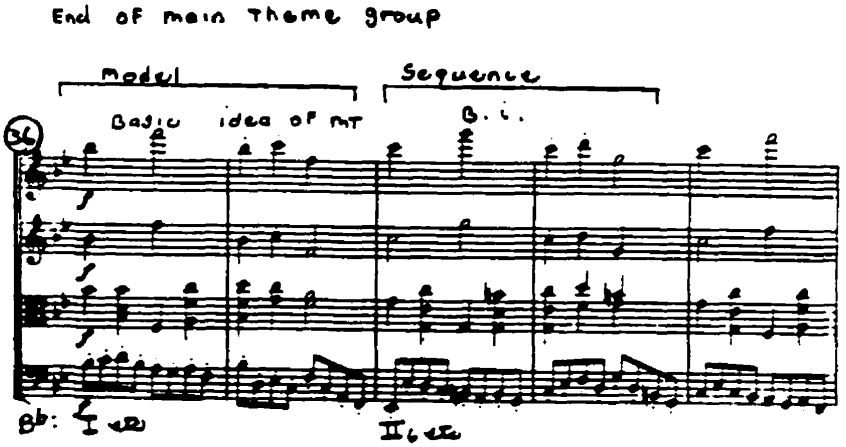
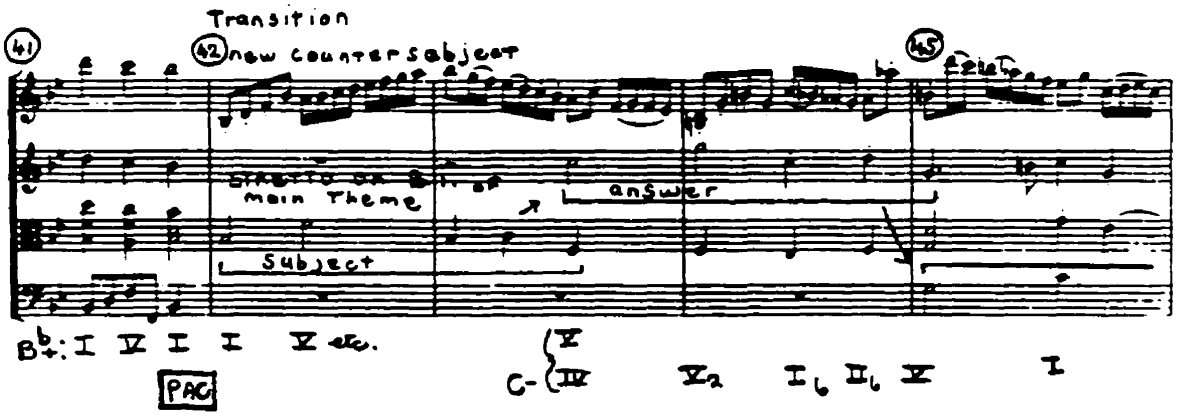
Ex. 3.16 cont'd

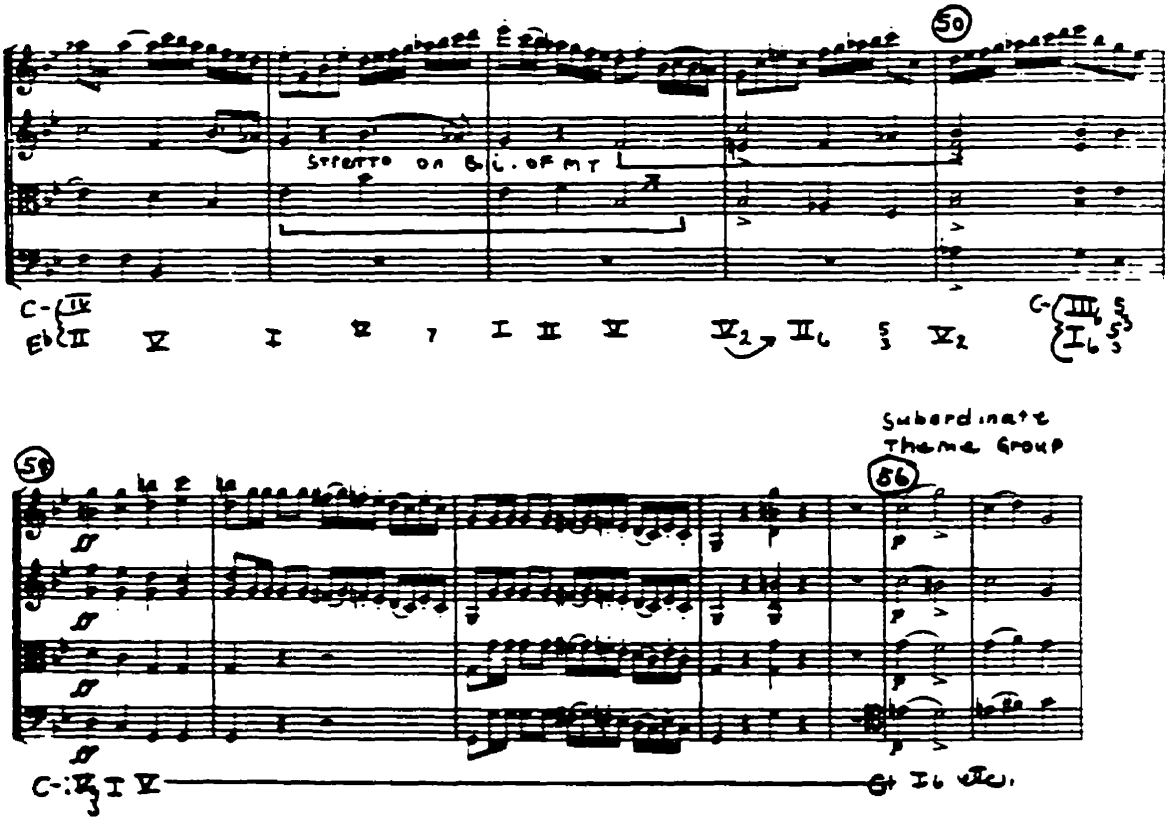


Ex. 3.17. Quartet in Bb, D. 36, i, harmonic motive of main theme and its role in the transition

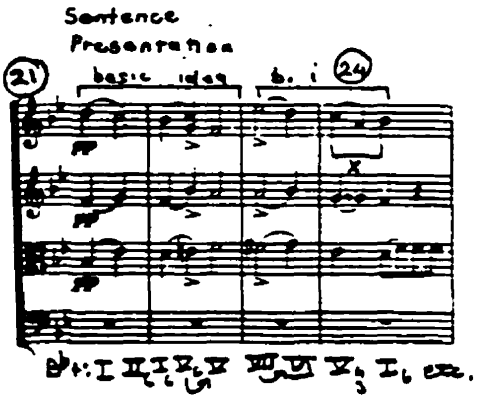
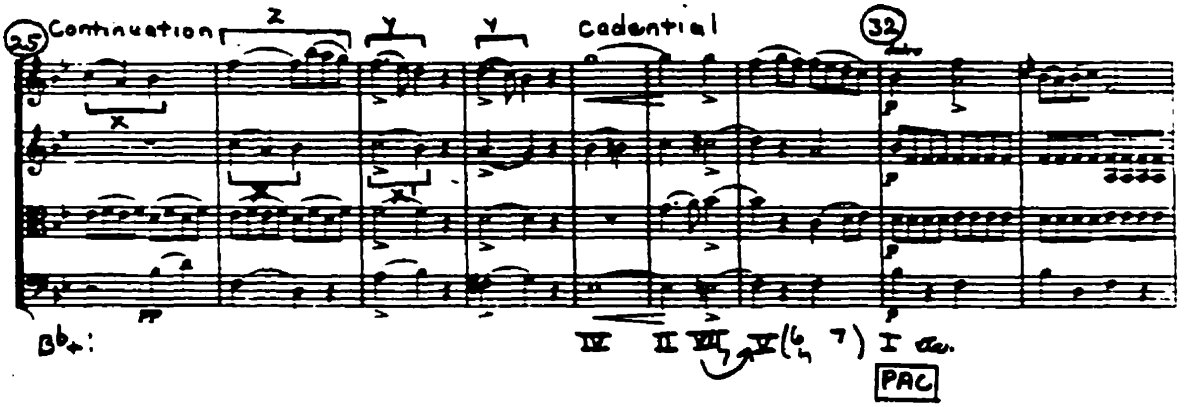
a) main theme

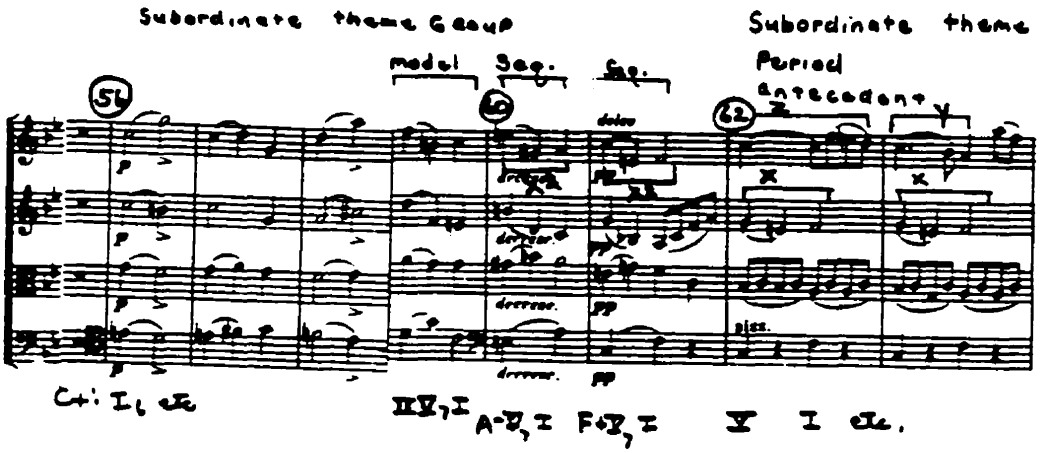


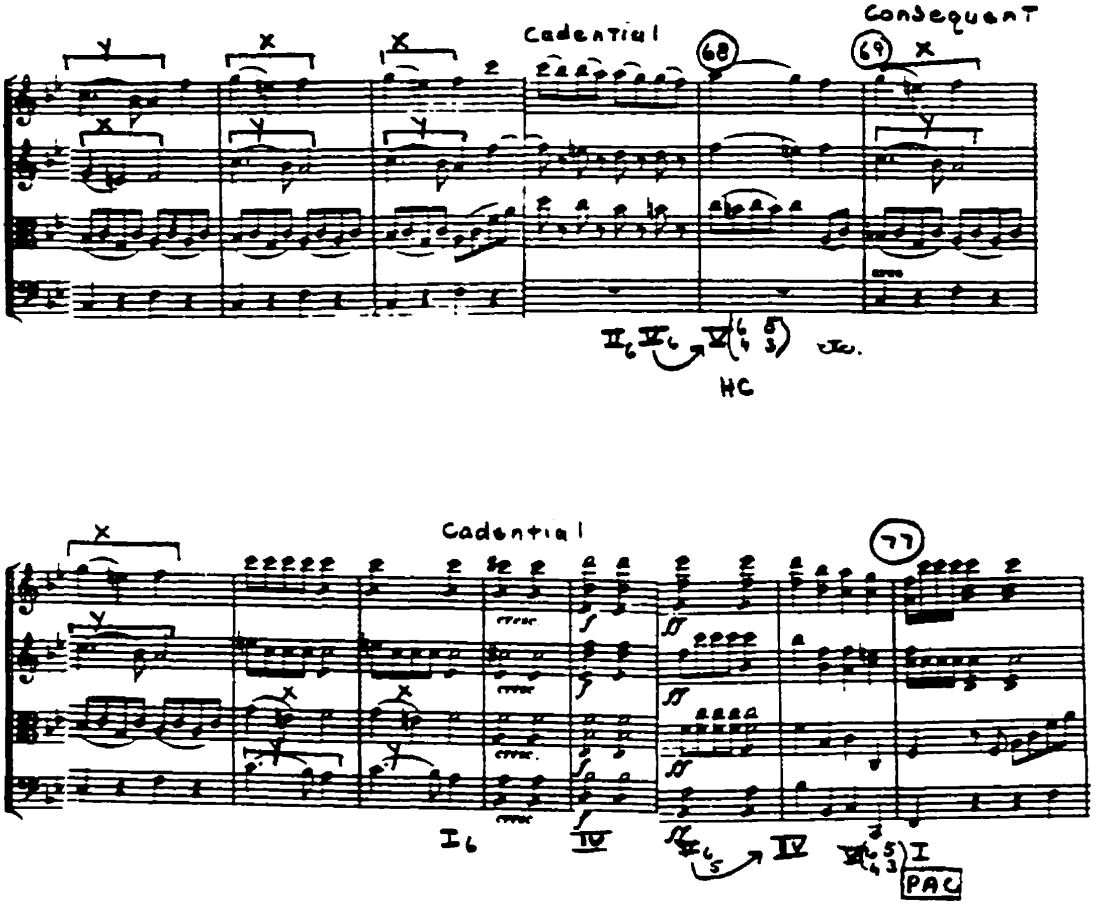
b) transition

Ex. 3.17b cont'd



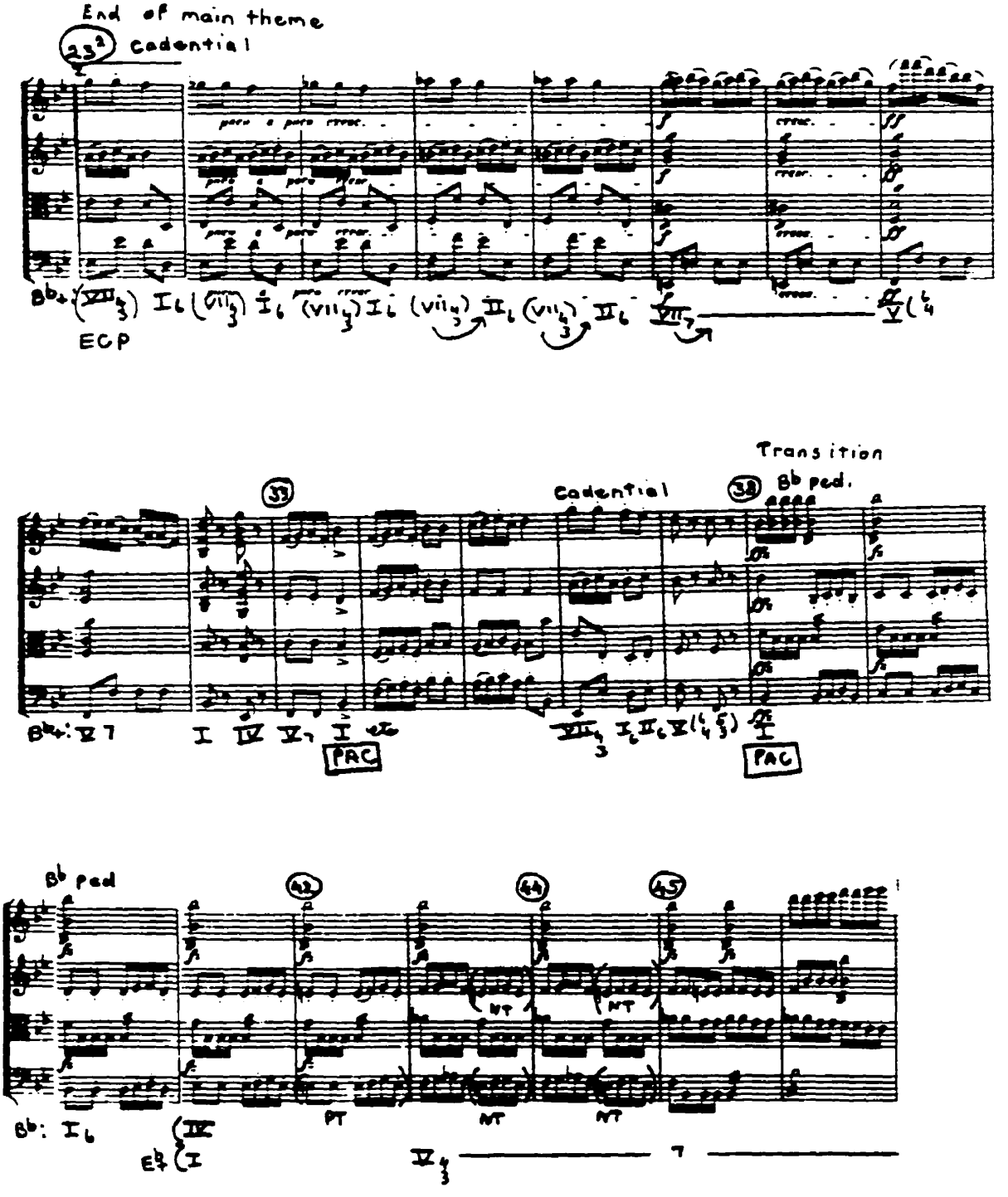
Ex. 3.18. Quartet, D. 36, i, generation of subordinate theme from material of main theme

a) main theme, 1st major cadence



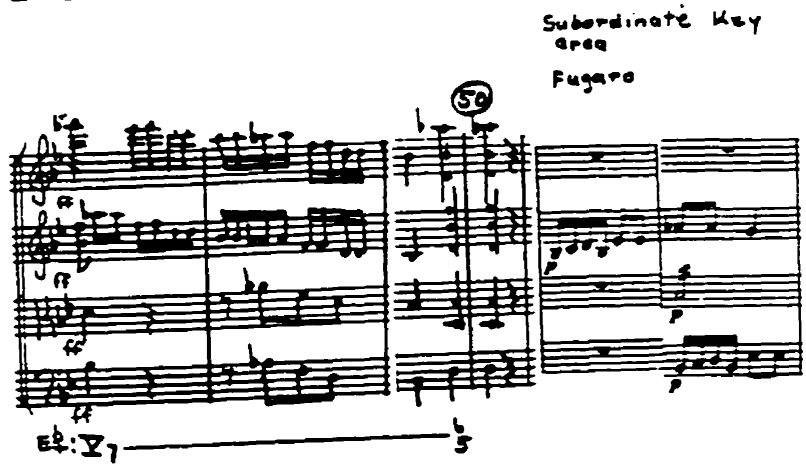
b) subordinate theme generated

Ex. 3.18b cont'd

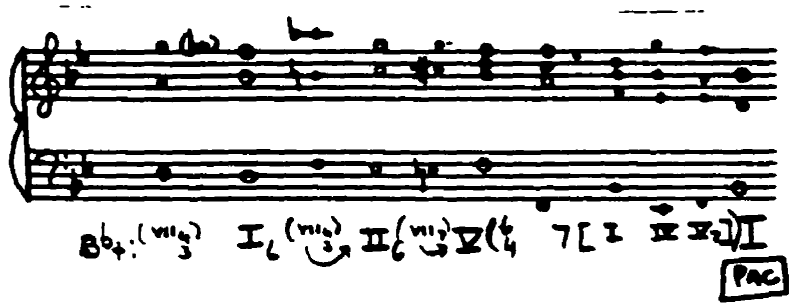


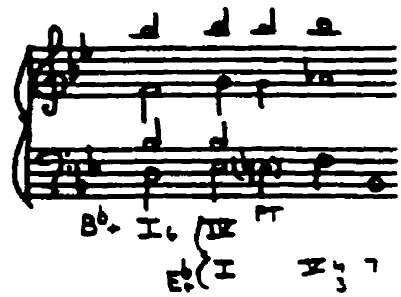
Ex. 3.19. Quartet in Bb, D. 36, iv,
a) end of main theme and transition

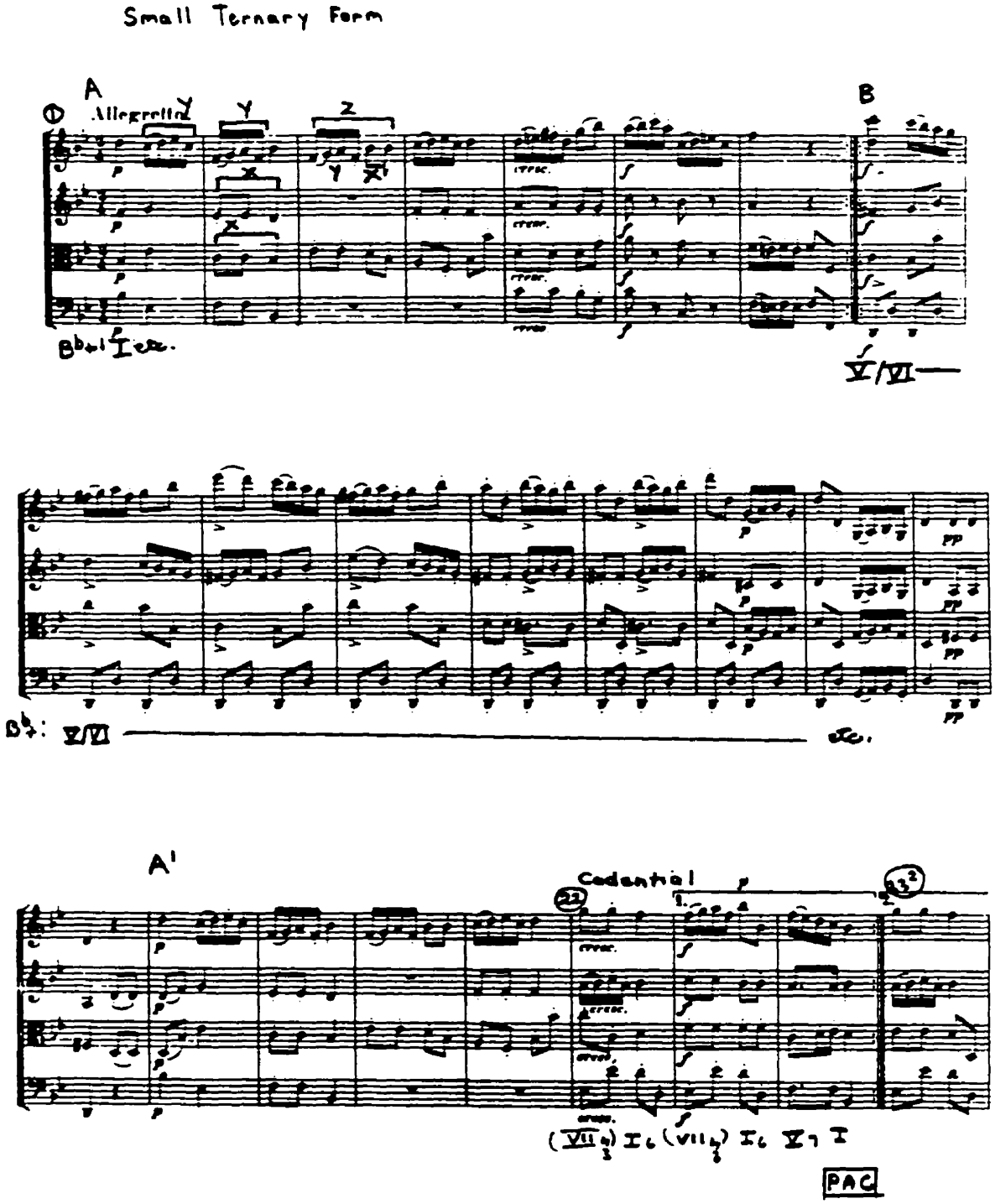


Ex. 3.19a cont'd

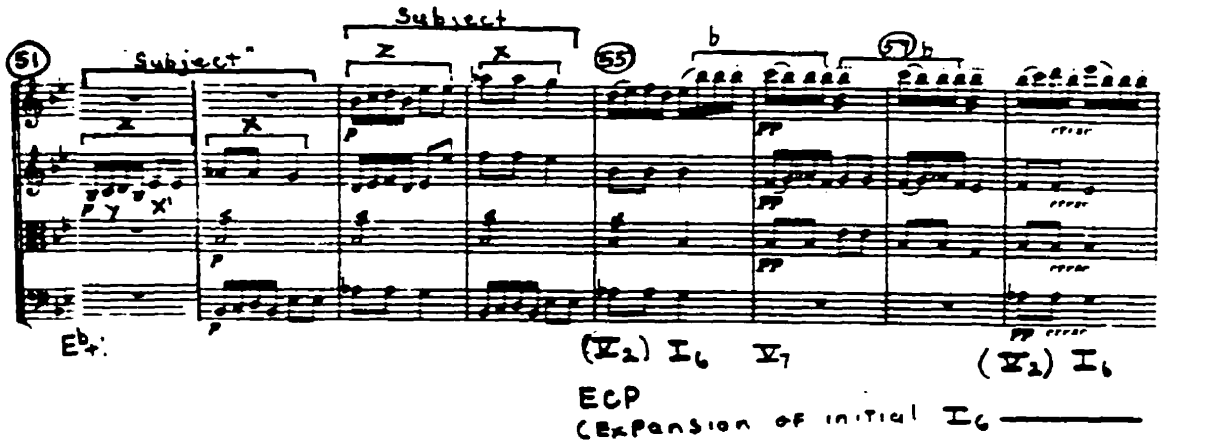
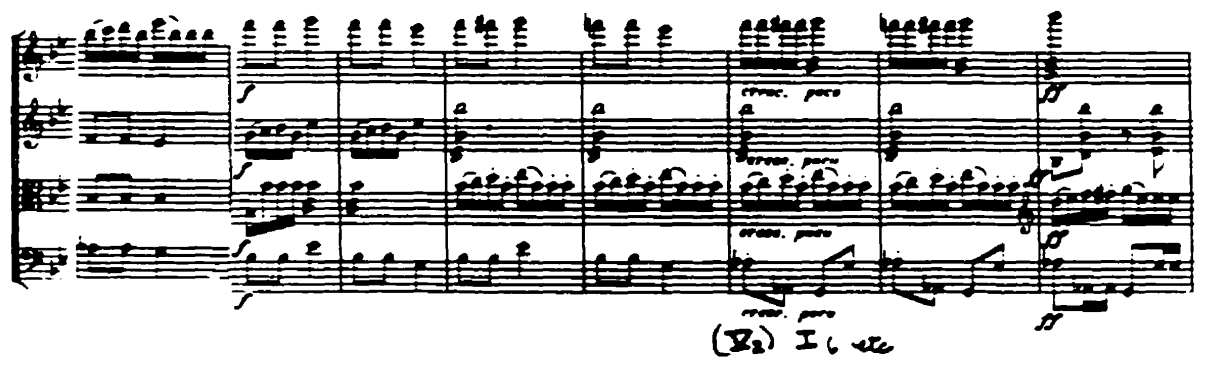
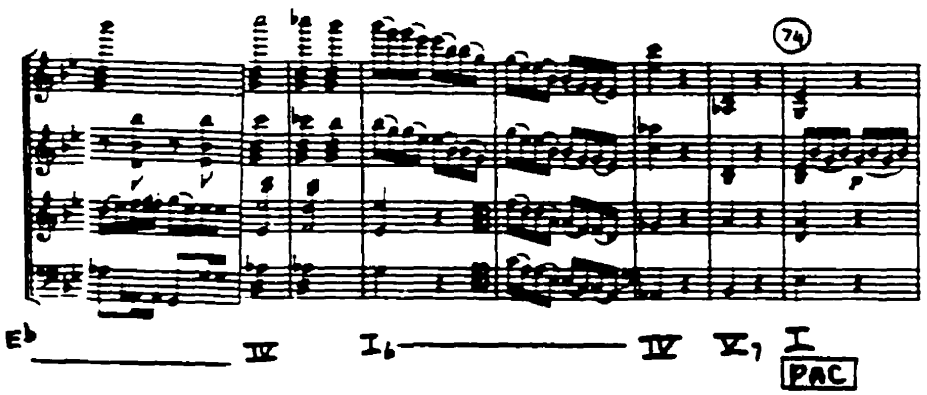


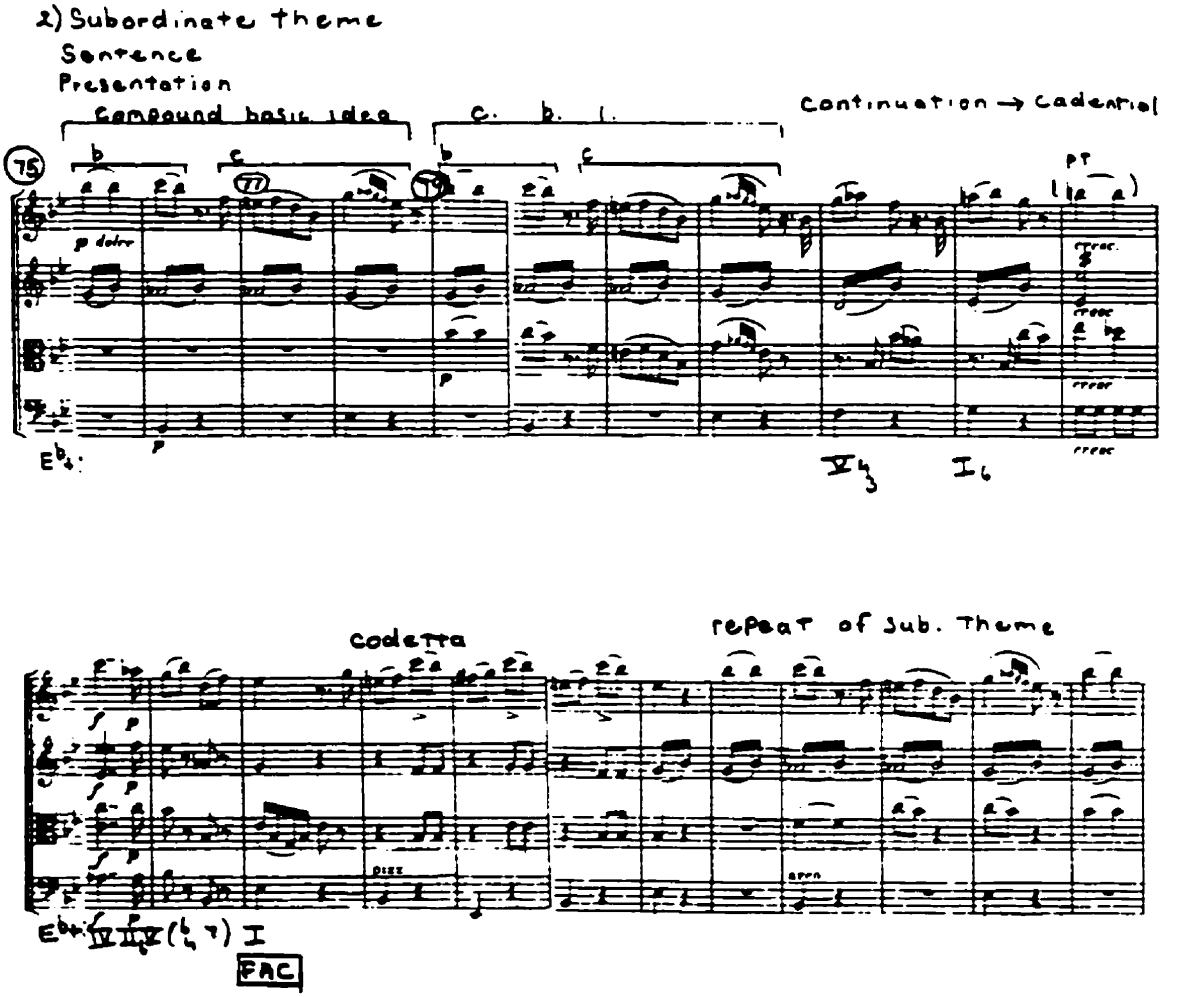
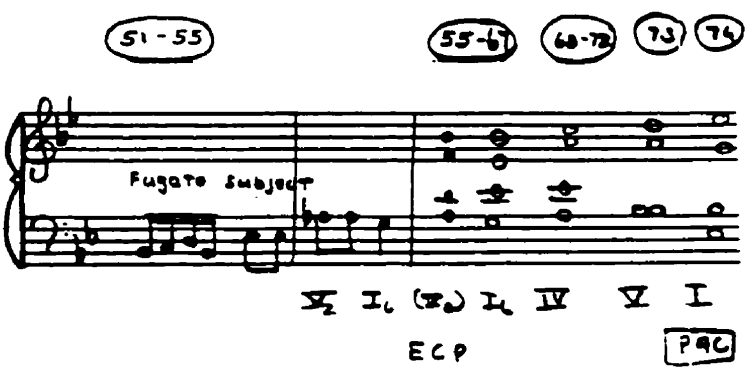
b) harmonic reduction of bb. 23^2-33

c) harmonic reduction of bb. 40-51

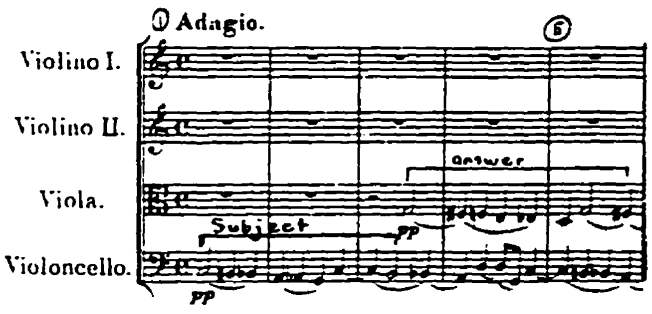
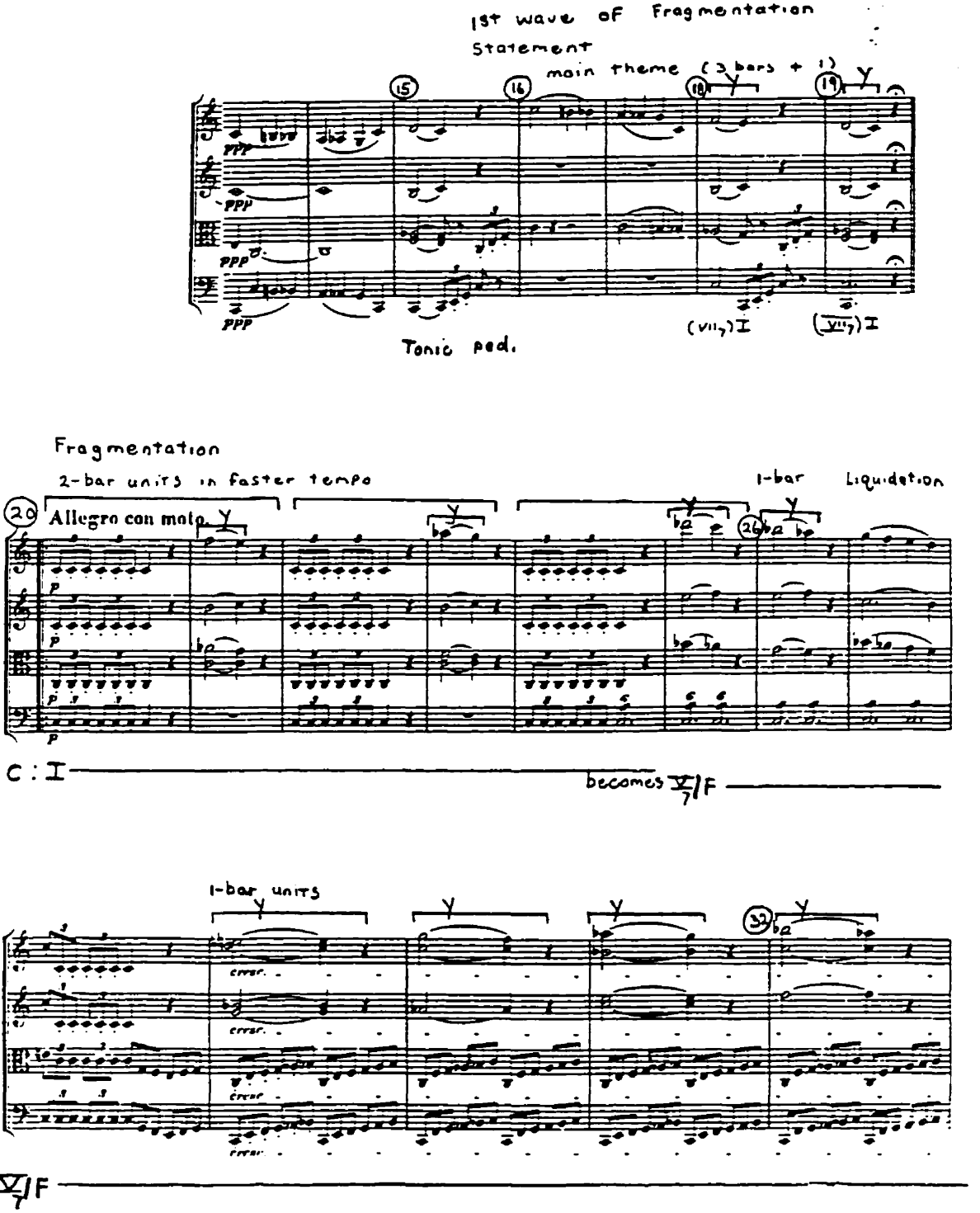


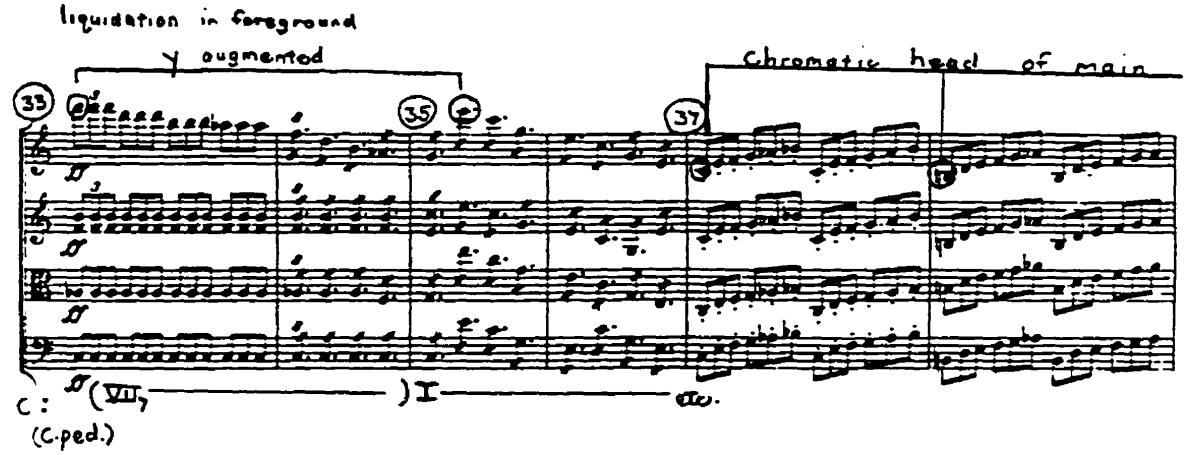
Ex. 3.20. D. 36, iv,
a) main theme

b) subordinate theme

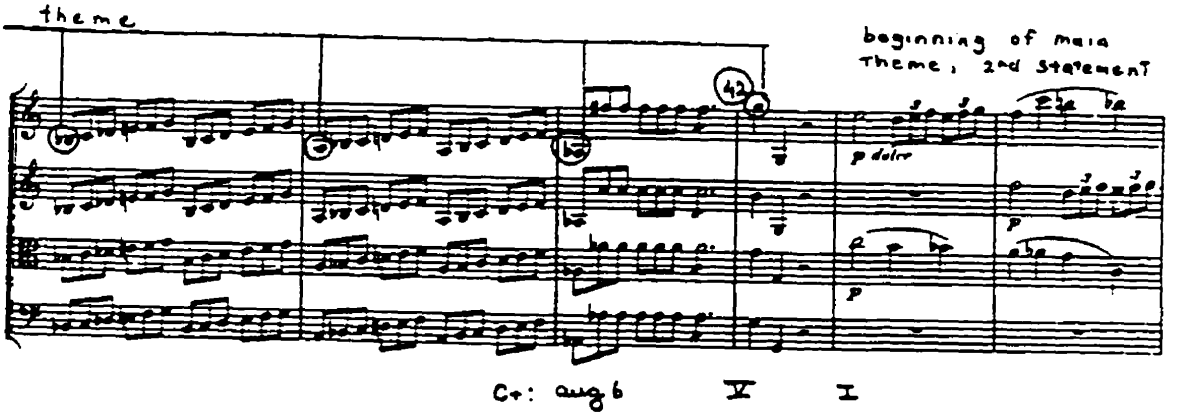
i) Fugato



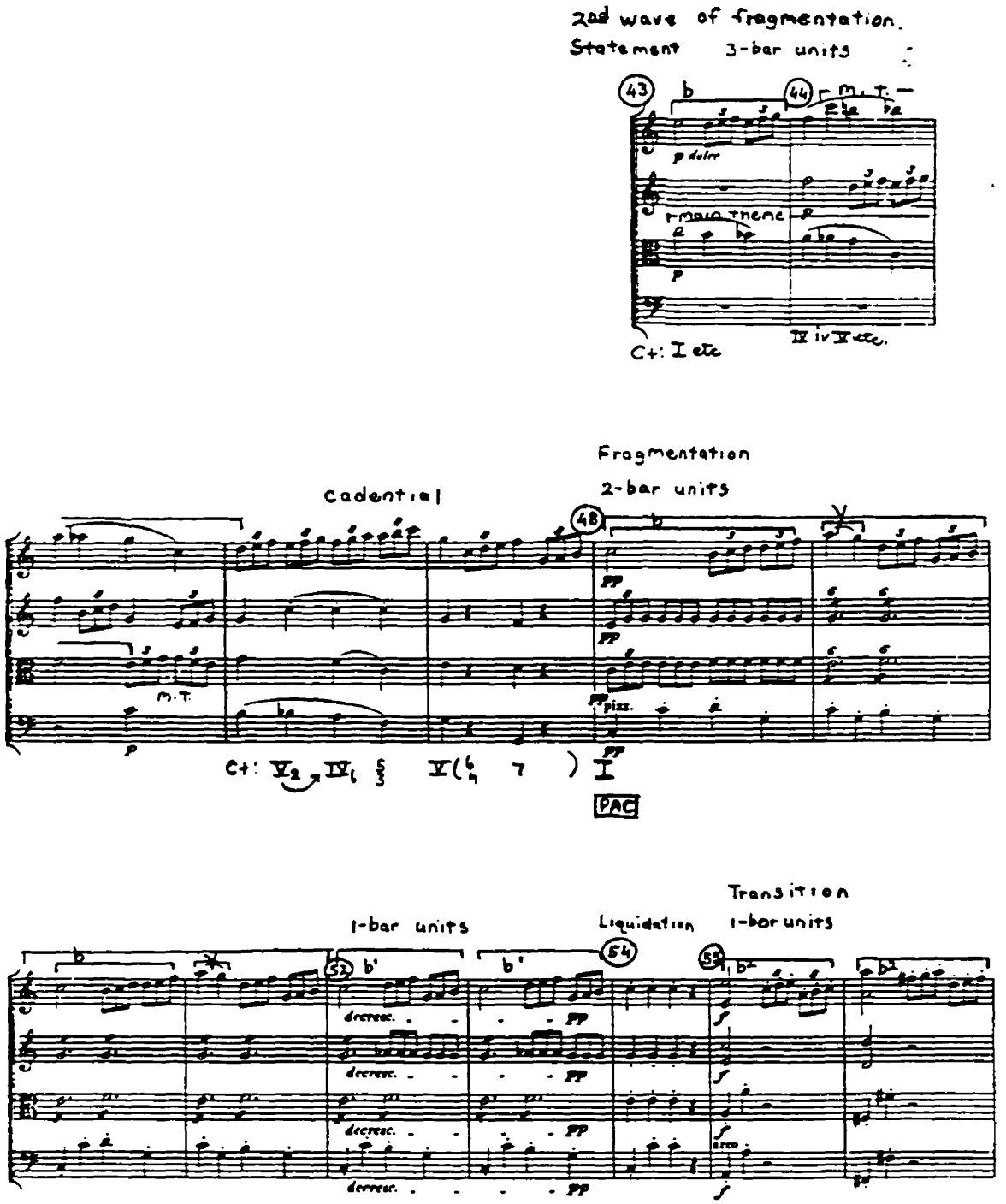
Ex. 3.20b cont'd



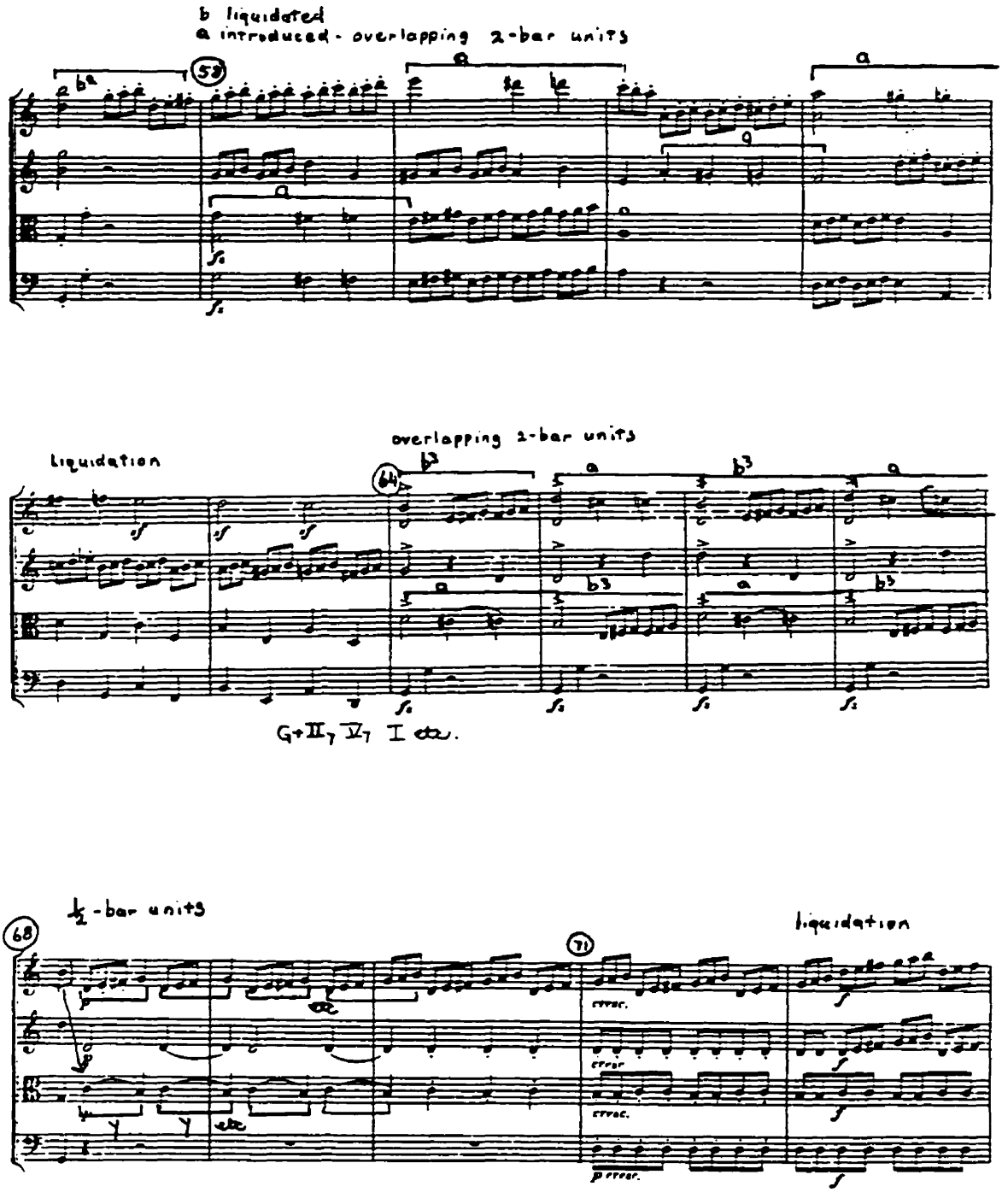
Ex. 4.1. Quartet in C, D. 46, i, initial statement of main theme in introduction

Ex. 4.2. Quartet in C, D. 46, i, first wave of fragmentation, end of introduction and beginning of main movement

Ex. 4.2 cont'd


liquidation in foreground
augmented
chromatic head of main
33
35
37
C: (VII7) I etc.
(C.ped.)

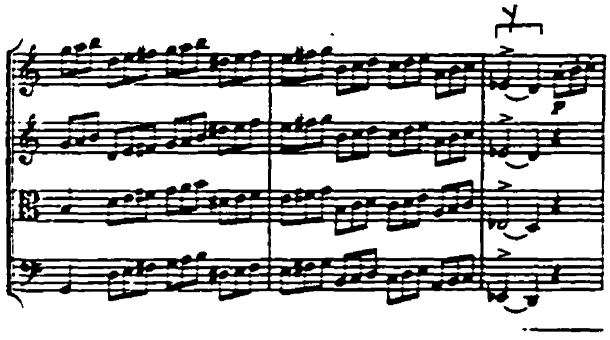

theme
beginning of main theme; 2nd statement
42
p dolce
C+: aug 6 V I

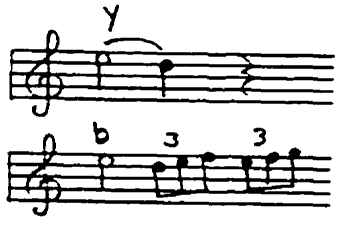
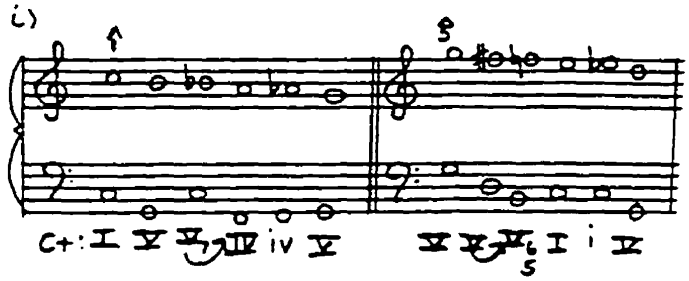
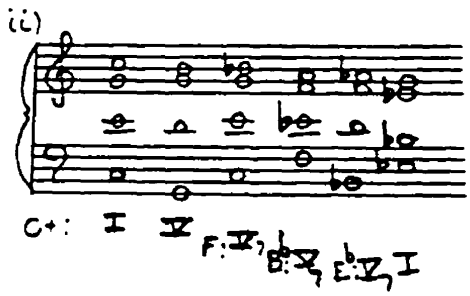
Ex. 4.3. Quartet in C, D. 46, i,
a) second wave of fragmentation



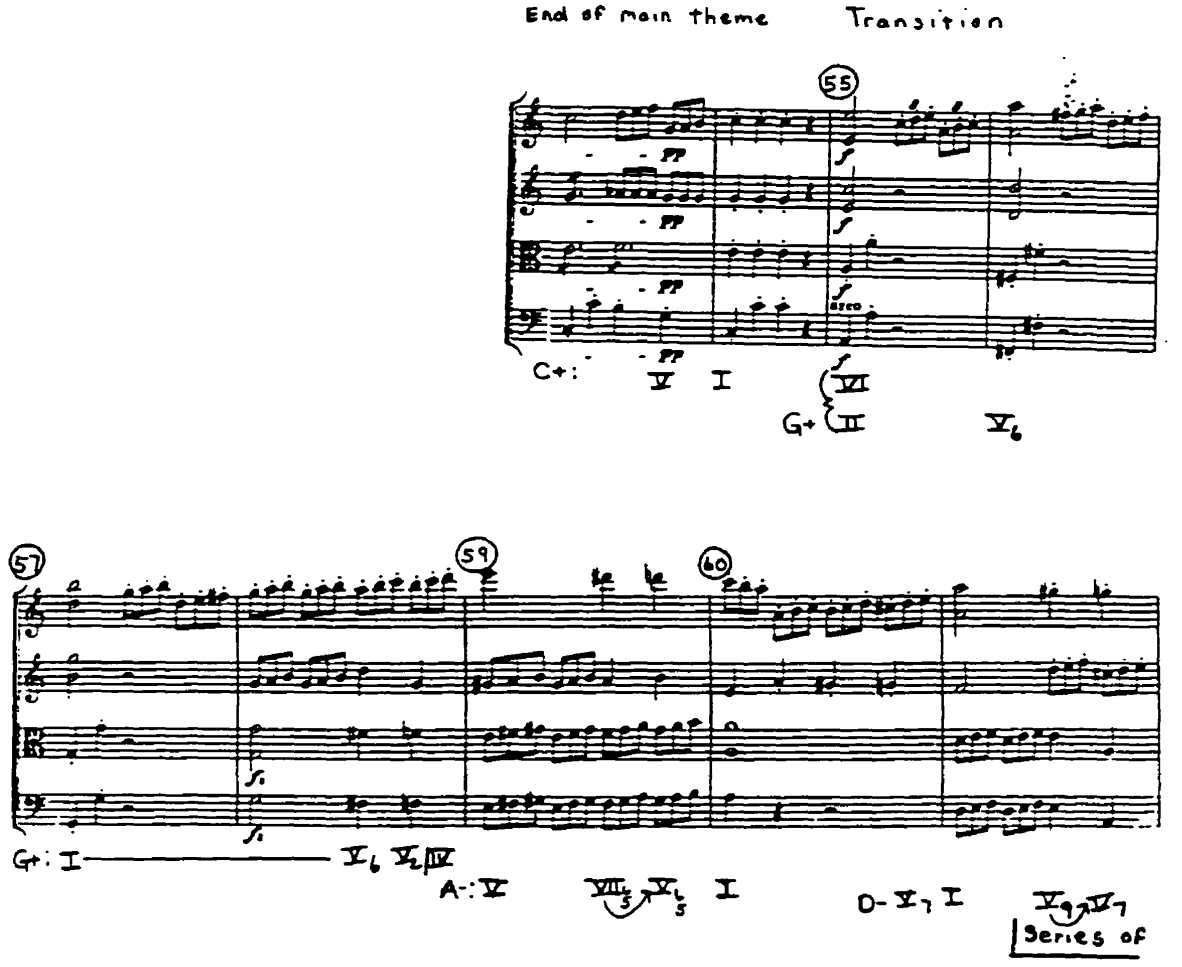
Ex. 4.3a cont'd

b liquidated
a introduced - overlapping 2-bar units
53
a
a
a
Liquidation
overlapping 2-bar units
64
a
a
a
a
G+II7 V7 I etc.
68
½-bar units
71
liquidation
cresc.
cresc.
cresc.
p cresc.

Ex. 4.3a cont'd

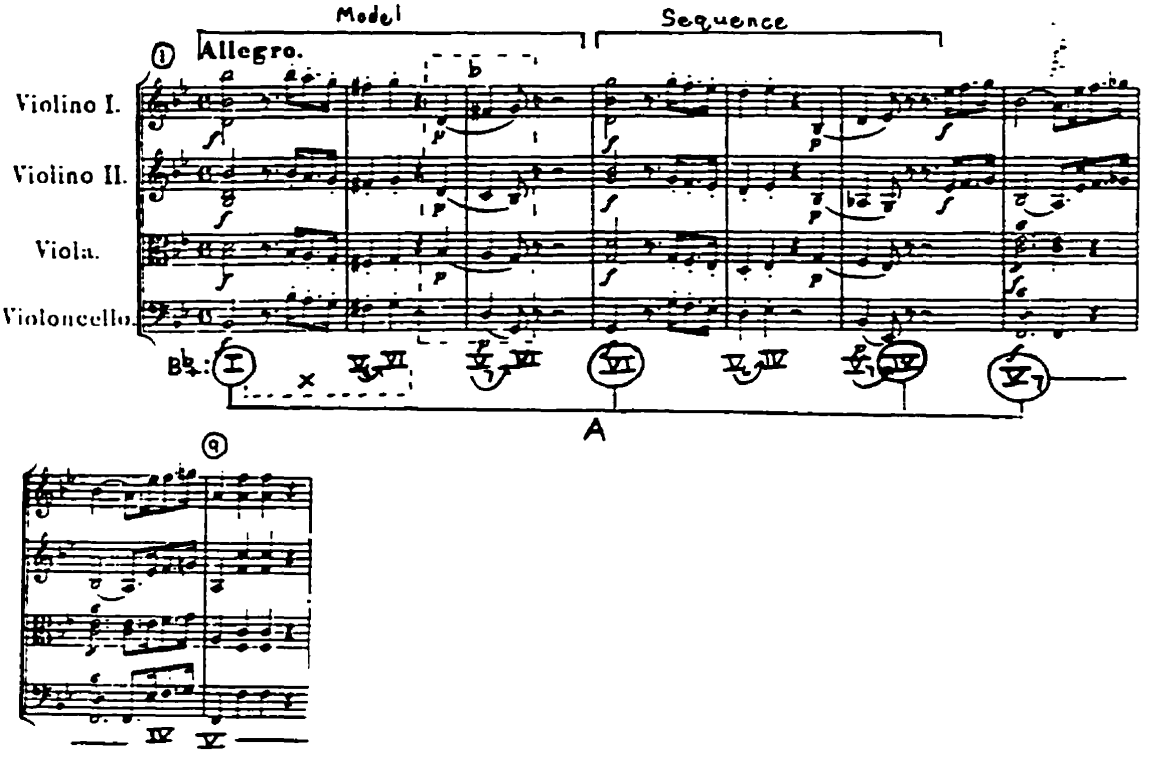


b) derivation of motive b

Ex. 4.4. Quartet in C, D. 46, i, transitional process
a) harmonic tendencies in head of main theme



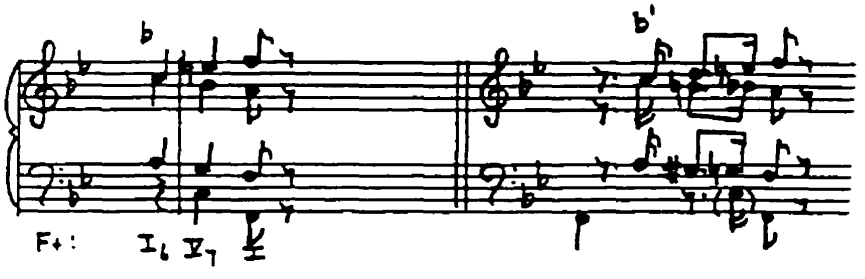
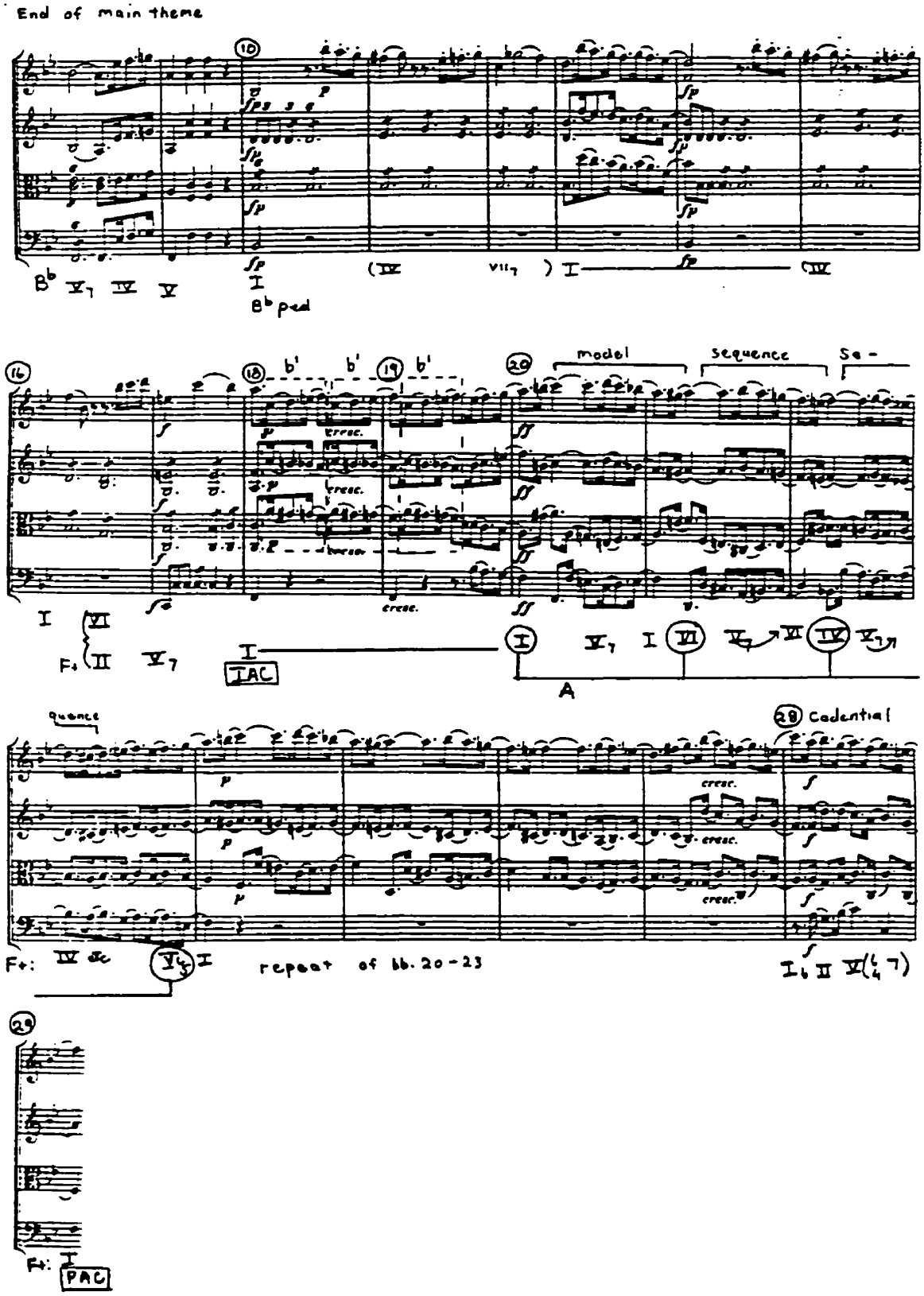
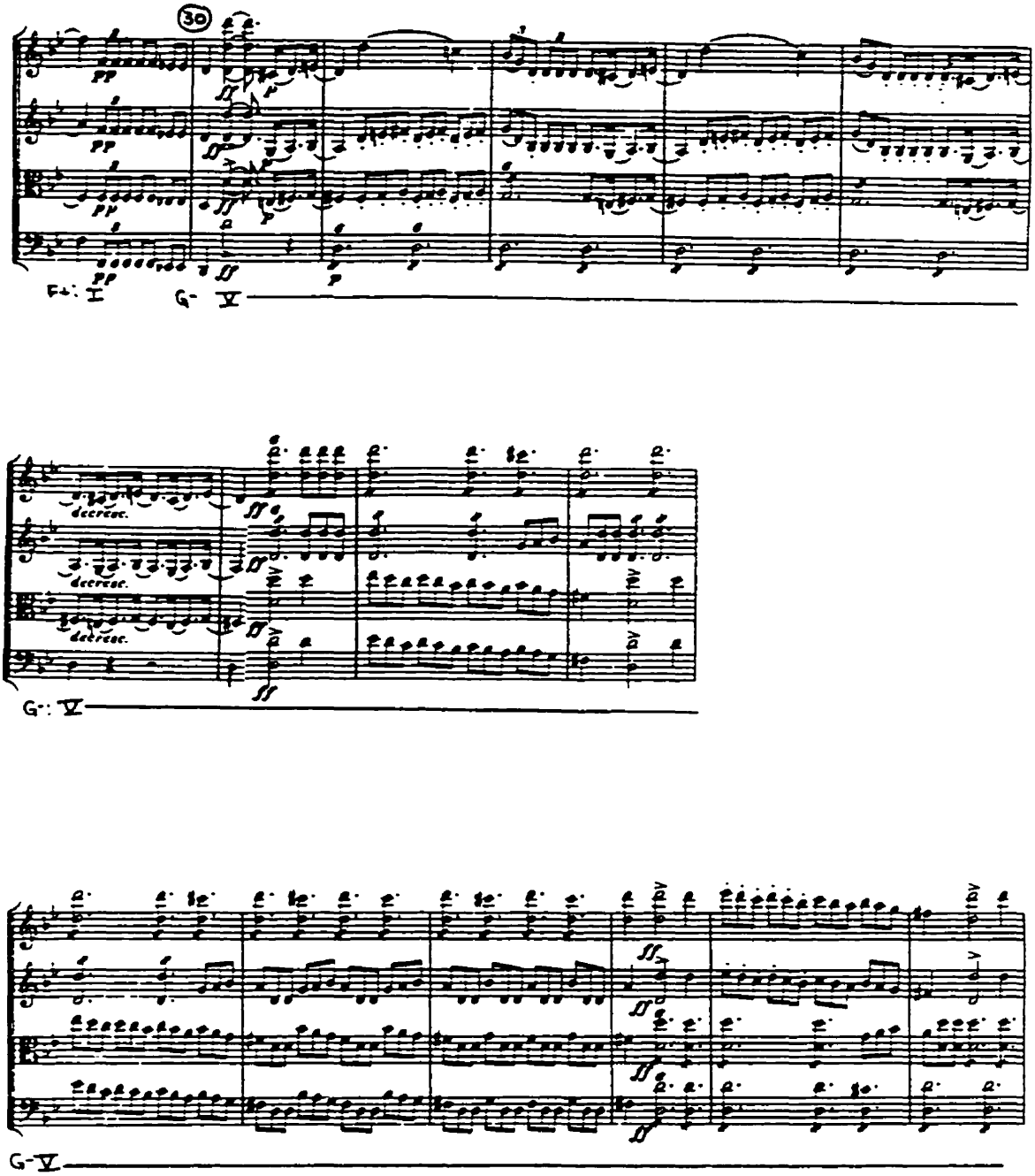
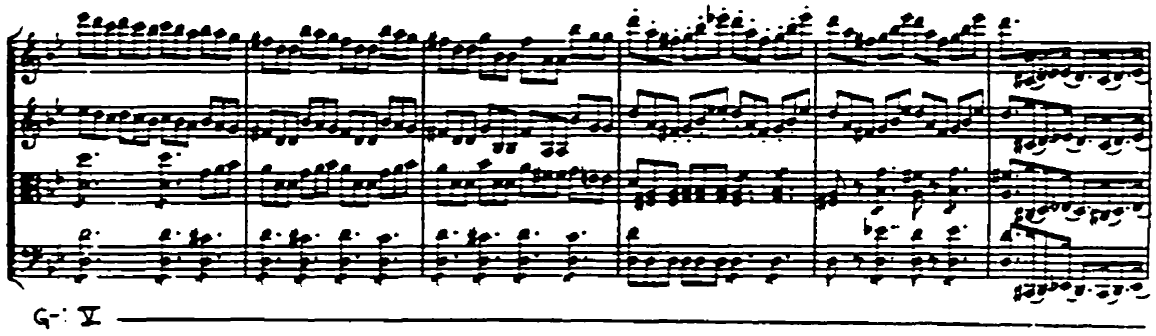
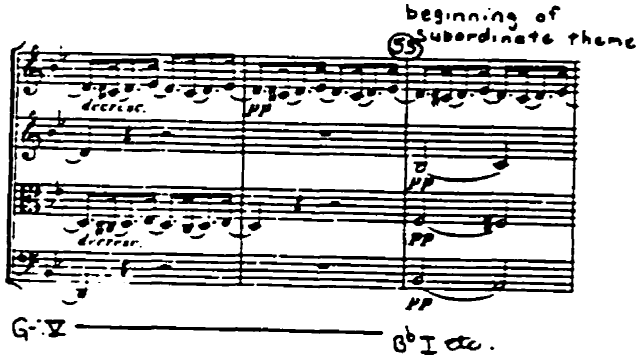
b) transition



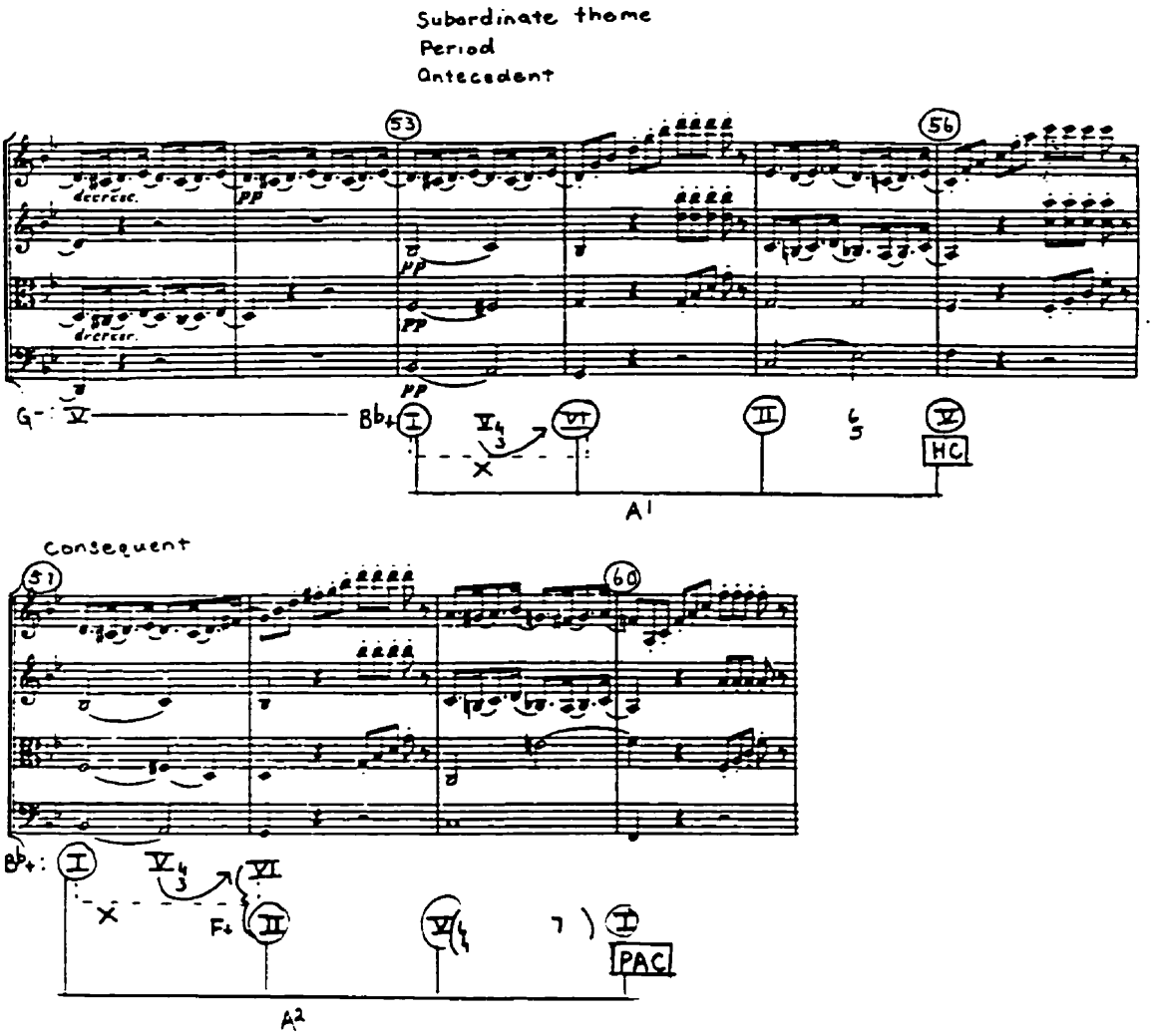
Ex. 4.5. Quartet in Bb, D. 68, i,
a) main theme

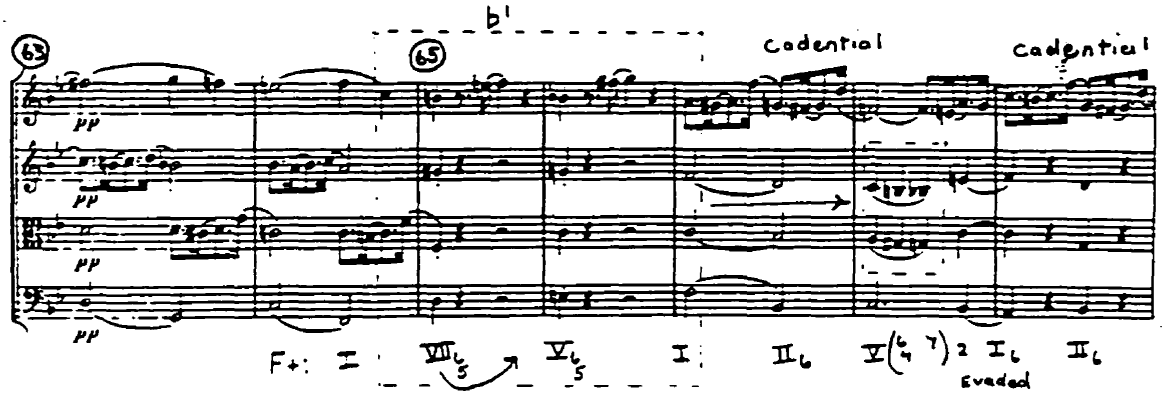
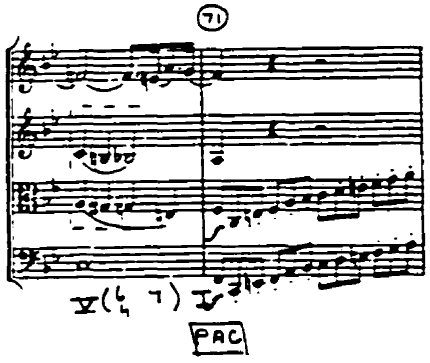


b) motive b, transposed to F major

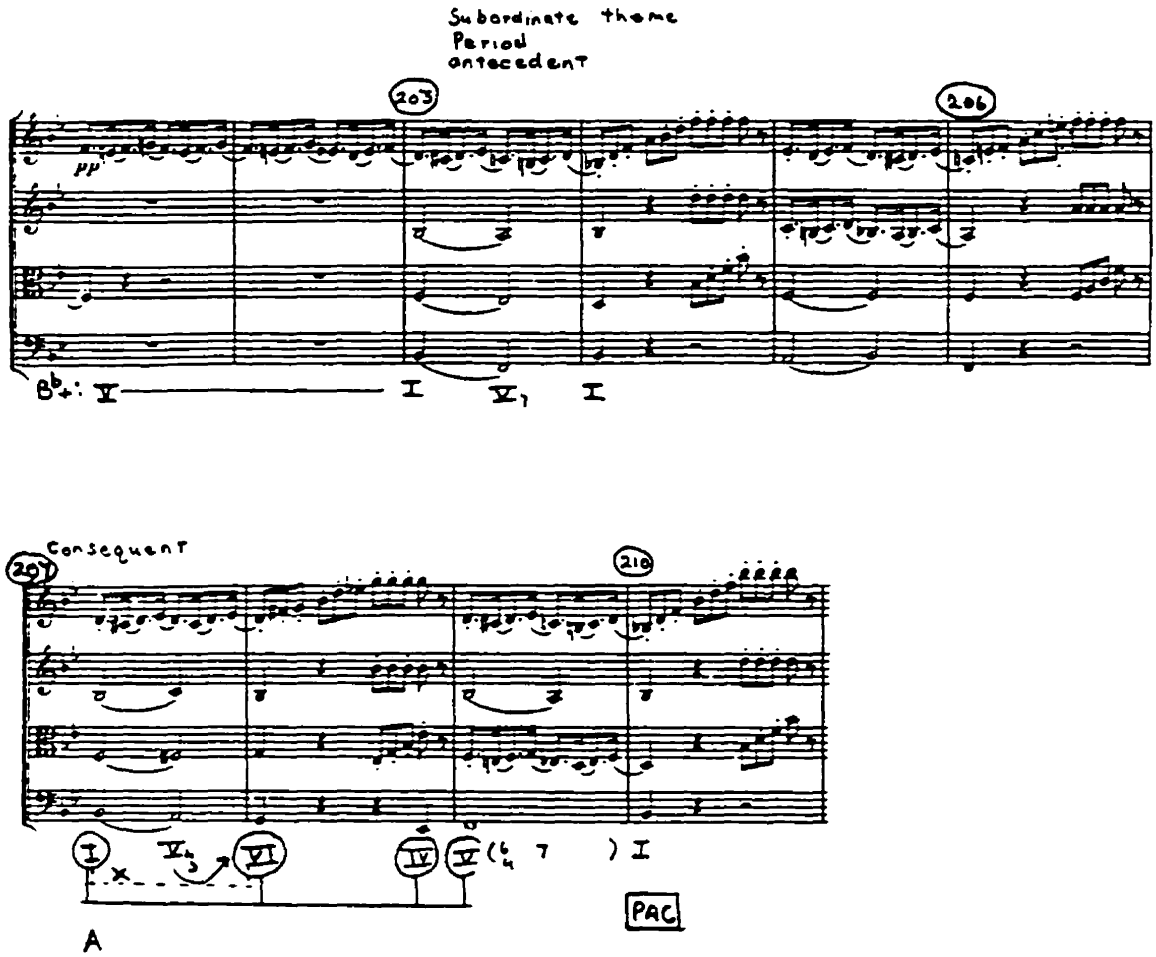
i) diatonic version ii) chromatic version

Ex. 4.6. Quartet in Bb, D. 68, i, first modulation to F major and subsequent theme

Ex. 4.7. Quartet in Bb, D. 68, i, shift to V of G minor

Ex. 4.7 cont'd

G: V

beginning of subordinate theme
55
decresc.
decresc.
pp
pp
pp
G: V
B♭ I etc.

Ex. 4.8. Quartet in Bb, D. 68, i, subordinate theme

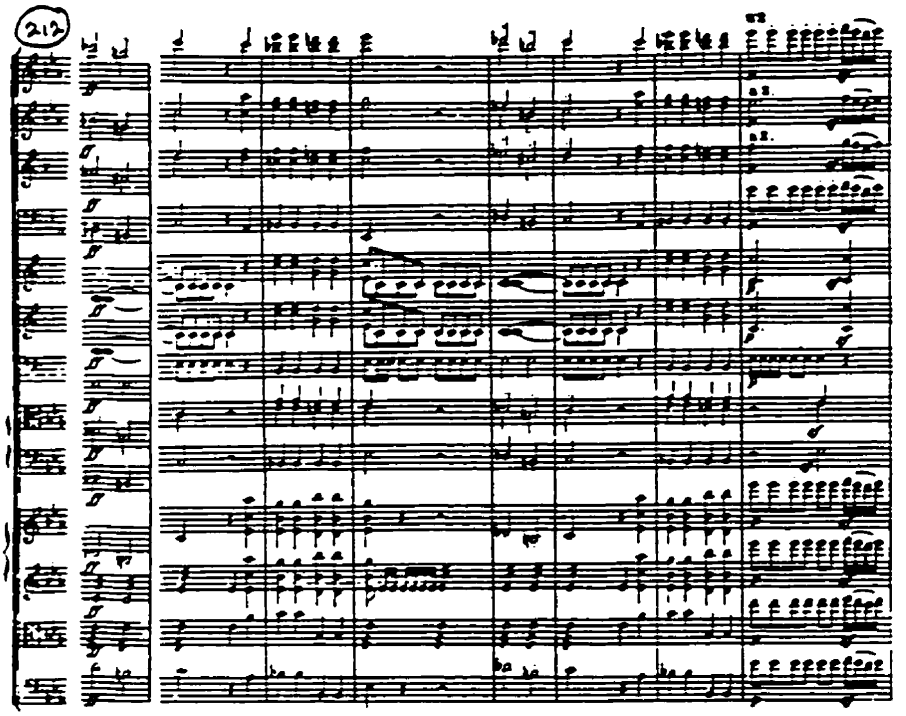


Ex. 4.9. Quartet in Bb, D. 68, i, first of series of concluding cadences in exposition



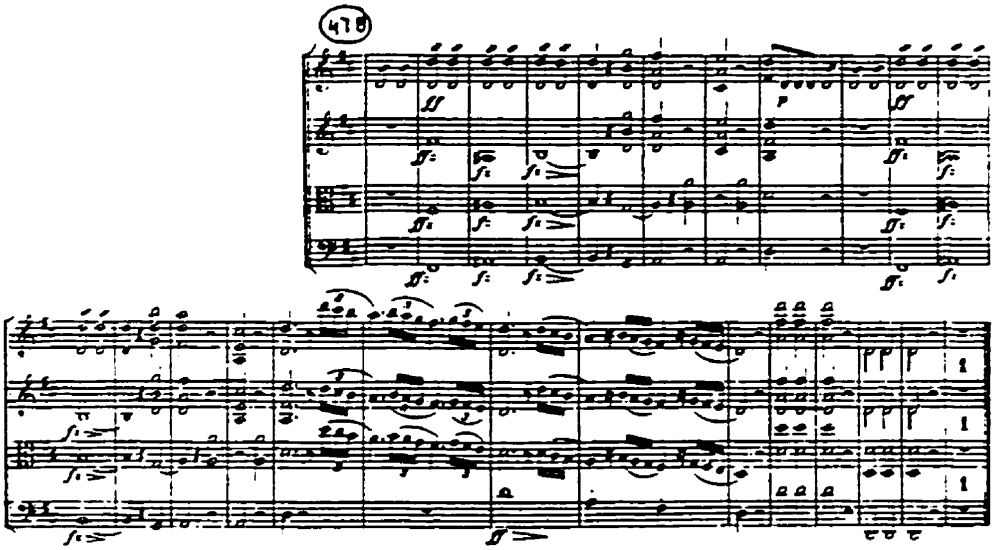
Ex. 4.10. Quartet in Bb, D. 68, i, recapitulation, subordinate theme



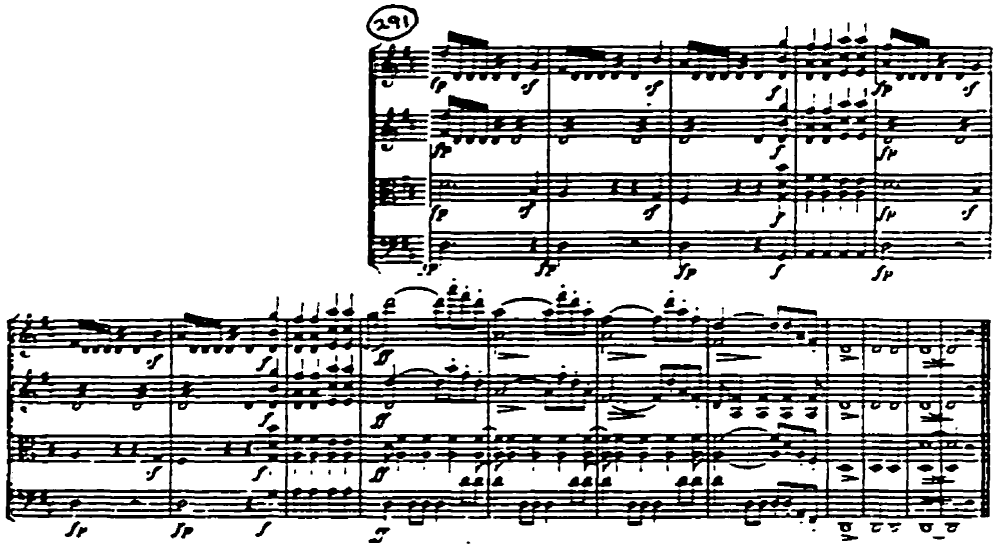
Ex. 4.11. Quartet in D Major, D. 74, quotes from the works of Mozart
a) from the Overture to *Die Zauberflöte*
i) Mozart, Overture



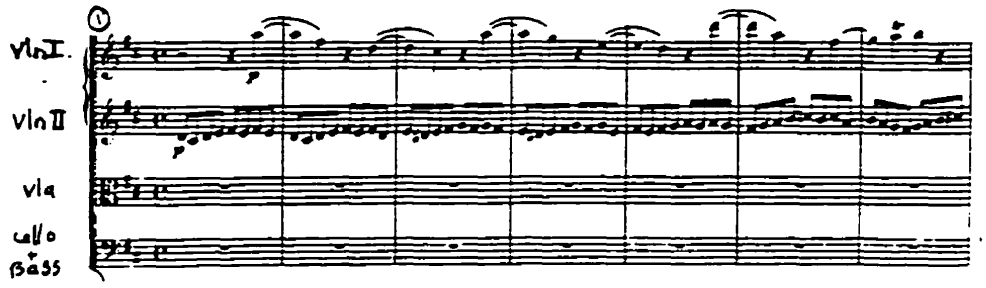
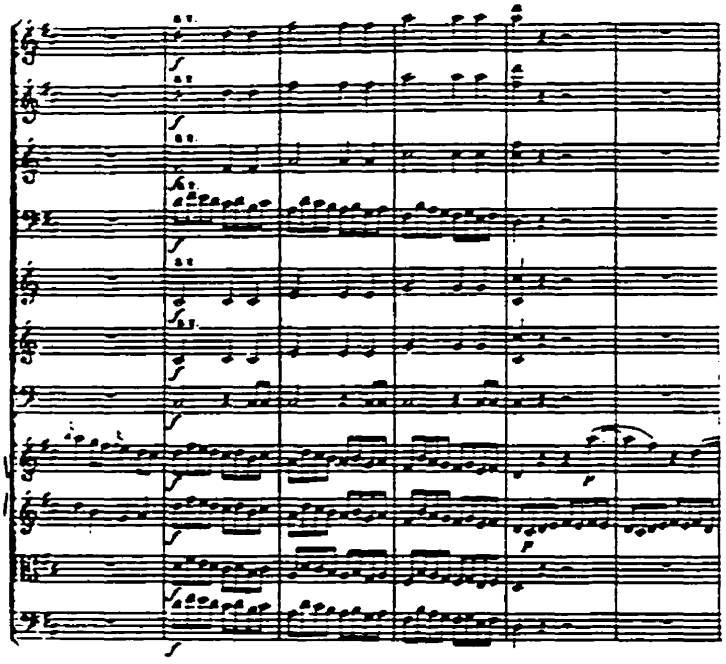
ii) Schubert, Quartet, i

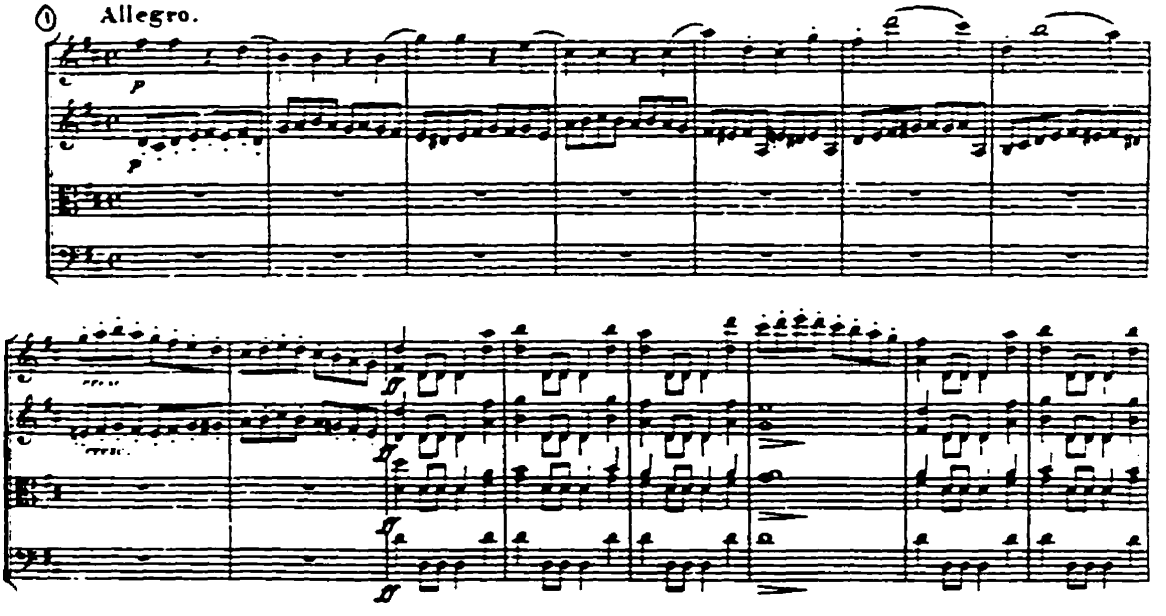


iii) Schubert, Quartet, iv

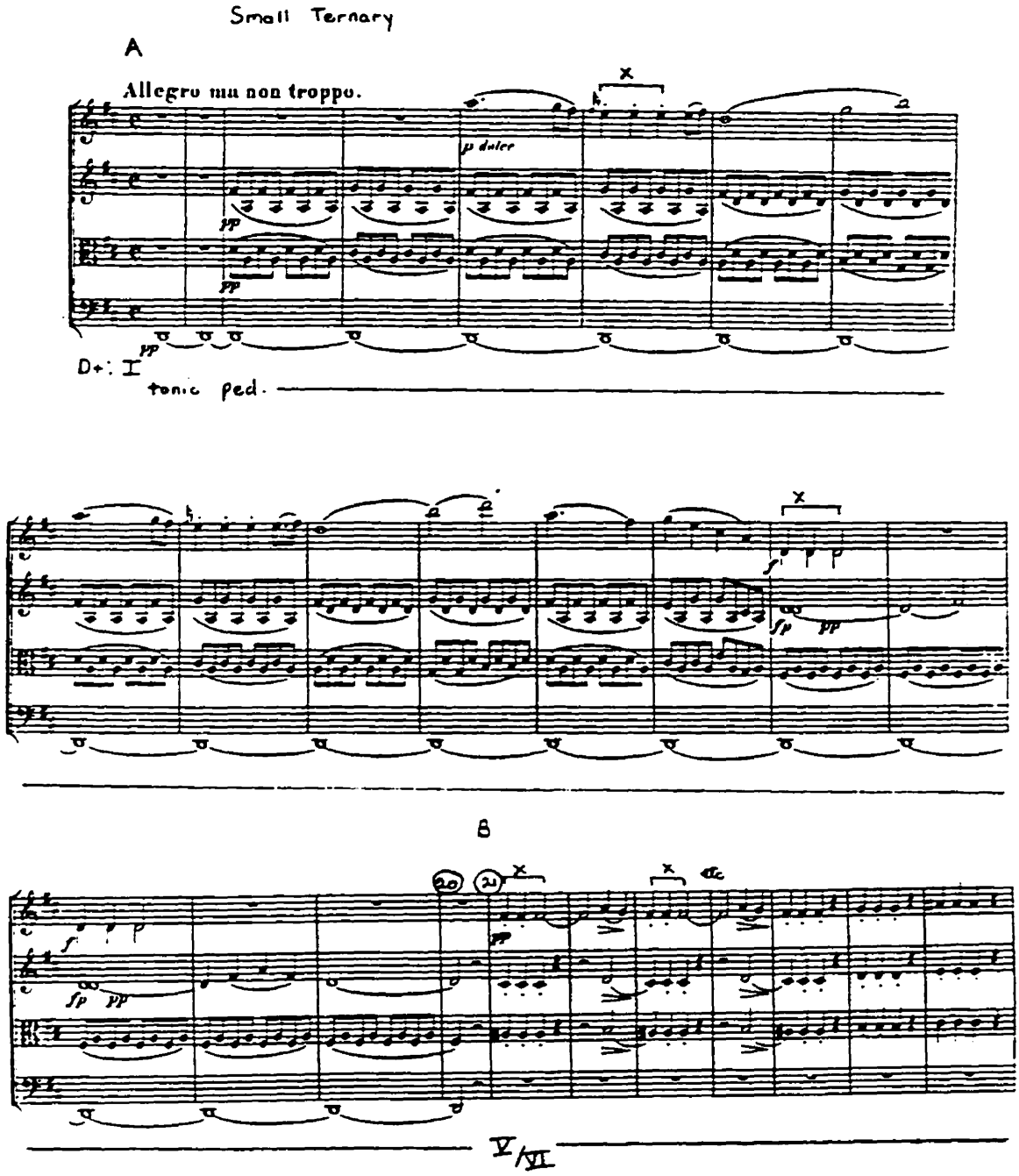


b) from the "Paris" Symphony, finale
i) Mozart, Symphony, main theme

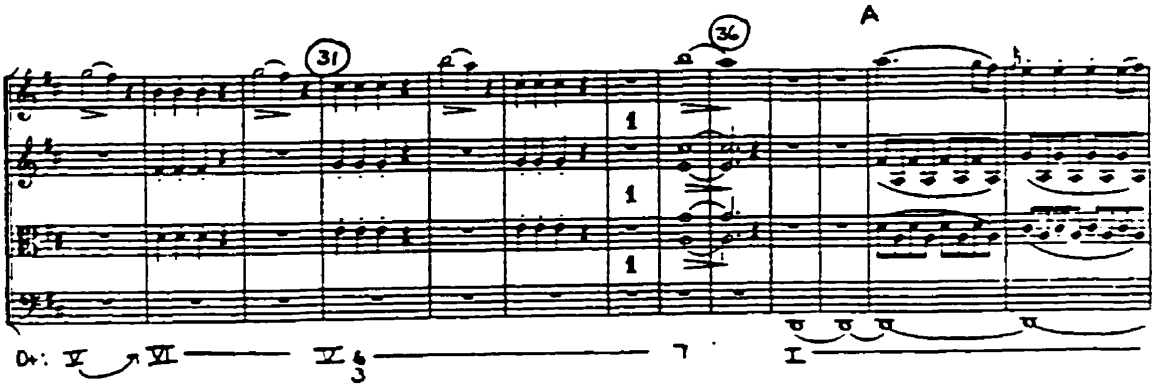


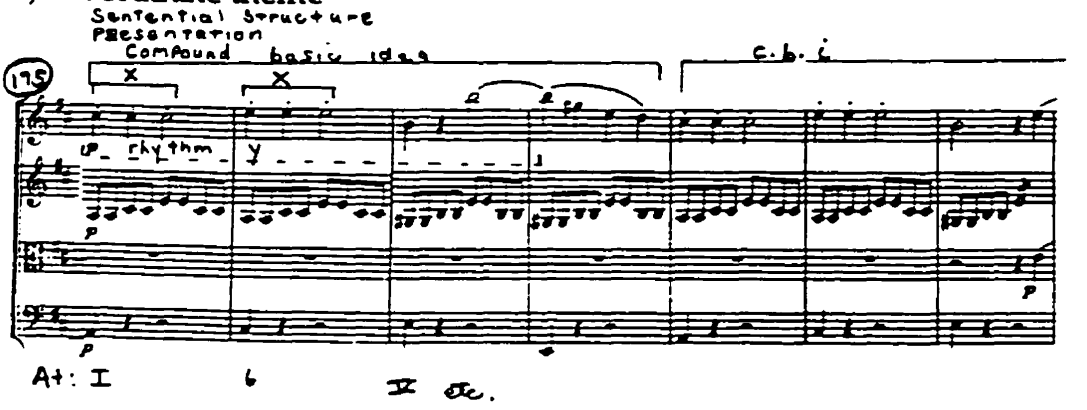
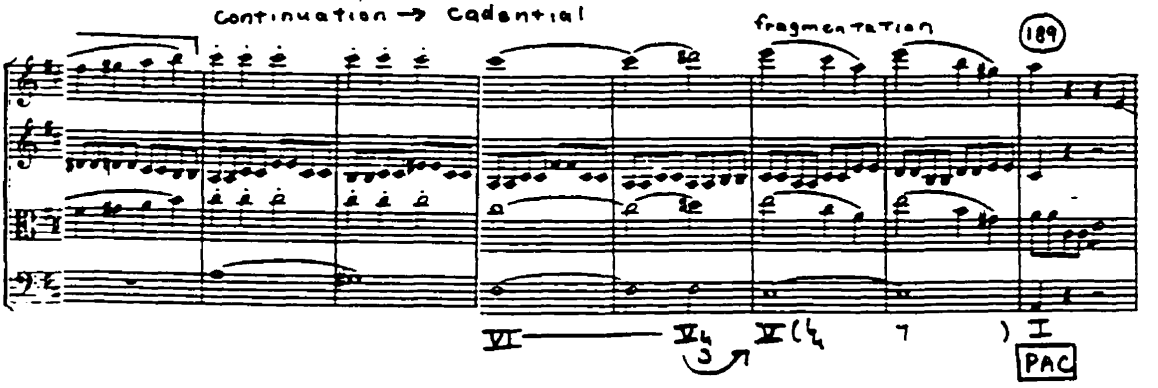
ii) Schubert, Quartet, iv, main theme

Ex. 4.12. Quartet in D Major, D. 74, i comparison of main and subordinate themes

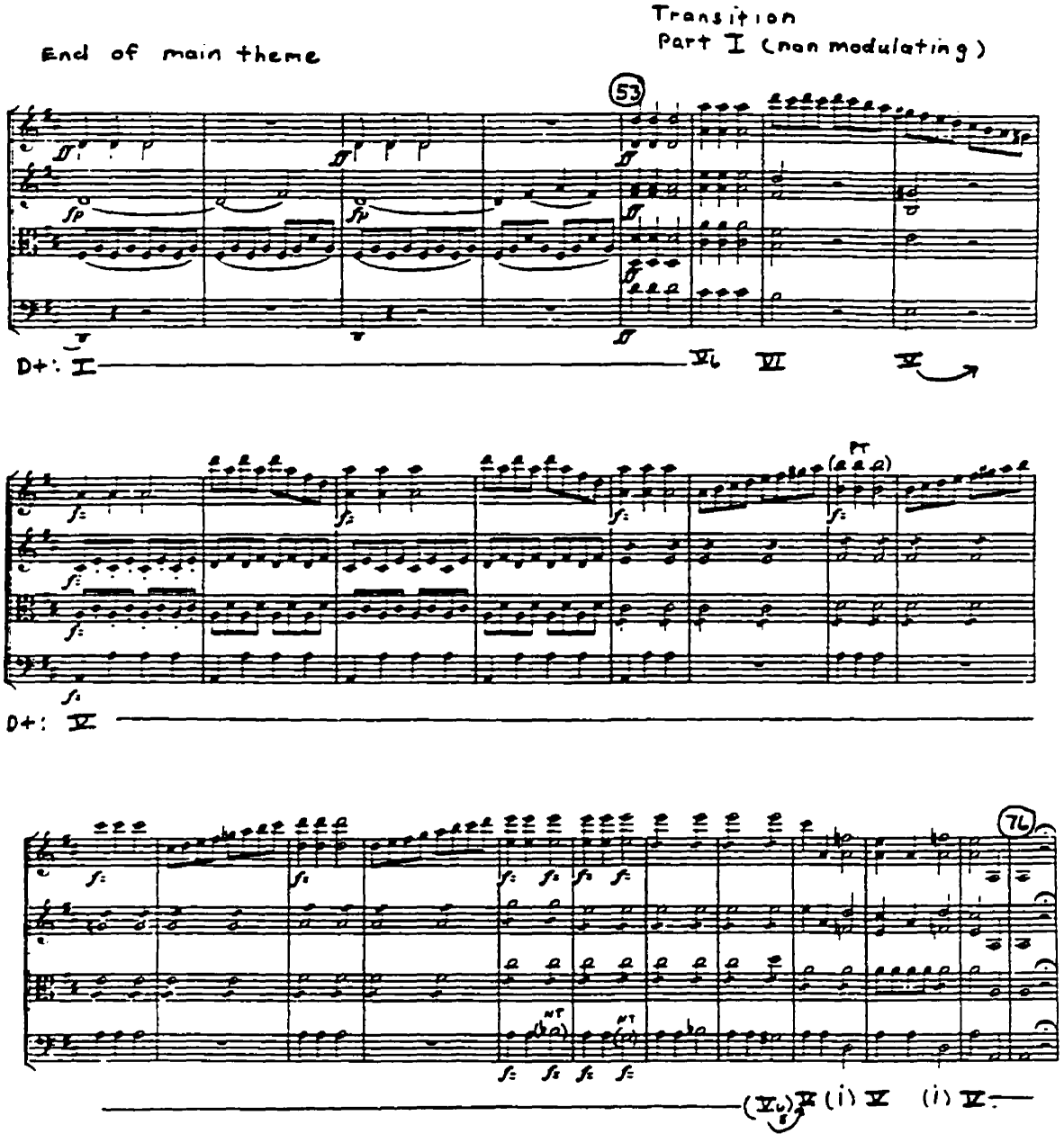
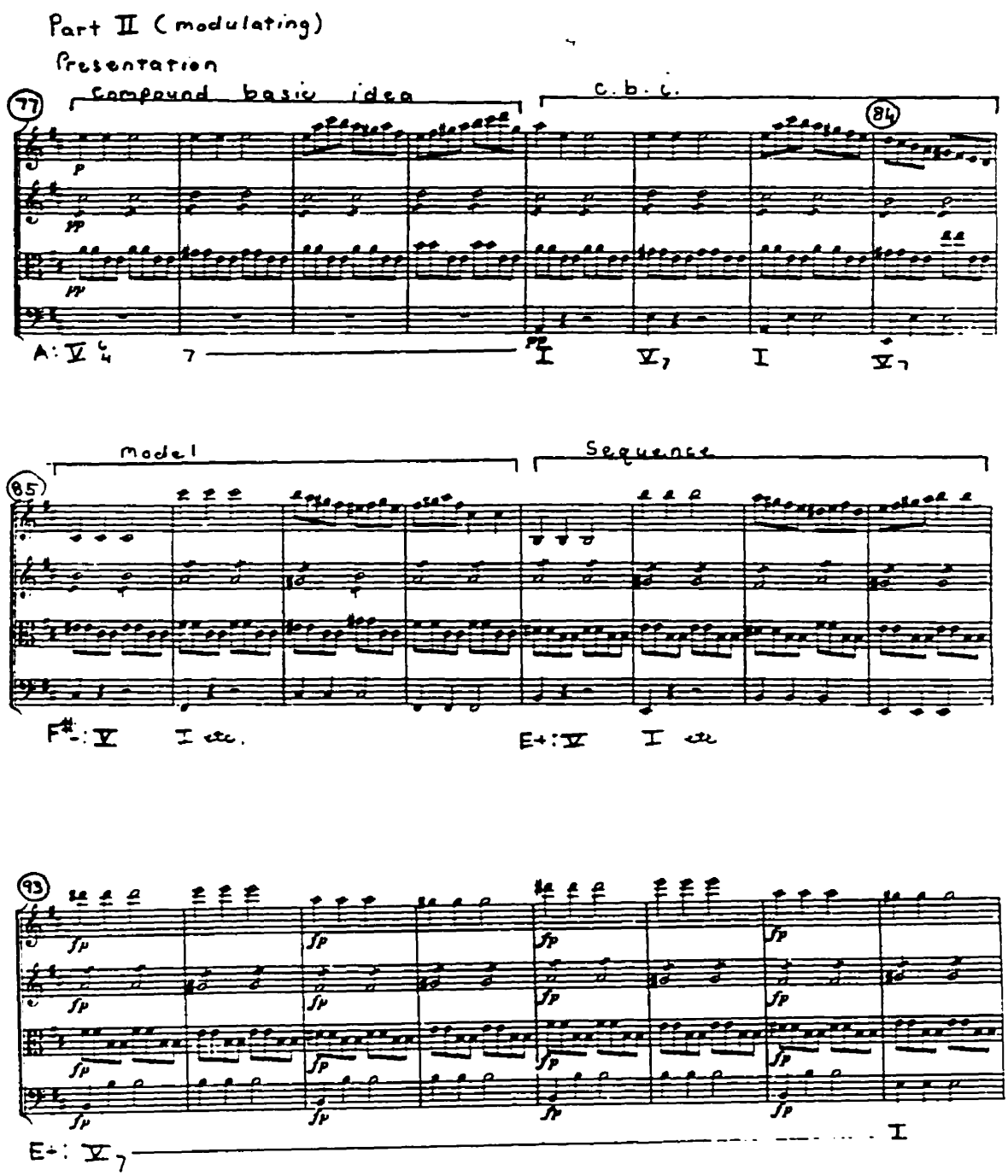
a) main theme

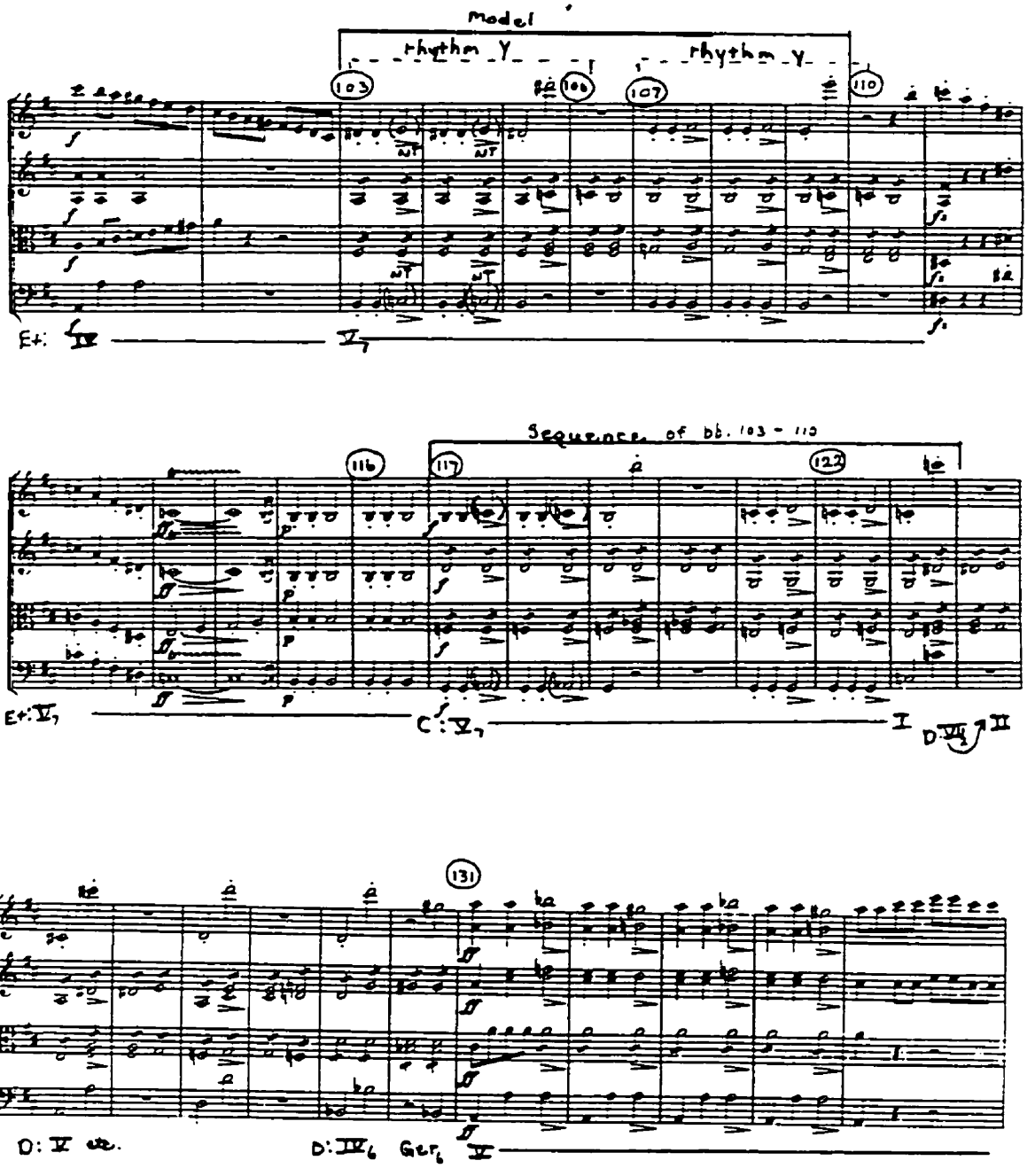


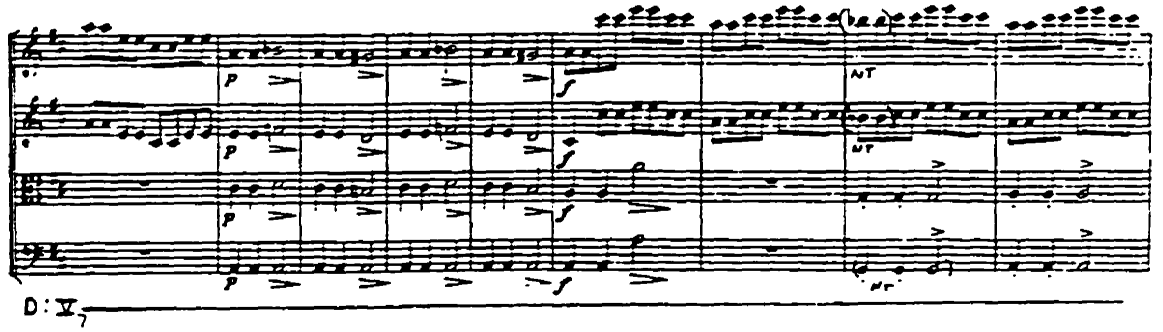
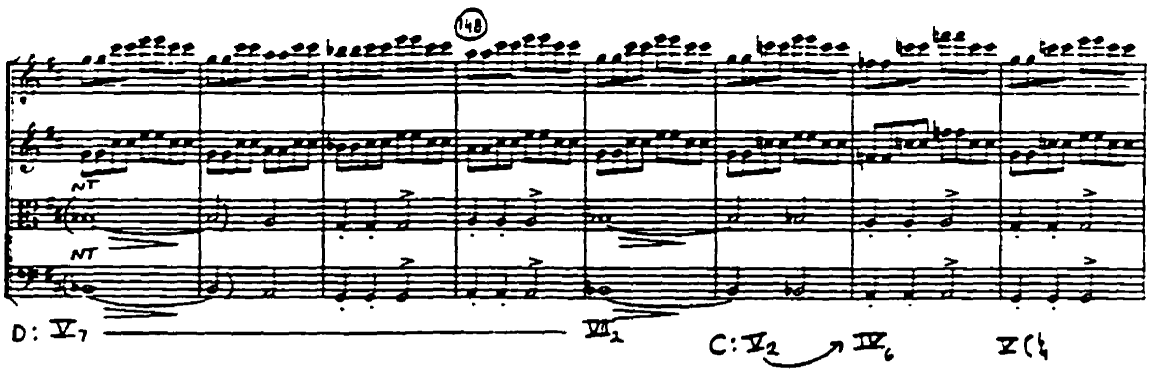
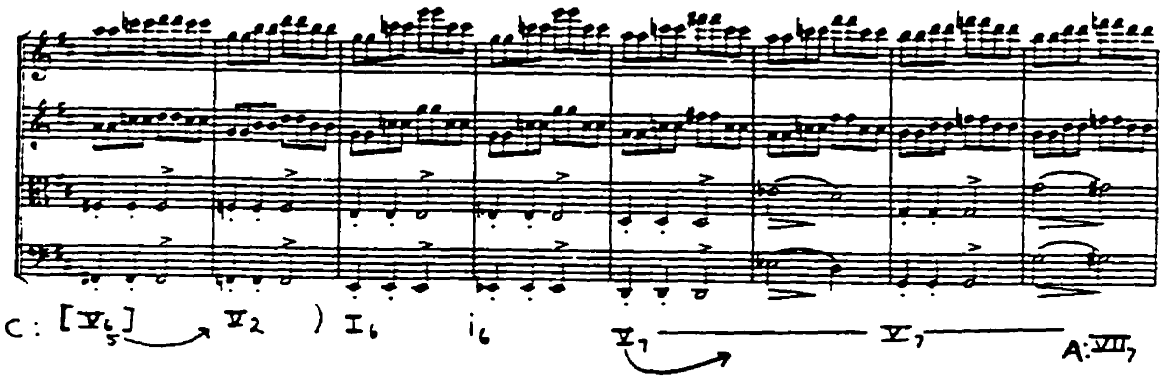
Ex. 4.12a cont'd

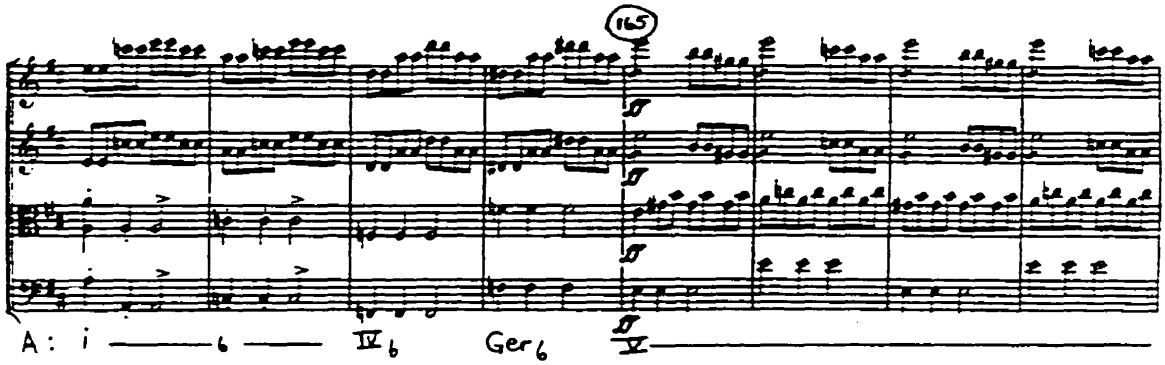
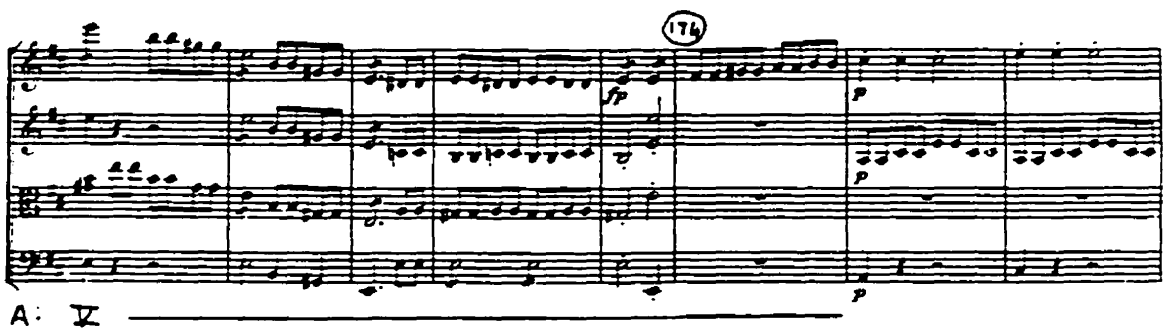
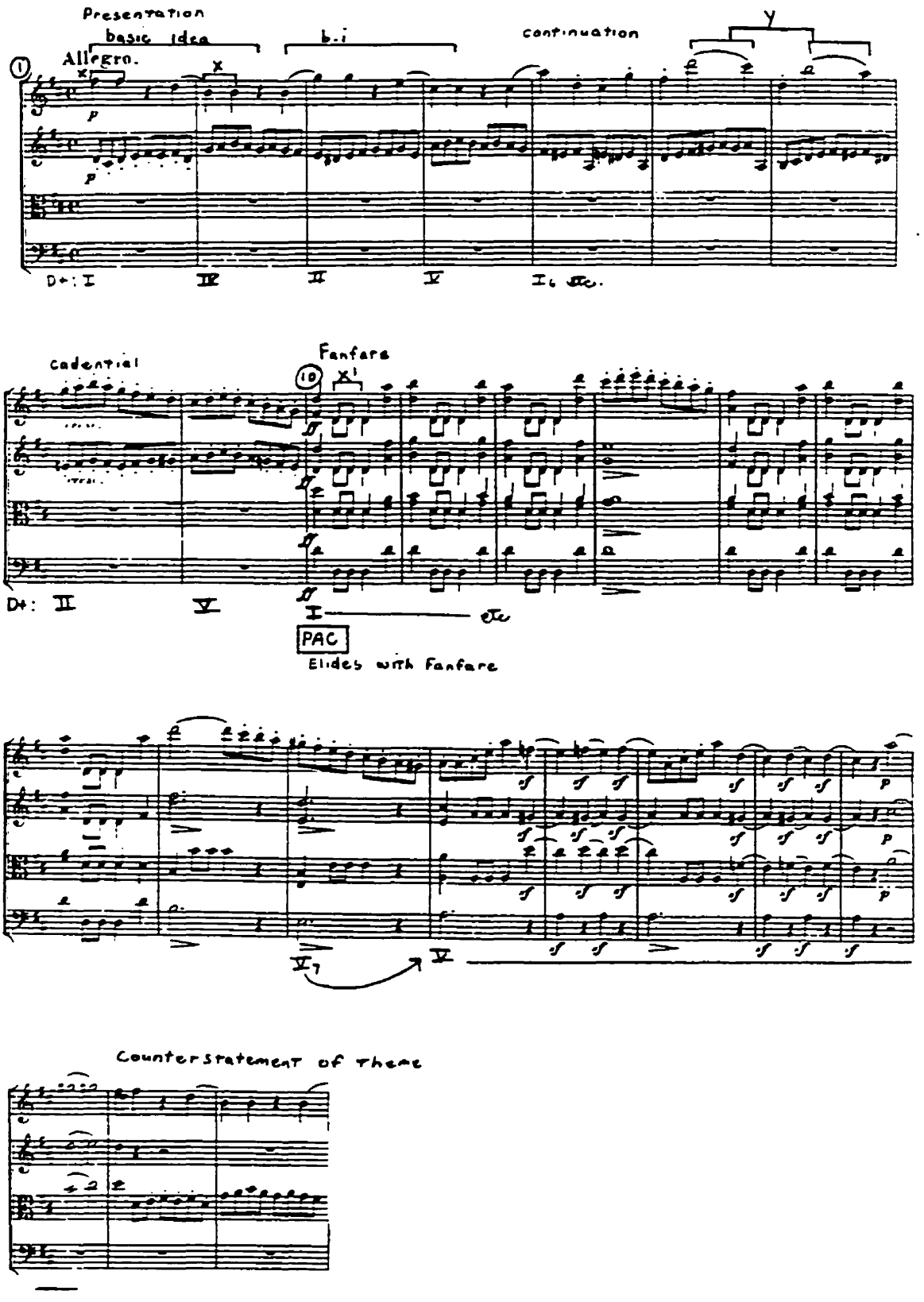


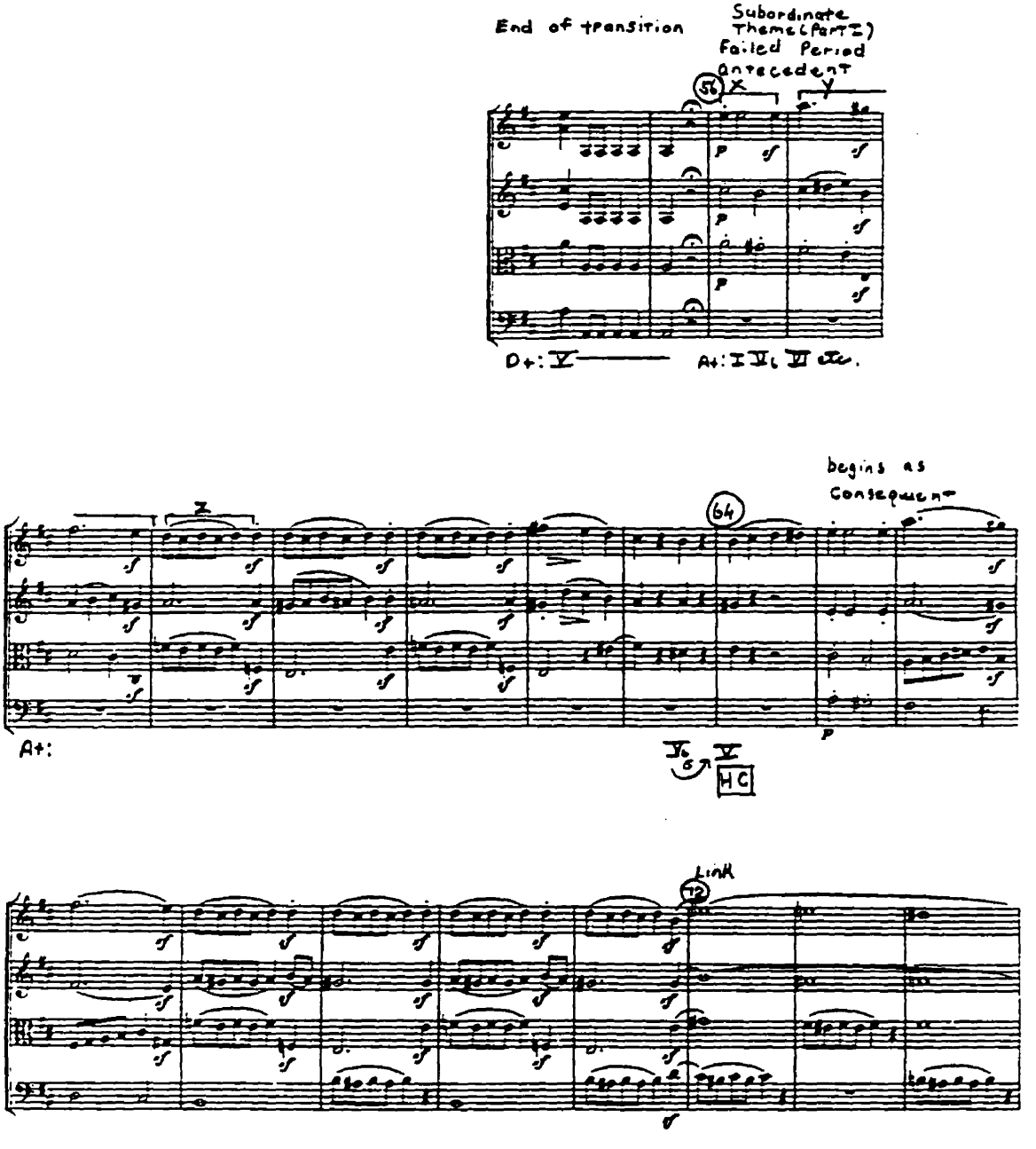
b) subordinate theme



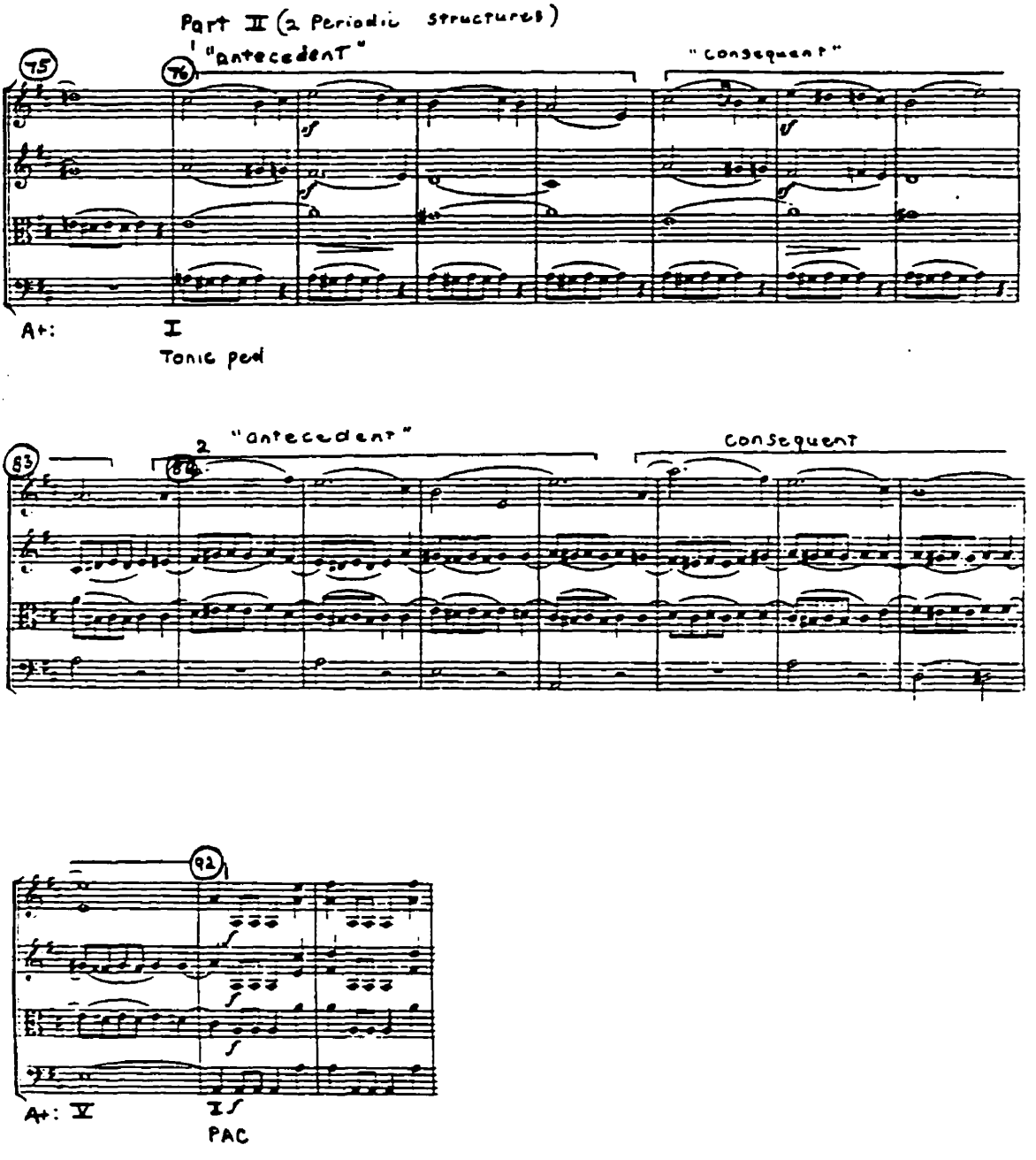
Ex. 4.13. Quartet in D Major, D. 74, i, transition

Ex. 4.13 cont'd

Part II (modulating)
Presentation
77
compound basic idea
c. b. c.
84
A: V 6/4
I
V7
I
V7
model
Sequence
85
F#-: V
I etc.
E+: V
I etc
93
E+: V7
I

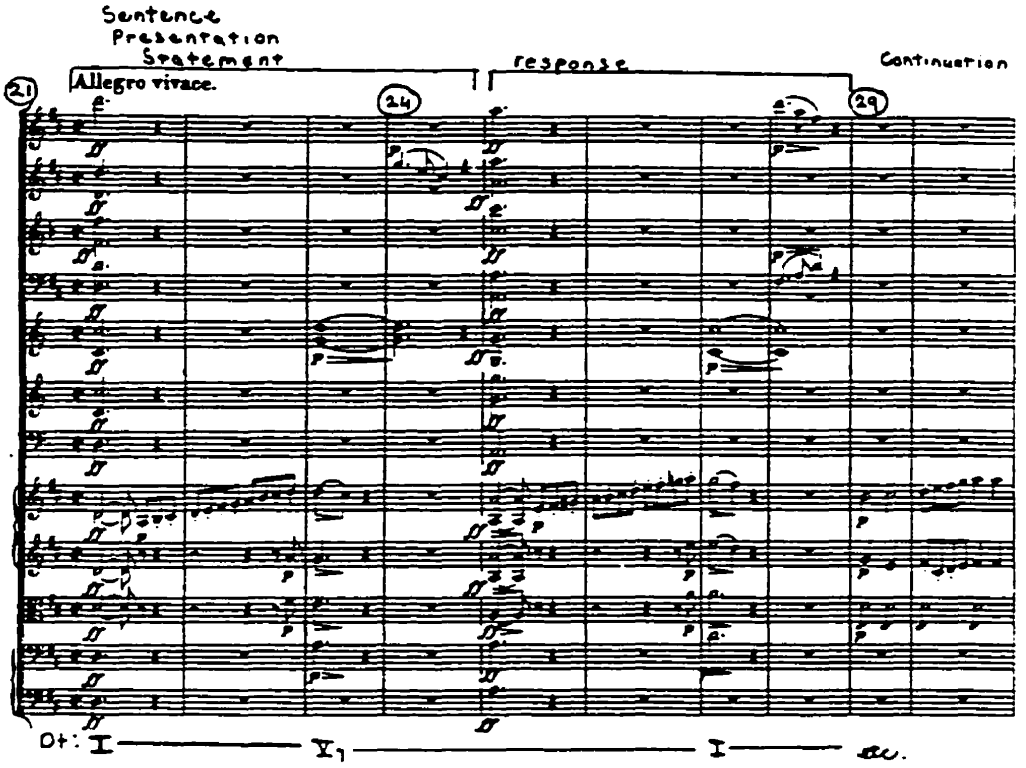
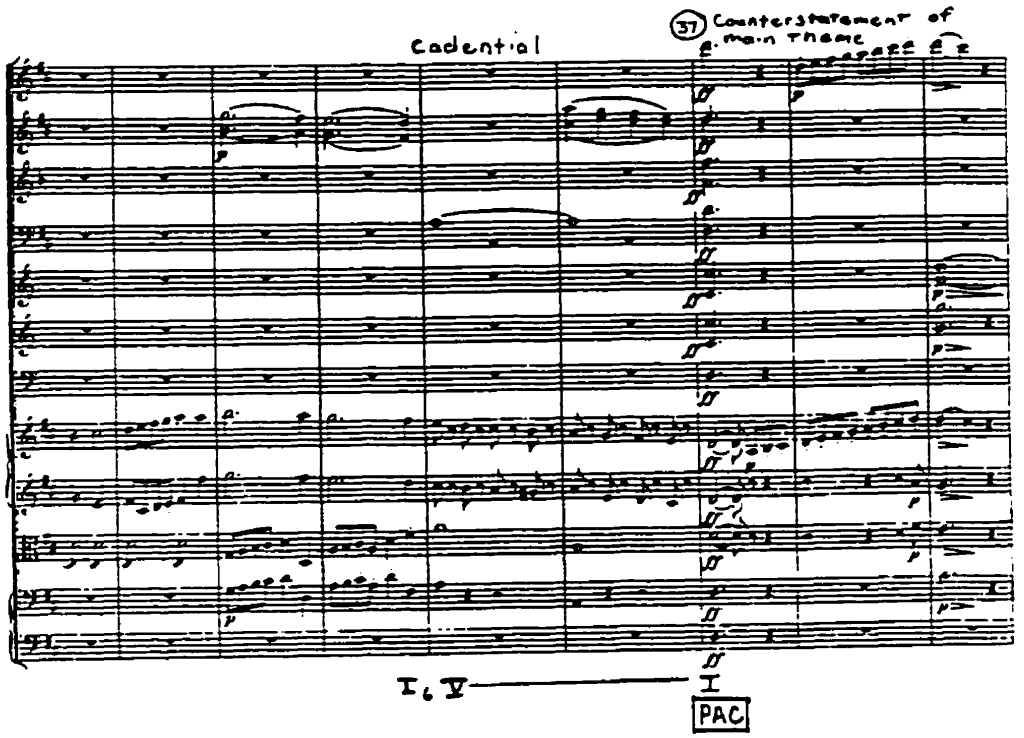
Ex. 4.13 cont'd

model
rhythm Y
rhythm Y
103
106
107
110
E♭: IV
V7
Sequence of bb. 103 - 110
116
117
122
E♭: V7
C: V7
I
D: IV6
II
131
D: V etc.
D: IV6
Ger.
V

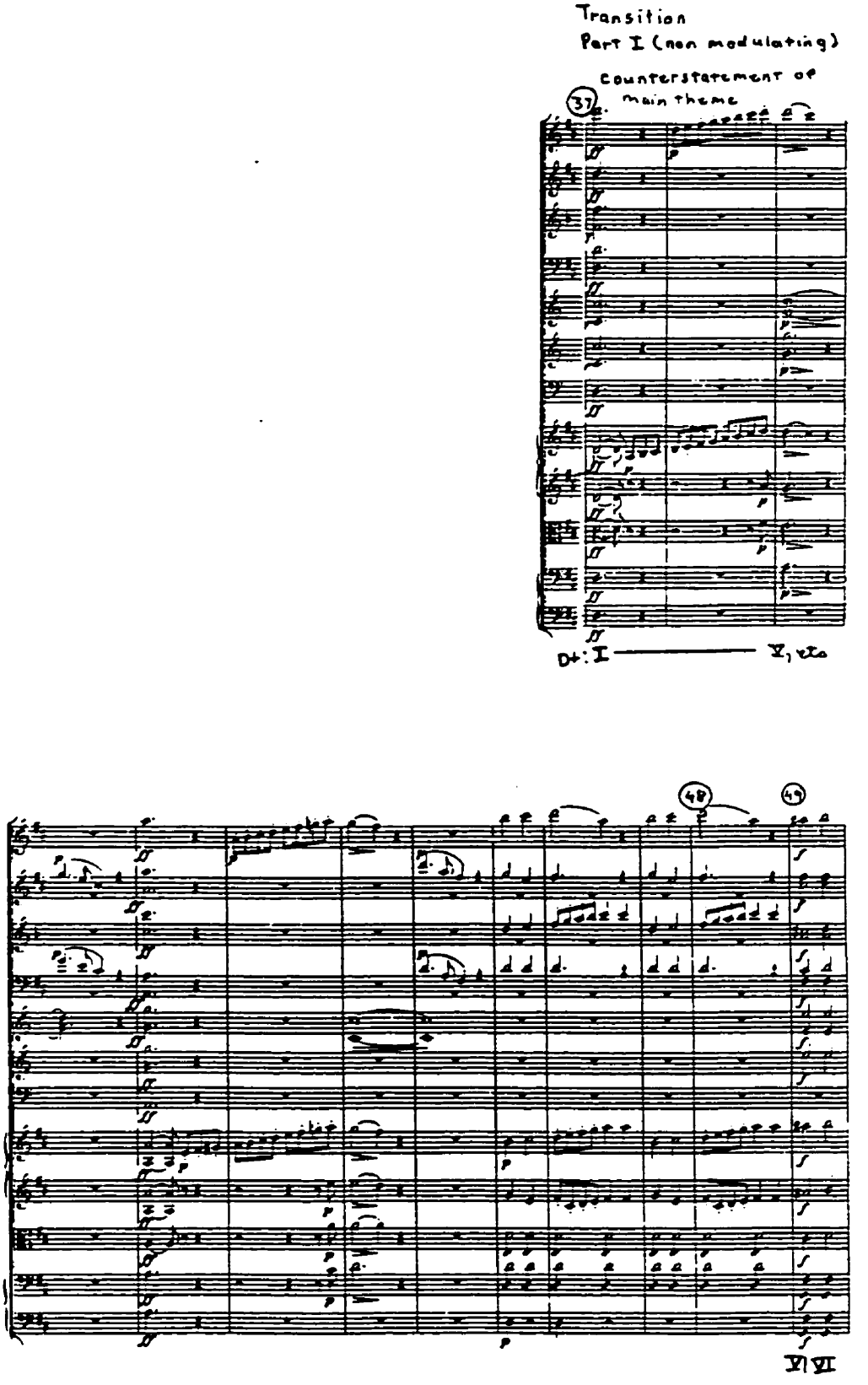
Ex. 4.13 cont'd



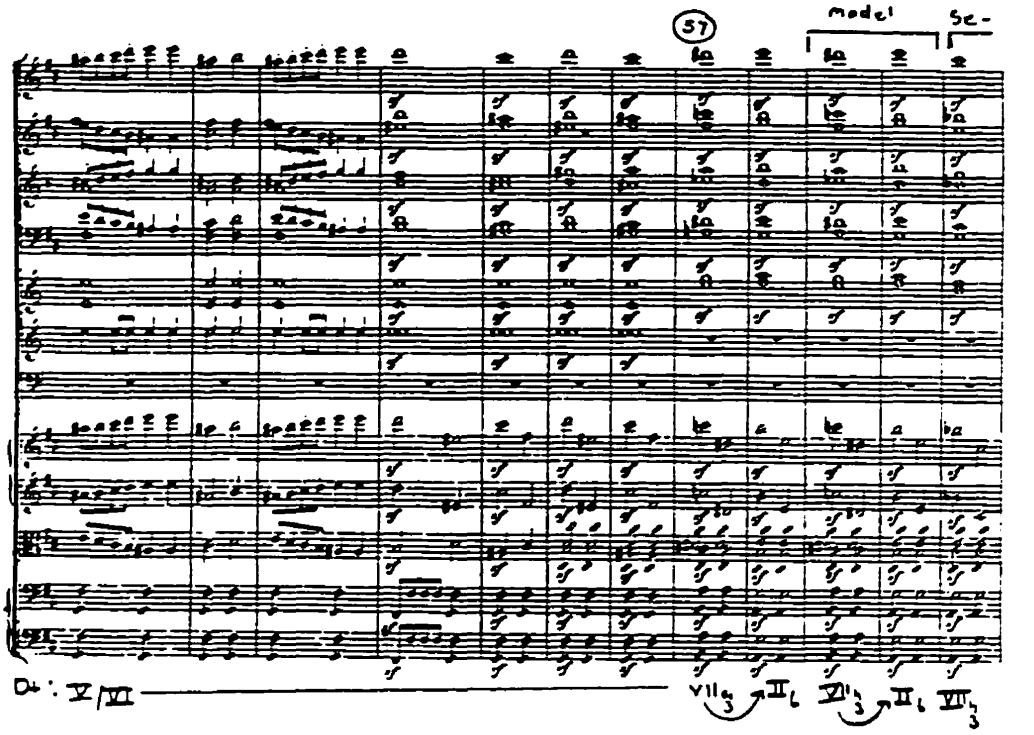
. Ex. 4.13 cont'd .

Subordinate theme

Ex. 4.14. Quartet in D Major, D. 74, iv, main theme

Ex. 4.15. Quartet in D Major, D. 74, iv, subordinate theme

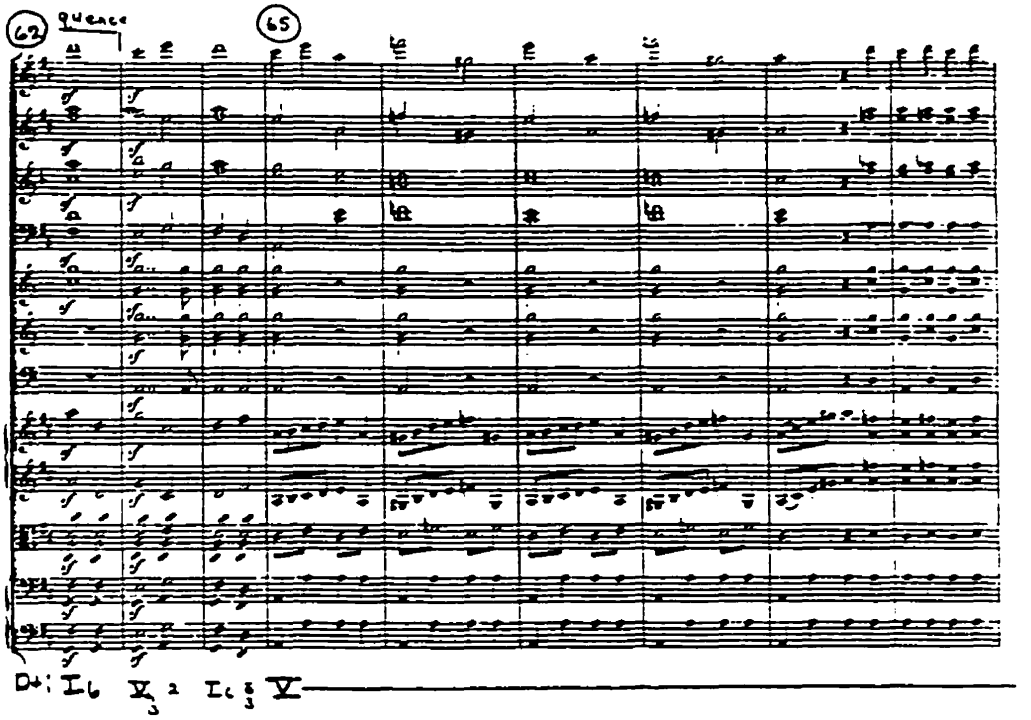


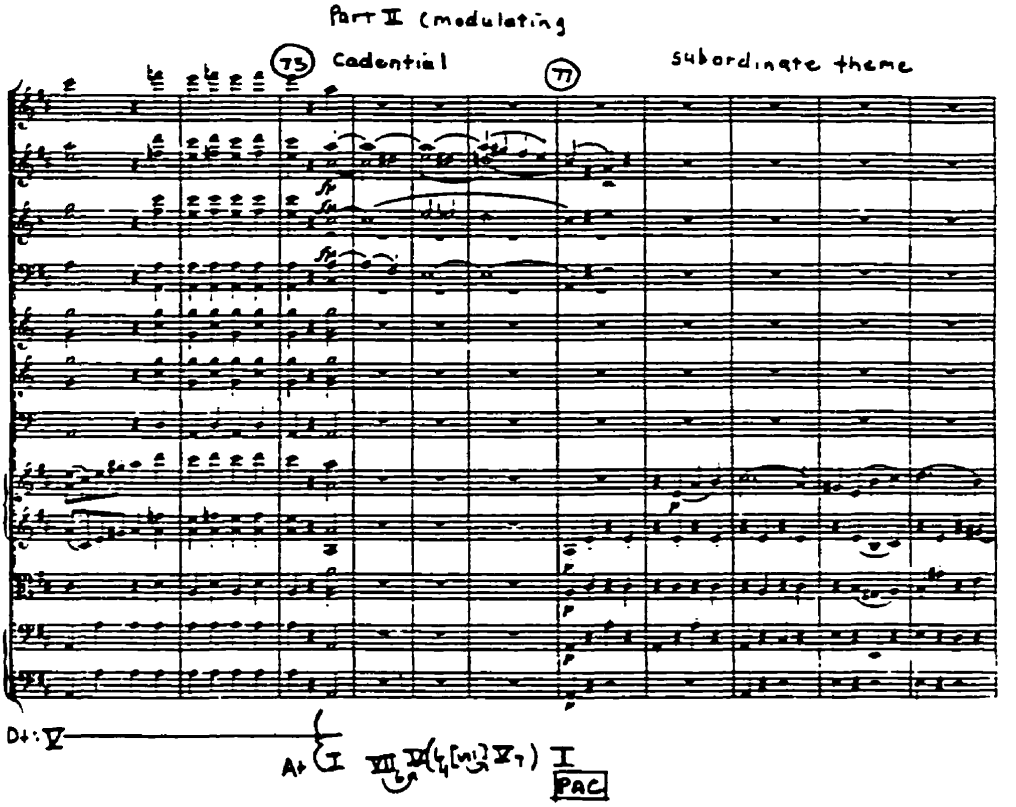
Ex. 4.15 cont'd

Part II (2 Periodic structures)
"antecedent"
"consequent"
75
76
A+:
I
Tonic ped
83
84
2
"antecedent"
consequent
92
A+: V
I
PAC

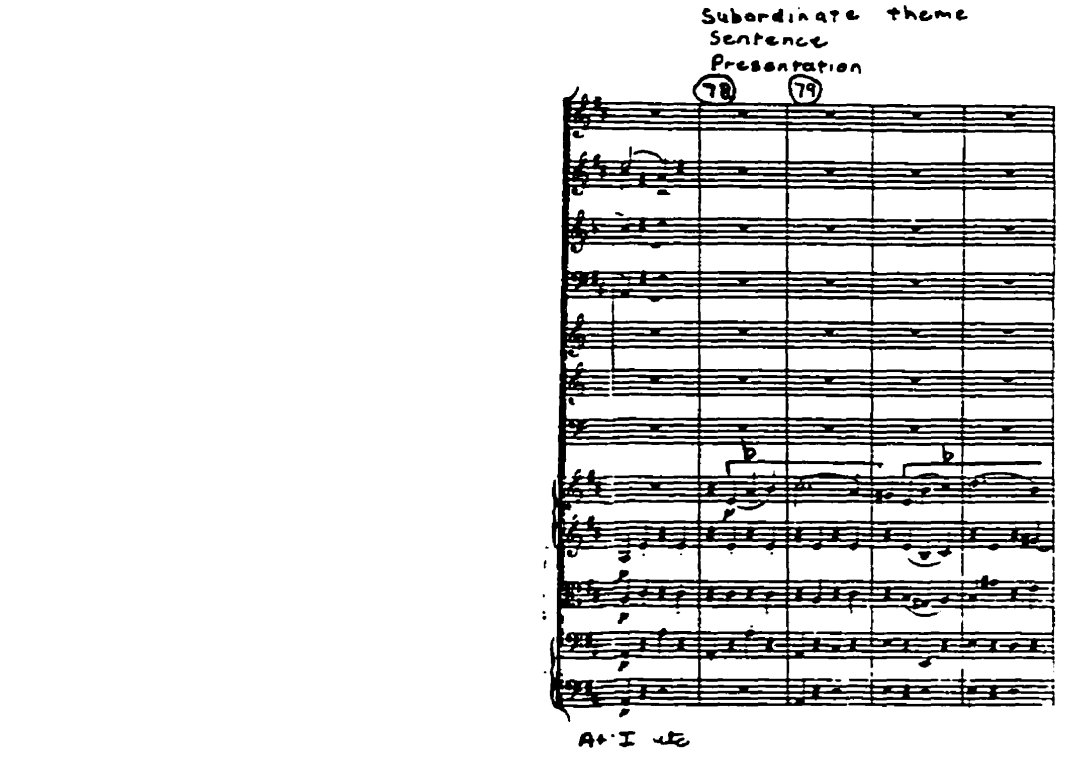
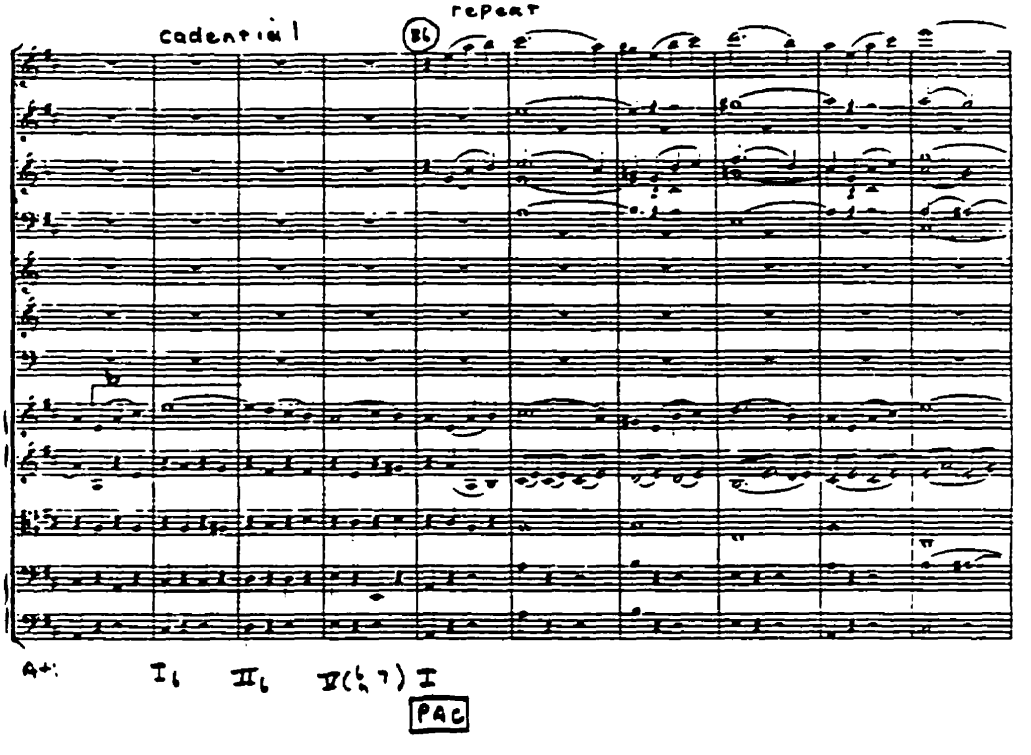
Ex. 4.16. Symphony in D Major, D. 82, i, main theme



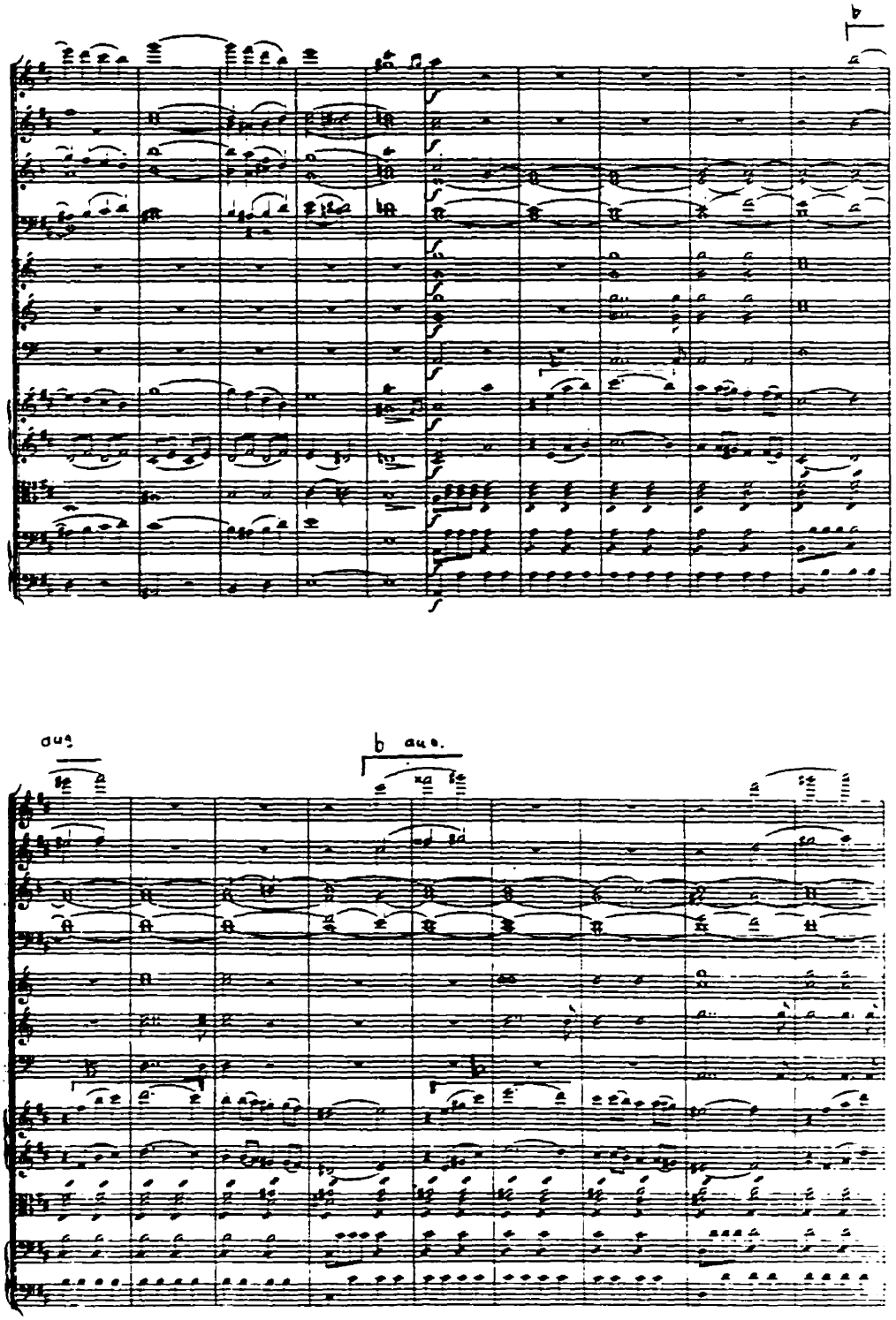
Ex. 4.17. Symphony in D Major, D. 82, i, transition

Ex. 4.17 cont'd

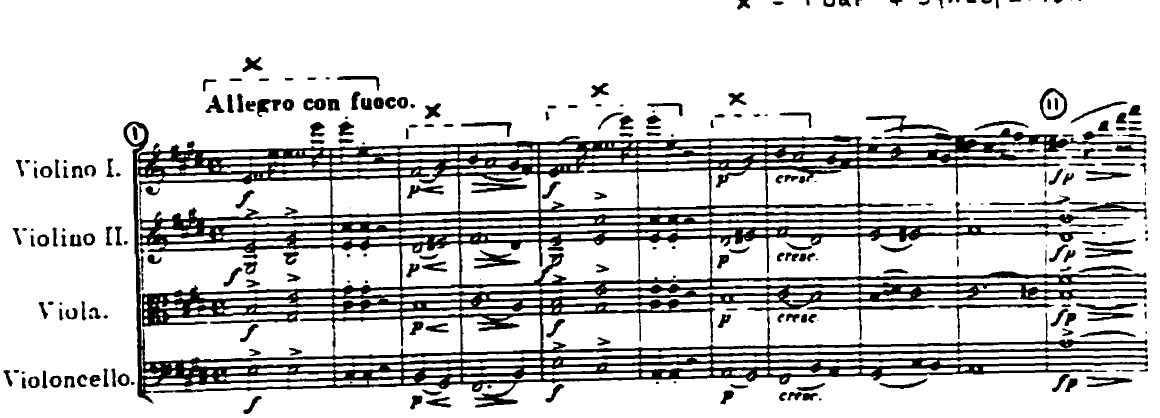
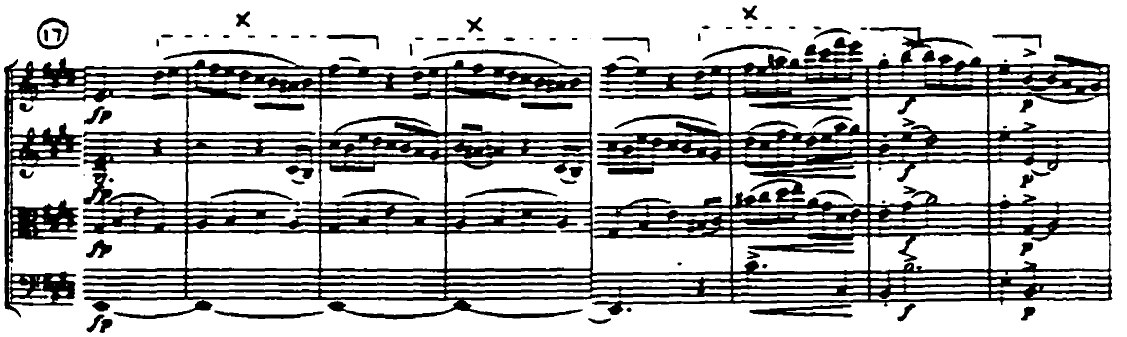
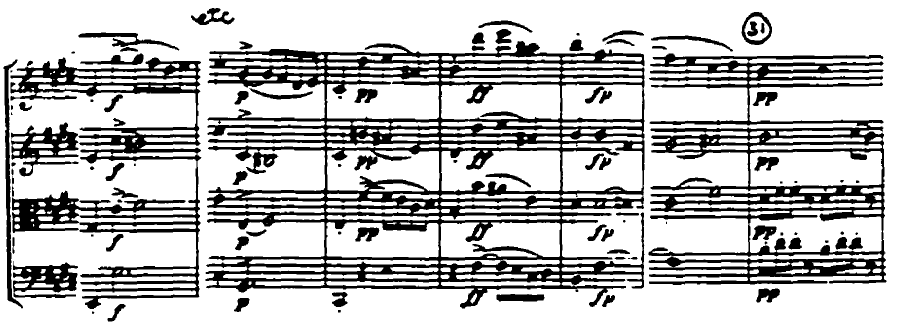
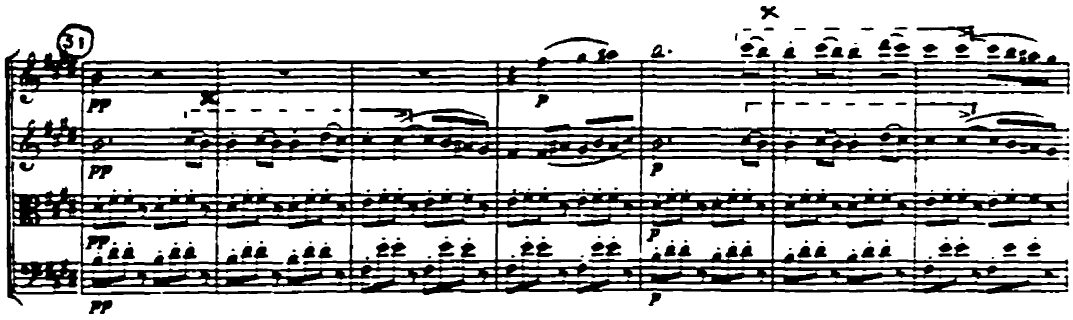
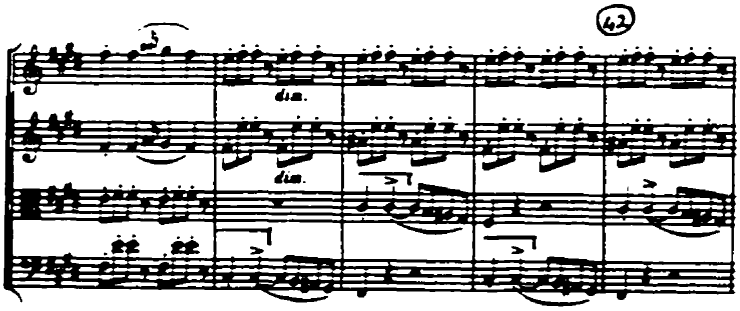
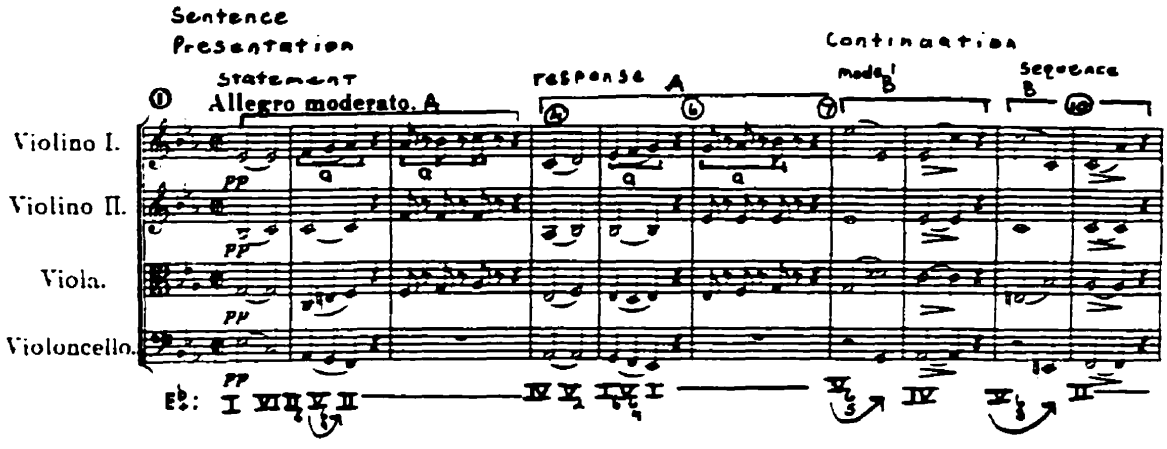
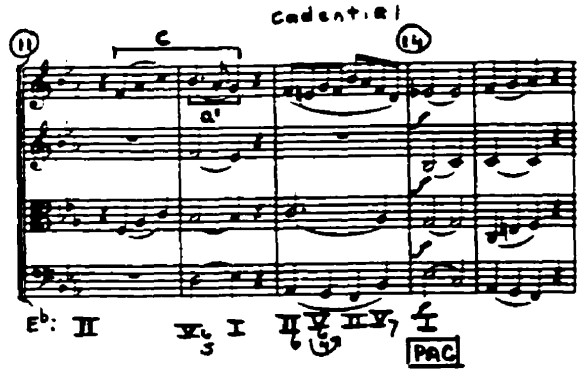

57
model
Se-
D♭: V/VI
VII°6/3 II6 V7 3 II6 VII 3

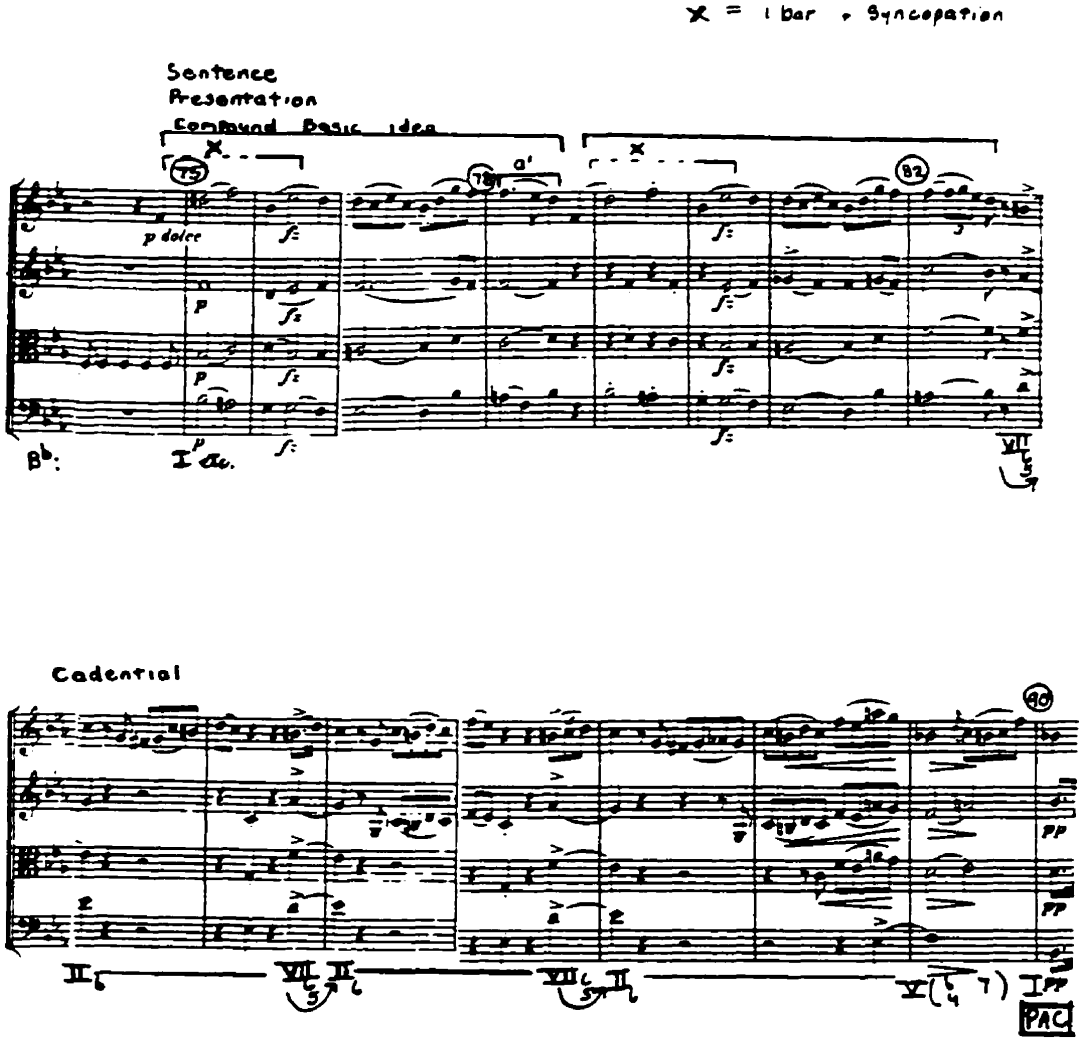

62
quence
65
D♭: I6 V 3 2 I6 5 3 V

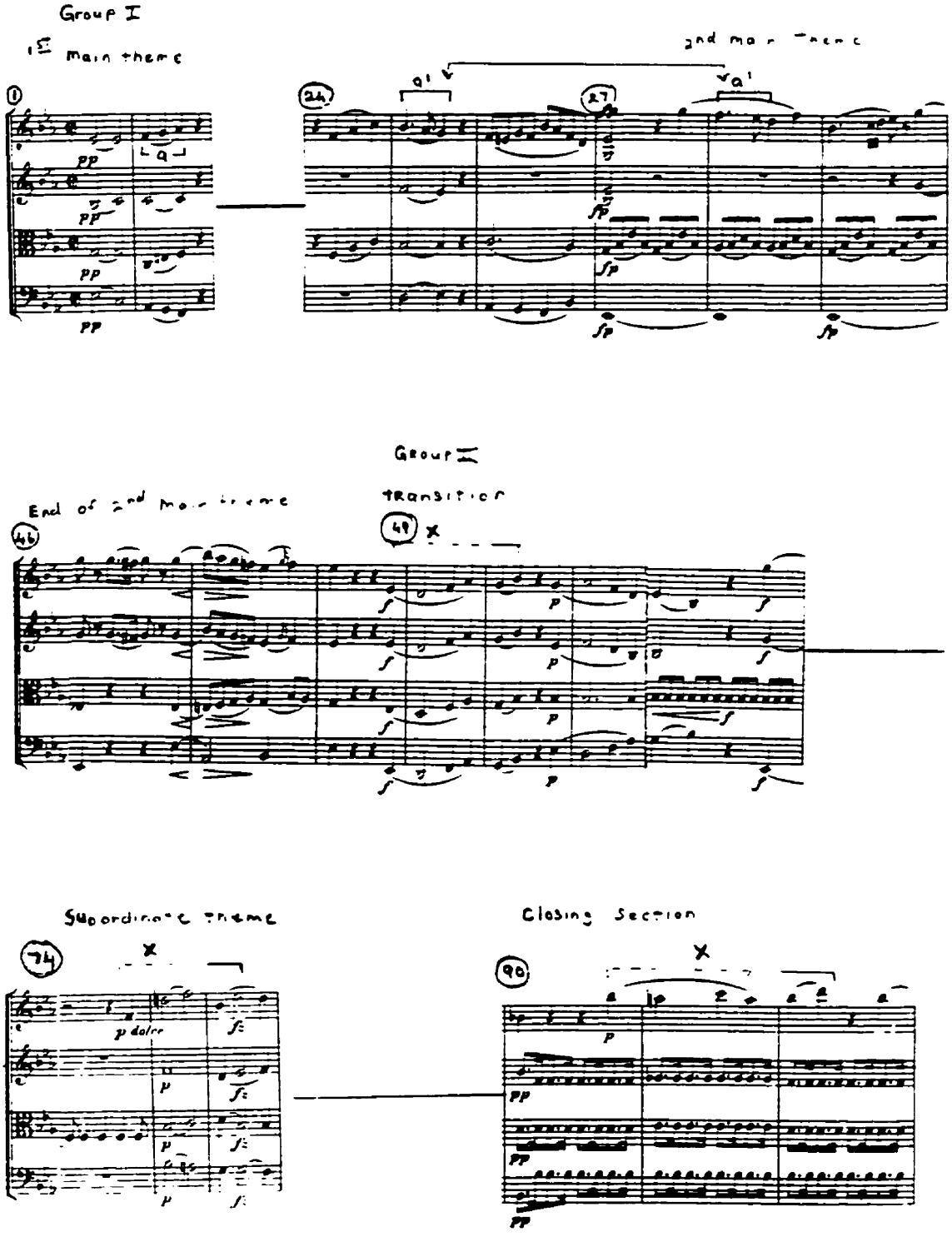
Ex. 4.17 cont'd

Part II (modulating
75
Cadential
77
subordinate theme
D♭: V
A♭: I
PAC

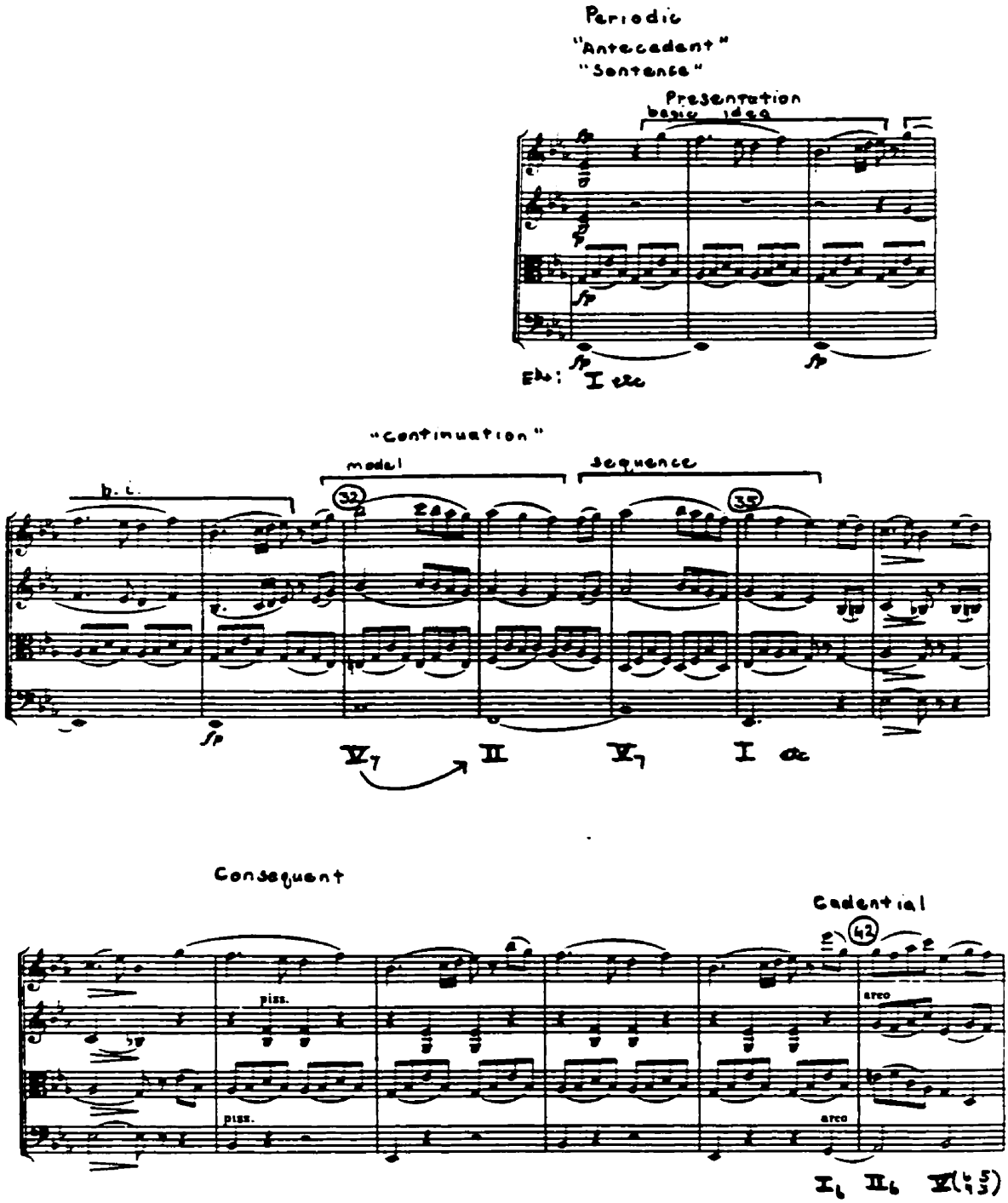
Ex. 4.18. Symphony in D Major, D. 82, i, subordinate theme



Ex. 4.19. Symphony in D Major, D. 74, i, continuing work on motive b in subordinate theme region

Ex. 5.1. Quartet in E major, D. 353, i,
motivic saturation

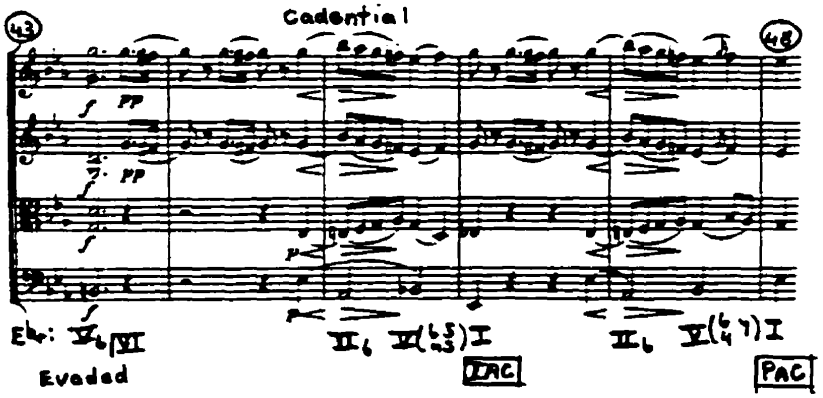
a) main theme

b) transition

c) subordinate theme

Ex. 5.2. Quartet in E-flat Major, D. 87, i
a) main theme

b) subordinate theme

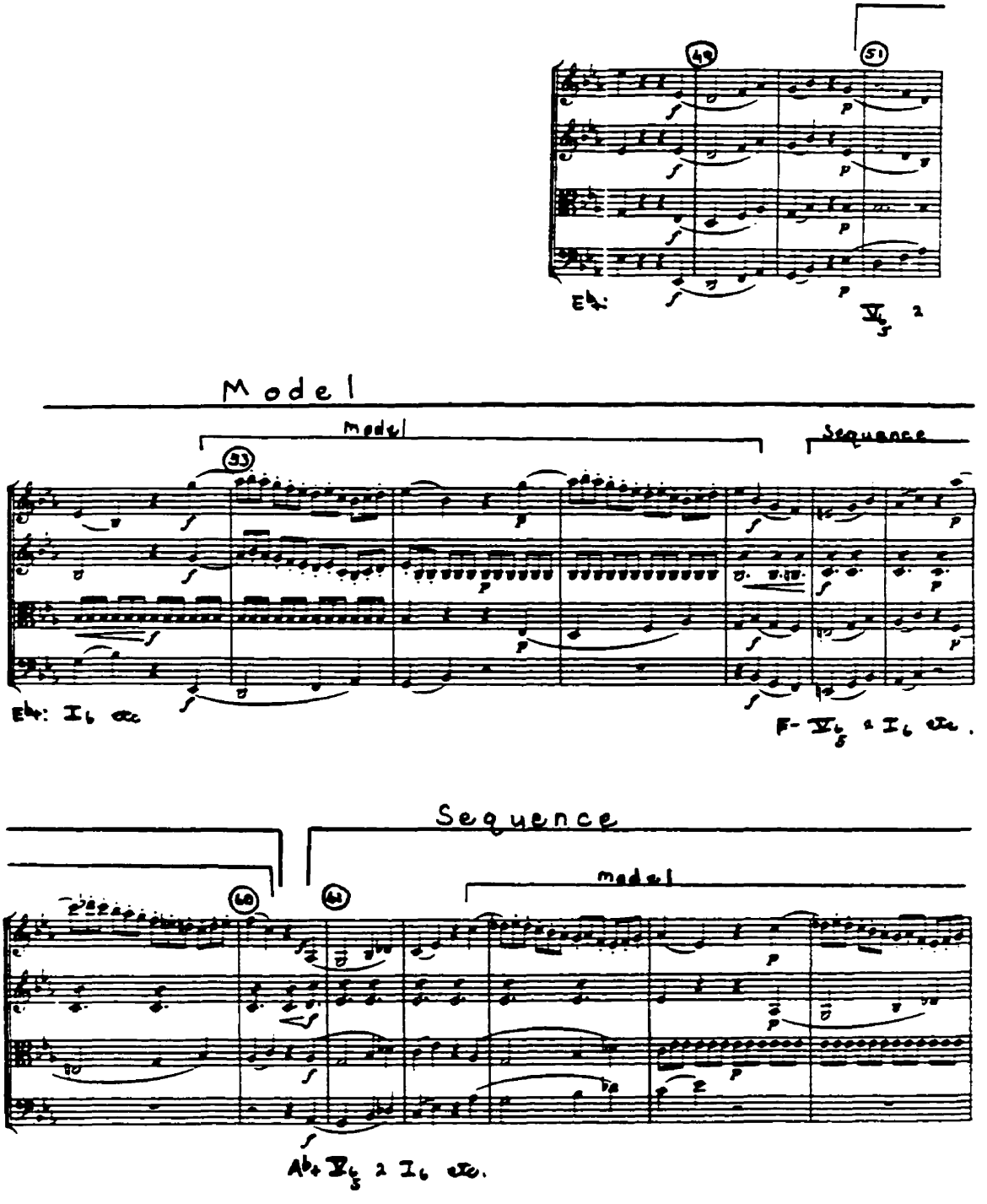


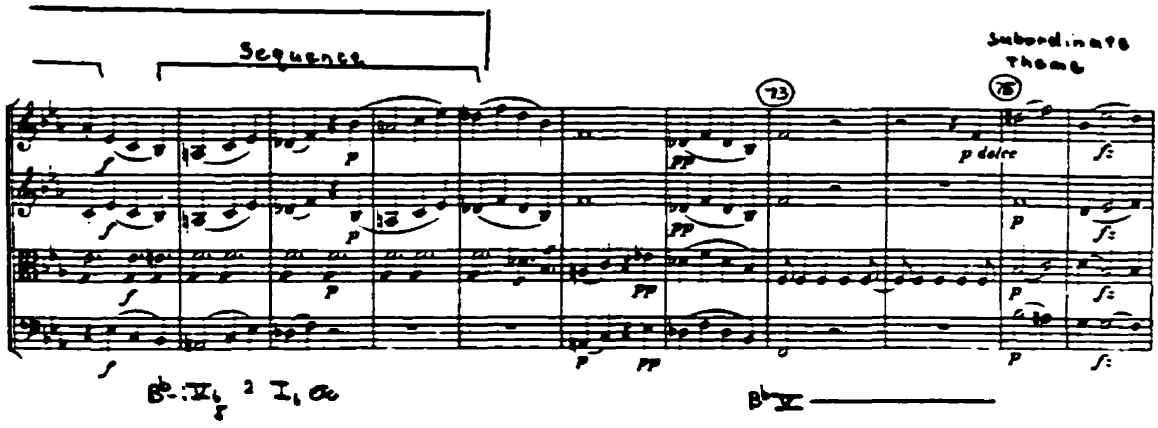
Ex. 5.3. Quartet in E-flat Major, D. 87, i, motivic grouping

Ex. 5.4. Quartet in E-flat Major, D. 87, i, second main theme

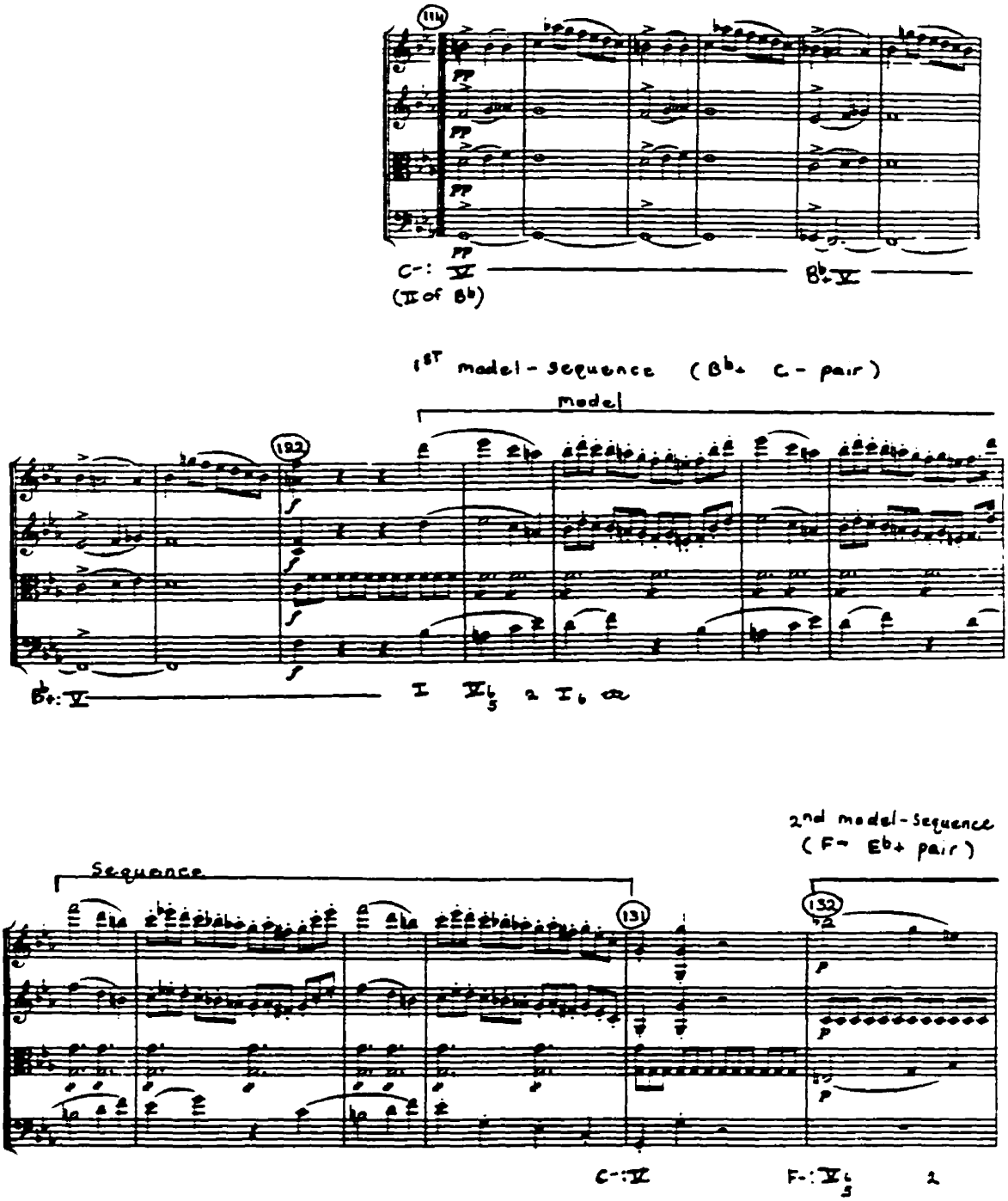
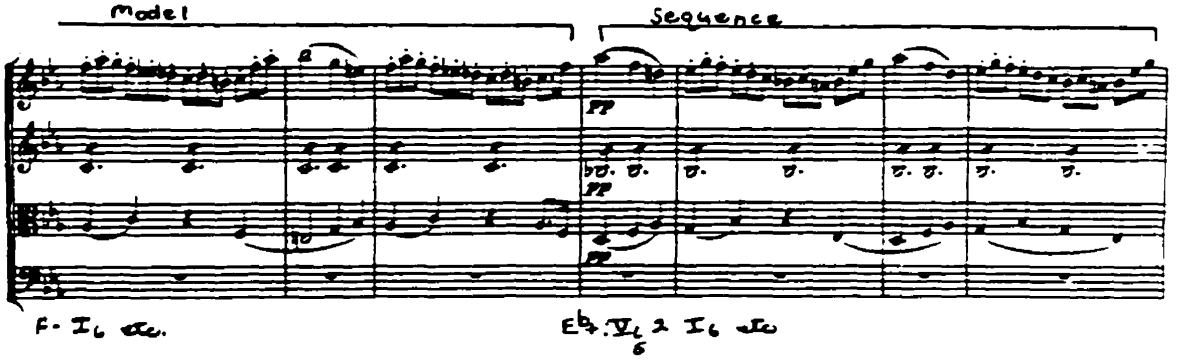
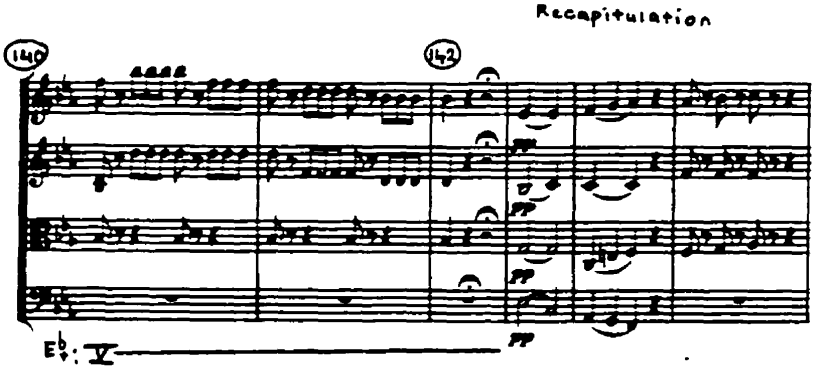


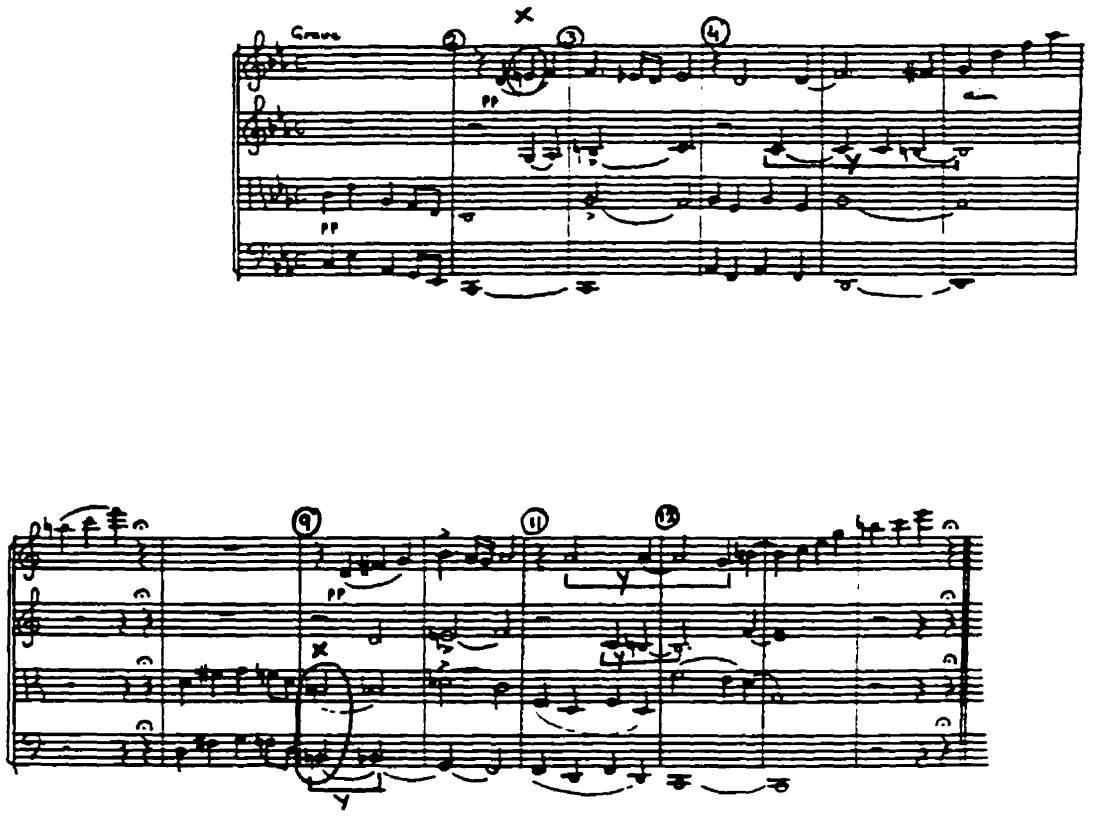
Ex. 5.4 cont'd

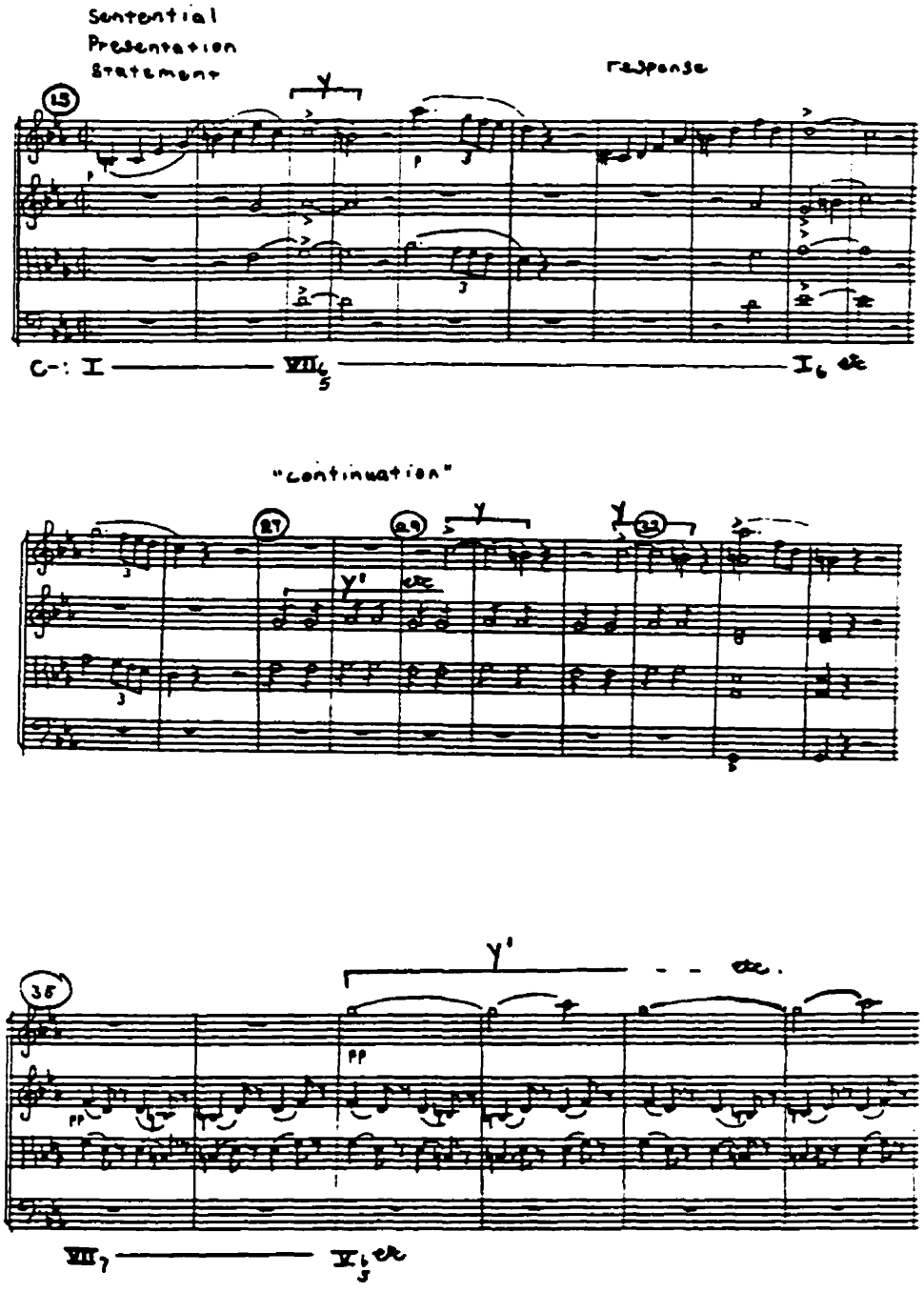

43
Cadential
48
pp
pp
E♭: V6/VI
Evaded
II6 IV(6 5 3)I
IAC
II6 V(6 4 3)I
PAC

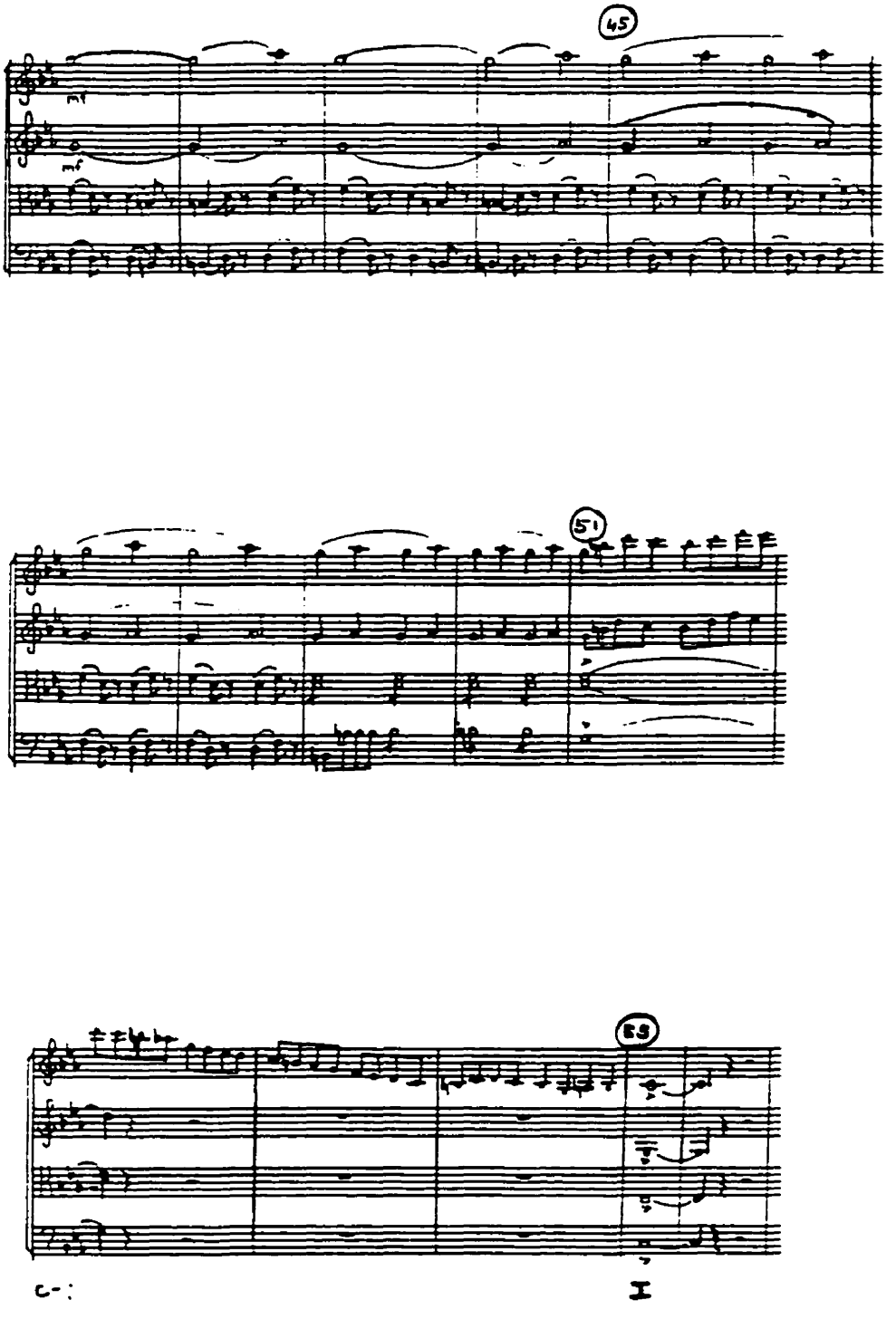
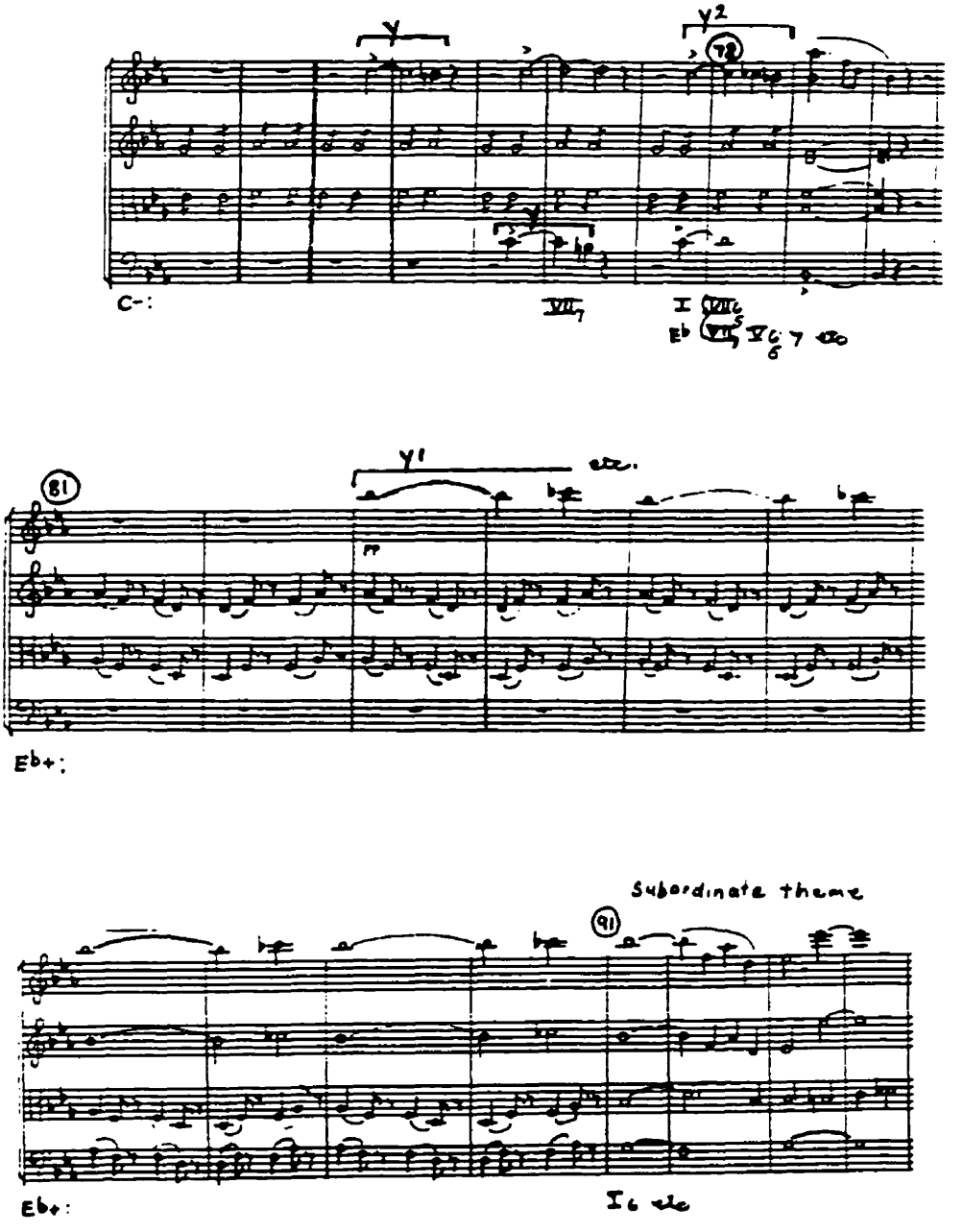
Ex. 5.5. Quartet in E-flat Major, D. 87, i, transition

Ex. 5.5 cont'd

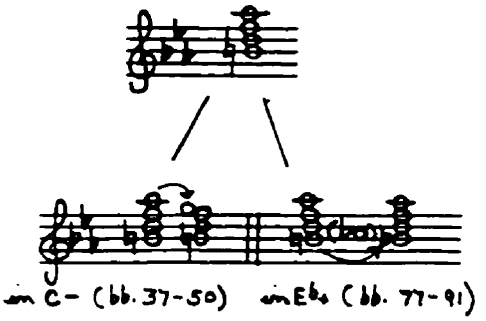


Ex. 5.6. Quartet in E-flat Major, D. 87, i, development

Ex. 5.6 cont'd

Model
Sequence
f- I6 etc.
Eb: V6/5 2 I6 etc

Recapitulation
140
142
Eb: V

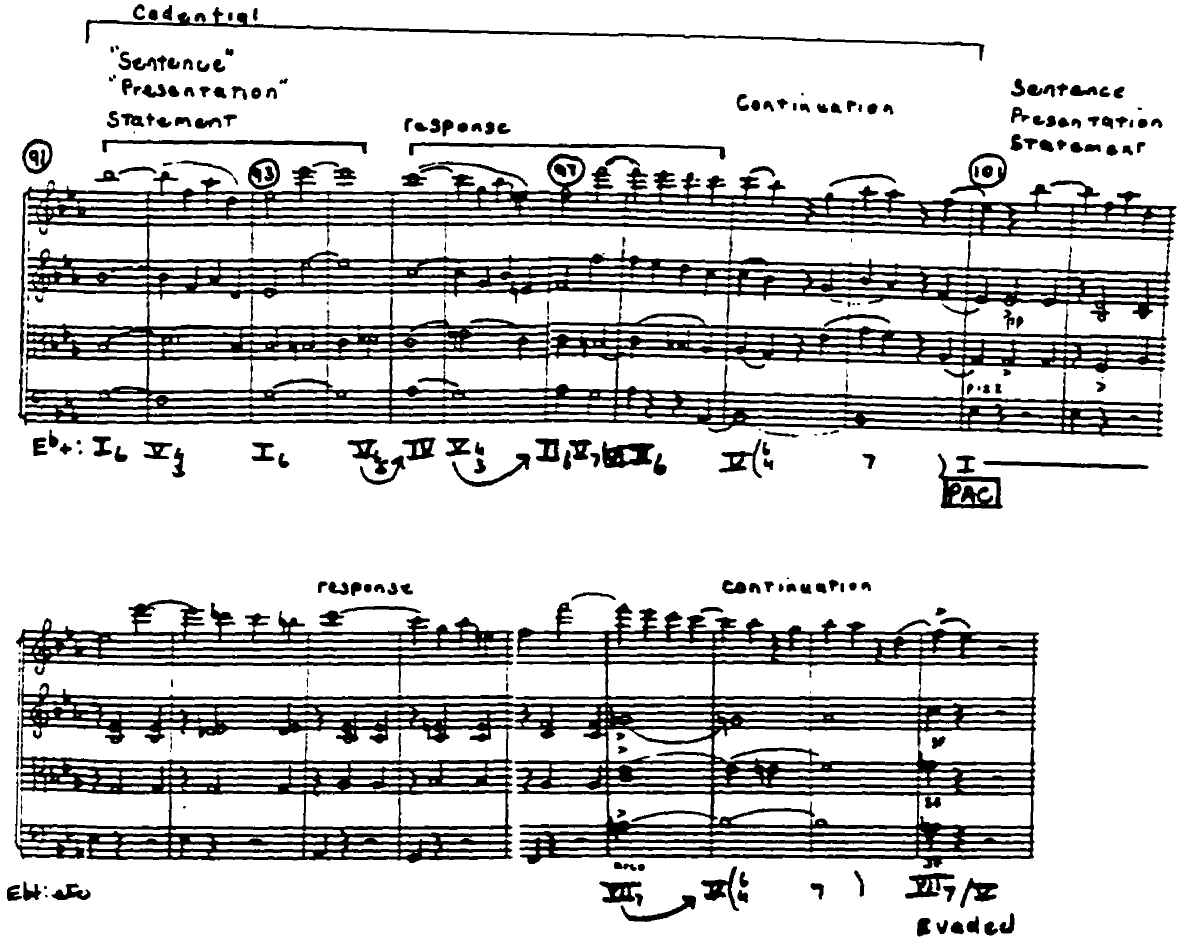
Ex. 5.7. Quartet Fragment in C minor, D. 103, introduction

Ex. 5.8. Quartet Fragment in C minor, D. 103, main theme



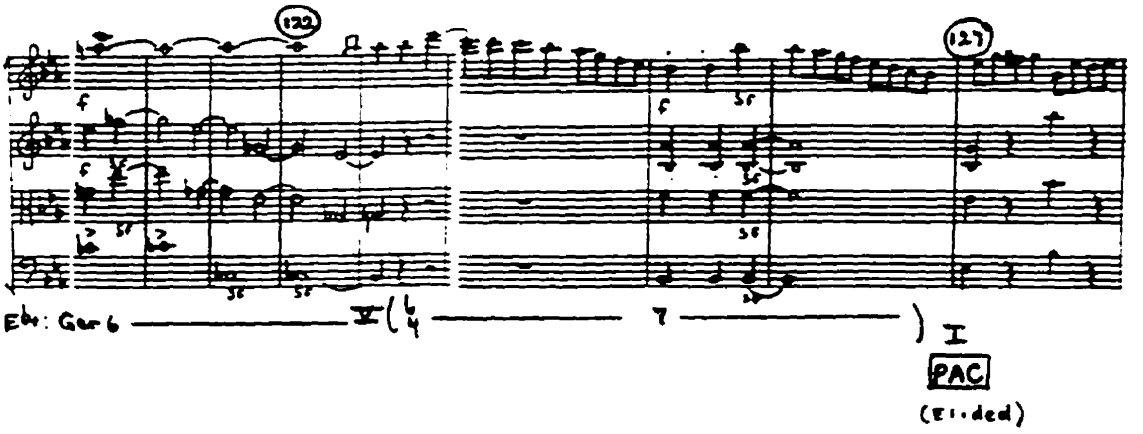
Ex. 5.8 cont'd

Ex. 5.9. Quartet Fragment in C minor, D. 103,
a) transition

b) basic mechanism of modulation; two resolutions of diminished-seventh chord on B

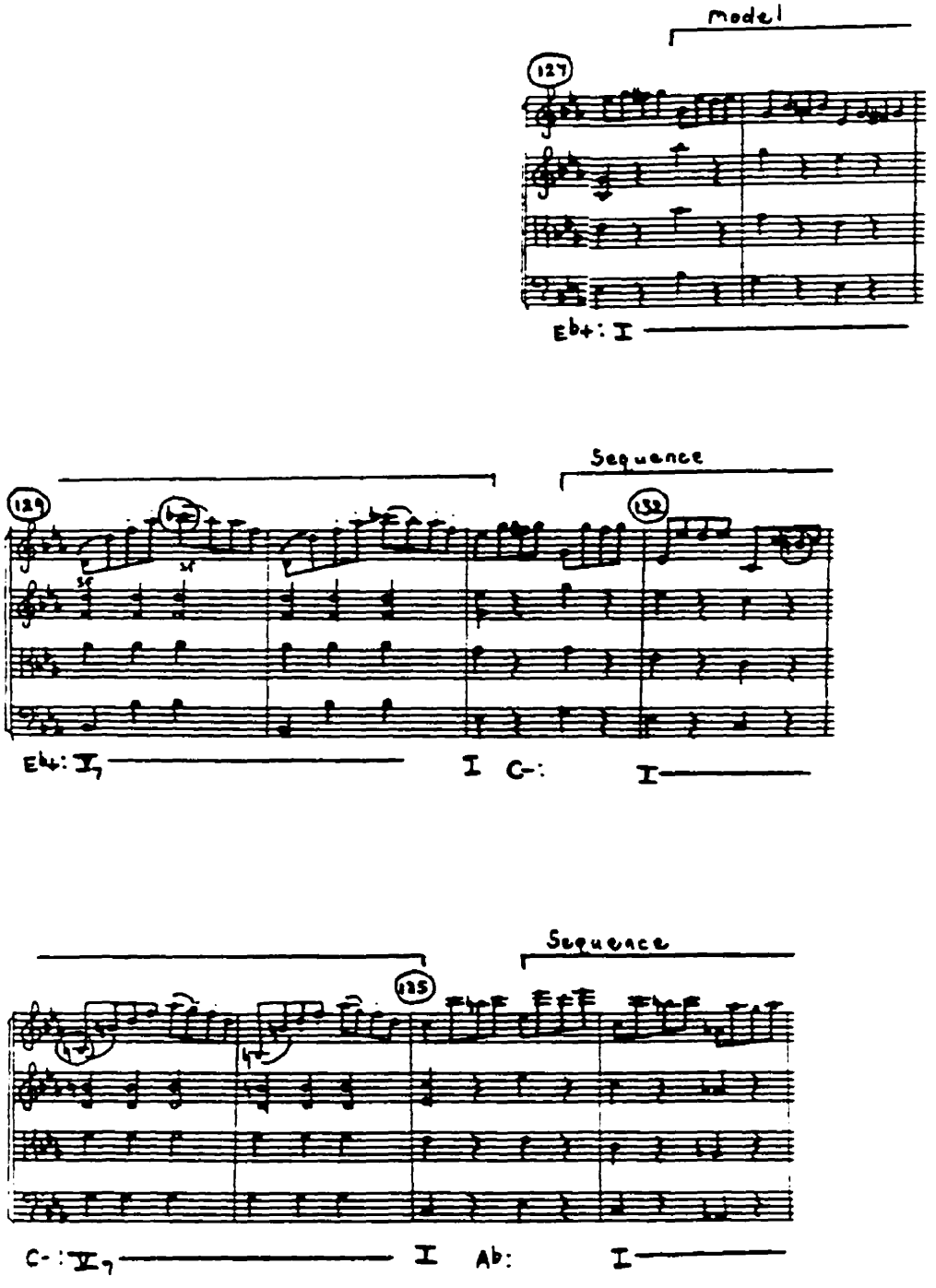


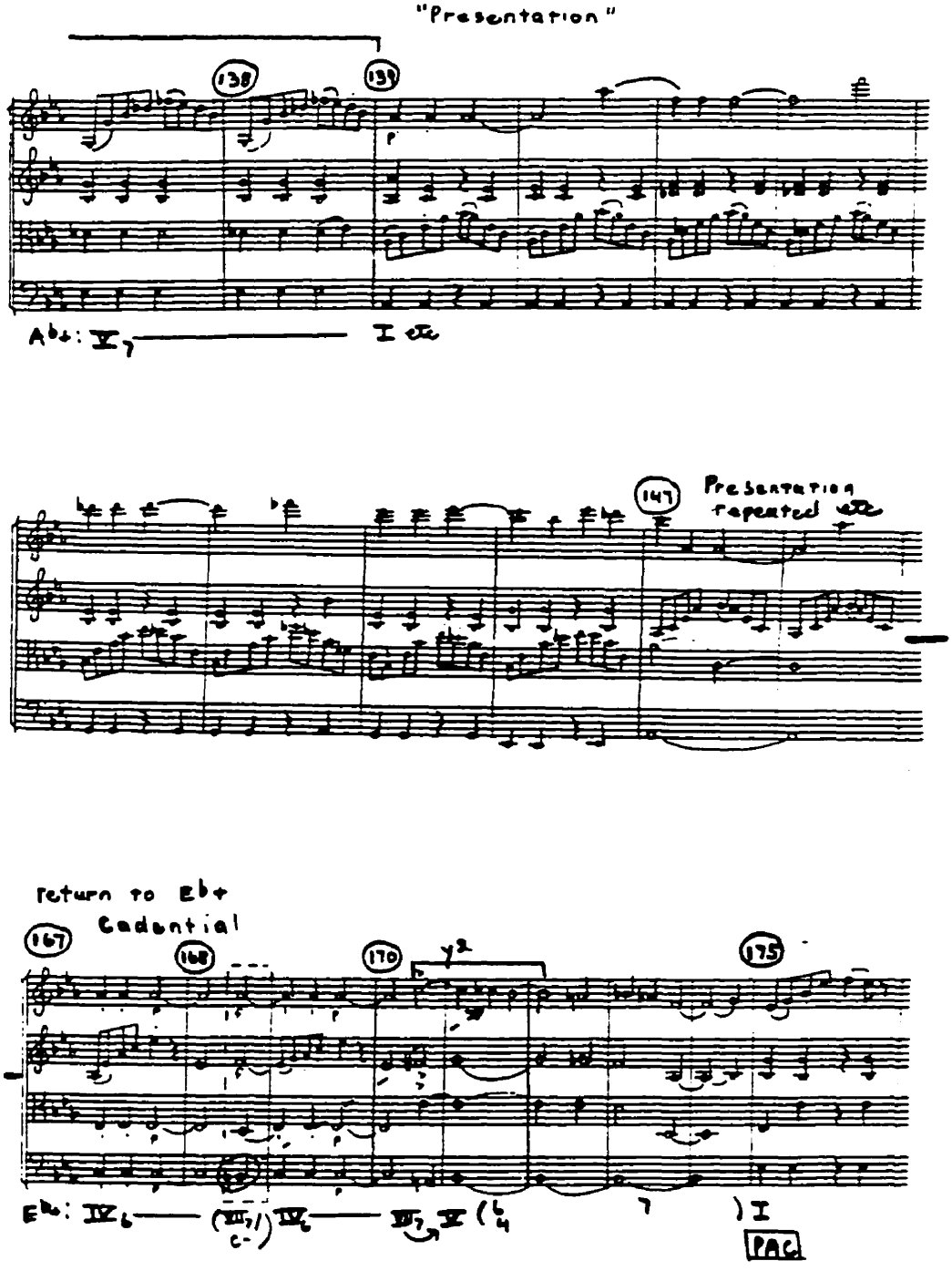
Ex. 5.10. Quartet Fragment in C Minor, D. 103, subordinate theme

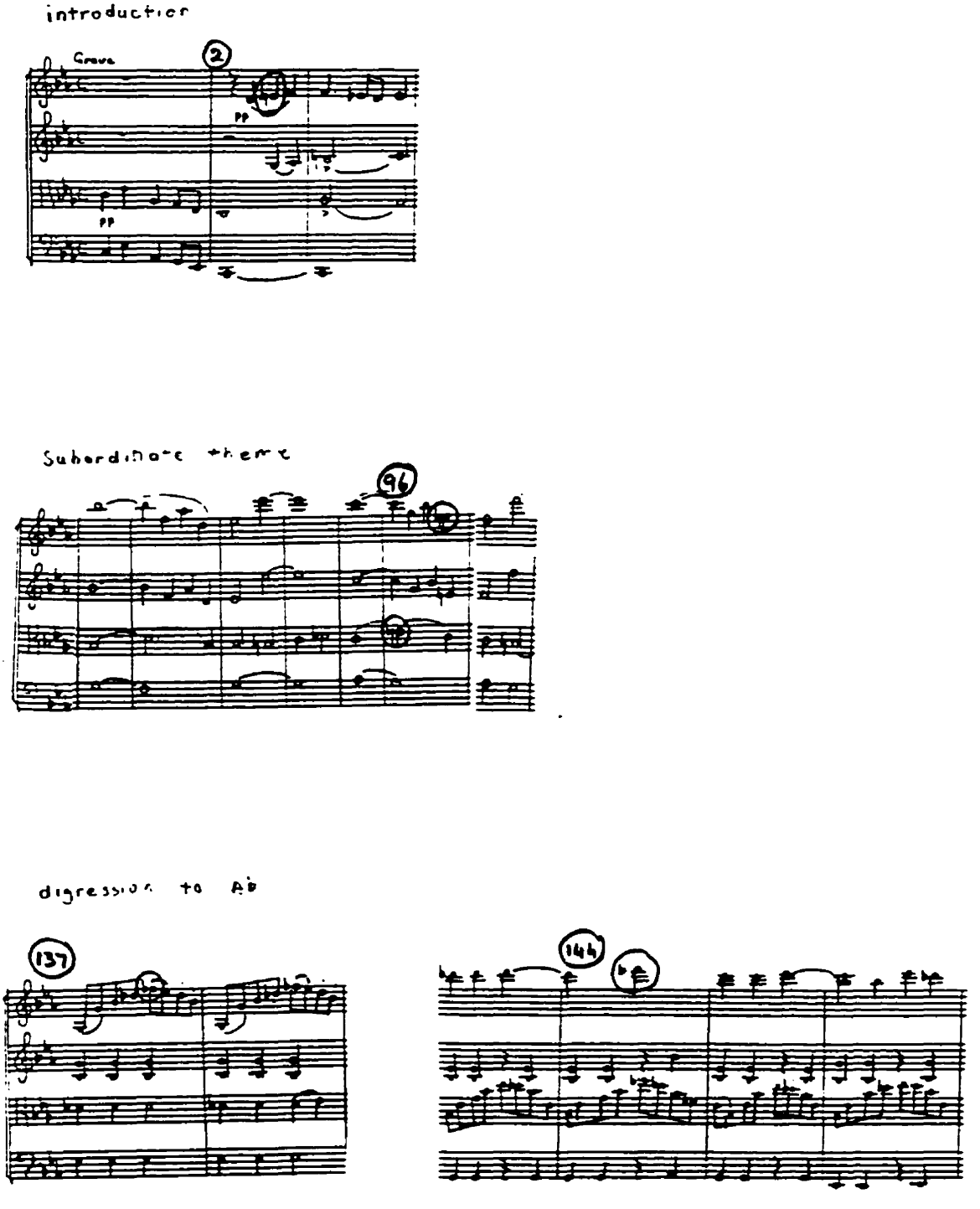


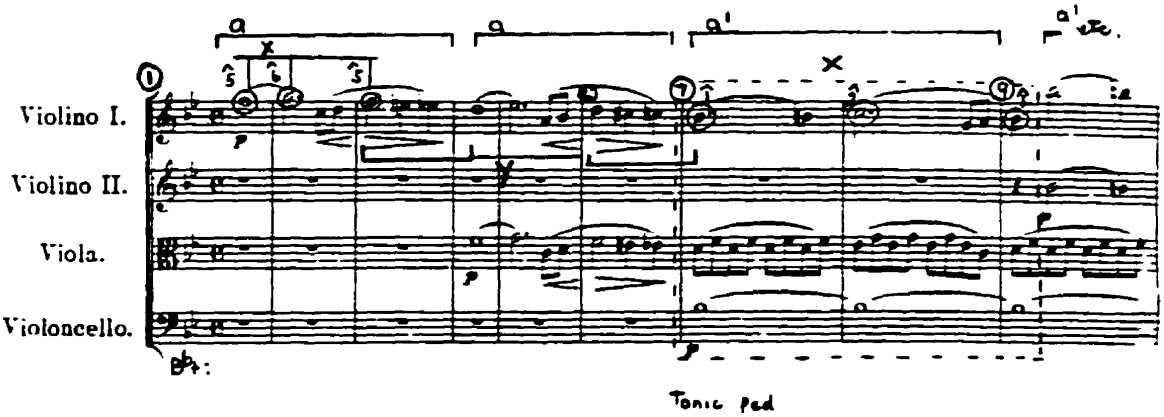
Ex. 5.10 cont'd

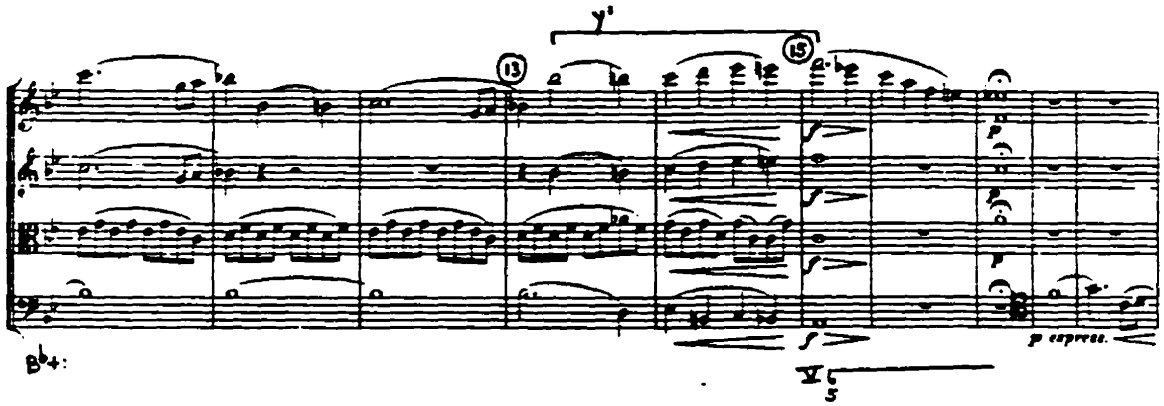


Ex. 5.11. Quartet Fragment in C Minor, D. 103, digression to A-flat

Ex. 5.11 cont'd

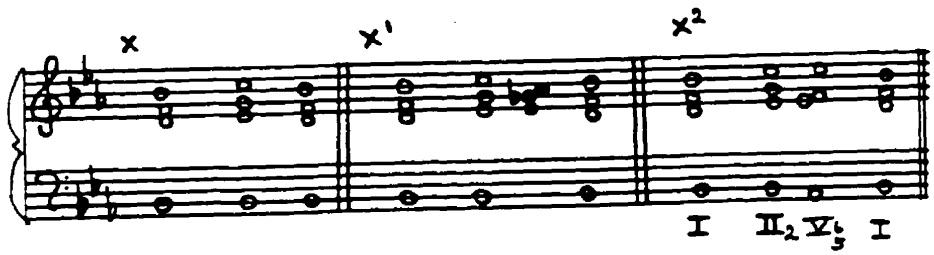

"Presentation"
138
139
Ab: V7 I etc
147
Presentation repeated etc
return to Eb+
Cadential
167
168
170
175
Eb: IV6 (VII7/I) IV6 VII7 IV (6/4 7) I
PAC

Ex. 5.12. Quartet Fragment in C Minor, D. 103, appearances of motive x on E-natural

Ex. 5.13. Quartet in B-flat Major, D. 112, i,
a) main theme

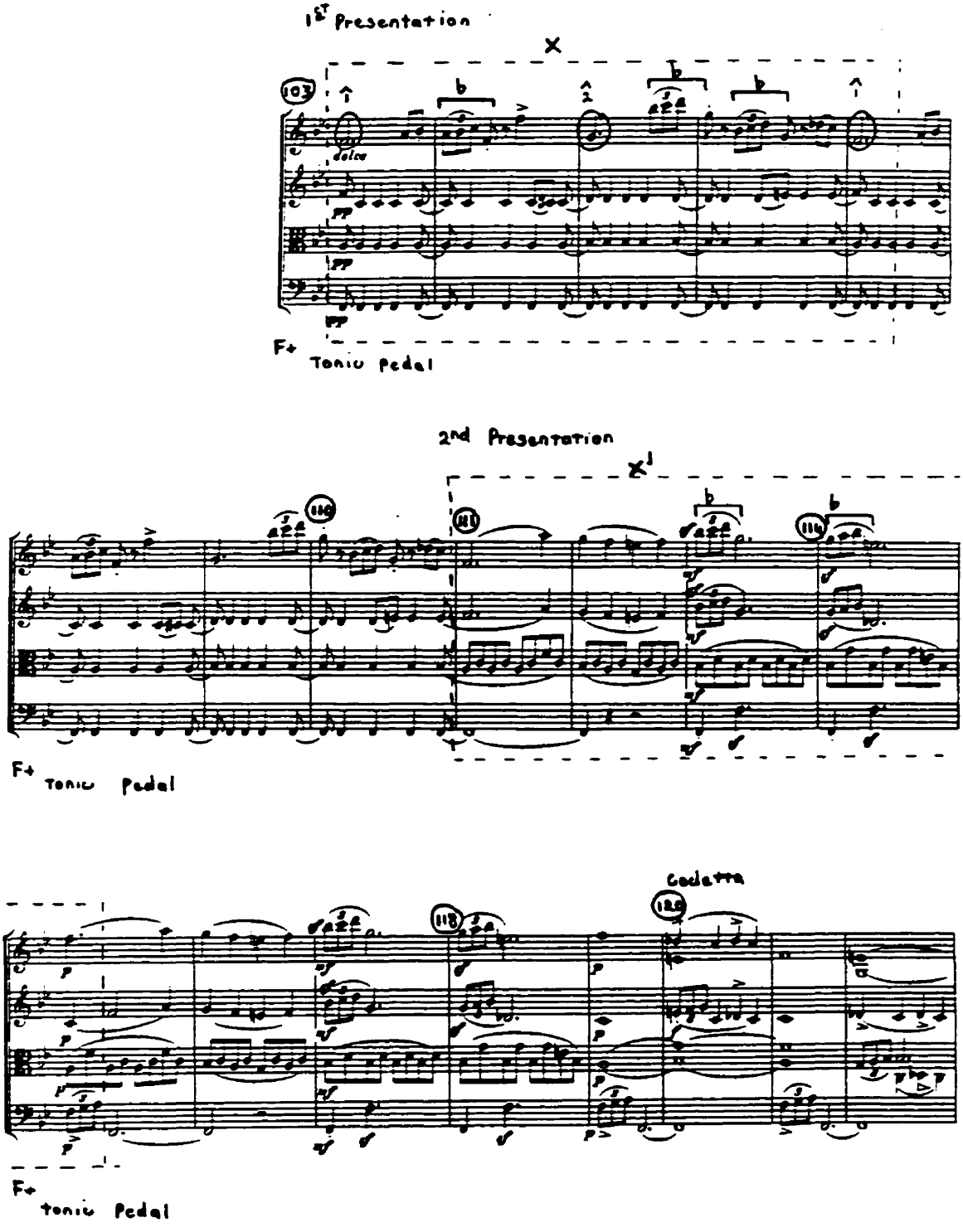


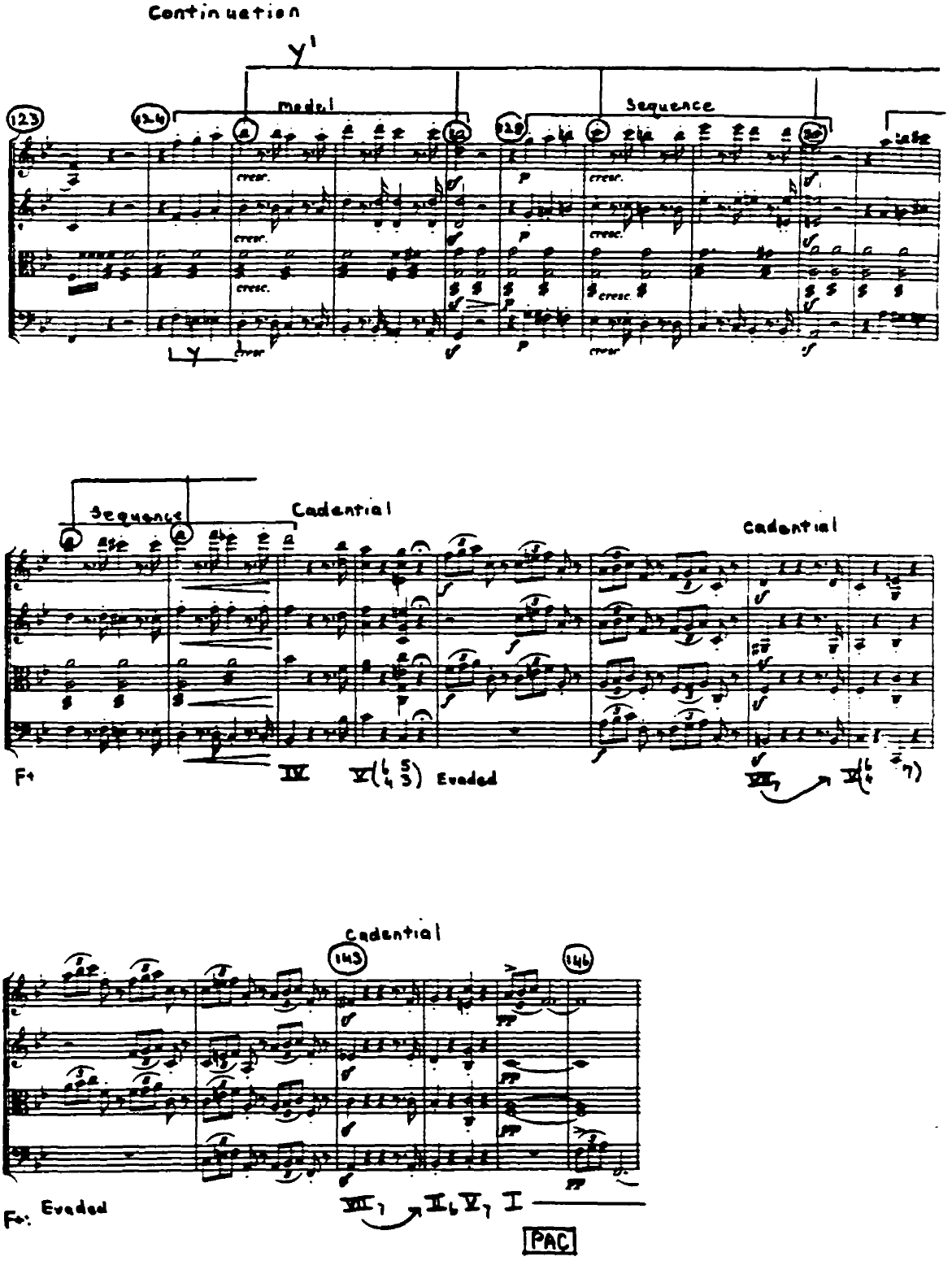


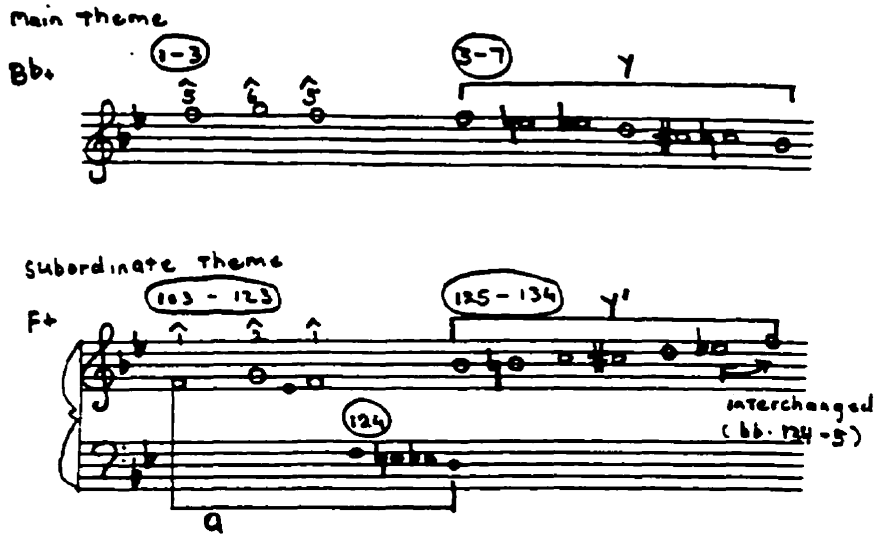
b) derivations of motive x

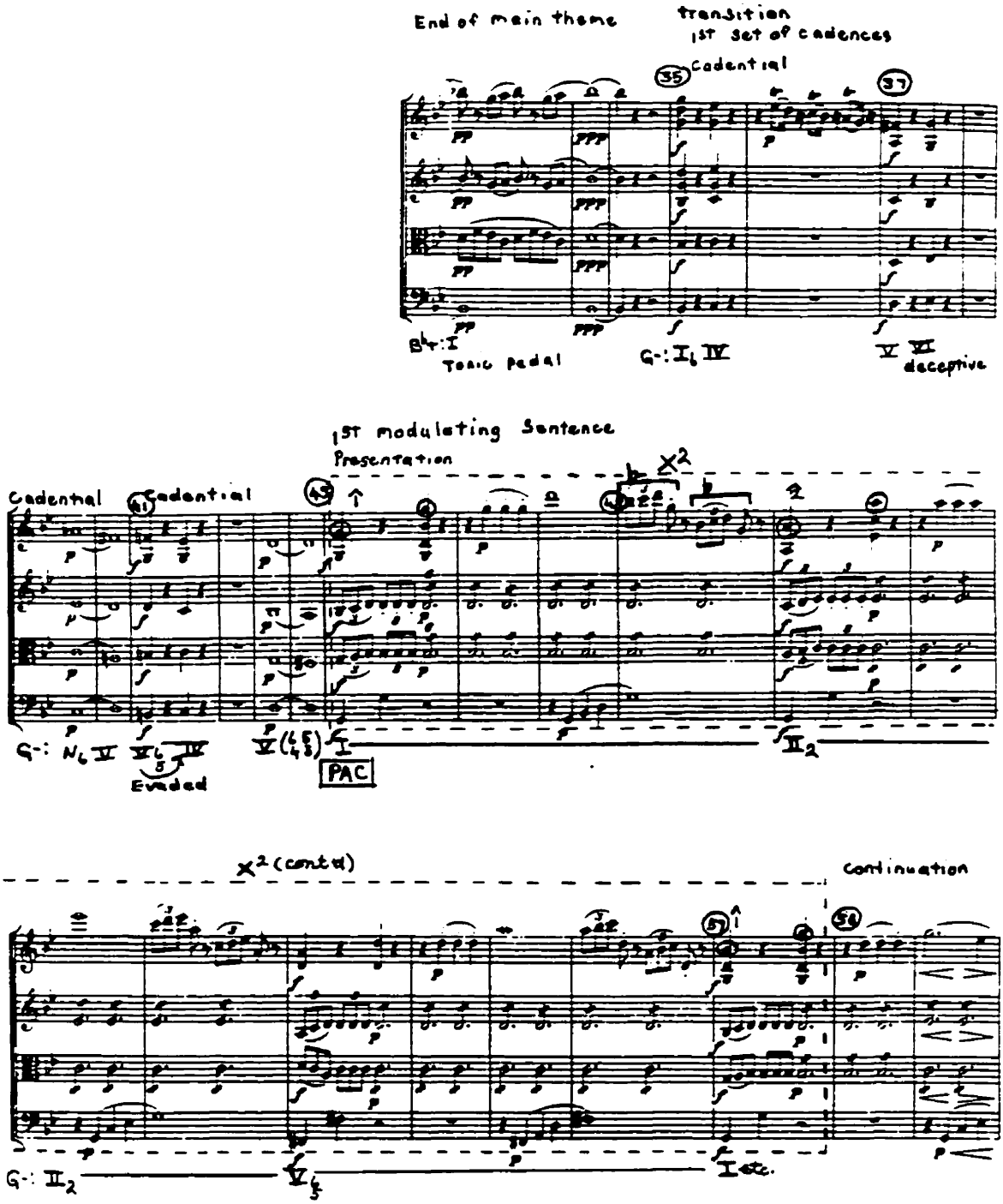
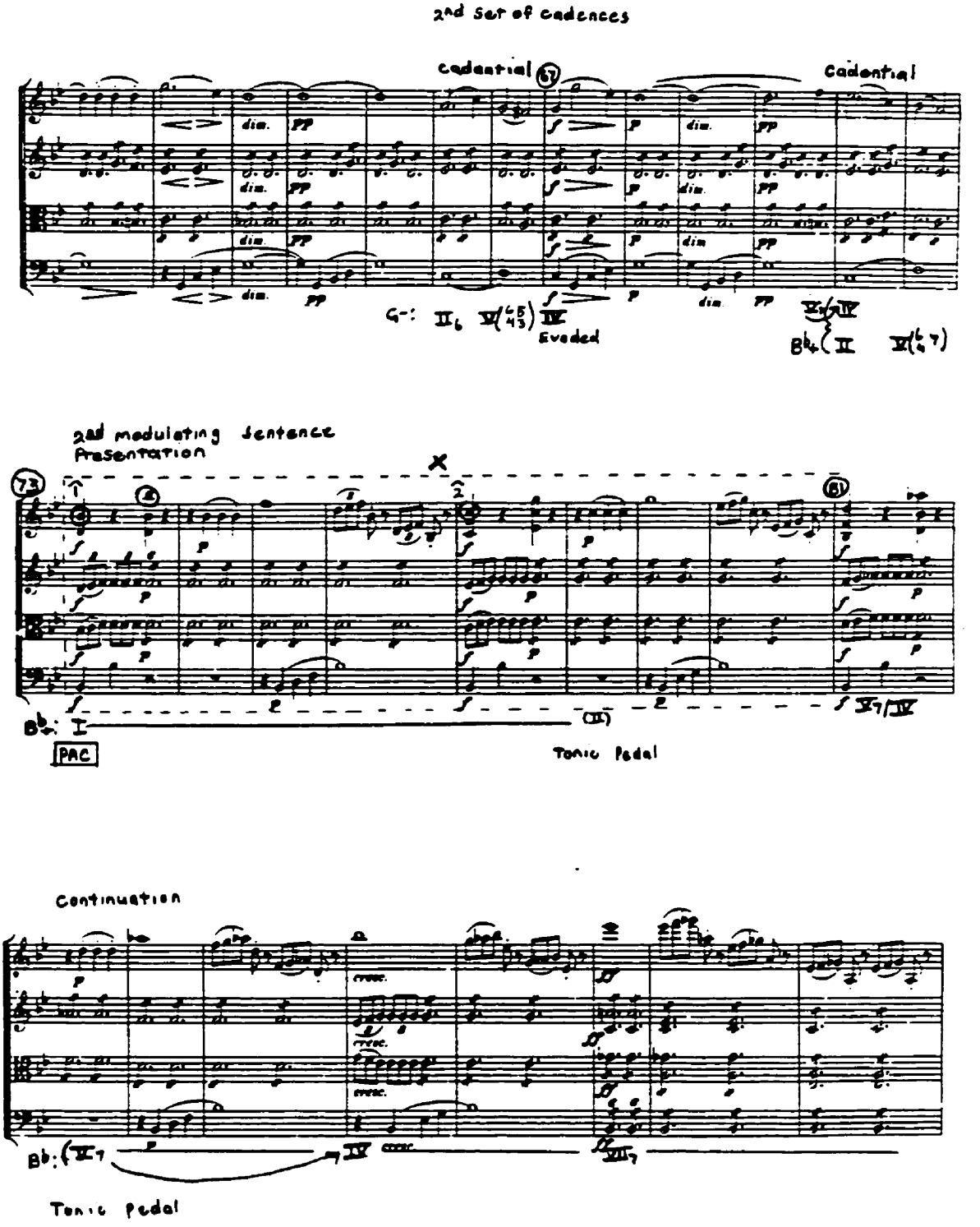


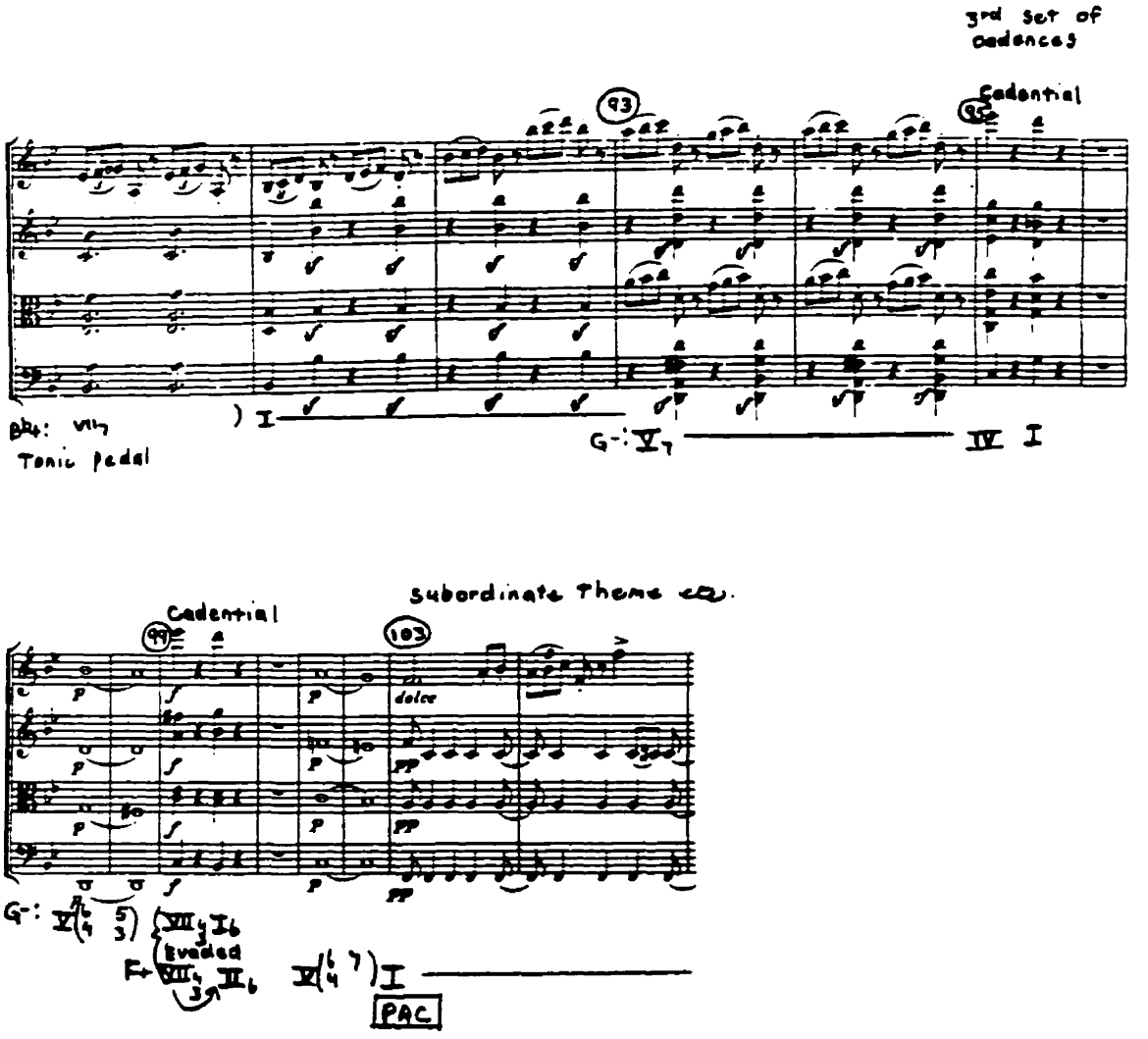
Ex. 5.14. Quartet in B-flat Major, D. 112, i,
a) subordinate theme



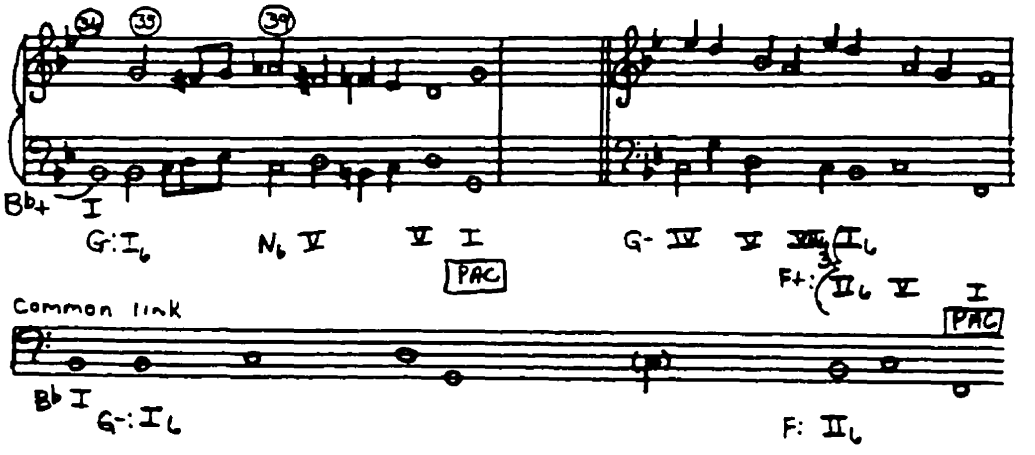
Ex. 5.14a cont'd

b) projection of initial melodic gesture of main theme onto subordinate theme

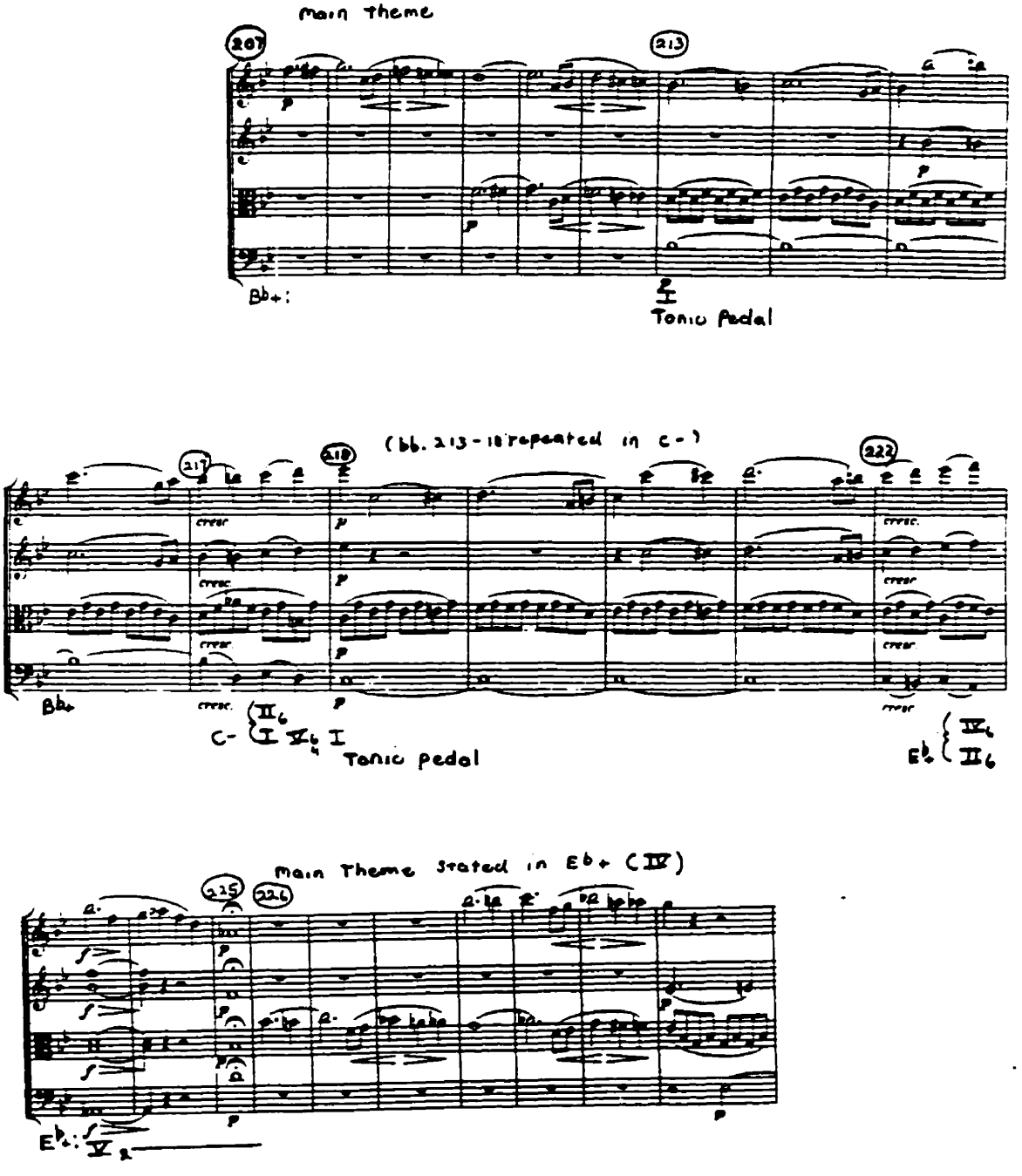


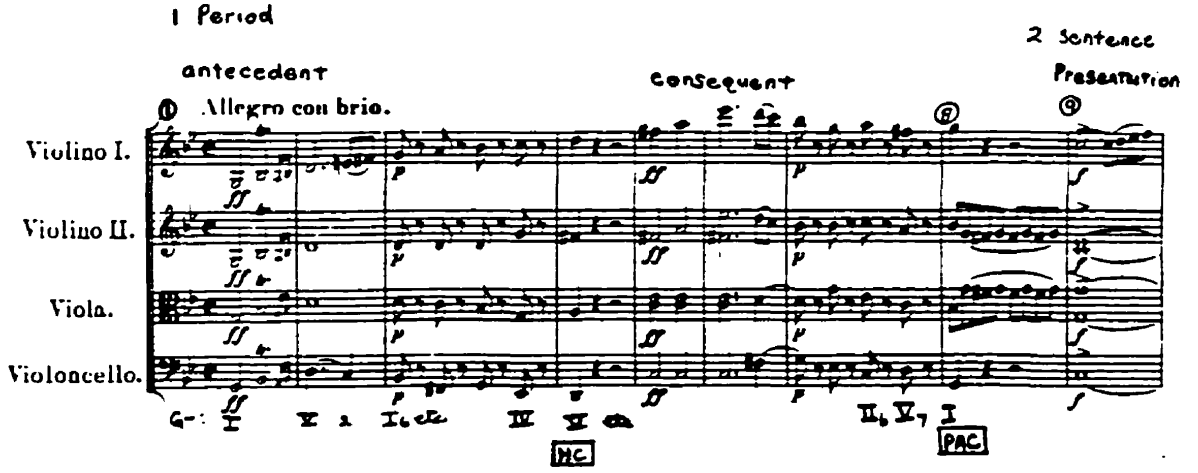
Ex. 5.15. Quartet in B-flat Major, D. 112, i,
a) transition

Ex. 5.15a cont'd

Ex. 5.15a cont'd

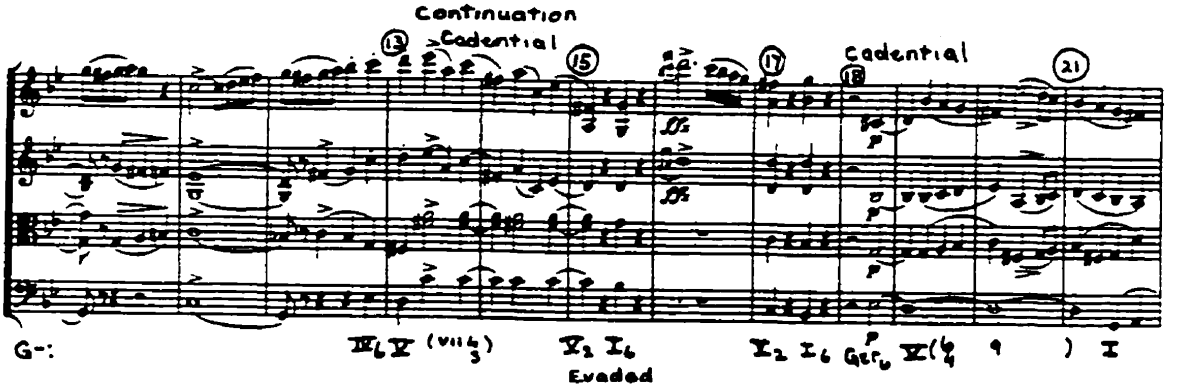
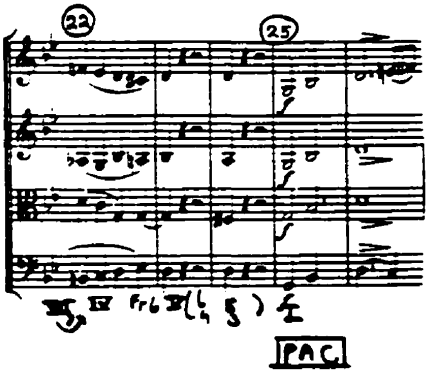


b) reduction of transition's cadential strategy

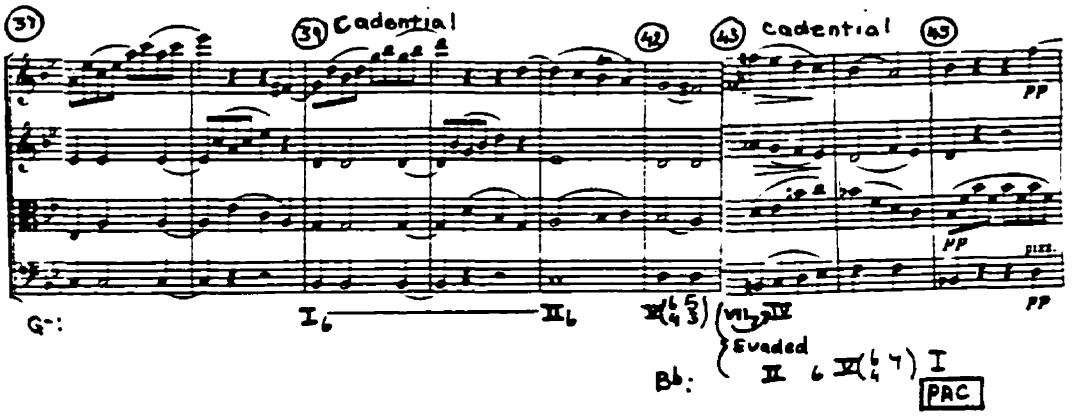


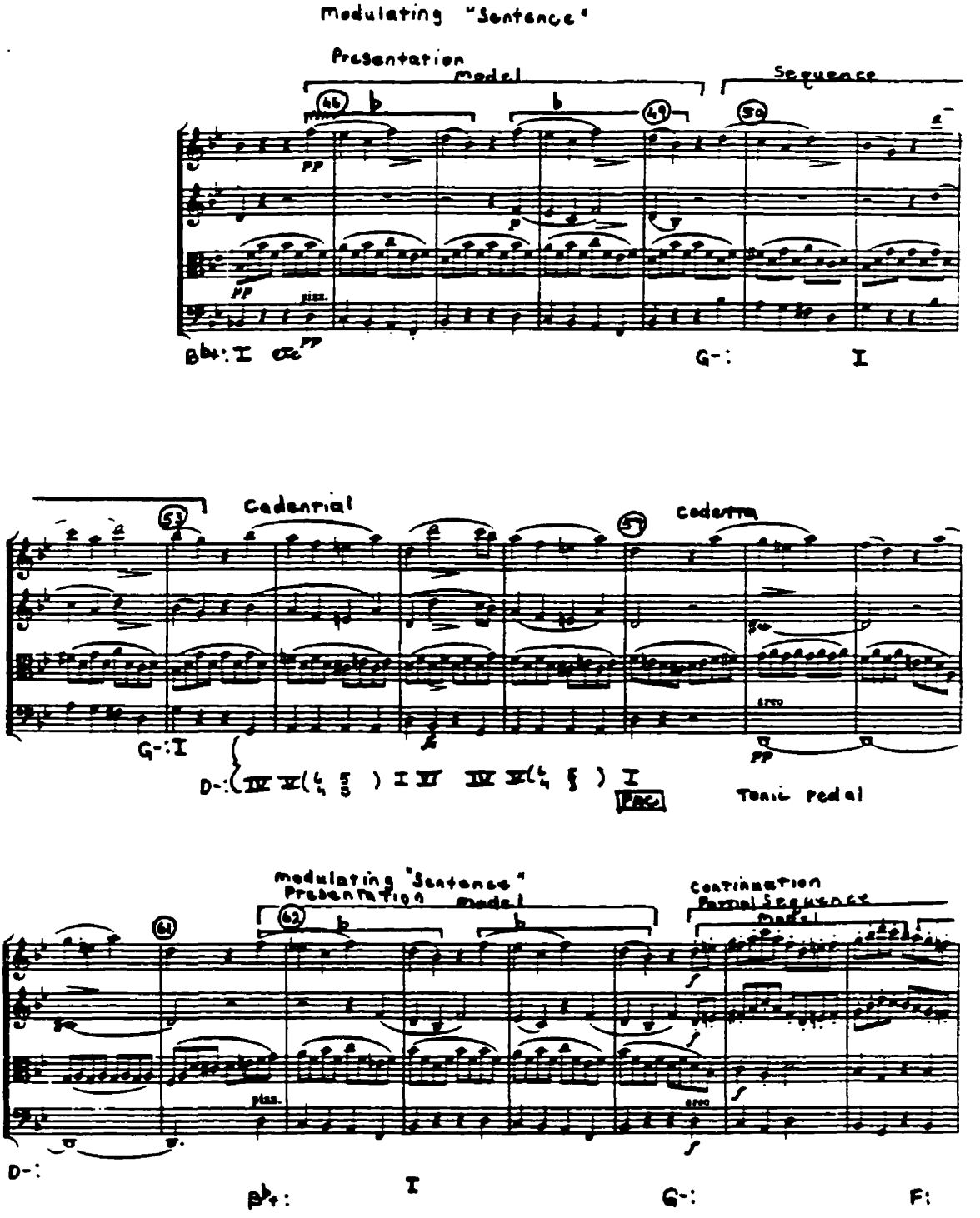
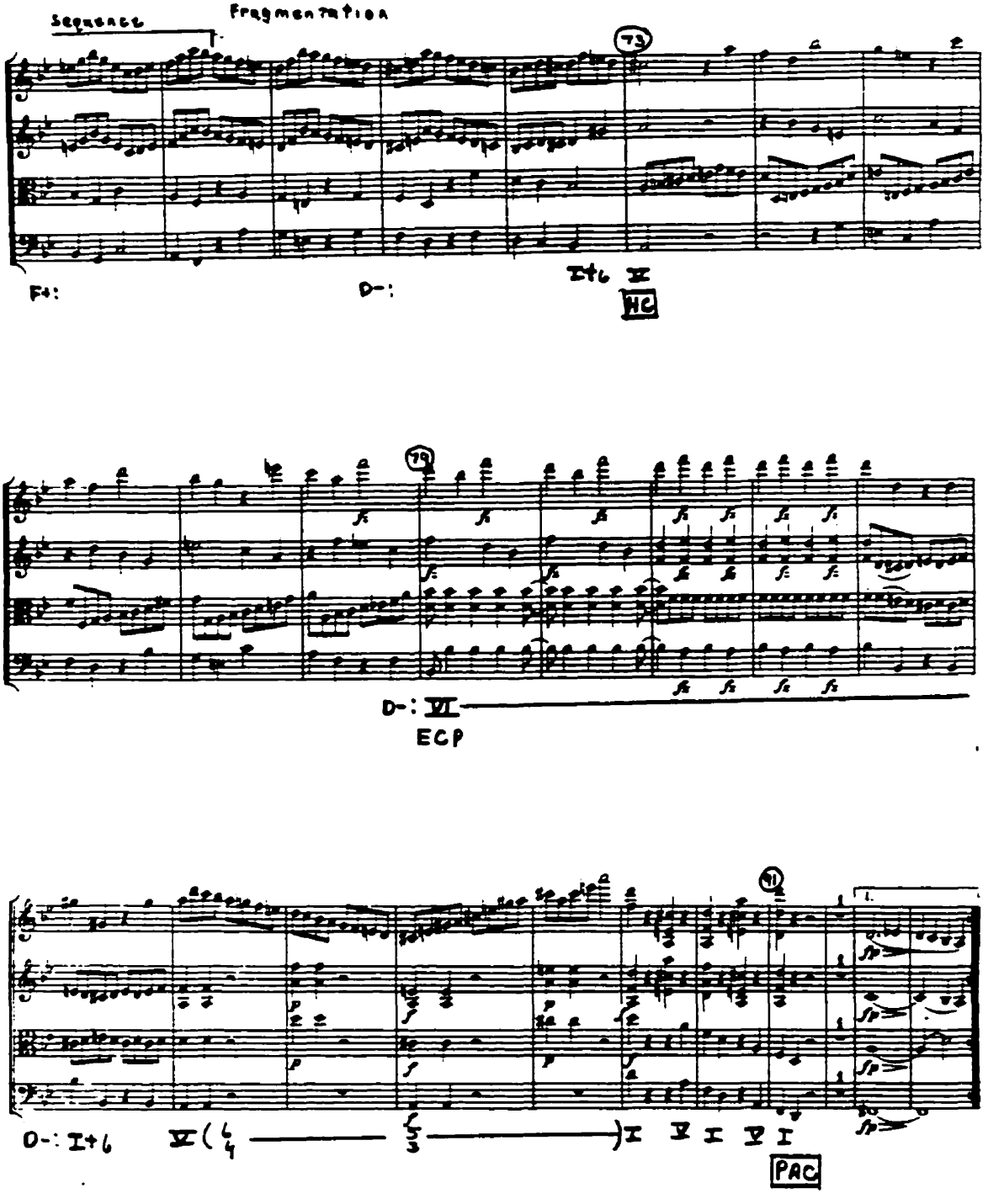
Ex. 5.16. Quartet in B-flat major, d. 112, i,
realignment of recapitulation to IV

Ex. 5.17. Quartet in G Minor, D. 173, i, main theme





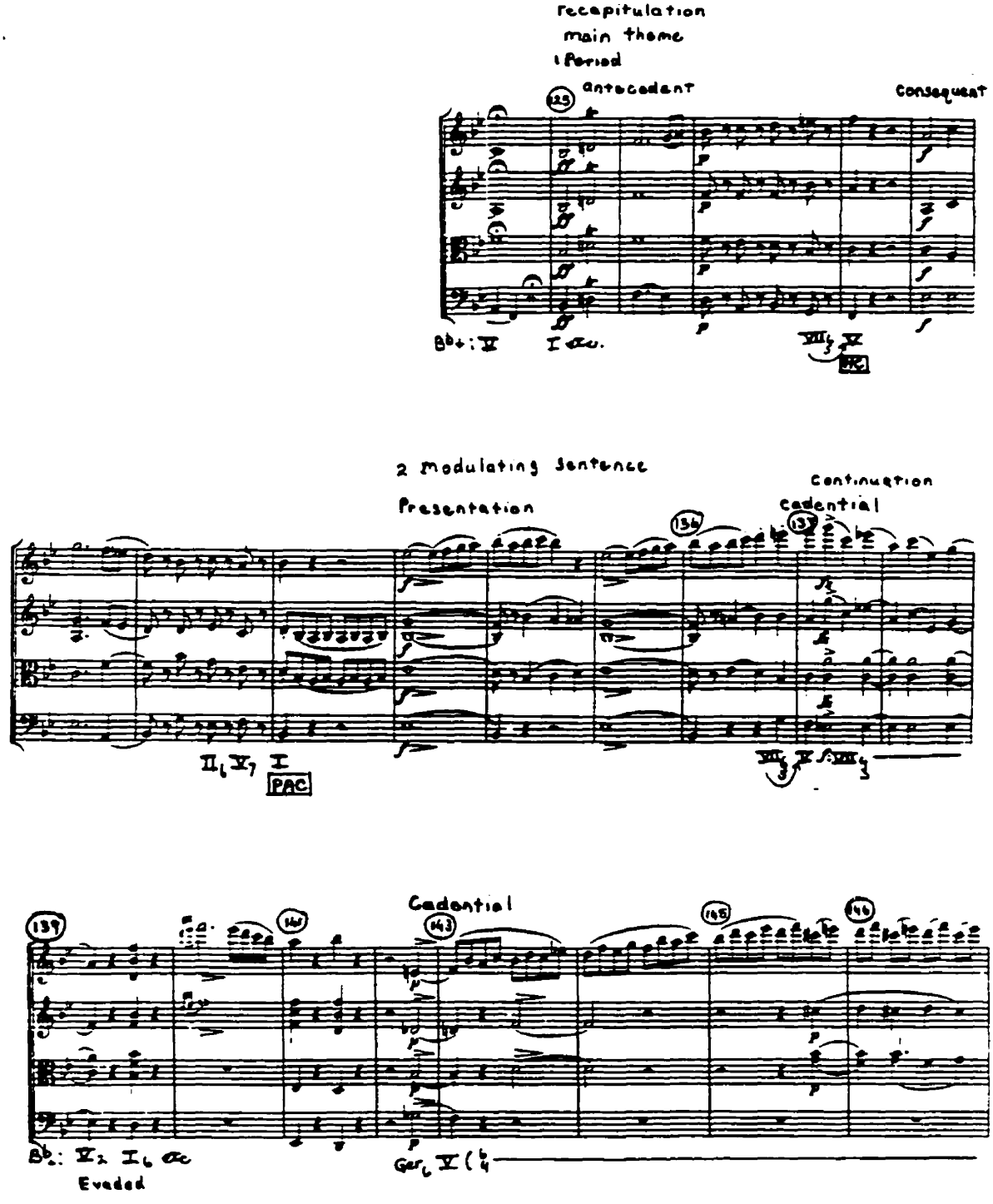
Ex. 5.18. Quartet in G Minor, D. 173, i end of transition

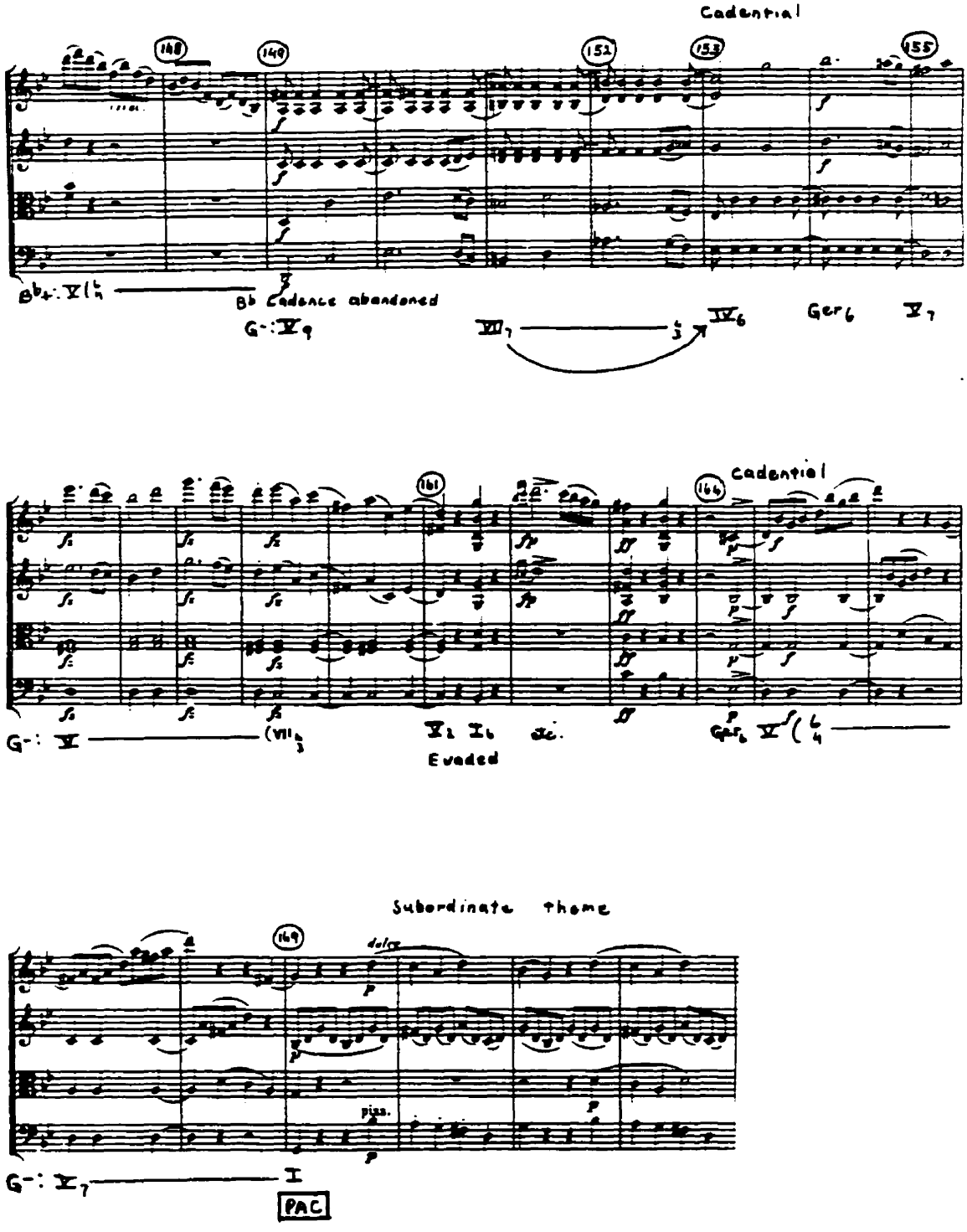


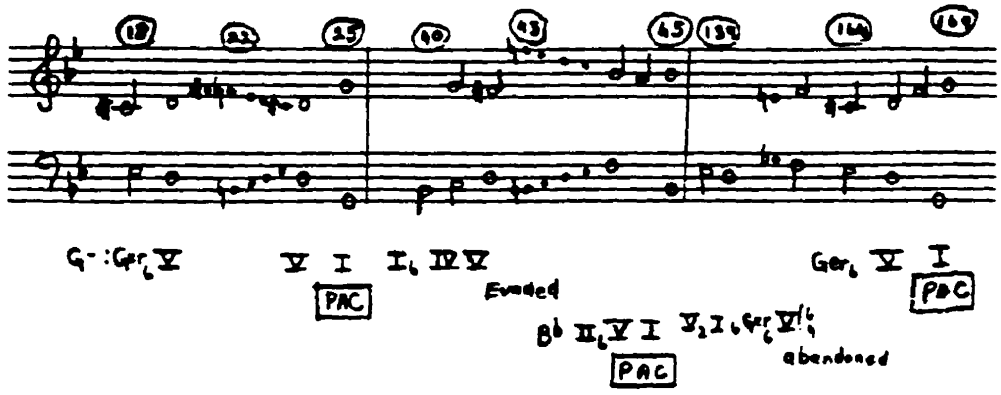
Ex. 5.19. Quartet in G Minor, D. 173, i,
subordinate theme

Ex. 5.19 cont'd

Sequence
Fragmentation
73
F+:
D-:
I+6
V
HC
79
D-: VI
ECP
91
D-: I+6
V(6/4 5/3)I V I V I
PAC

Ex. 5.20. Quartet in G Minor, D. 173, i,

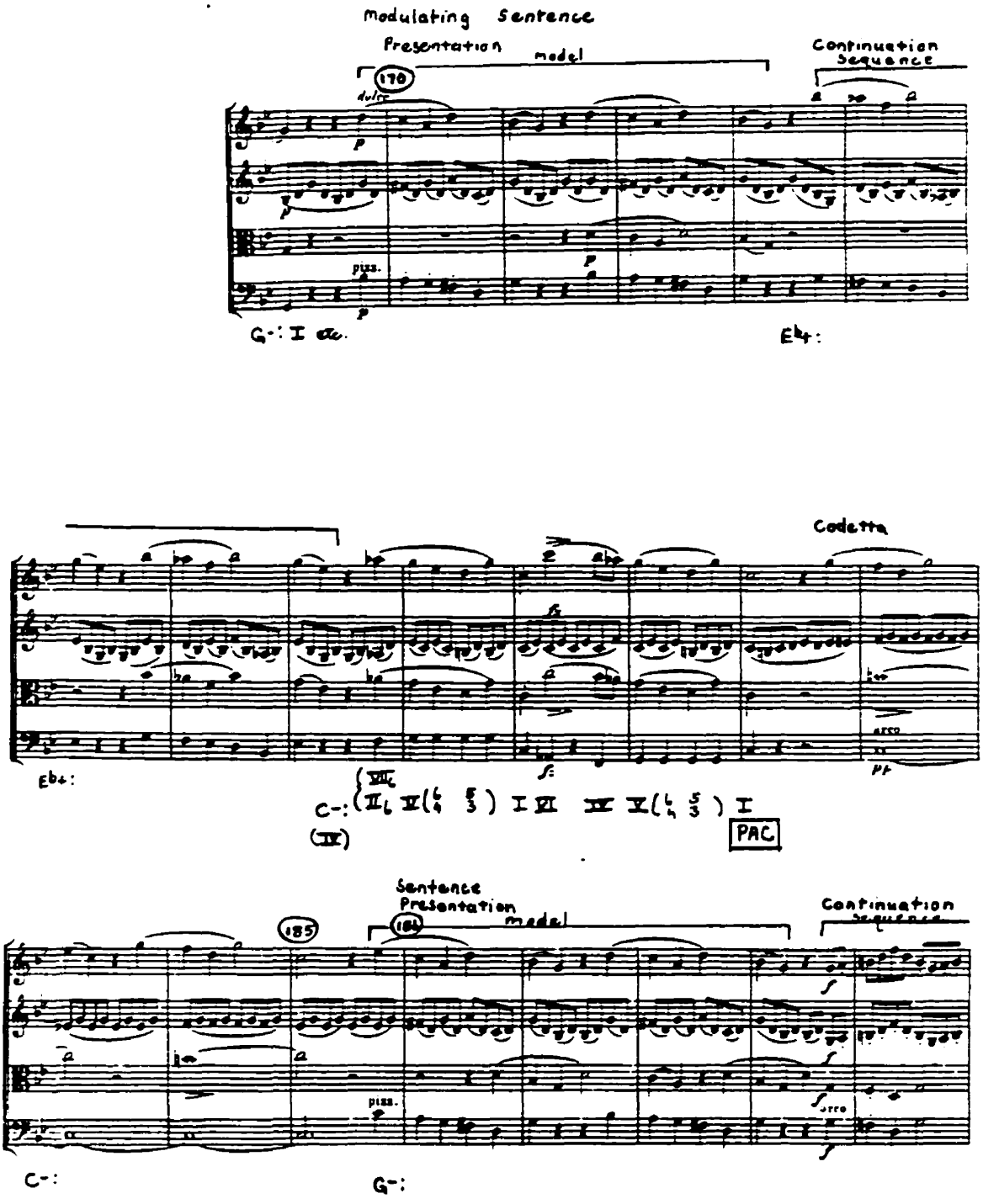
a) modulation back to G minor in recapitulation



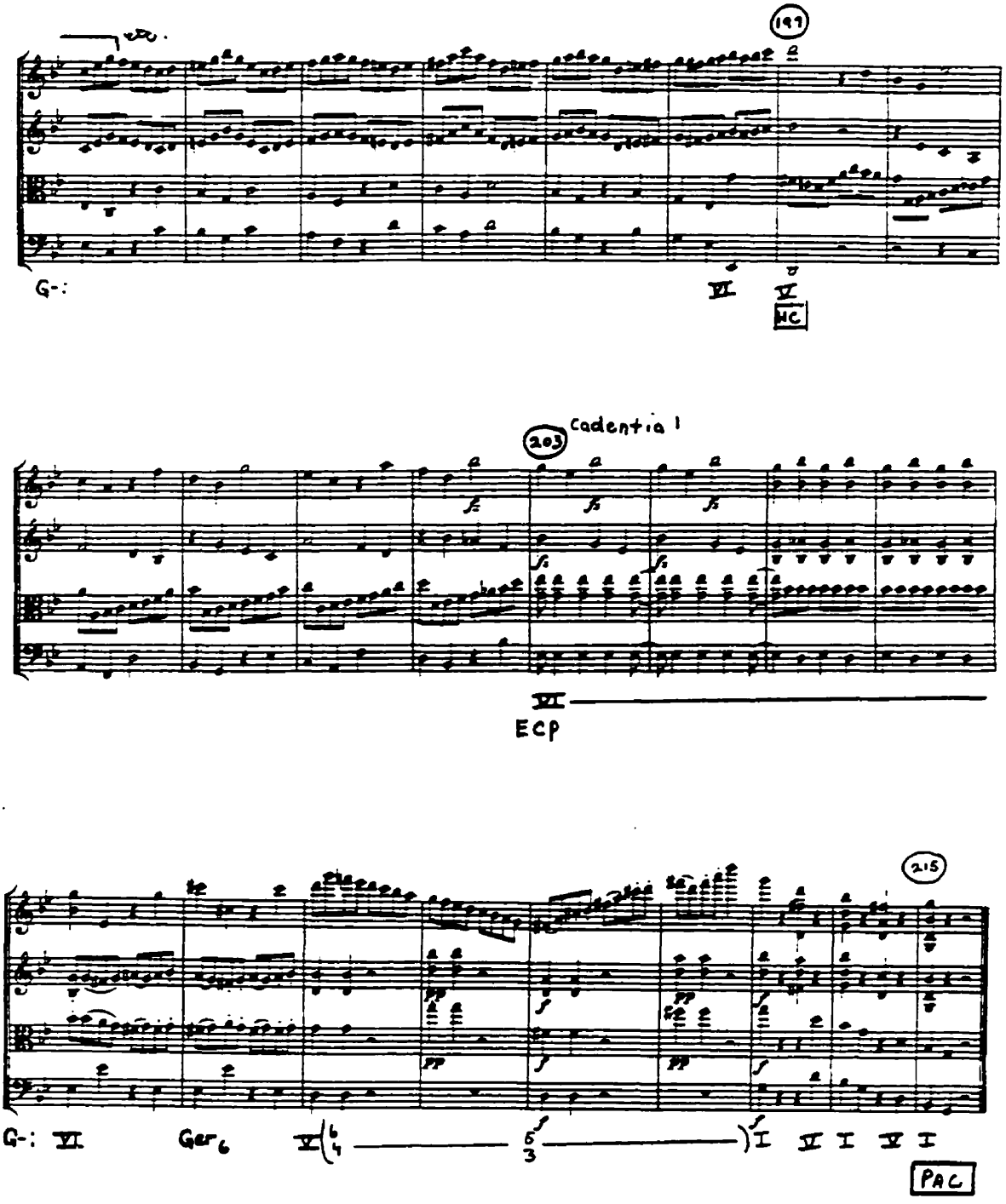
Ex. 5.20a cont'd

b) reduction of cadential strategy

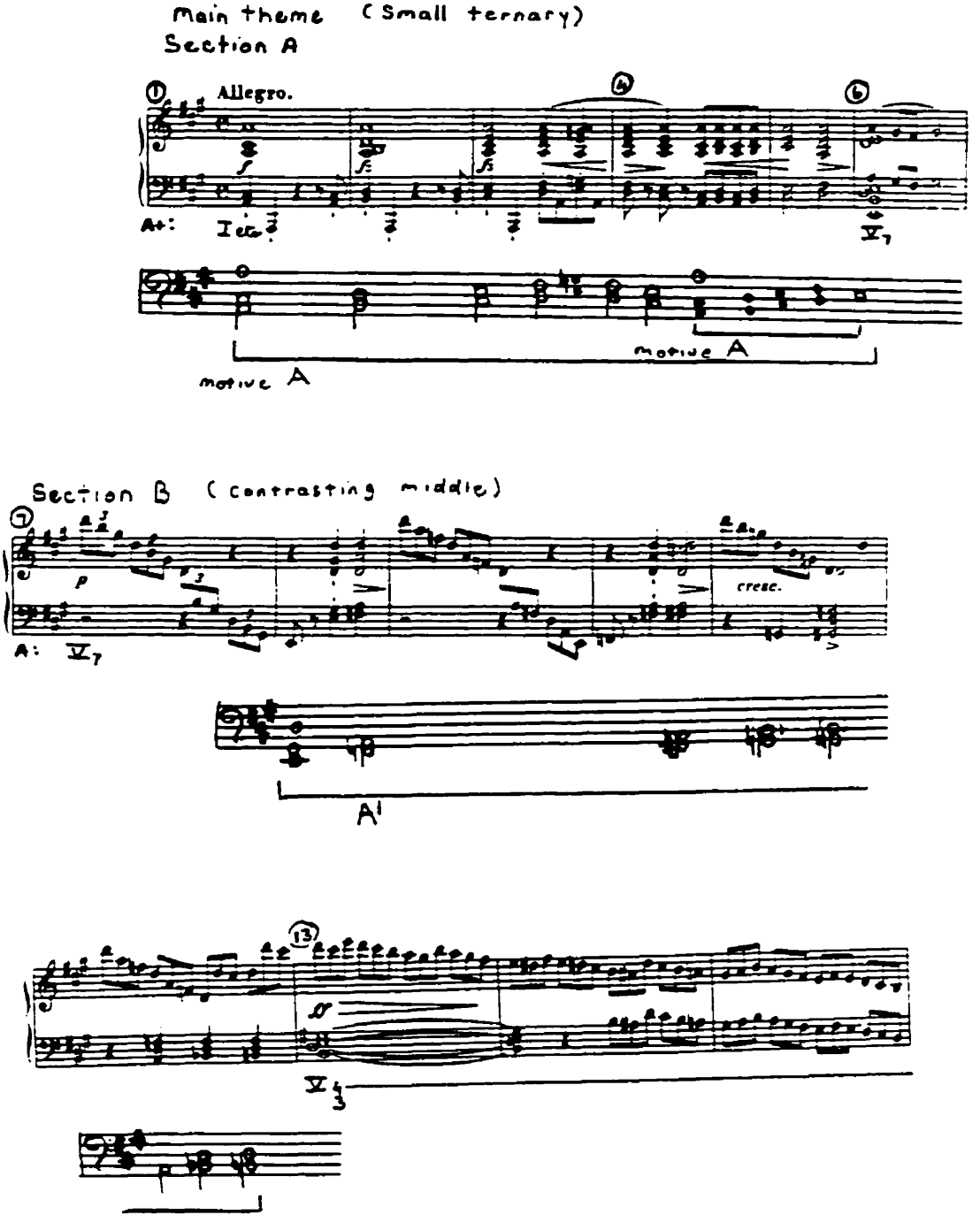
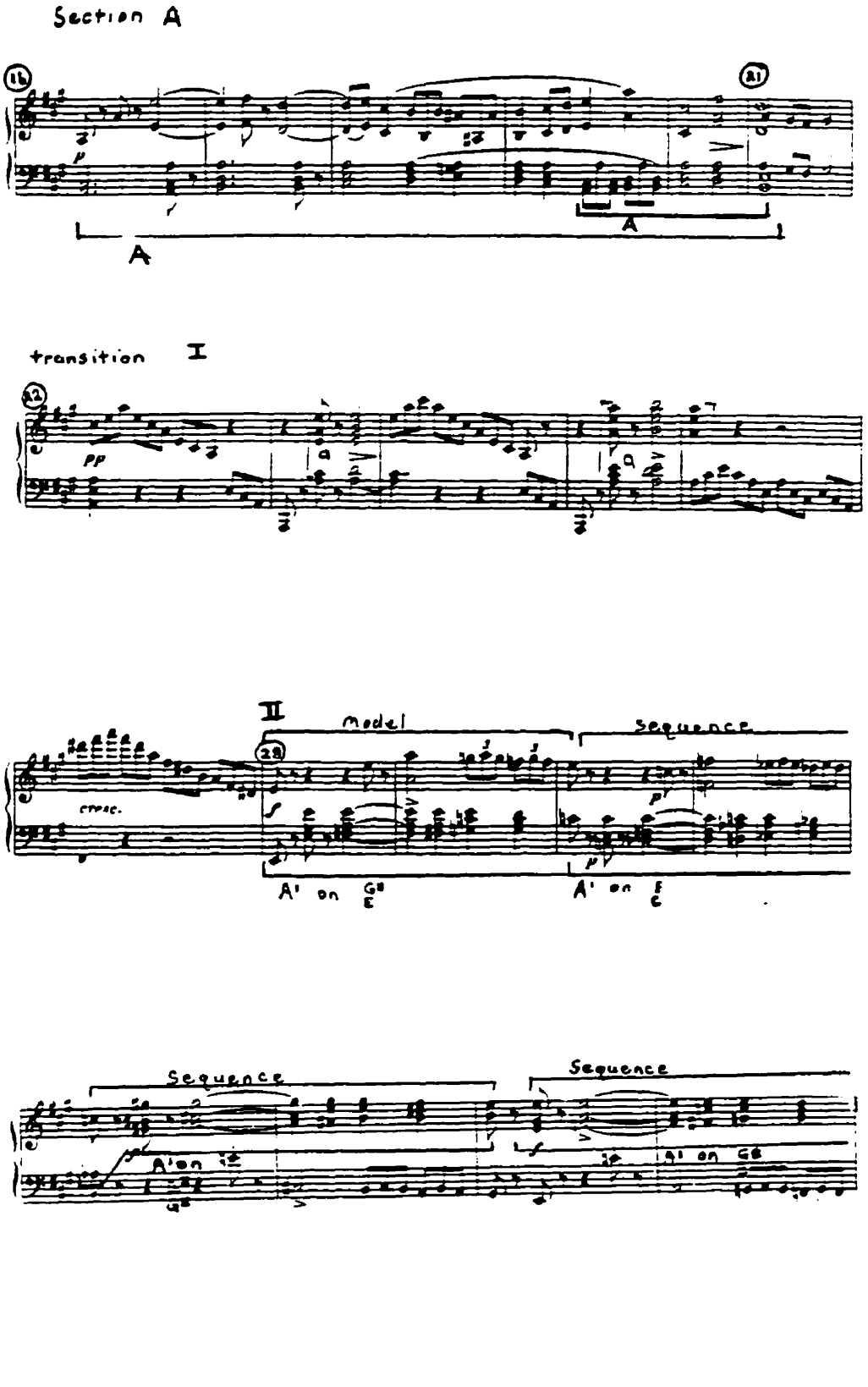


Ex. 5.21. Quartet in G Minor, D. 173, i, recapitulation, subordinate theme

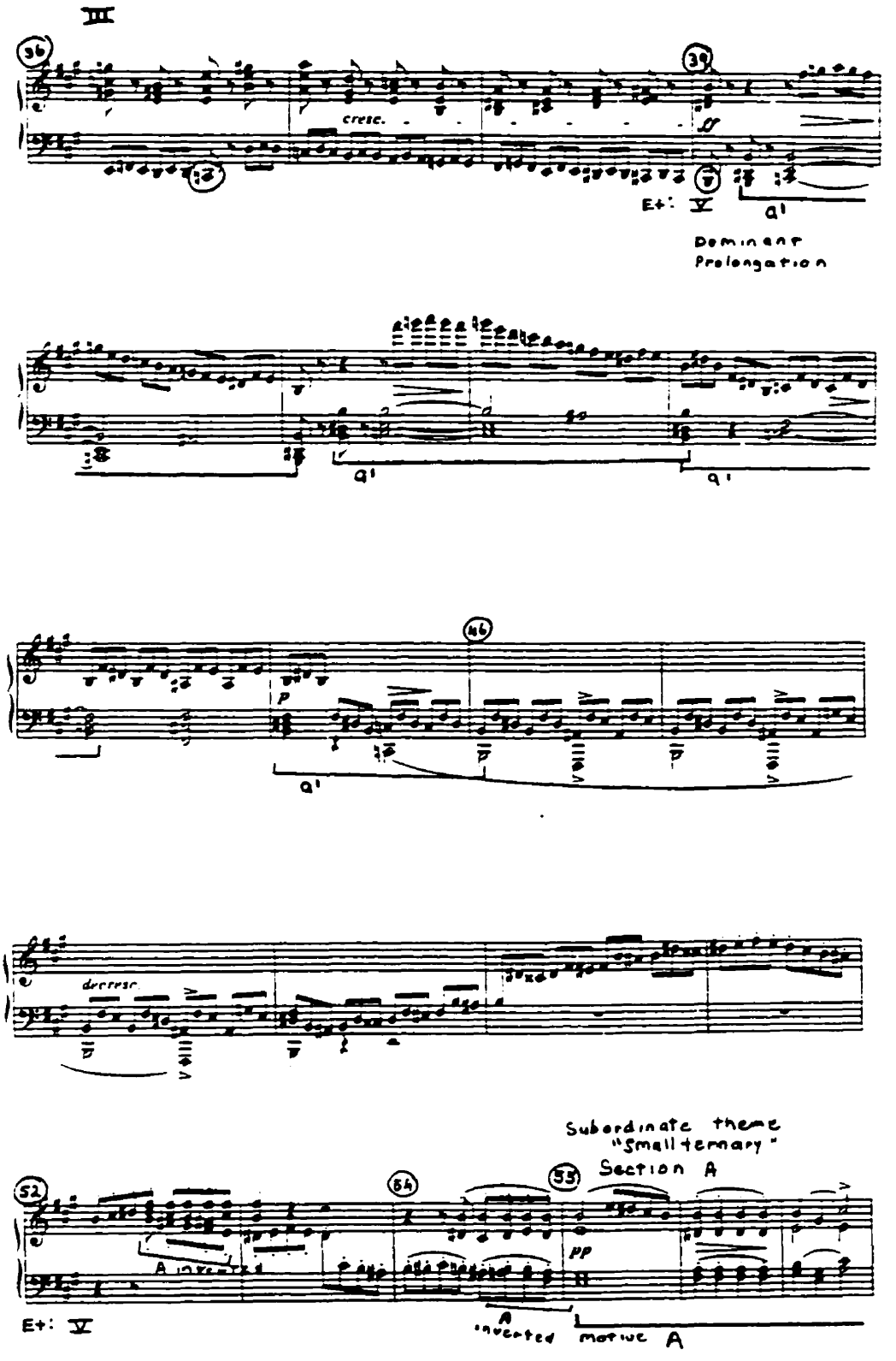


Ex. 5.21.cont'd

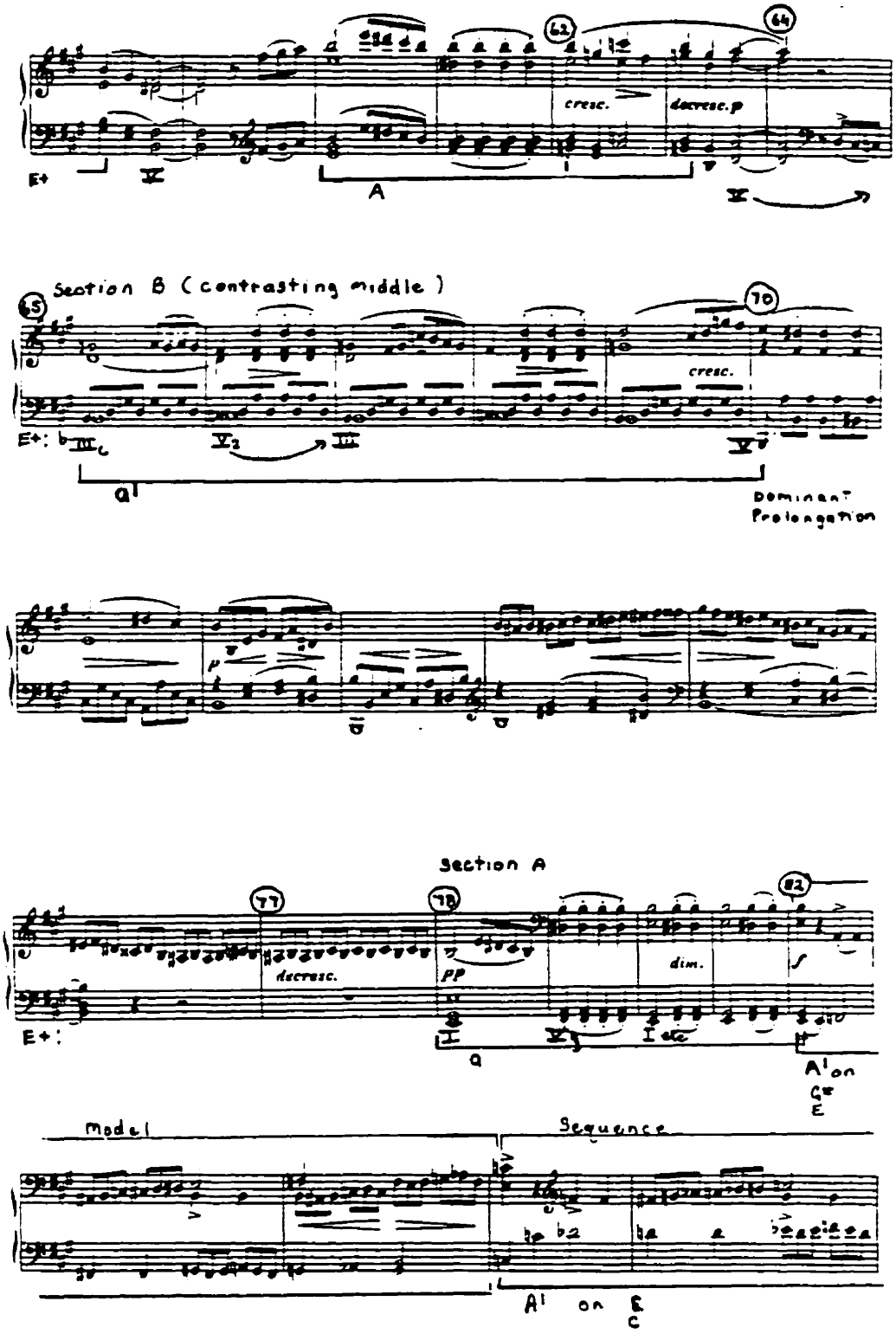


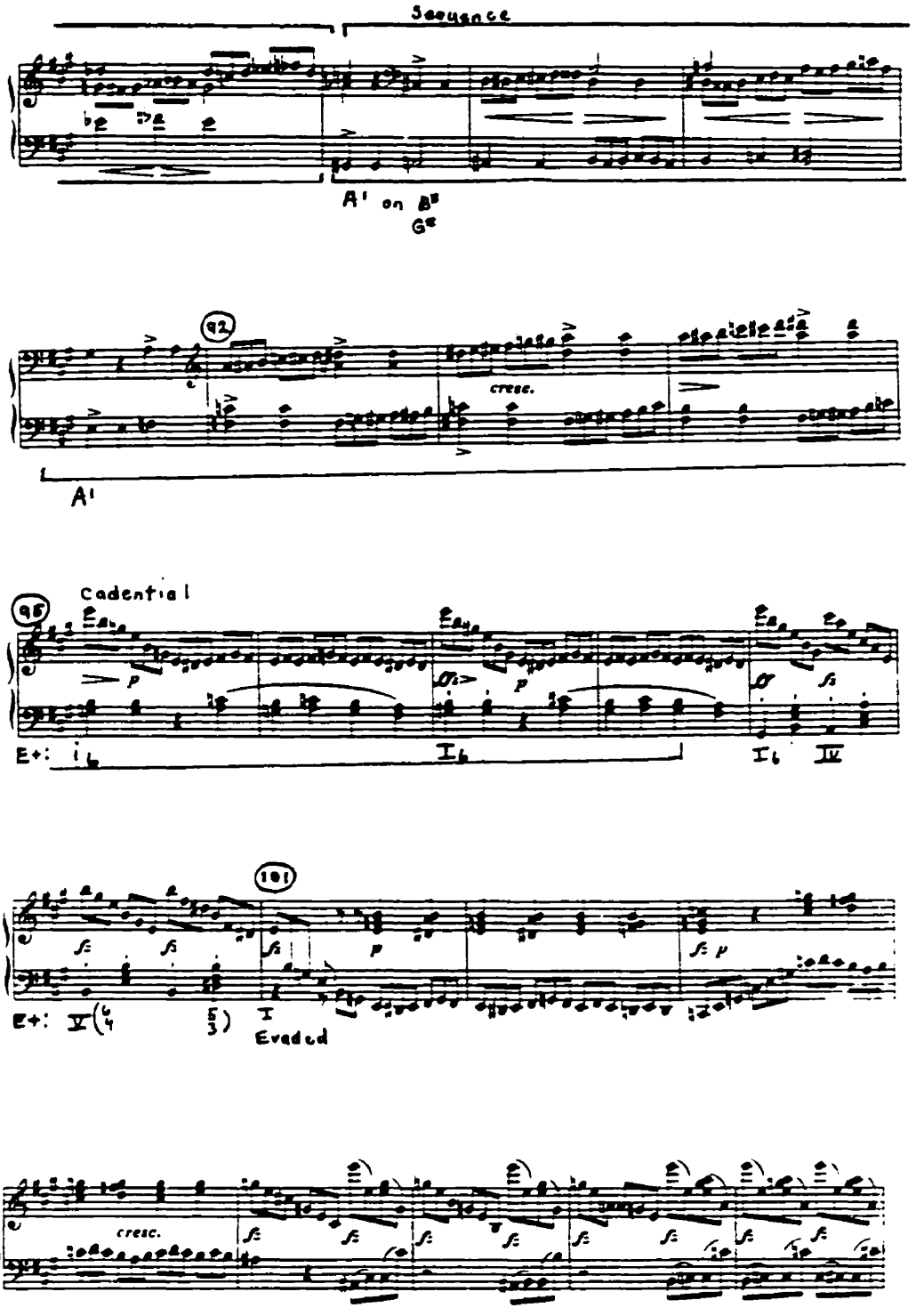
Ex. 6.1. Piano Sonata in A Major, D. 959, i, exposition

Ex. 6.1 cont'd

Section A
A
A
transition
I
model
sequence
A' on
A' on
Sequence
Sequence
A' on
A' on

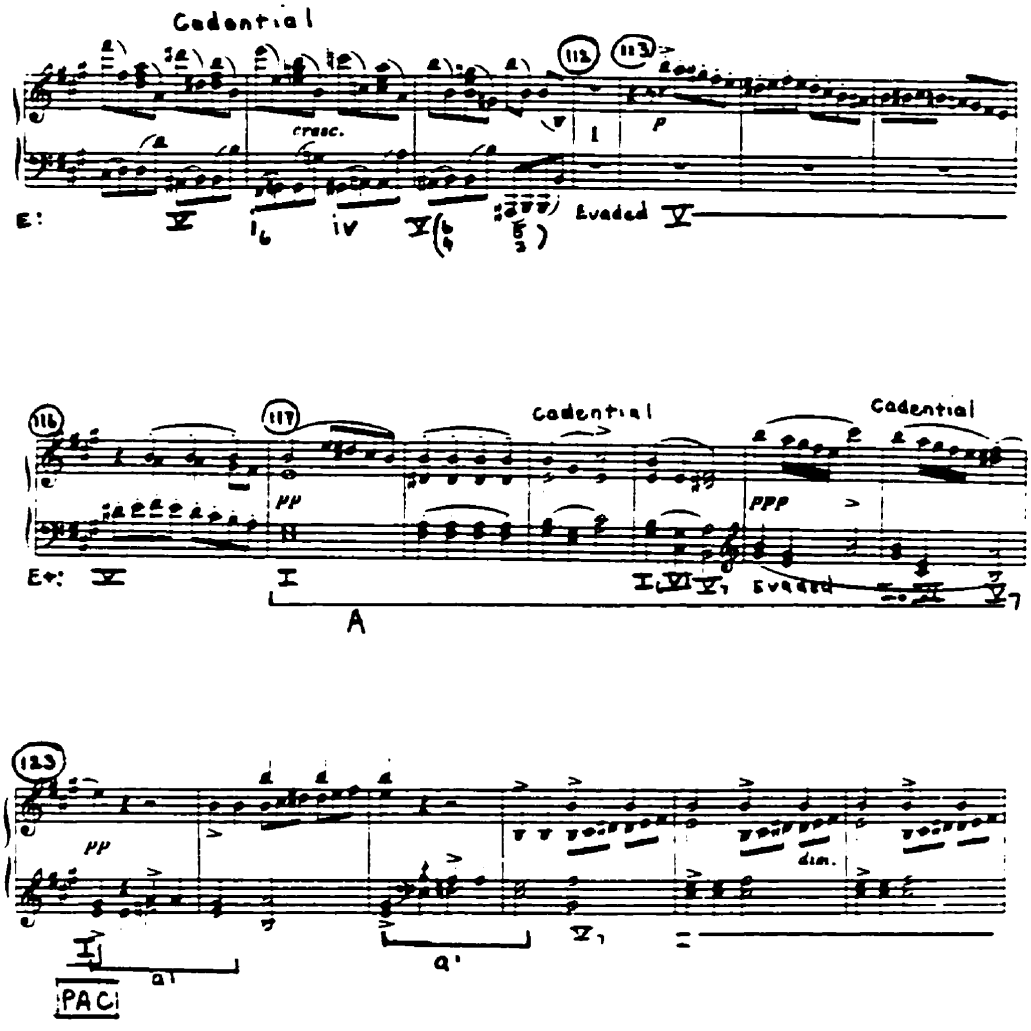
Ex. 6.1 cont'd


III
36
39
cresc.
ff
E+: V
a1
Dominant
Prolongation
a1
a1
46
p
a1
dimin.
Subordinate theme
"Small ternary"
52
54
55
Section A
pp
A inverted
E+: V
A
inverted
motive A

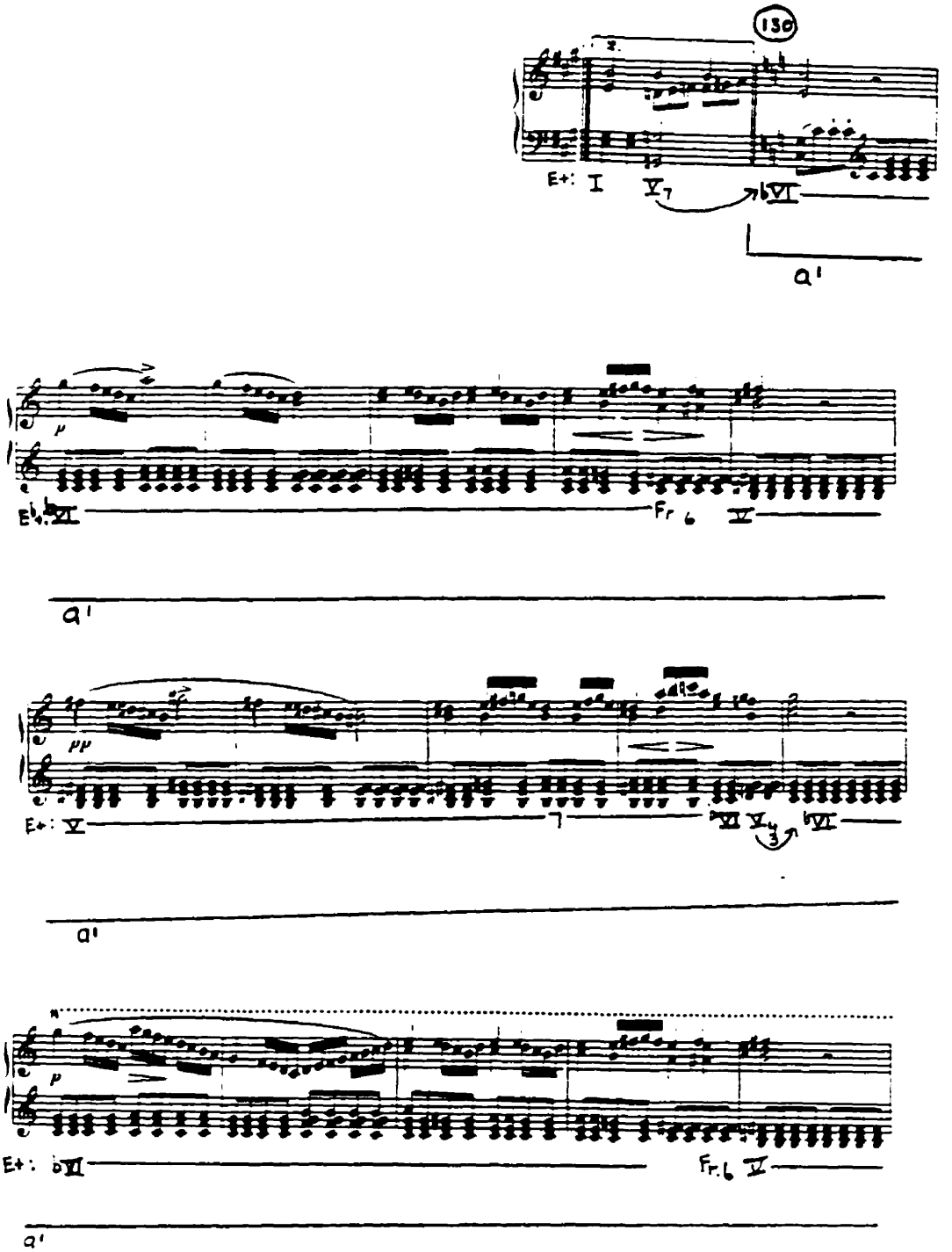
Ex. 6.1 cont'd


62
64
cresc.
decresc.p
E+
A
Section B (contrasting middle)
65
70
cresc.
E+: bIII
V2
III
V
a'
Dominant Prolongation
Section A
77
78
82
decresc.
pp
dim.
E+:
I
V
I etc.
a
A' on C E
Model
Sequence
A' on E C

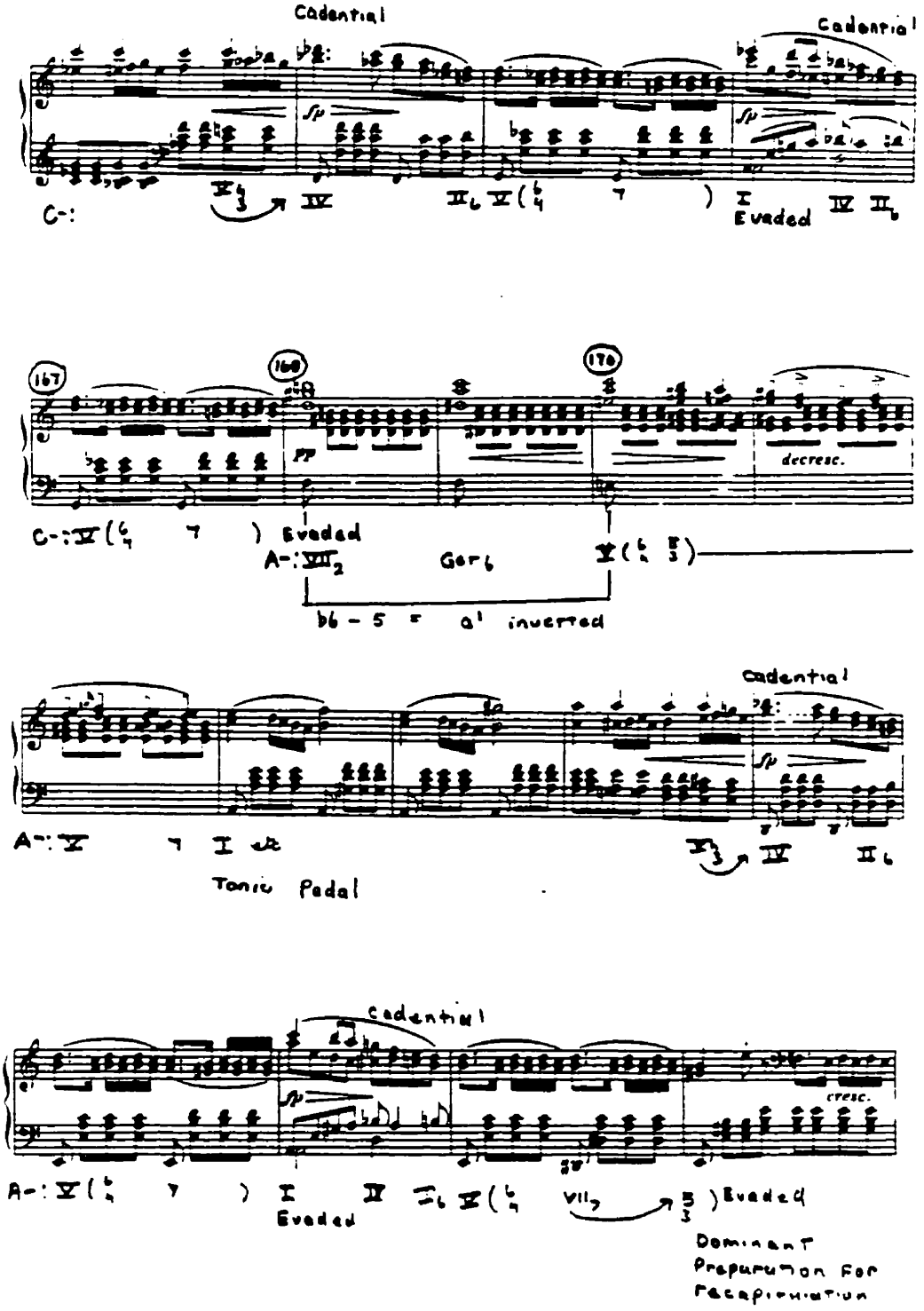
Ex. 6.1 cont'd

Ex. 6.1 cont'd

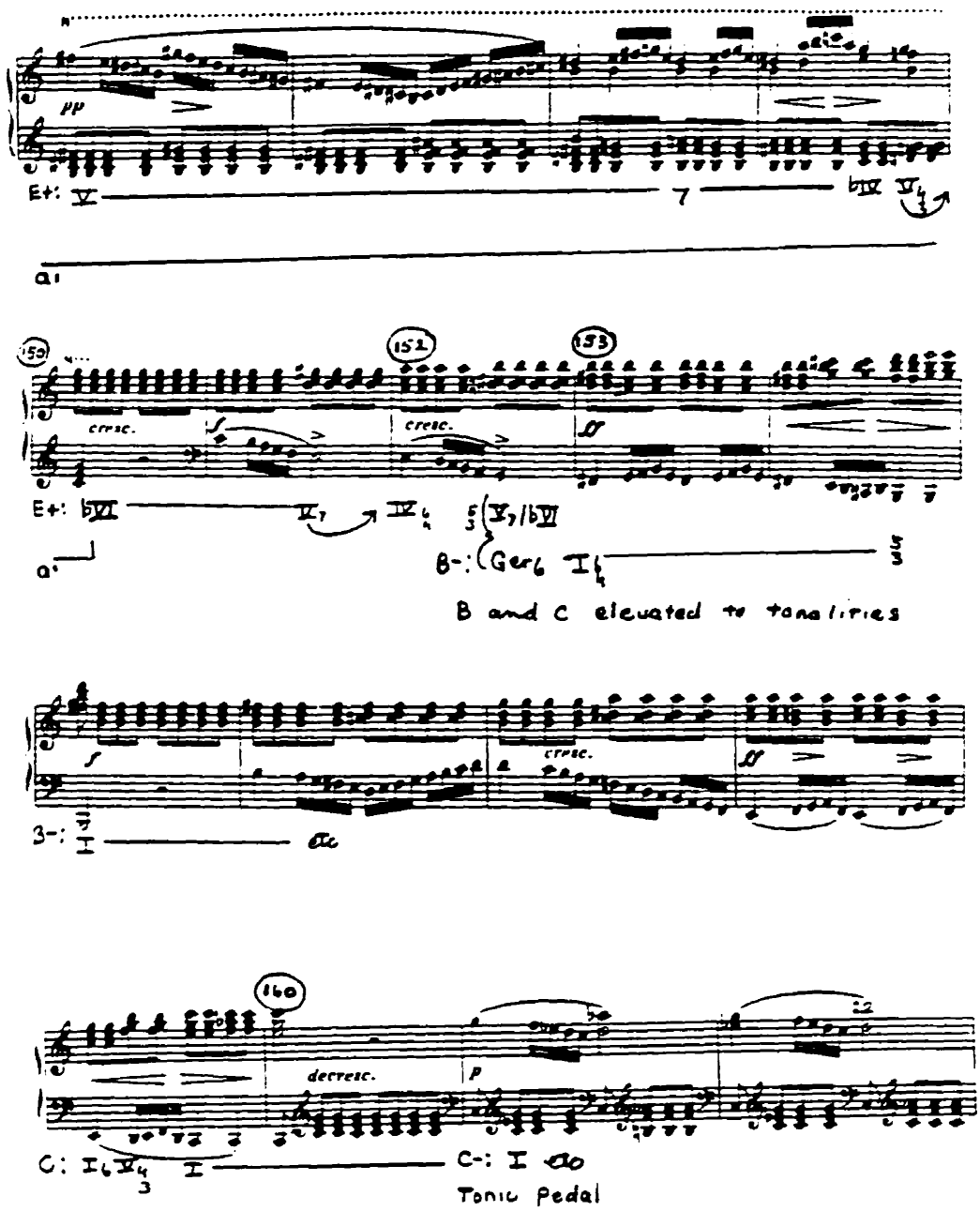

Cadential
112
113
cresc.
p
E:
I
I6
iv
V(6/4 5/3)
Evaded V
116
117
Cadential
Cadential
pp
ppp
E♭:
I
I, VI V7
Evaded
A
123
pp
dim.
I
PAC
a
a'
V7

Ex. 6.2. Piano Sonata in A Major, D. 959, i,
development section

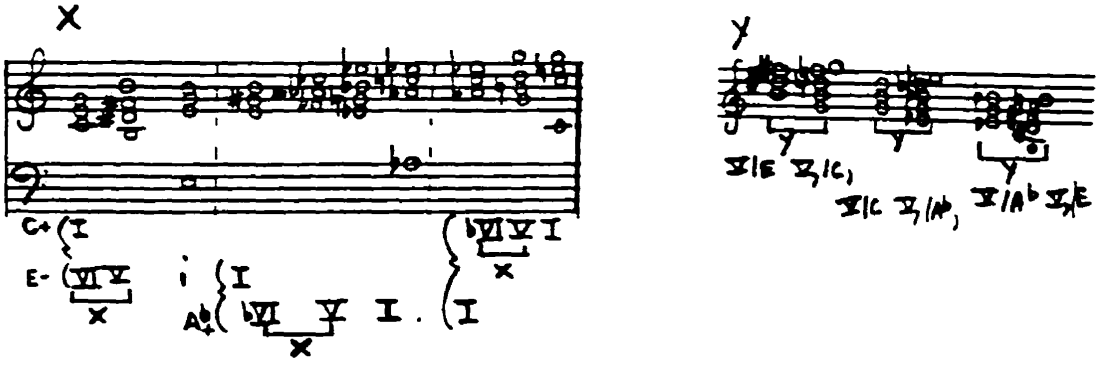


Ex. 6.2 cont'd

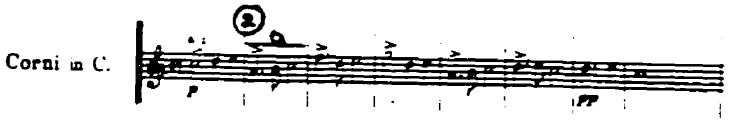

Cadential
Cadential
sfp
C-:
Evaded
167
168
176
pp
decresc.
C-:
Evaded
A-:
Ger6
b6 - 5 - a' inverted
Cadential
sfp
A-:
Tonic Pedal
Cadential
sfp
cresc.
A-:
Evaded
Evaded
Dominant
Preparation for
Recapitulation

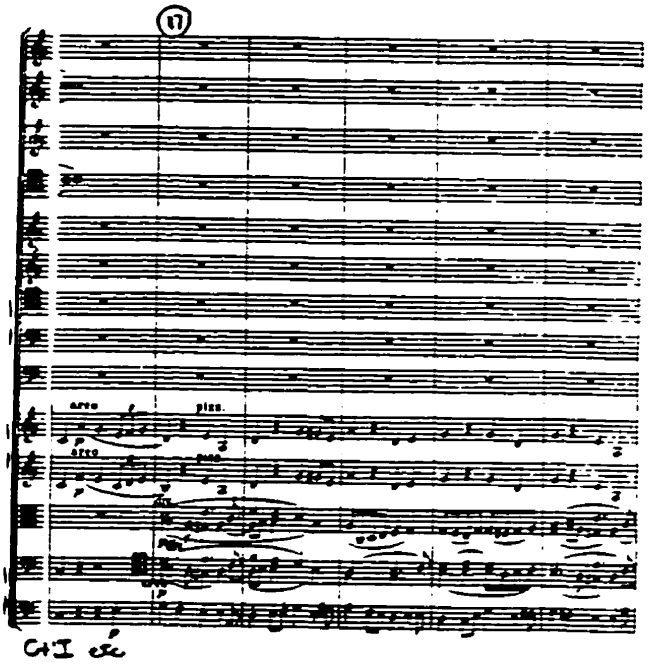
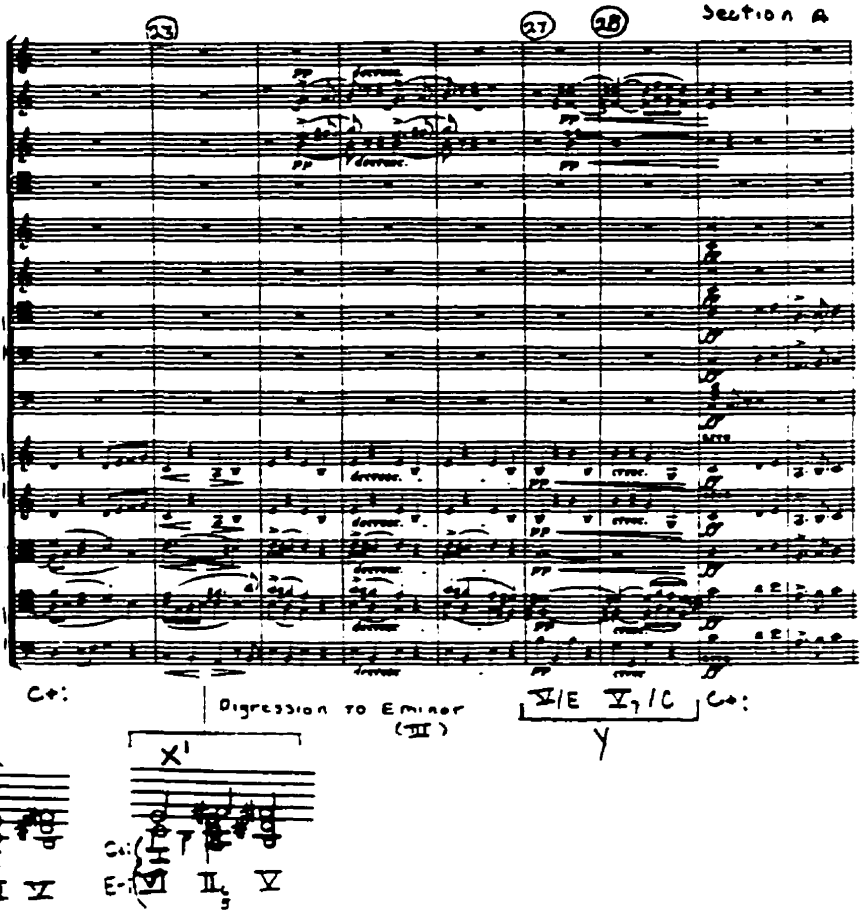
Ex. 6.2 cont'd

pp
E+: V 7 ♭VI V
a:
151
152
153
cresc.
cresc.
ff
E+: ♭VI V7 IV
a:
B-: Ger6 I
B and C elevated to tonalities
f
cresc.
ff
3-: I etc
160
decresc.
p
C: I6 IV I
C-: I etc
Tonic Pedal

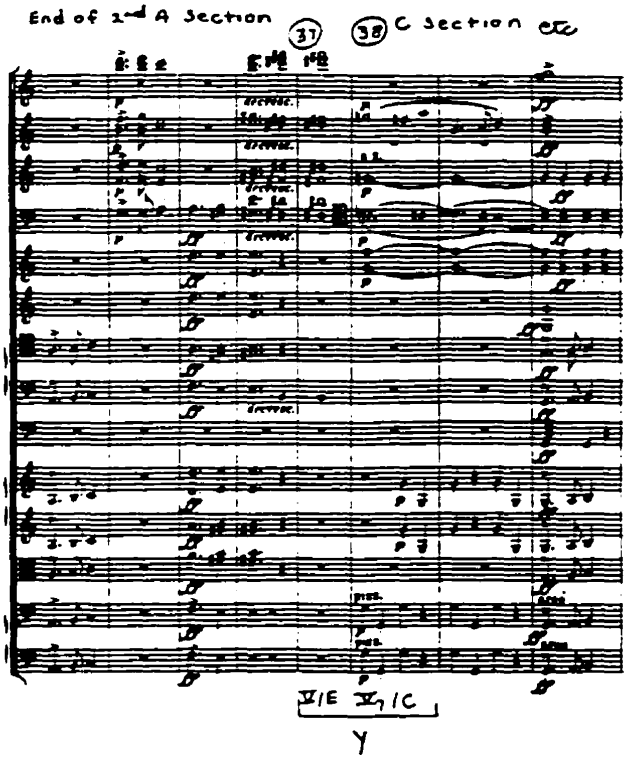
Ex. 6.3. Symphony in C Major, "The Great," D. 944, i,
a) main keys and their connections (motives x and y)

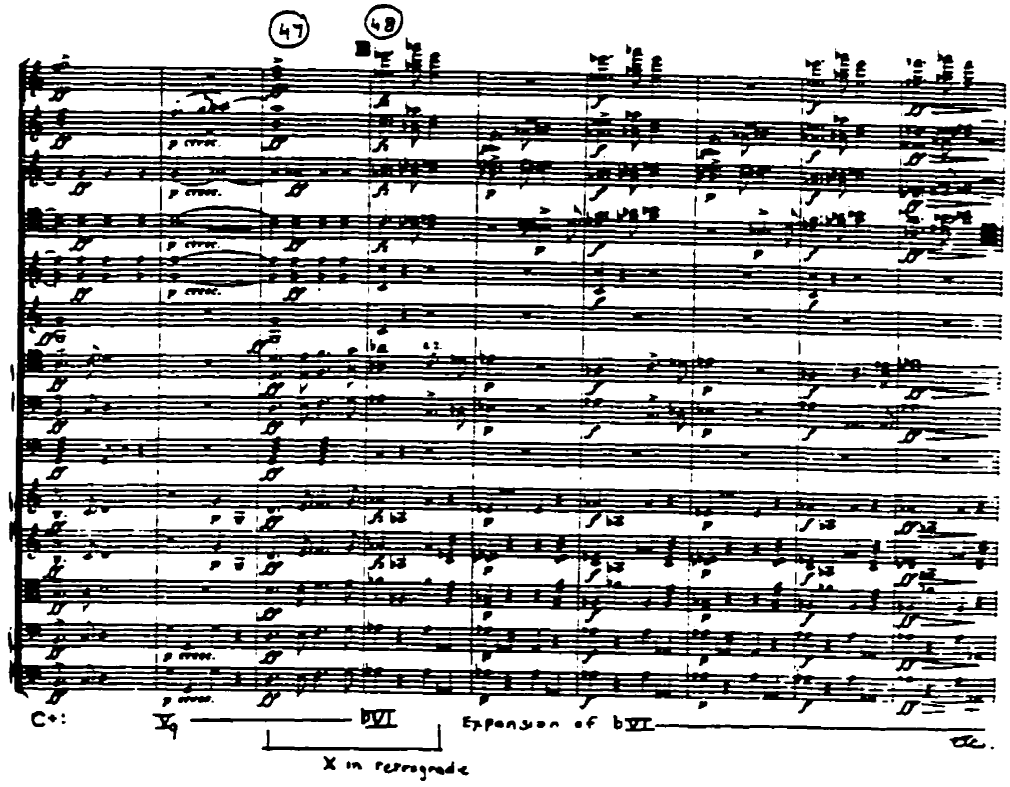


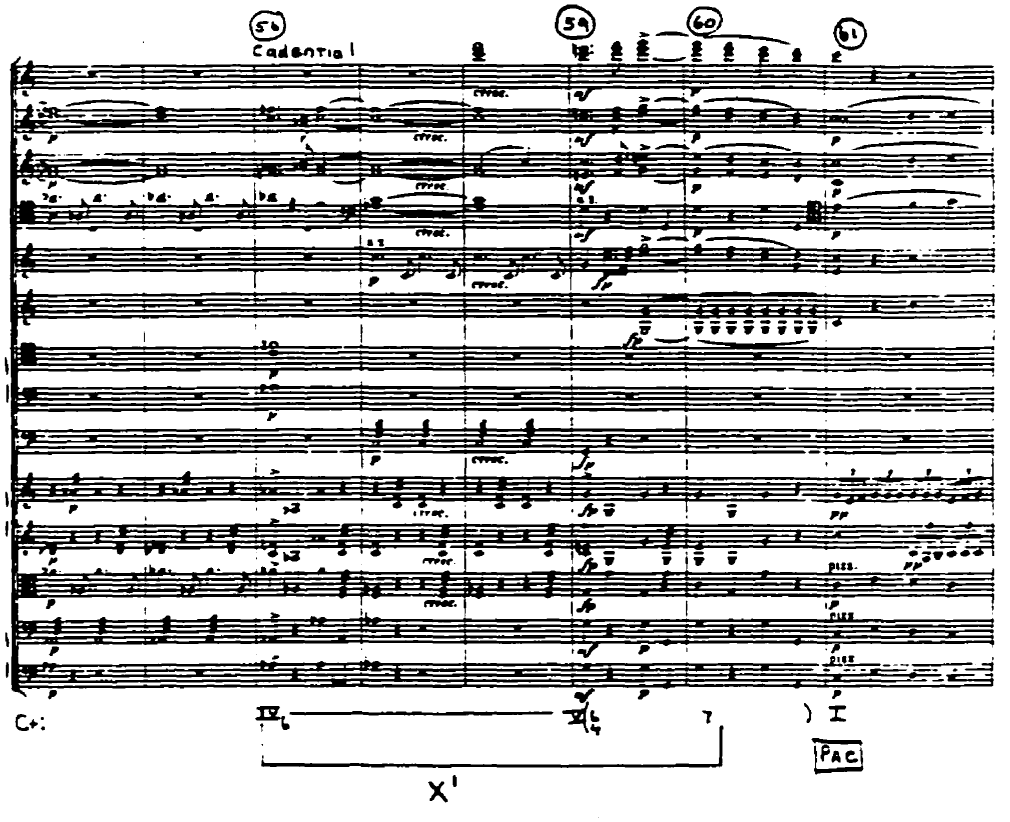
b) overview of main sections of introduction
i) section A, first statement (bb. 1-8)



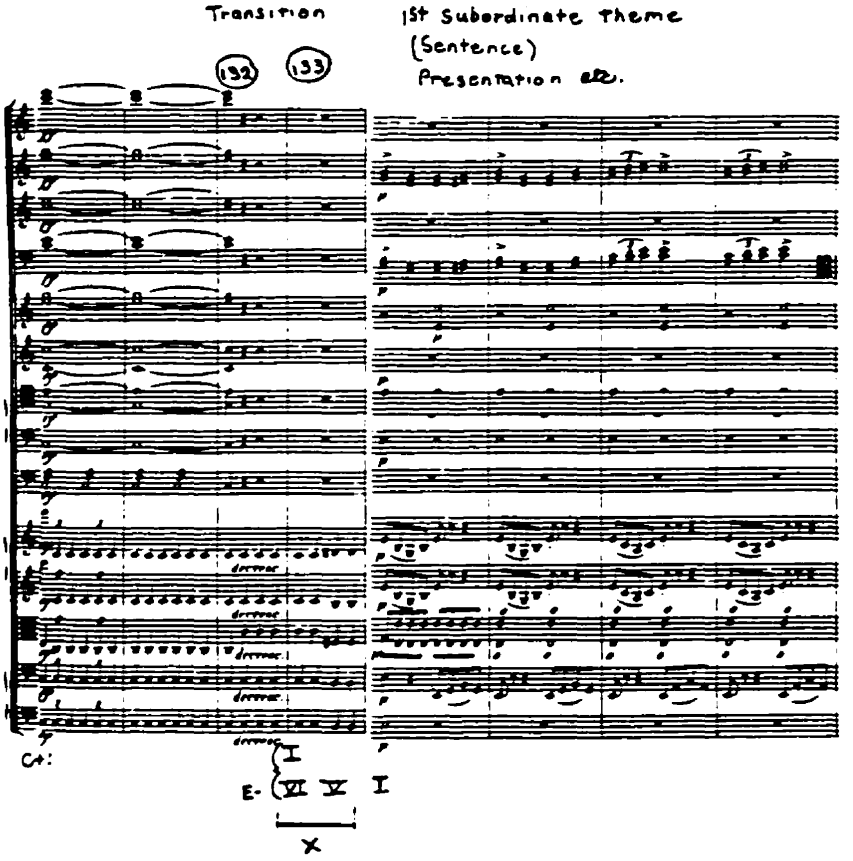
ii) section B

17
C+I

23
27
28
Section A
C+:
Digression to E minor
(III)
V/E V7/C
C+:
Y
X
C+:
E-
X'
C+:
E-

iii) end of second A section and beginning of C section

iv) end of C section and second return of A

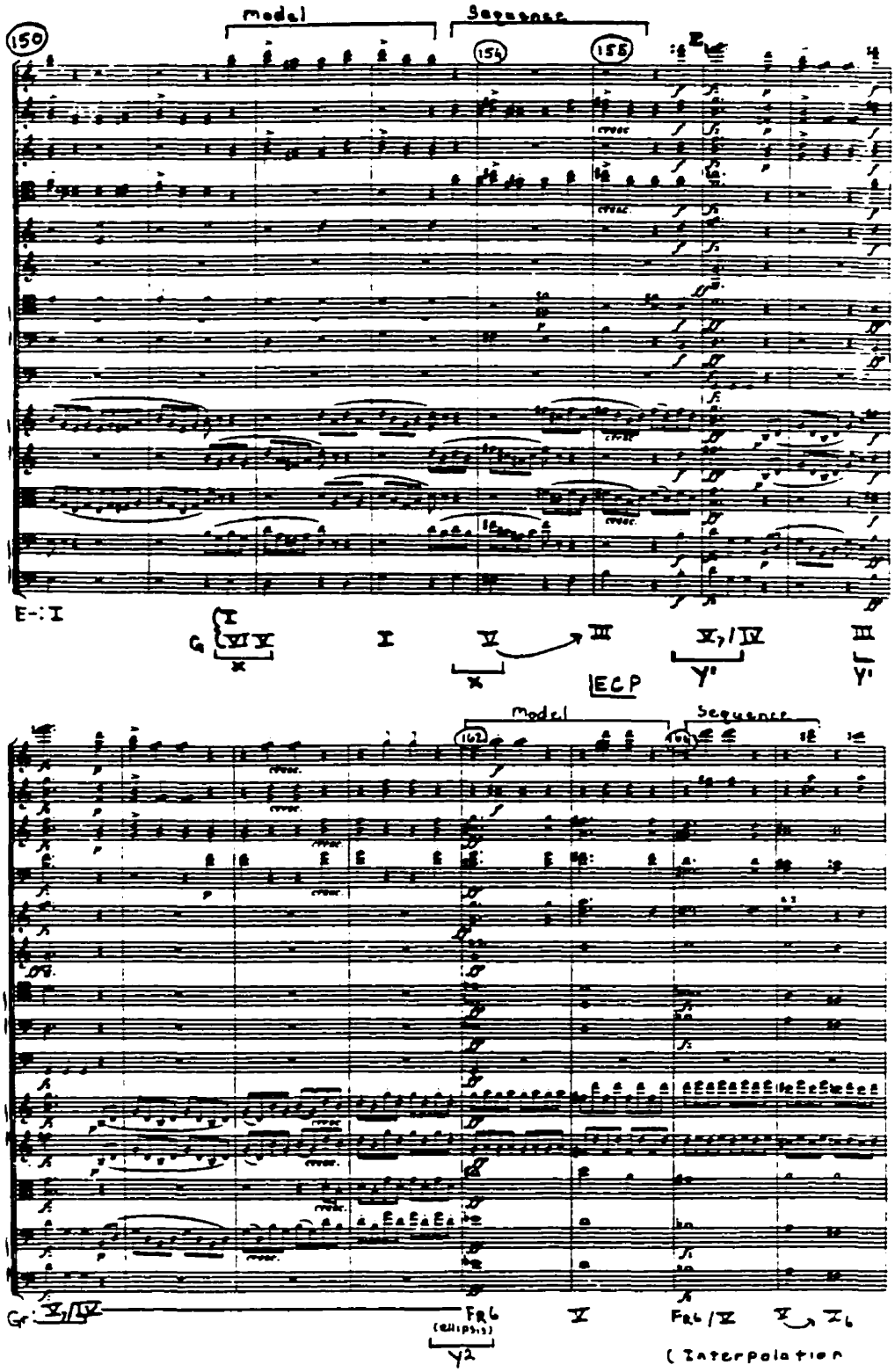


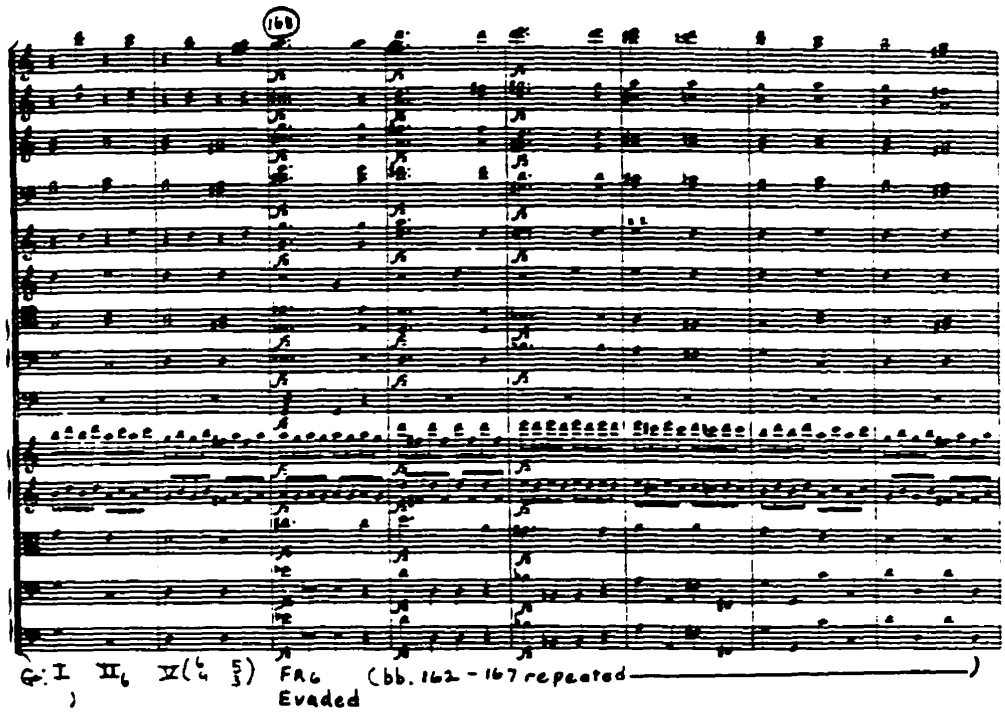
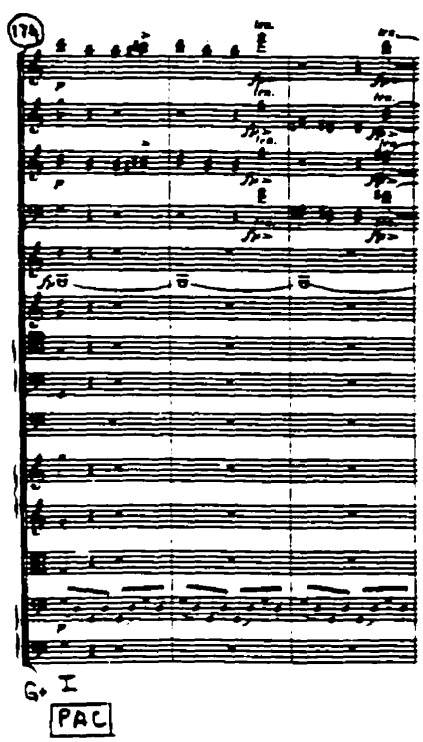


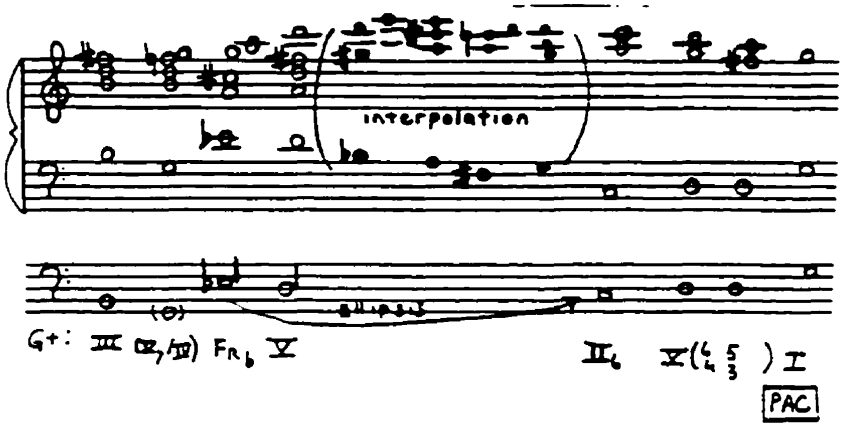
Ex. 6.4. Symphony in C Major, D. 944, i,
transition and beginning of subordinate theme group

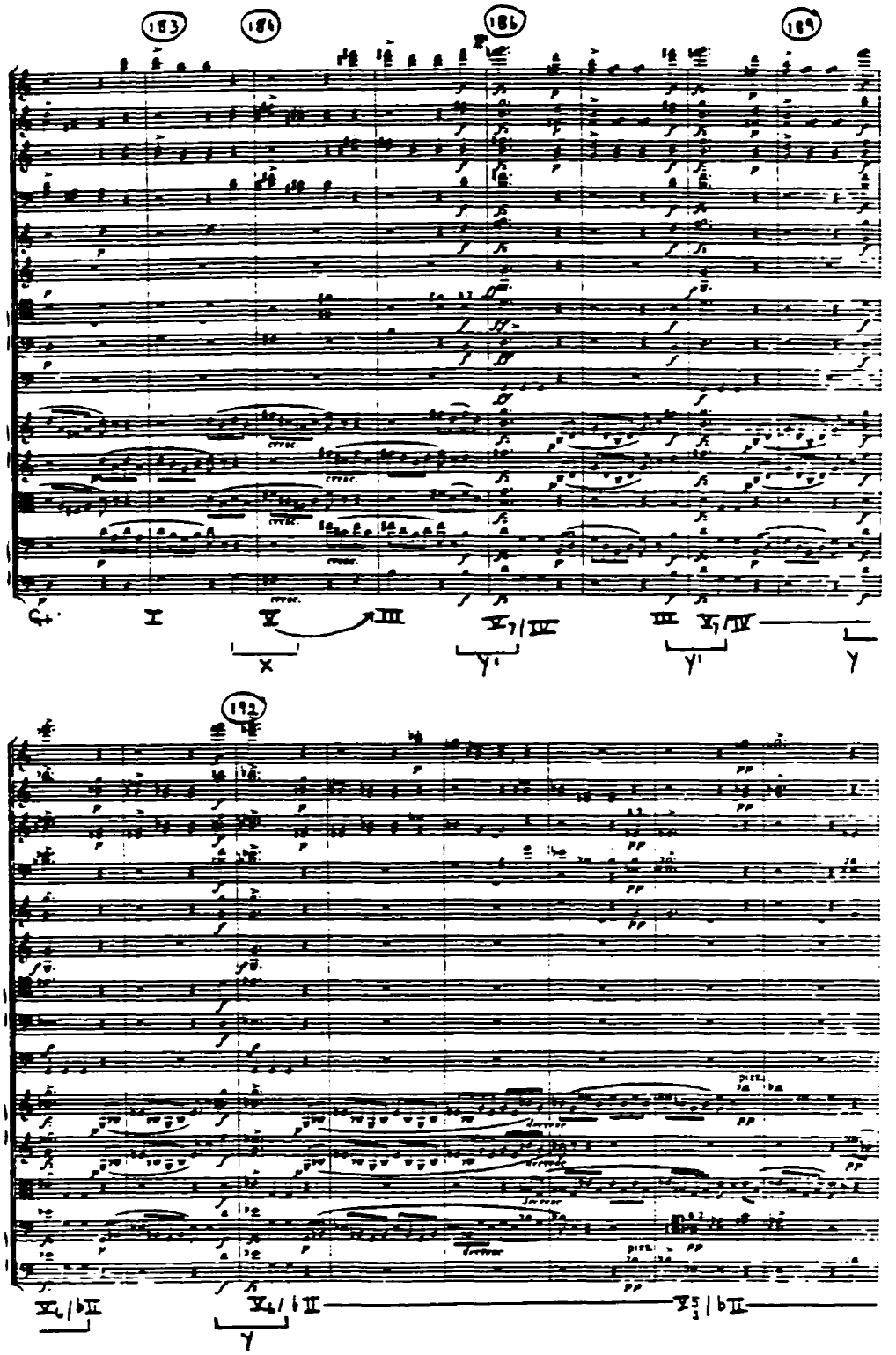


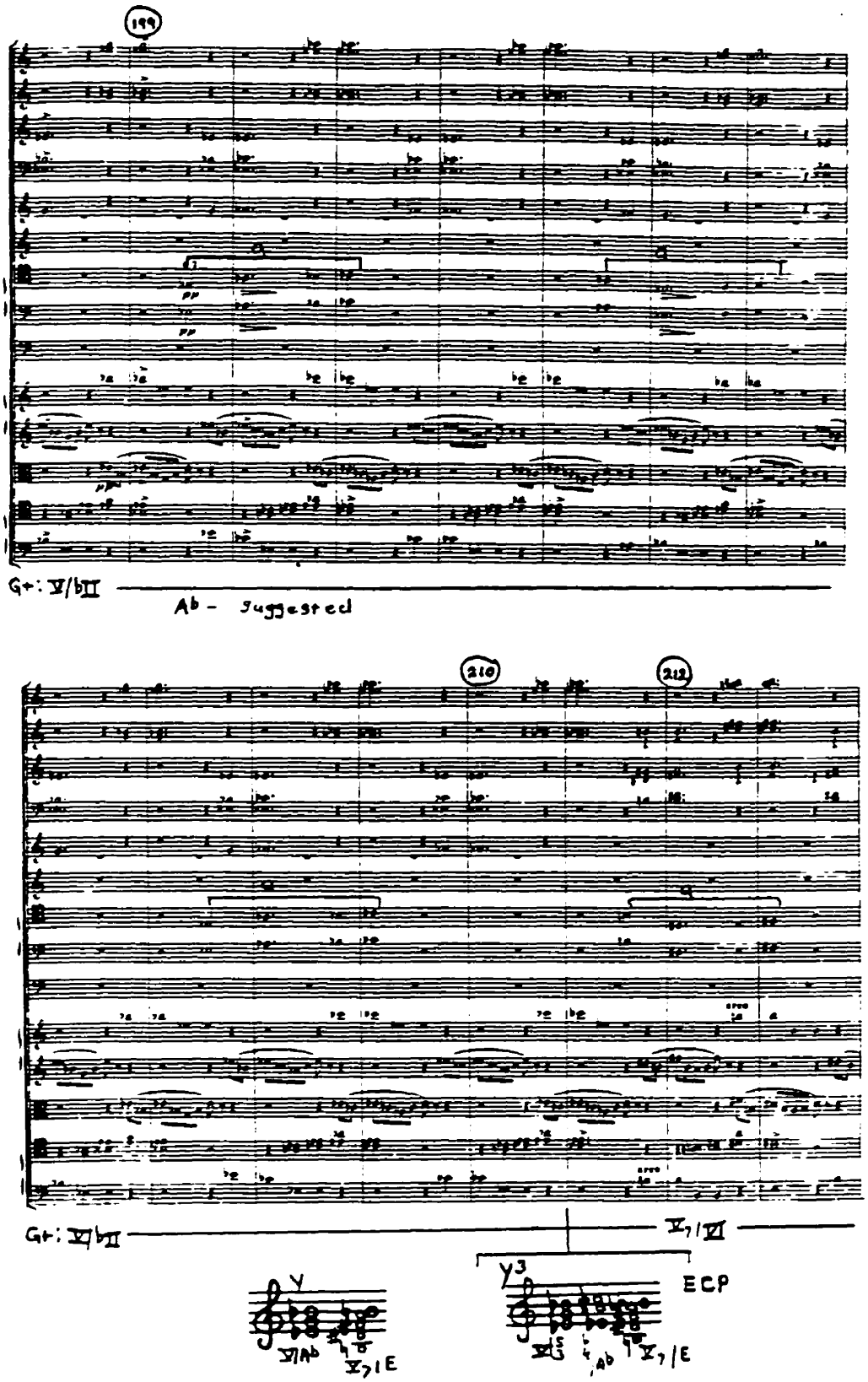
Ex. 6.5. Symphony in c Major, D. 944, i,
a) continuation of first subordinate theme

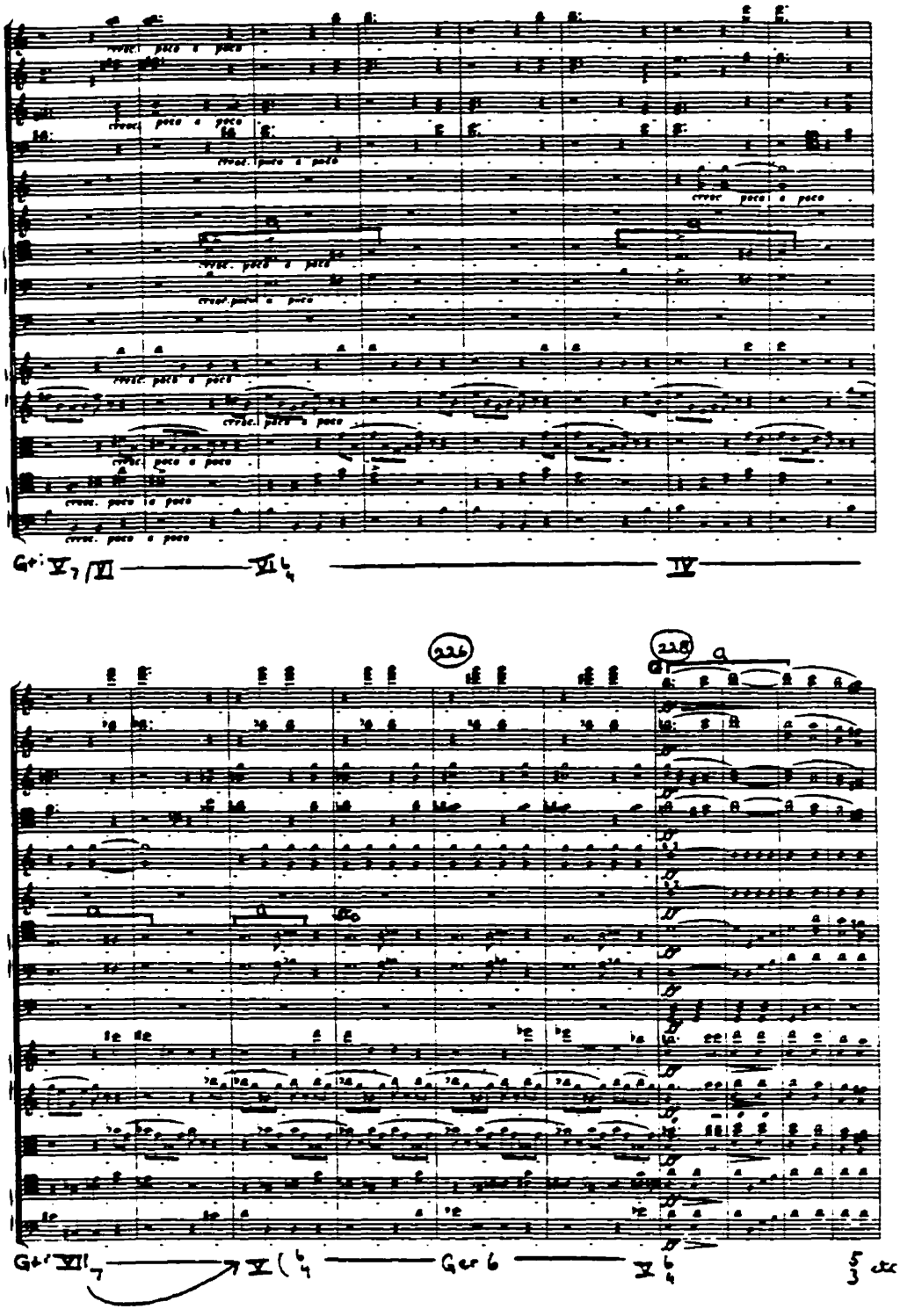


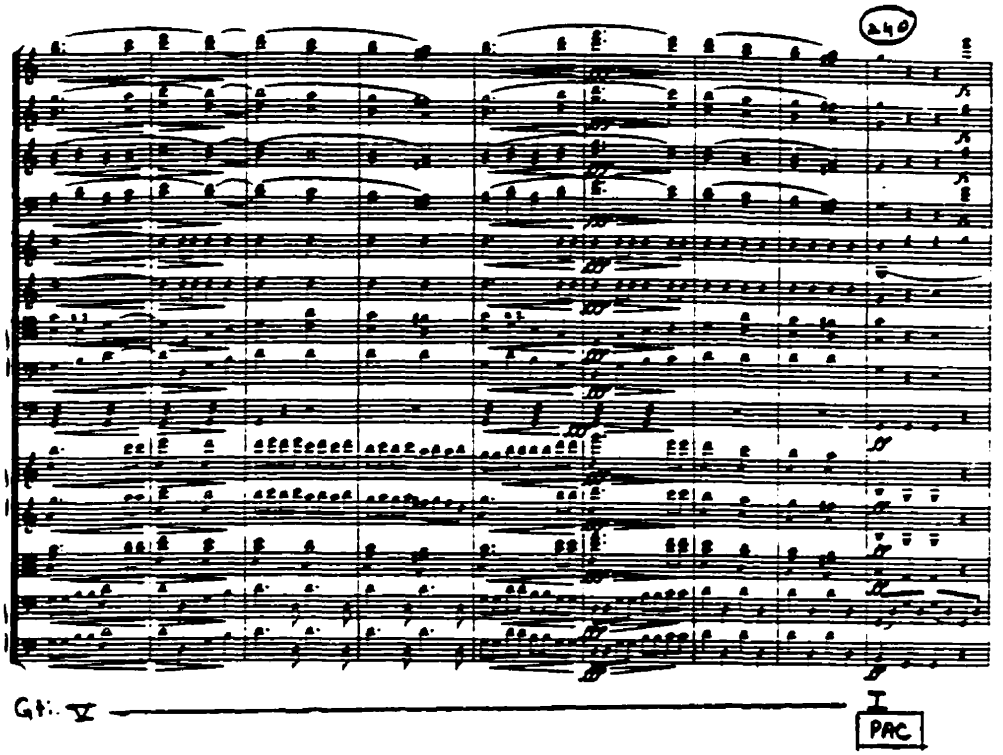
Ex. 6.5a cont'd

b) harmonic reduction of ECP



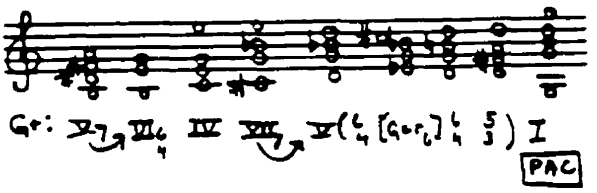
Ex. 6.6. Symphony in C Major, D. 944, i,
a) subordinate theme group, continuation of second sentence

Ex. 6.6a cont'd


199
Gtr: V/bII
Ab - suggested
210
212
Gtr: V/bII
V7/VI
V
V7/E
V3
ECP
V7/E

Ex. 6.6a cont'd

Ex. 6.6a cont'd

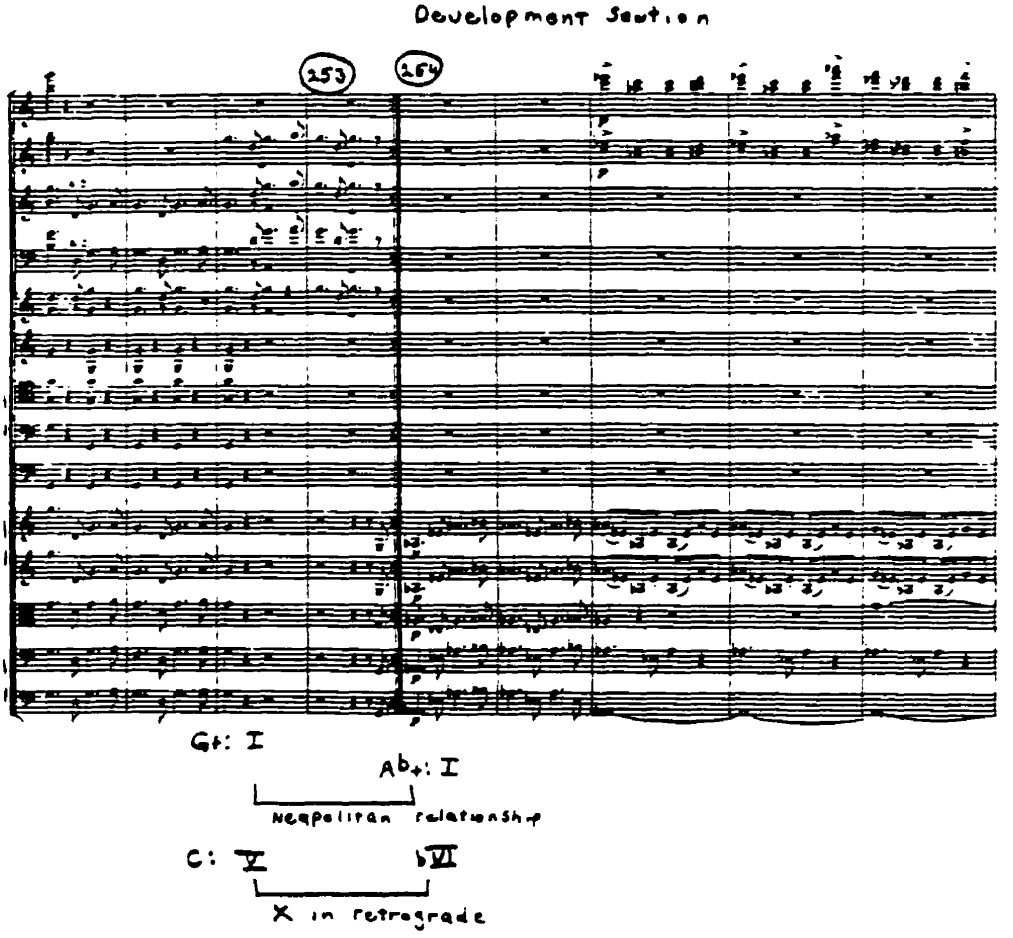


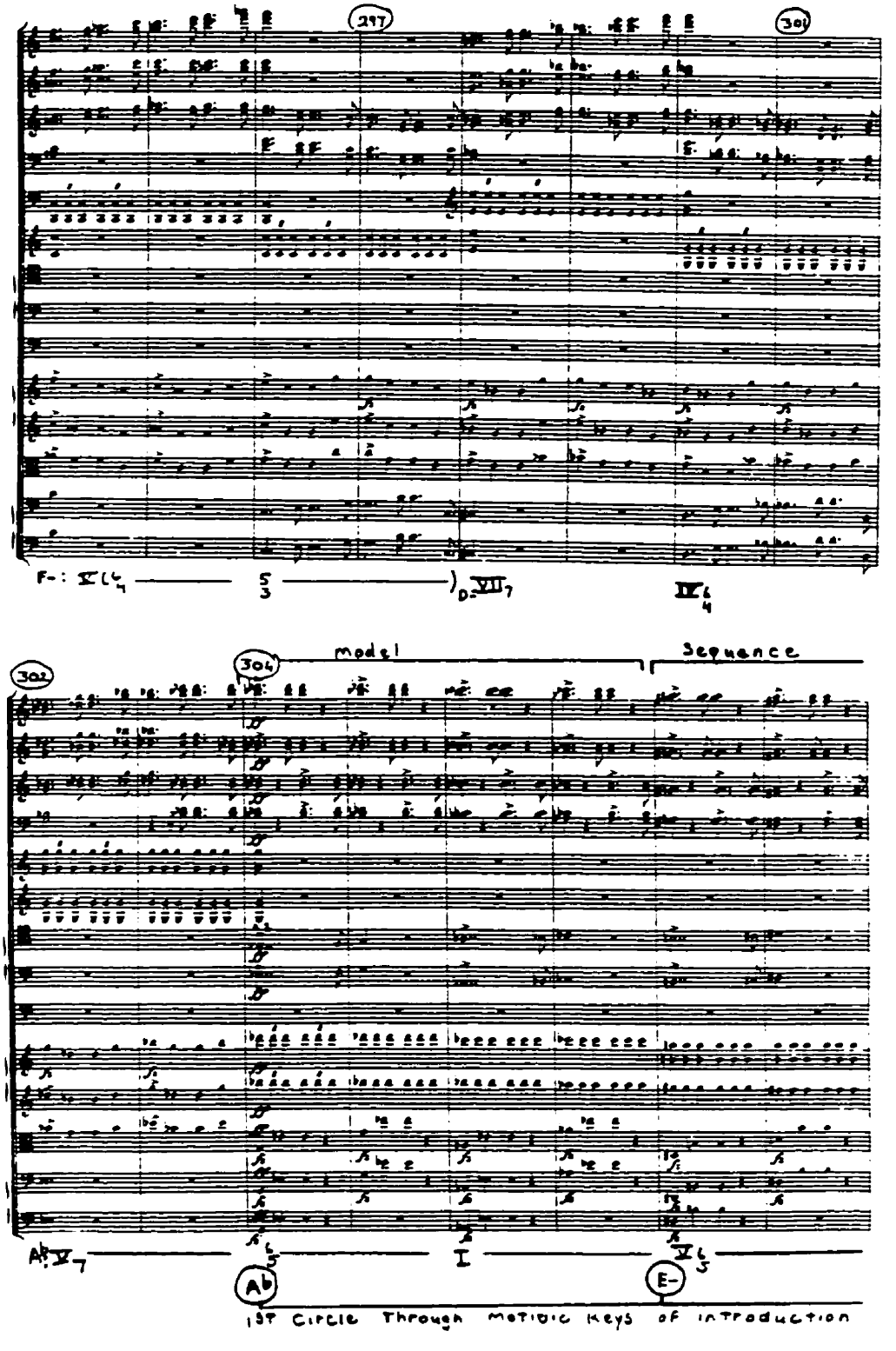
b) harmonic reduction of concluding cadential progression

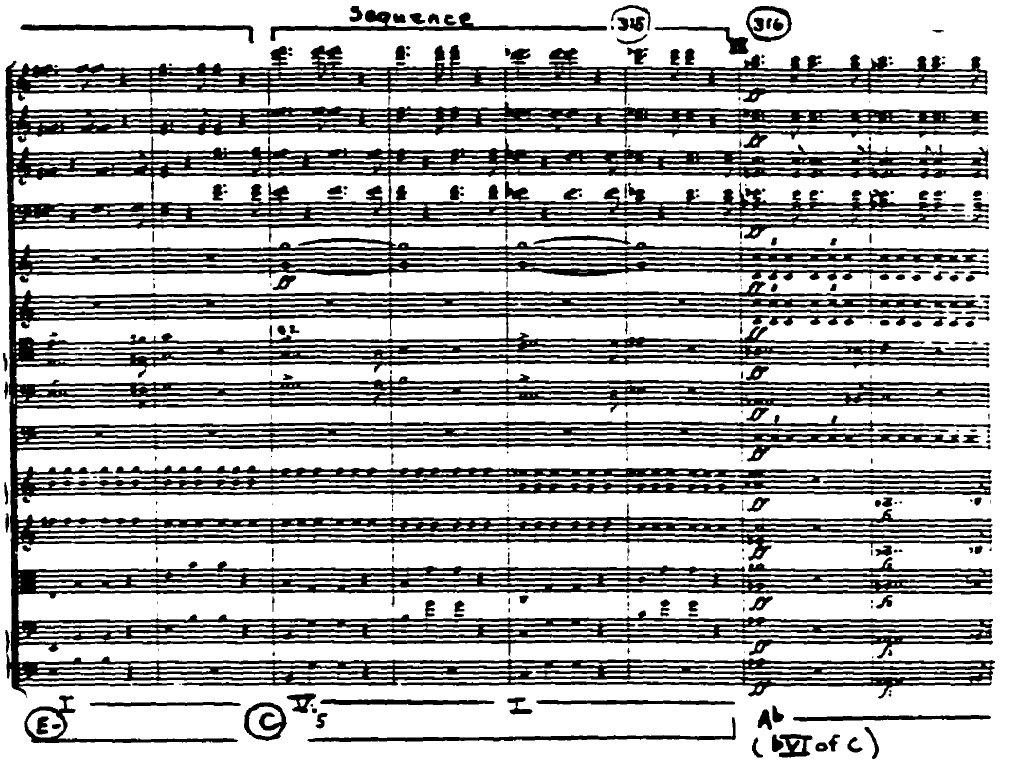


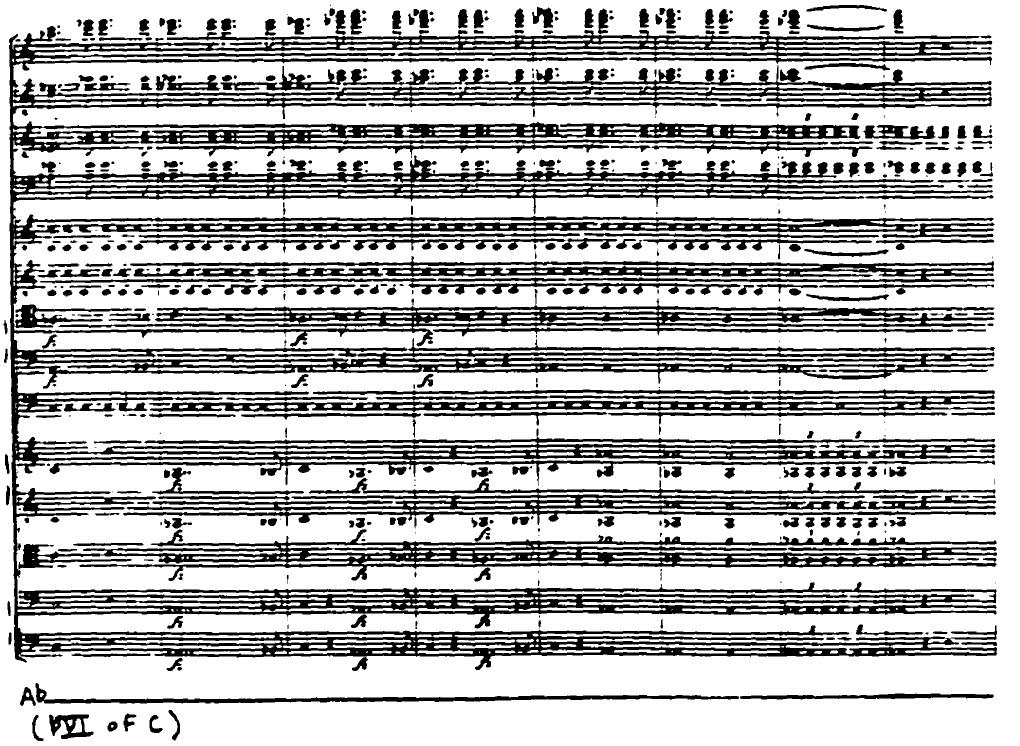
Ex. 6.7. Symphony in C Major, D. 944, i,
development section

a) beginning of development, move from G to A-flat

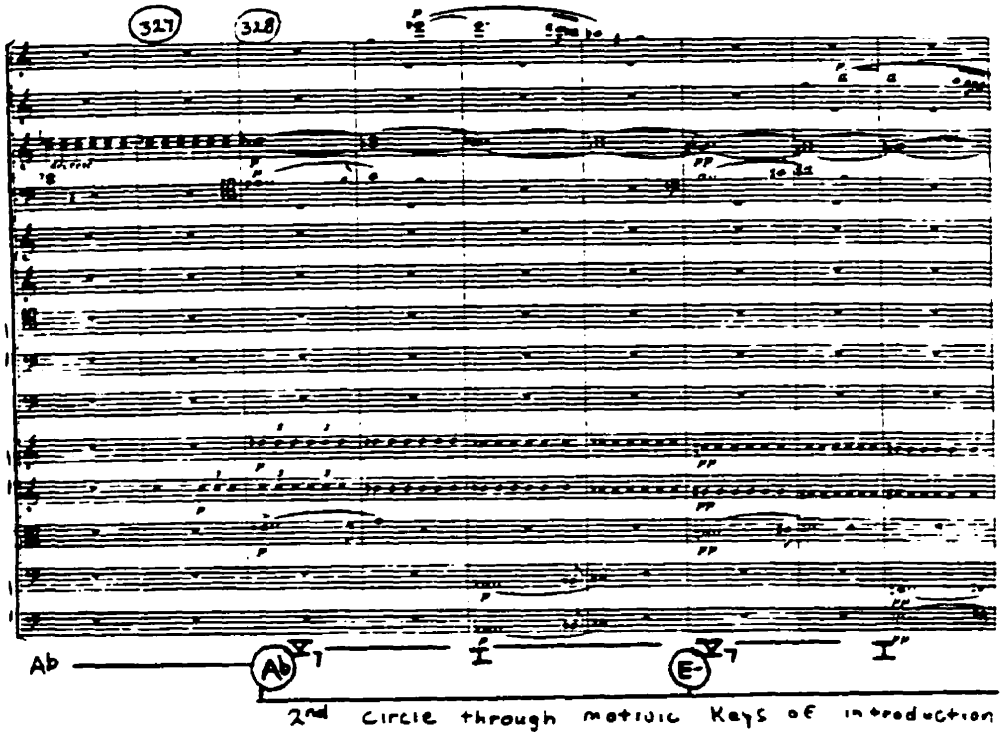


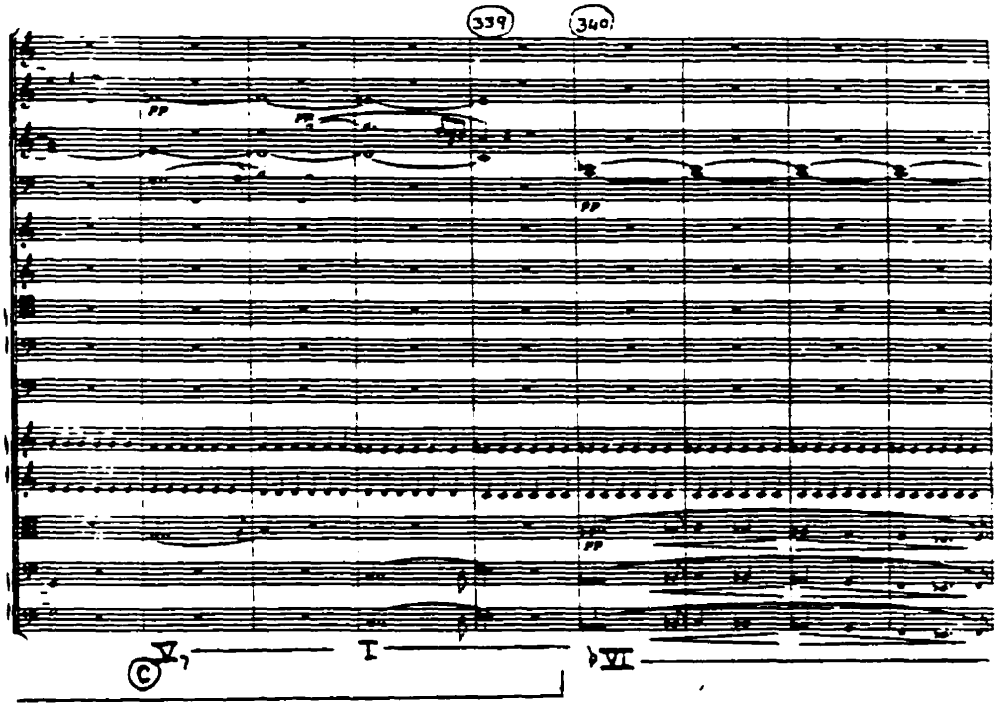
b) end of development (preparation for return to home key)

Ex. 6.7b cont'd



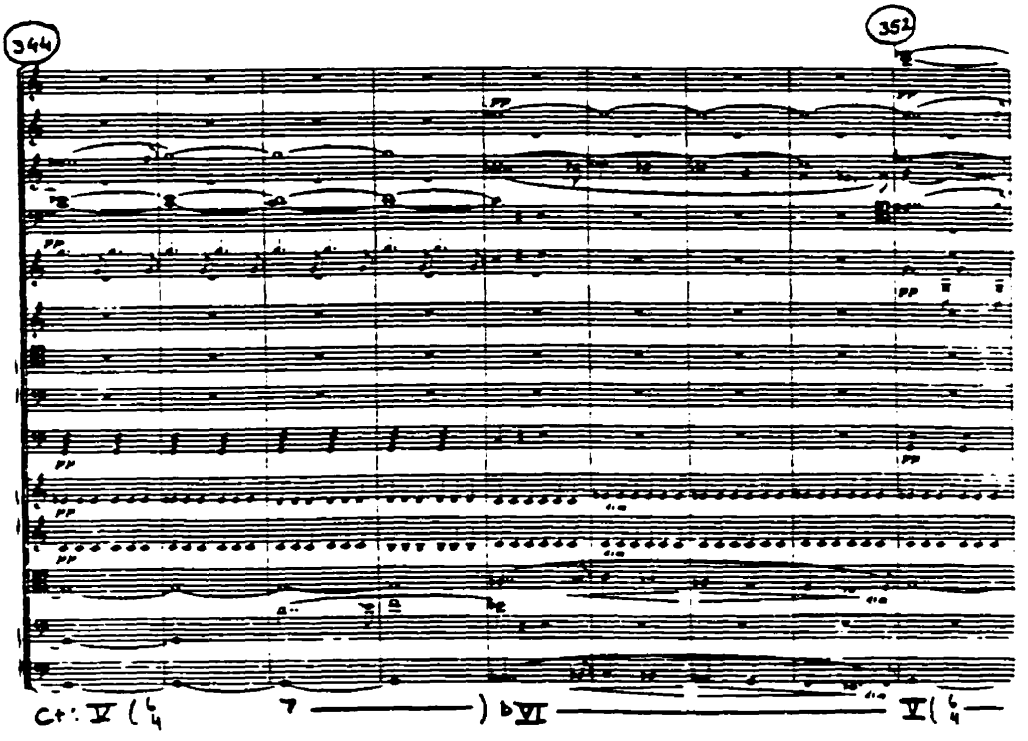


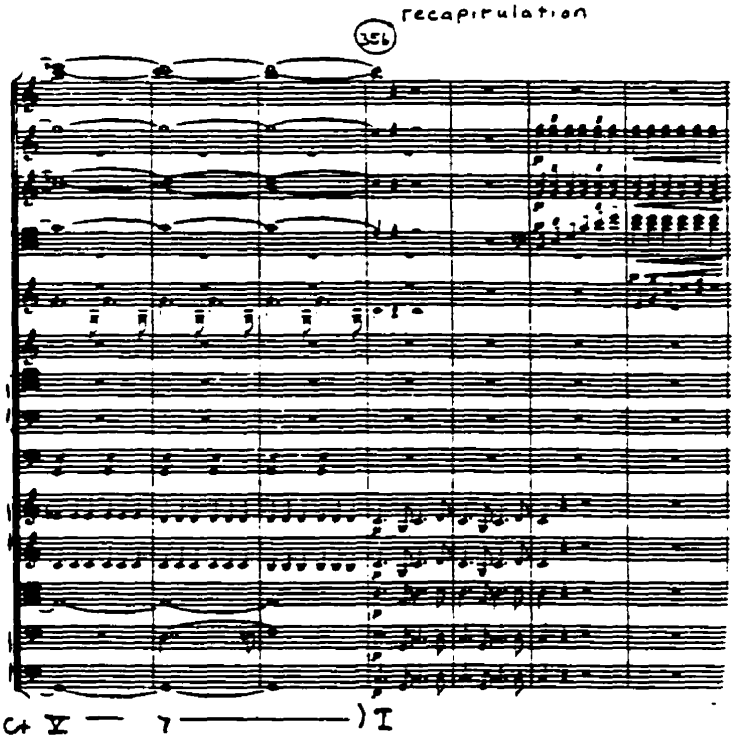
Ex. 6.7b cont'd


327
328
Ab
Ab
V7
I'
E-
V7
I"
2nd circle through motivic keys of introduction


339
340
C
V7
I
♭VI

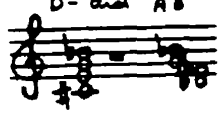
Ex. 6.7b cont'd





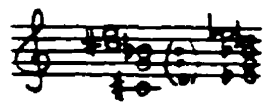
c) harmonic reduction of bb. 297-301 (move from D minor to A-flat major).

(i) o7 chord held in common by D- and Ab



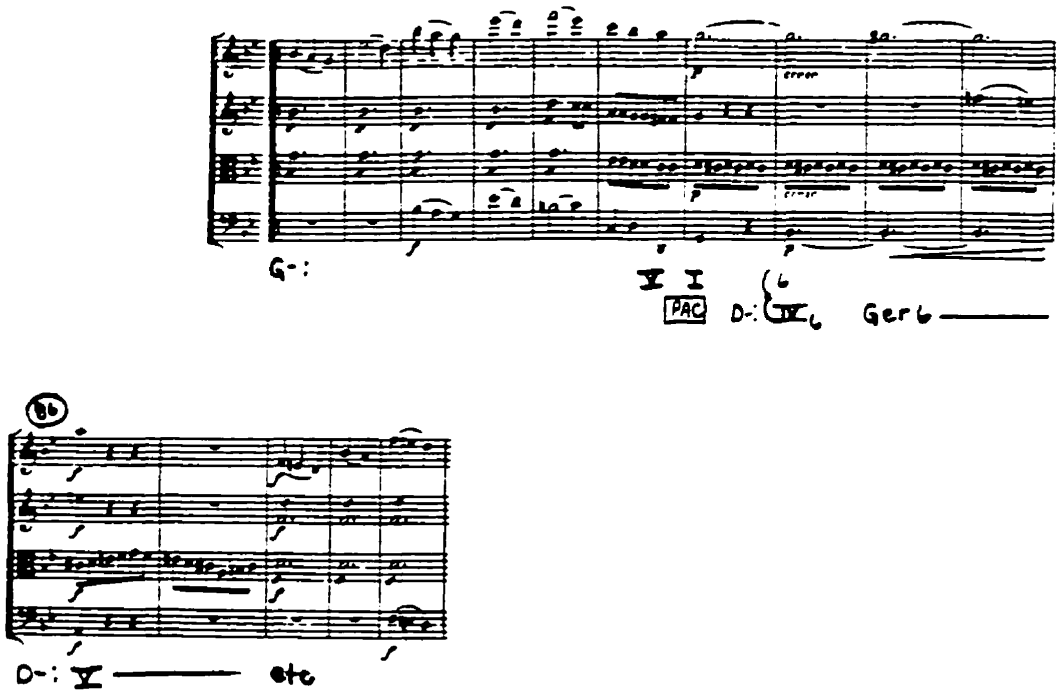
VII7/D = VII4/3/Ab

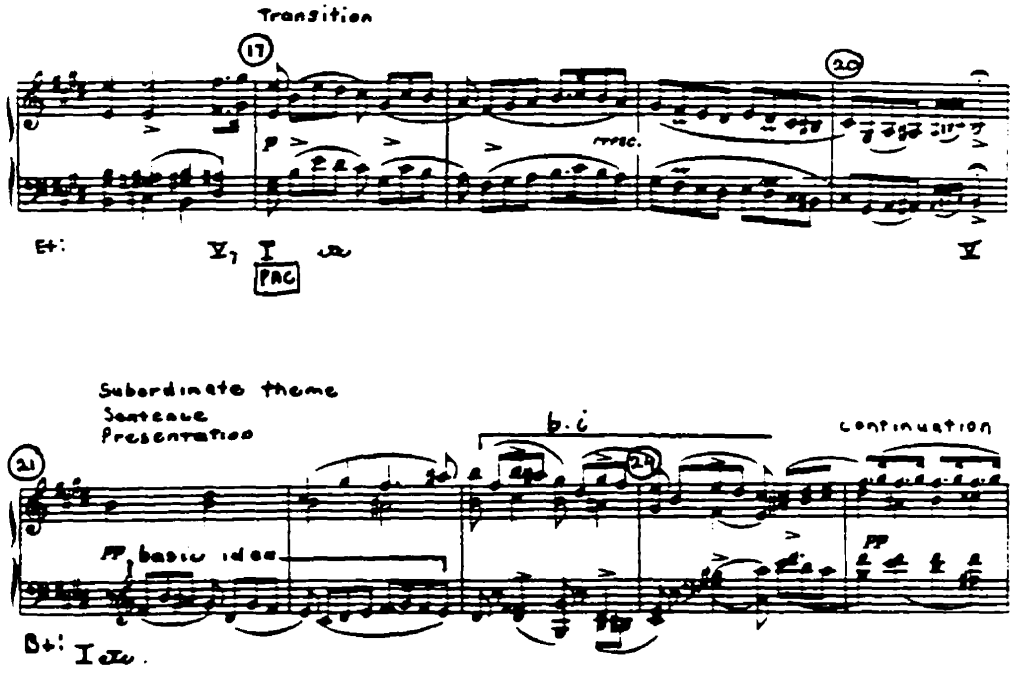
(ii) bb. 297-301

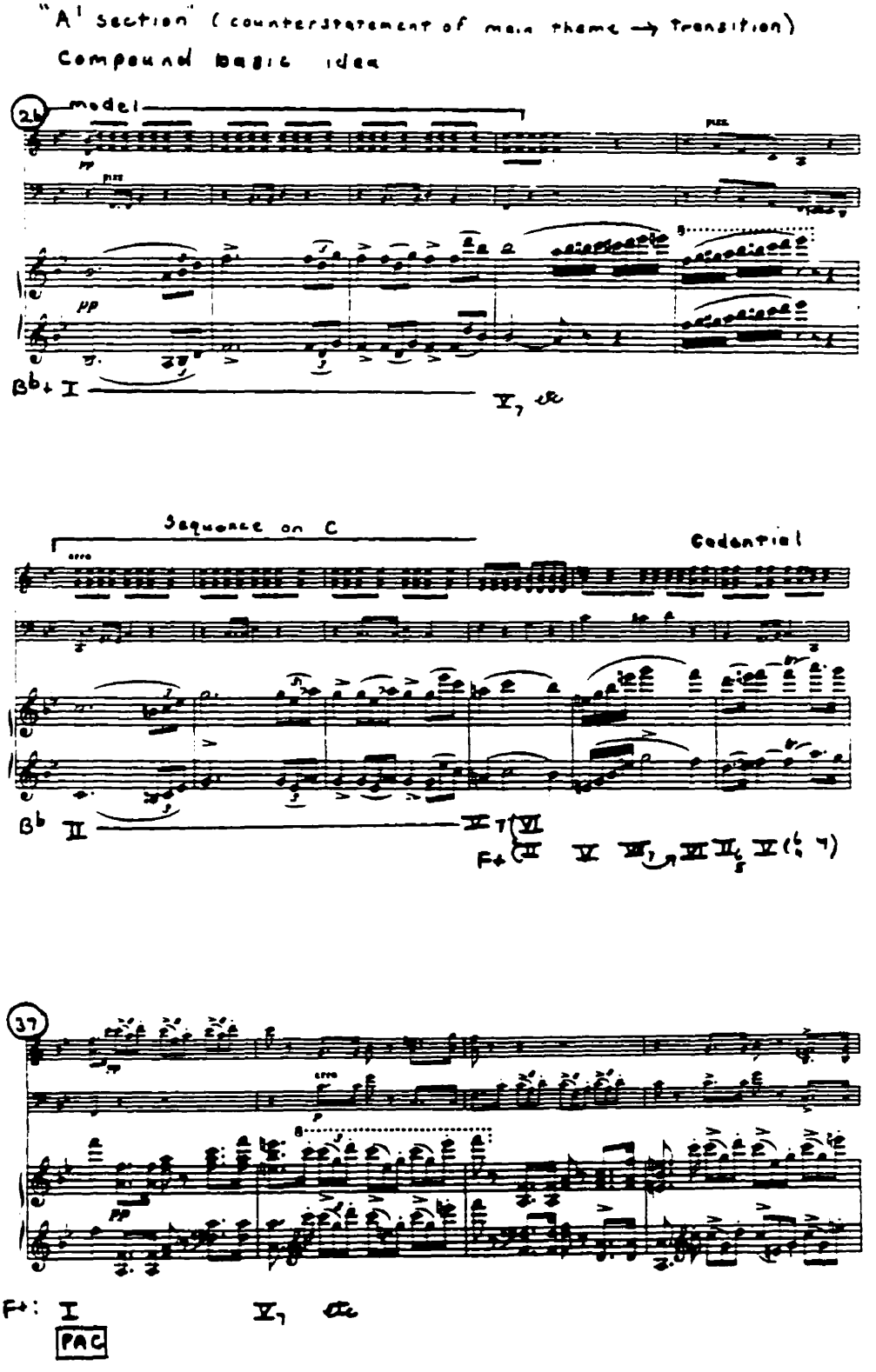
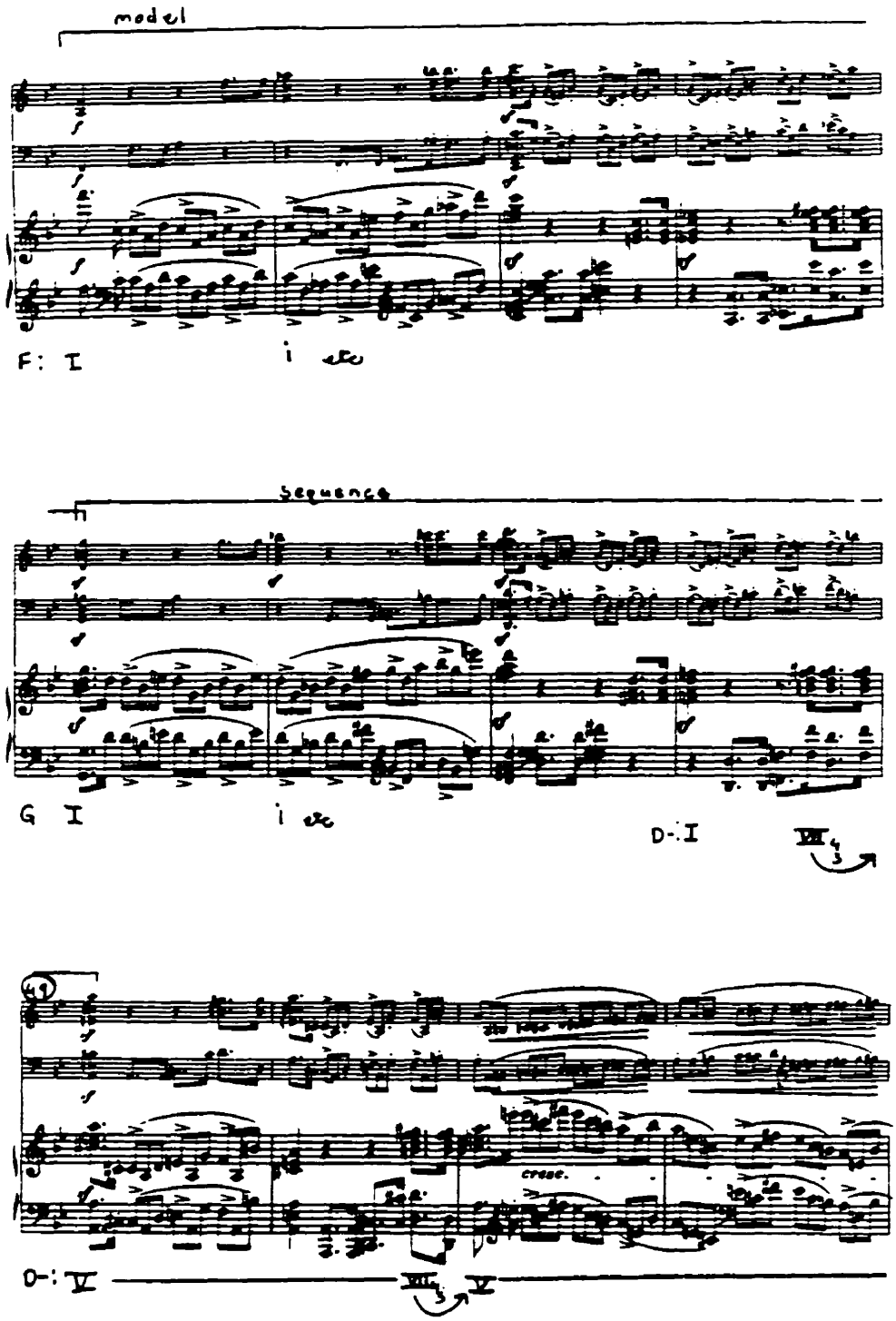


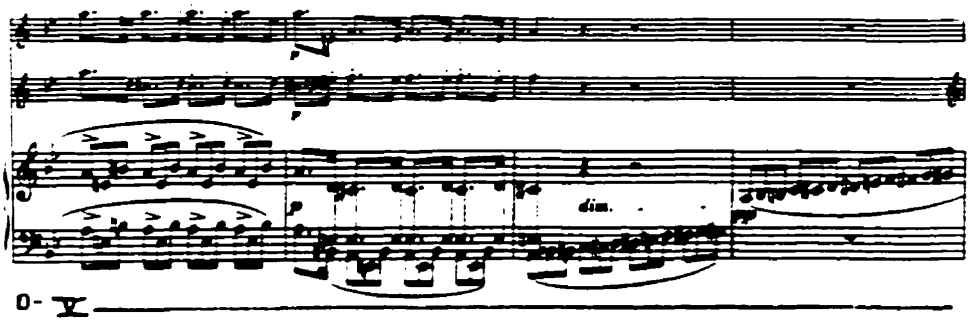
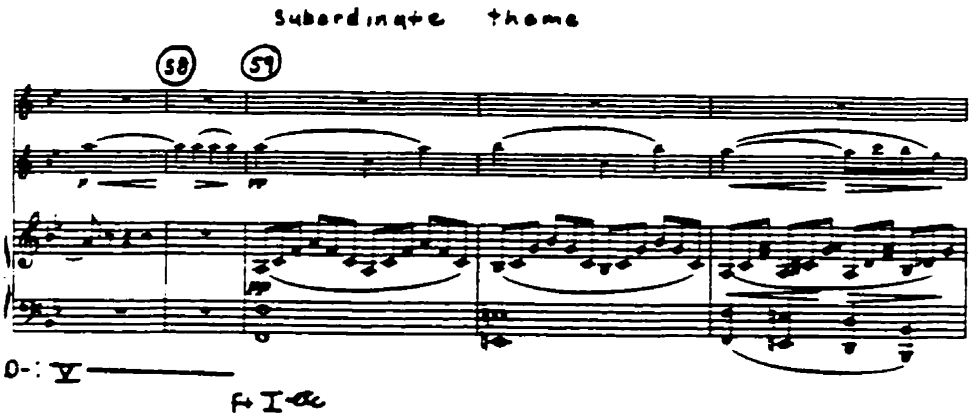
D-: VII7

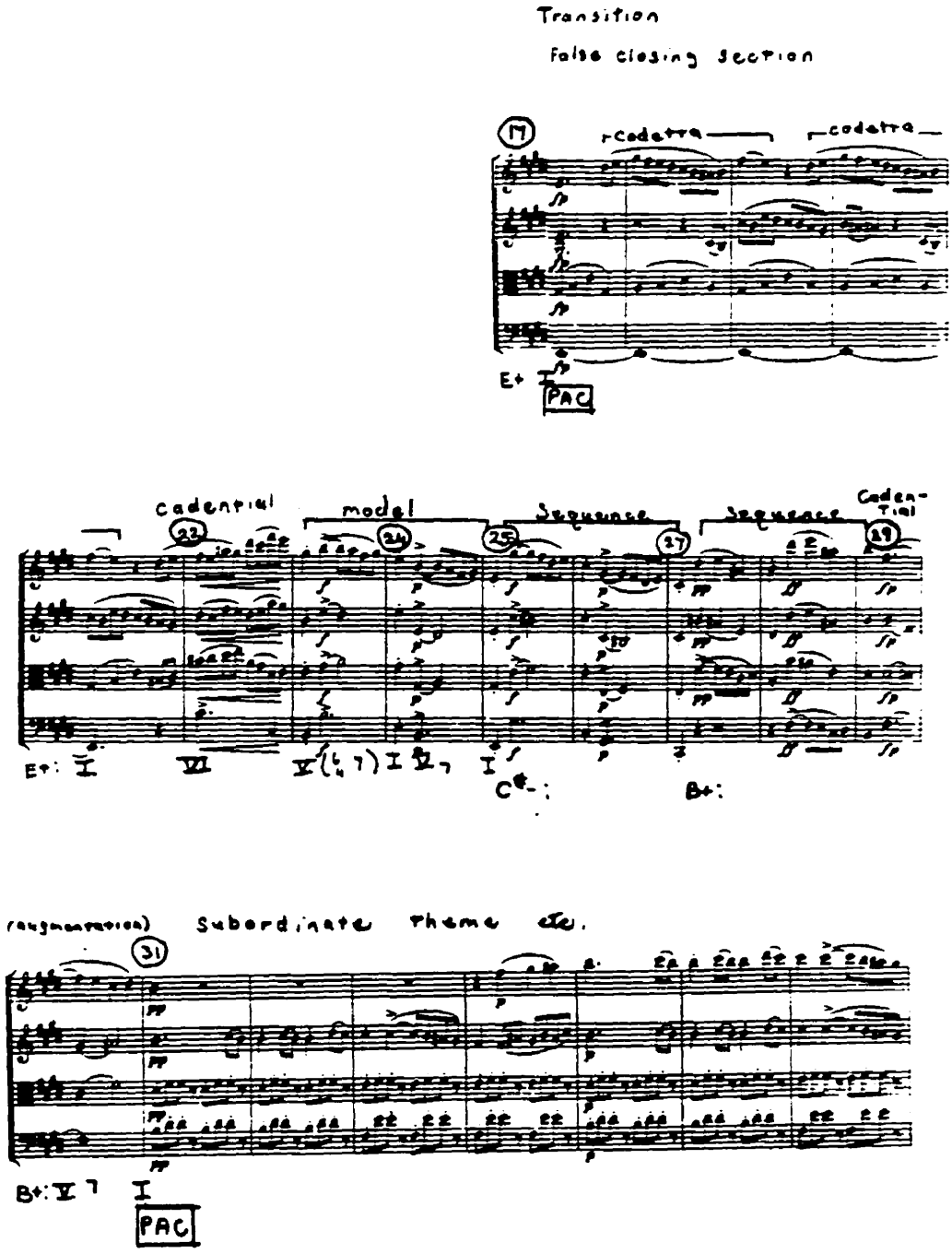
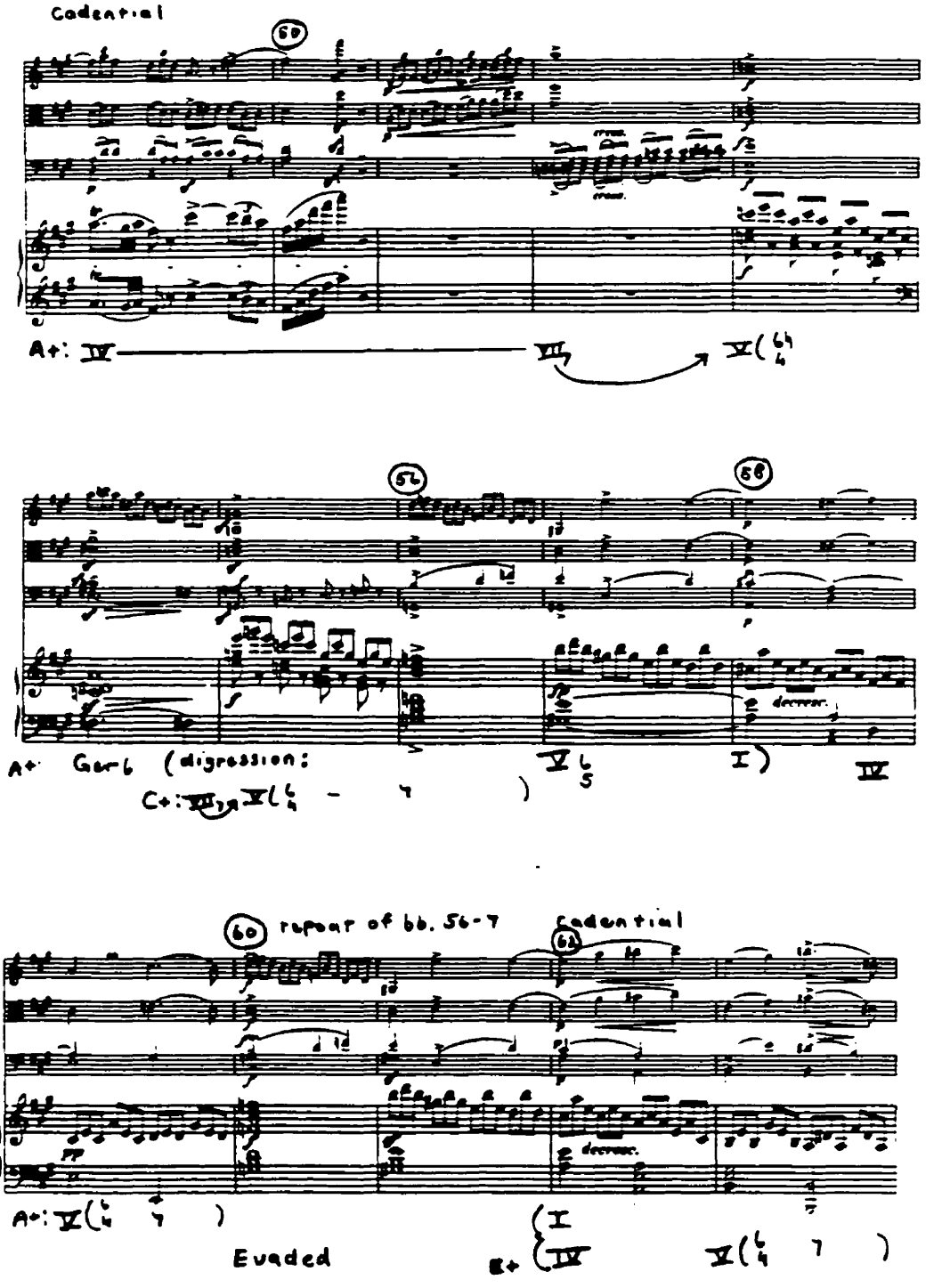
Ab: VII4/3 V7

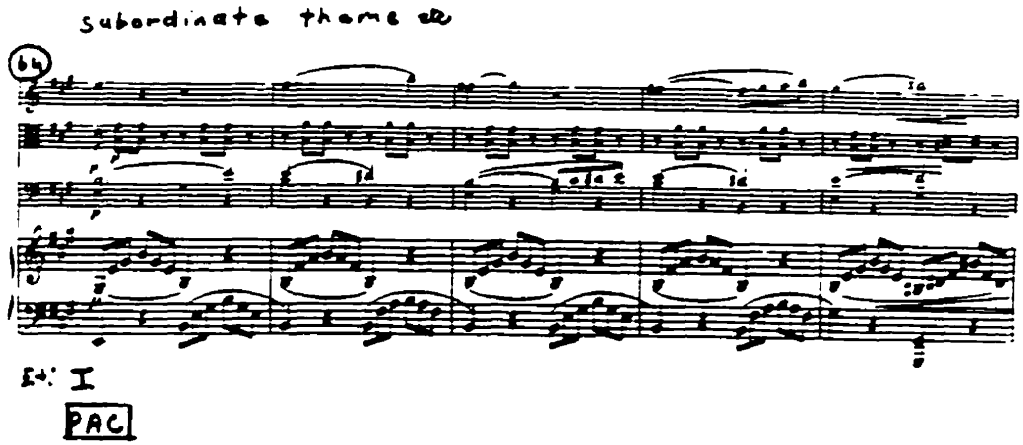
Ex. 7.1. String Quartet in G Minor/B-flat Major, D. 18, i, modulation to dominant

Ex. 7.2. Piano Sonata in E Major, D. 459, i, transition and beginning of subordinate theme

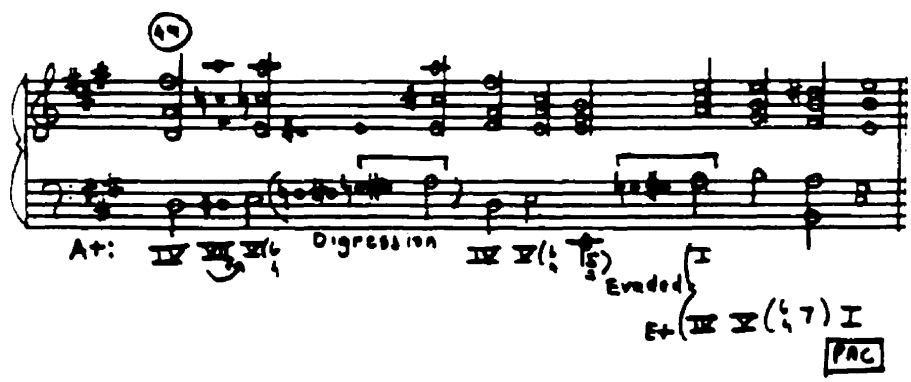


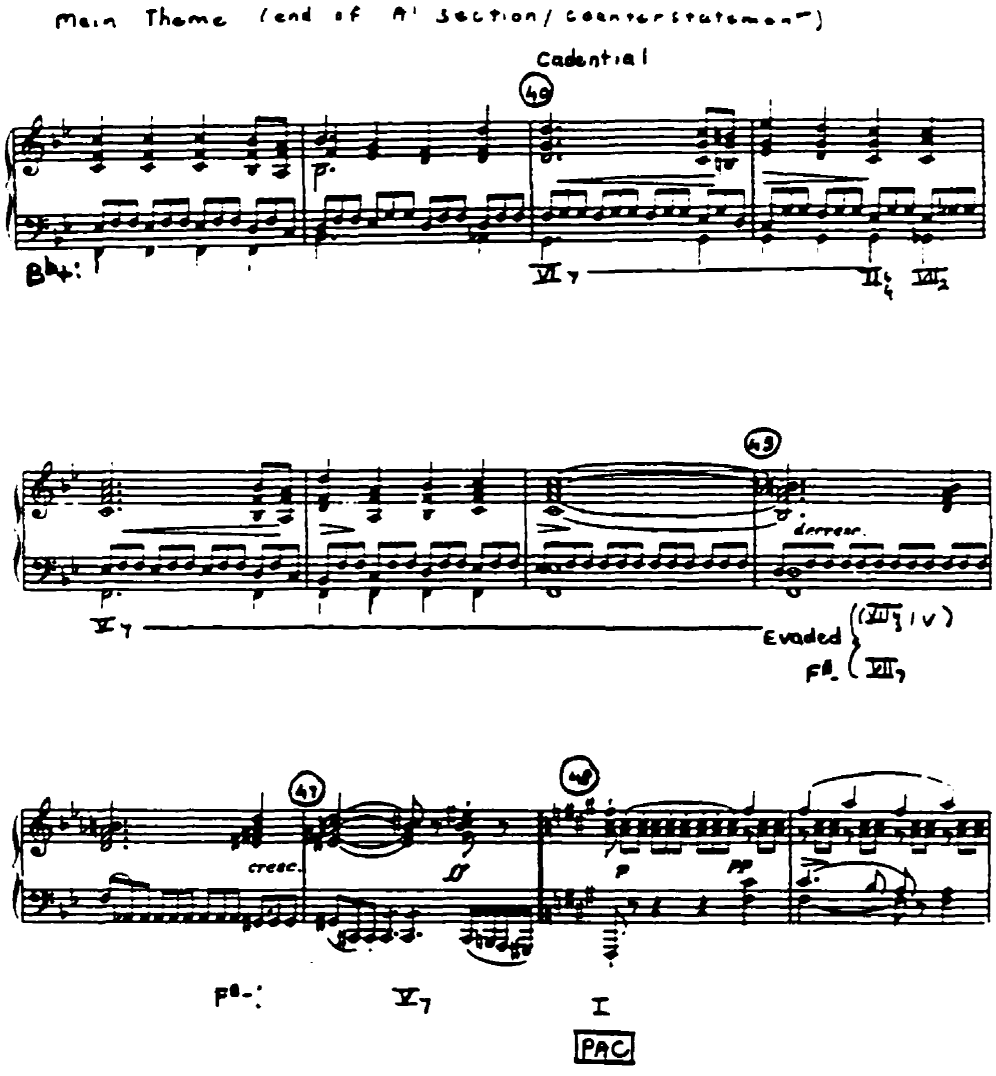
Ex. 7.3. Piano Trio in B-flat Major, D. 898, i,
transition and beginning of subordinate theme

Ex. 7.3 cont'd

Ex. 7.3 cont'd

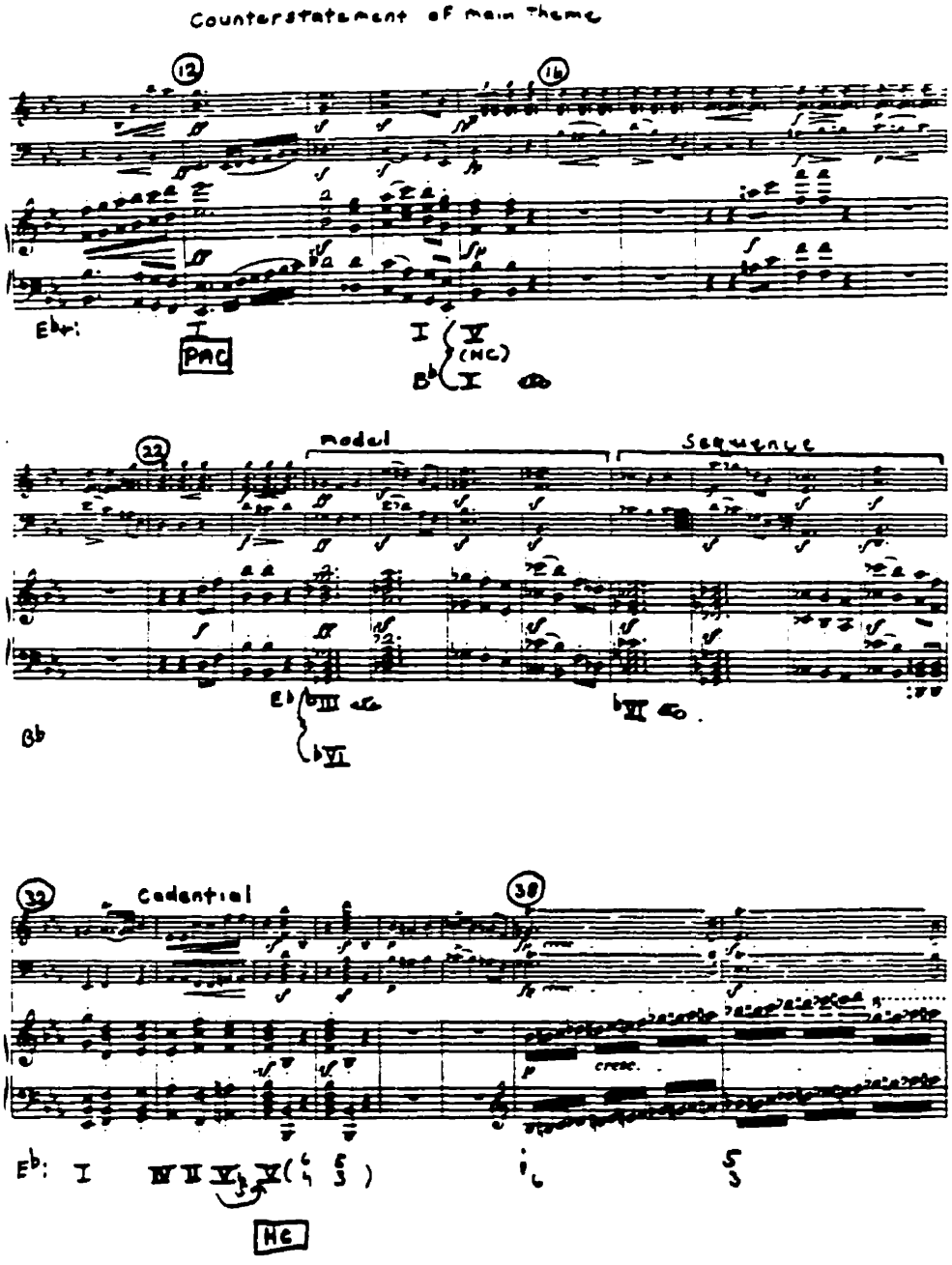


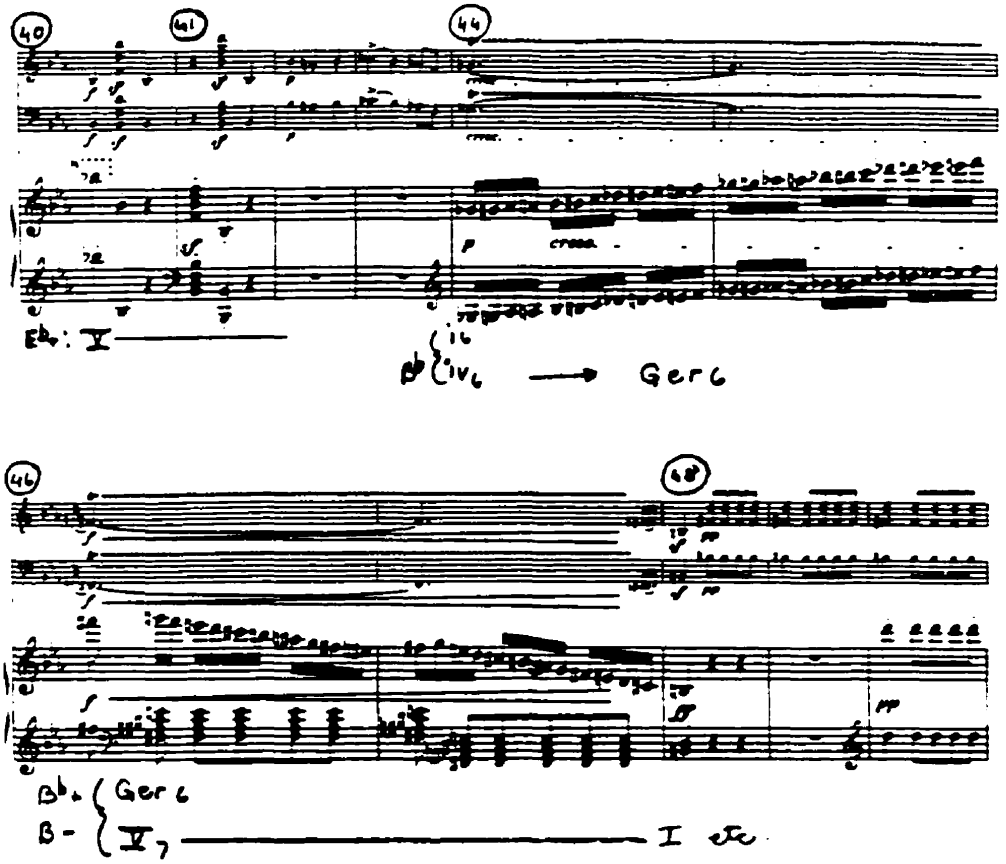
Ex. 7.4. String Quartet in E Major, D. 353, i,
transition and beginning of subordinate theme

Ex. 7.5. Piano Quintet in A Major, D. 667, i.
a) transition and beginning of subordinate theme

Ex. 7.5a cont'd

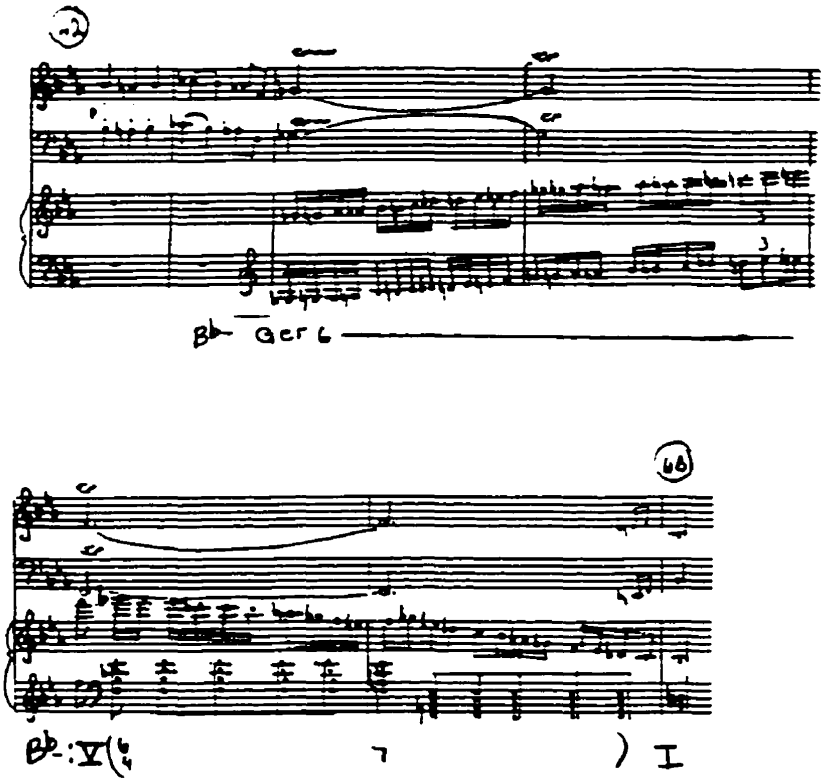


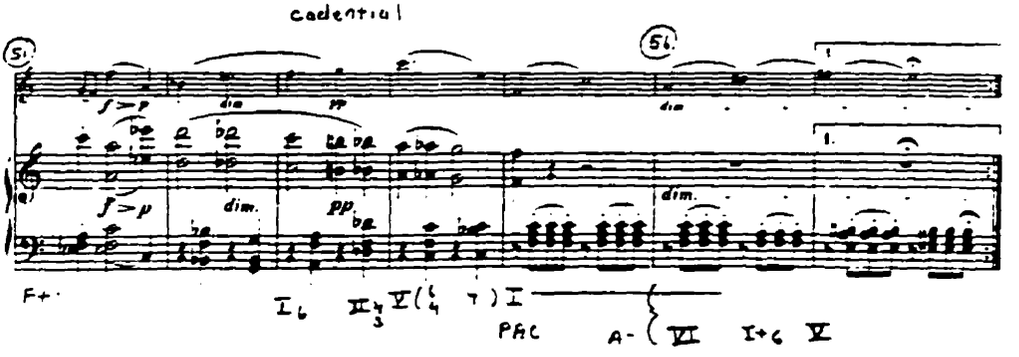
b) harmonic reduction of cadential strategy

Ex. 7.6. Piano Sonata in B-flat Major, D. 960, i, transition



Ex. 7.7. Piano Trio in E-flat Major, D. 929, i,
a) beginning of transition until modulation to B minor

Ex. 7.7a cont'd

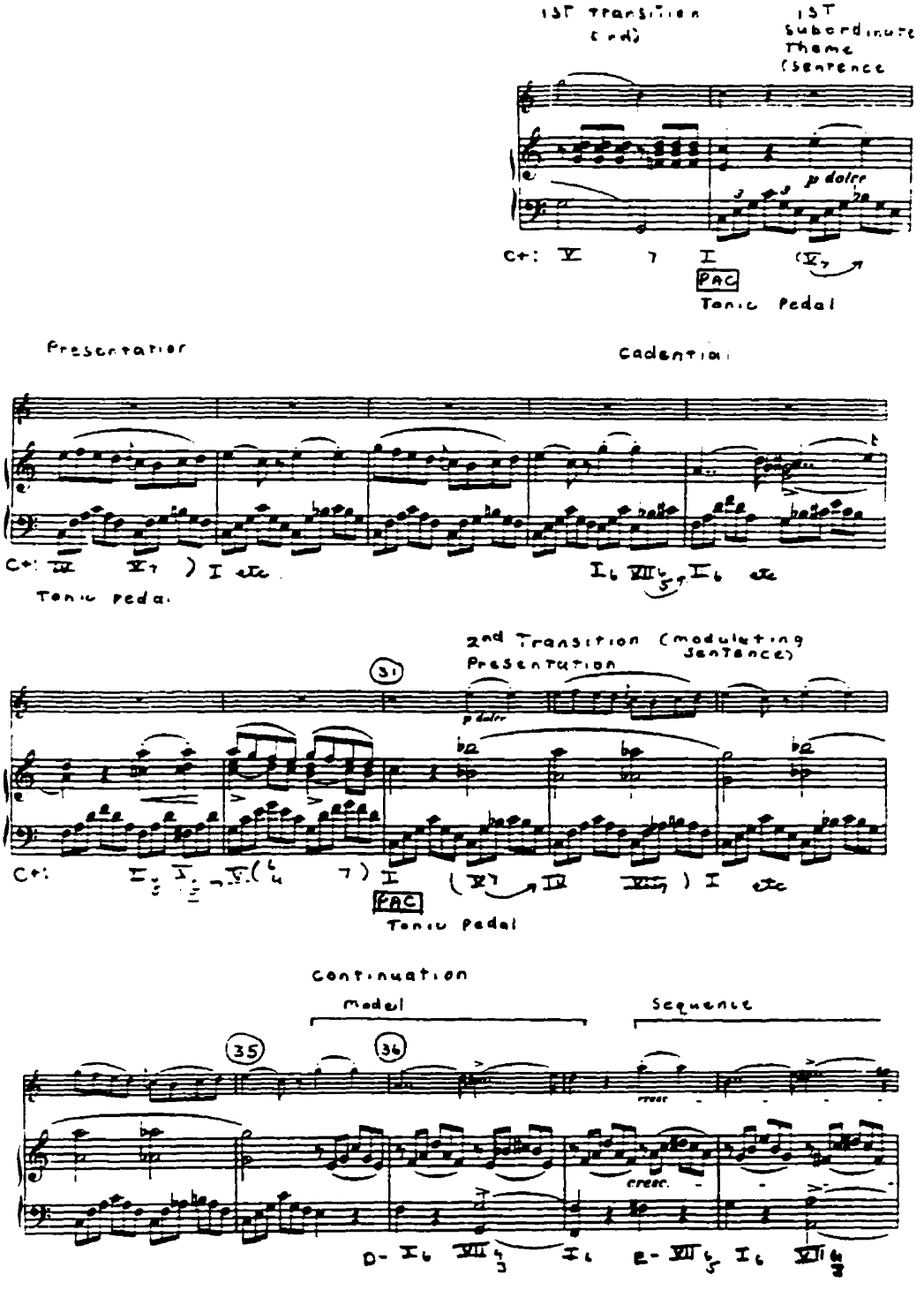


ex. 7.7b recomposition of bb. 42-48

Ex. 8.1. Violin Sonatina in A Minor, D. 335, i,
end of exposition

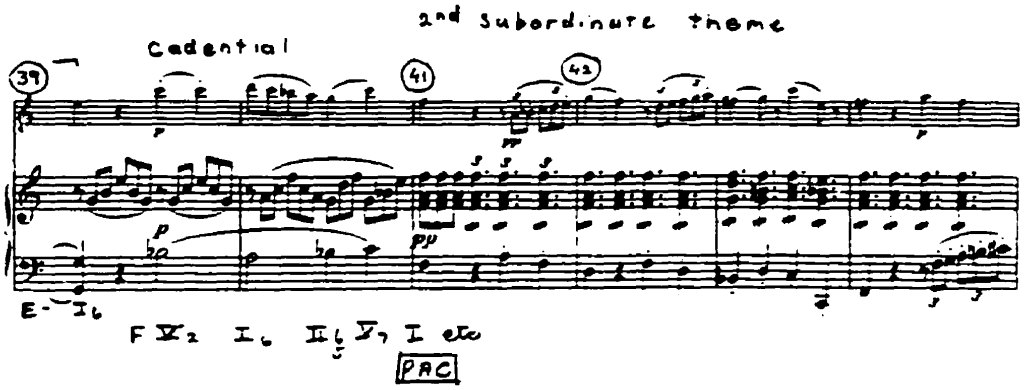


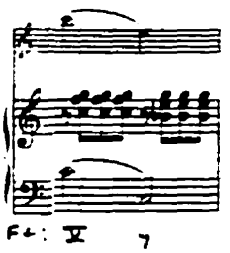
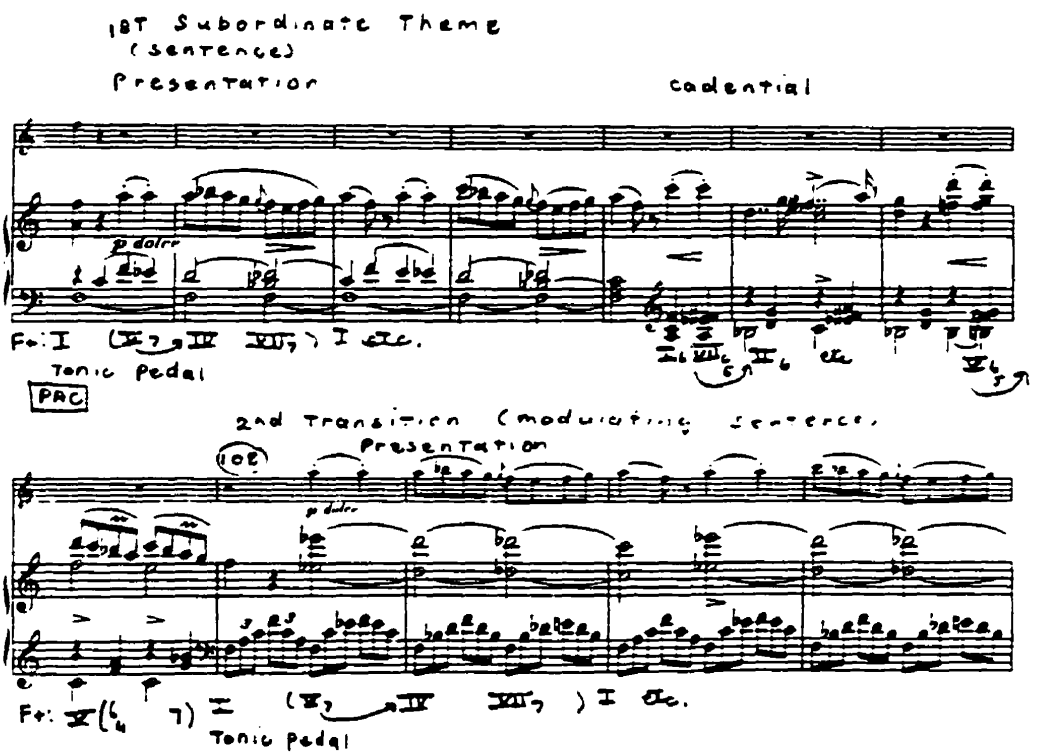
Ex. 8.2. Violin Sonatina in A Minor, D. 385, i, comparison of first subordinate theme and second transition in exposition and recapitulation

a) exposition

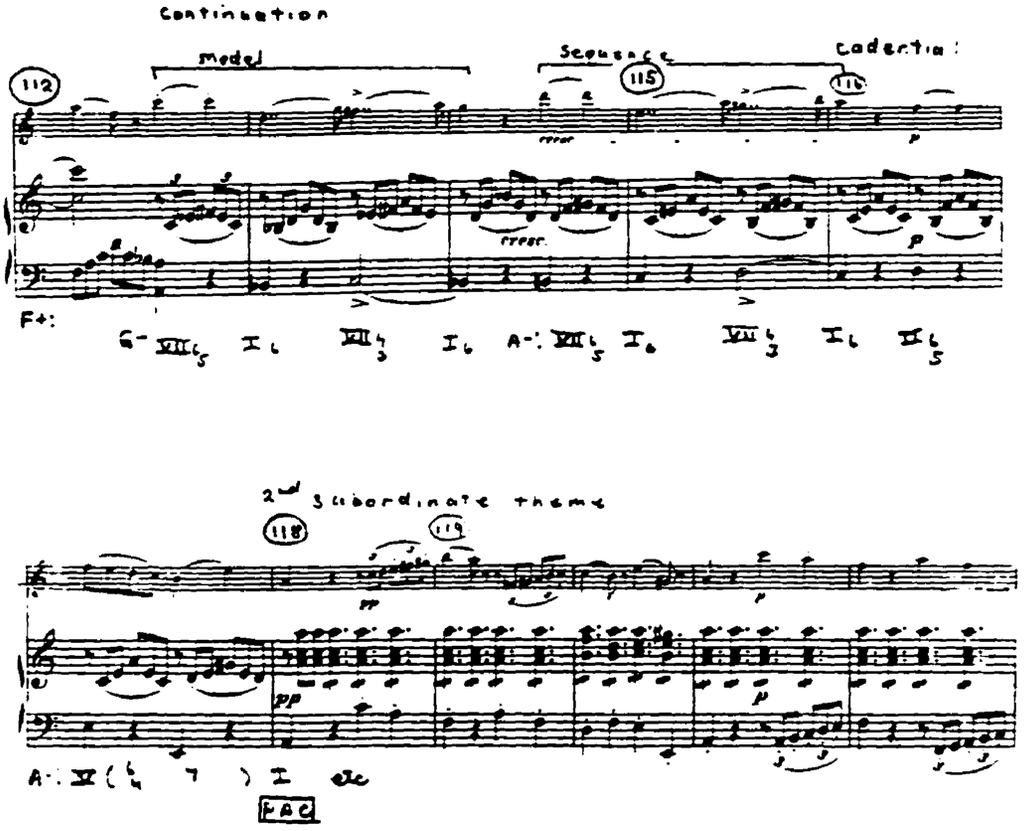


Ex. 8.2a cont'd

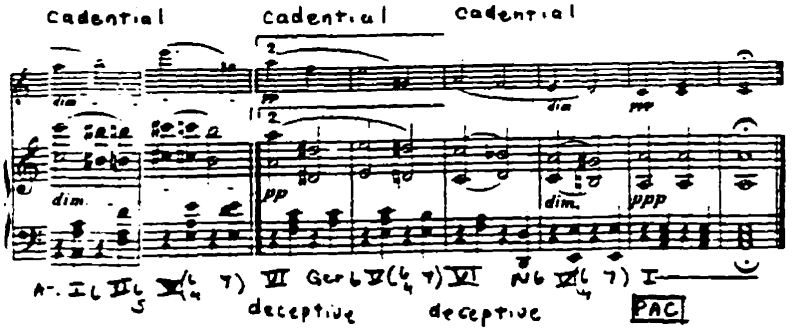


b) recapitulation



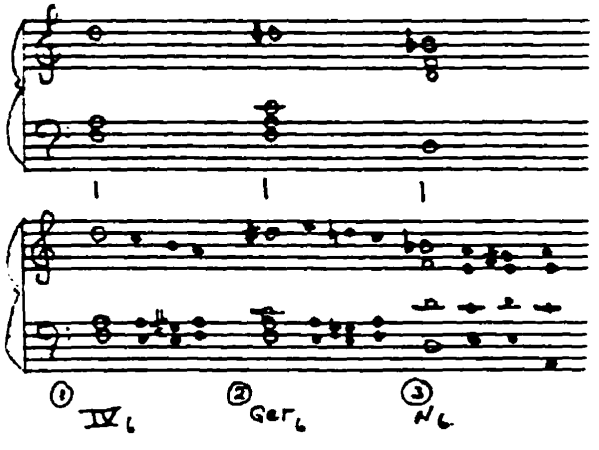
Ex. 8.2b cont'd

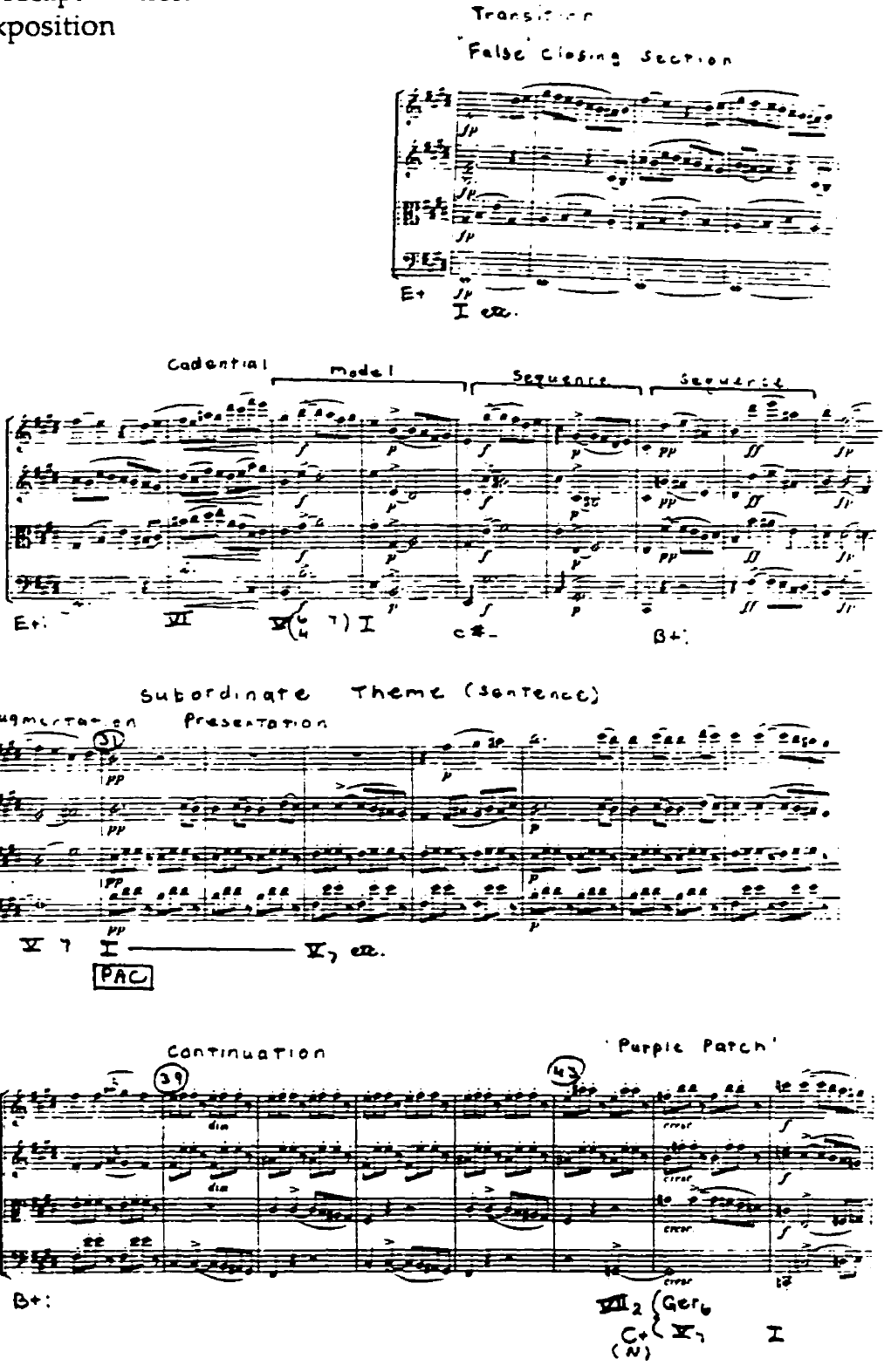

Continuation
model
Sequence
cadential
112
115
116
rrrrr.
rrrrr.
F+:
G-: VII 6/5 I 6 VII 6/3 I 6 A-: VII 6/5 I 6 VII 6/3 I 6 II 6/5
2nd subordinate theme
118
119
A-: IV (6/4 7) I etc
PAC

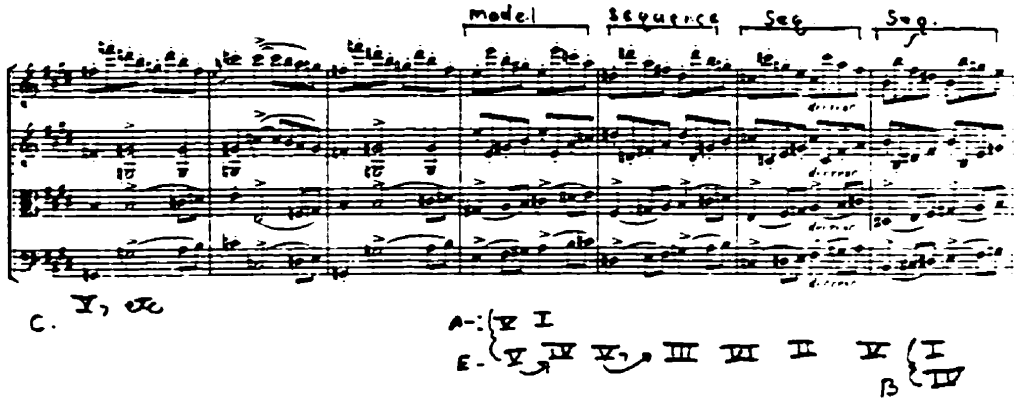
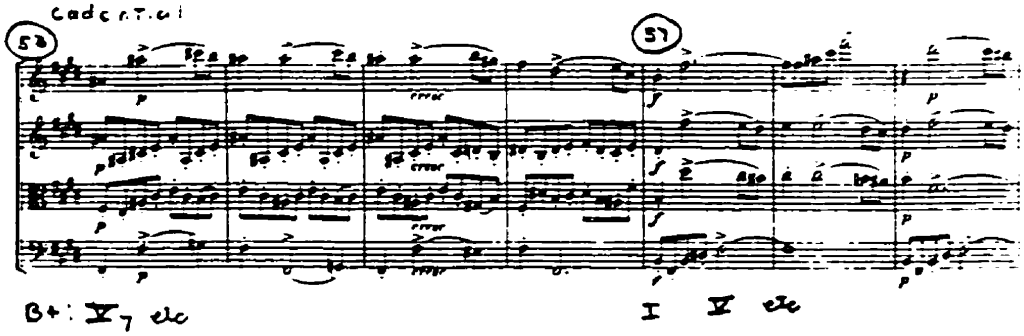
Ex. 8.3. Violin Sonatina in A Minor, D. 385, i,
a) concluding cadences

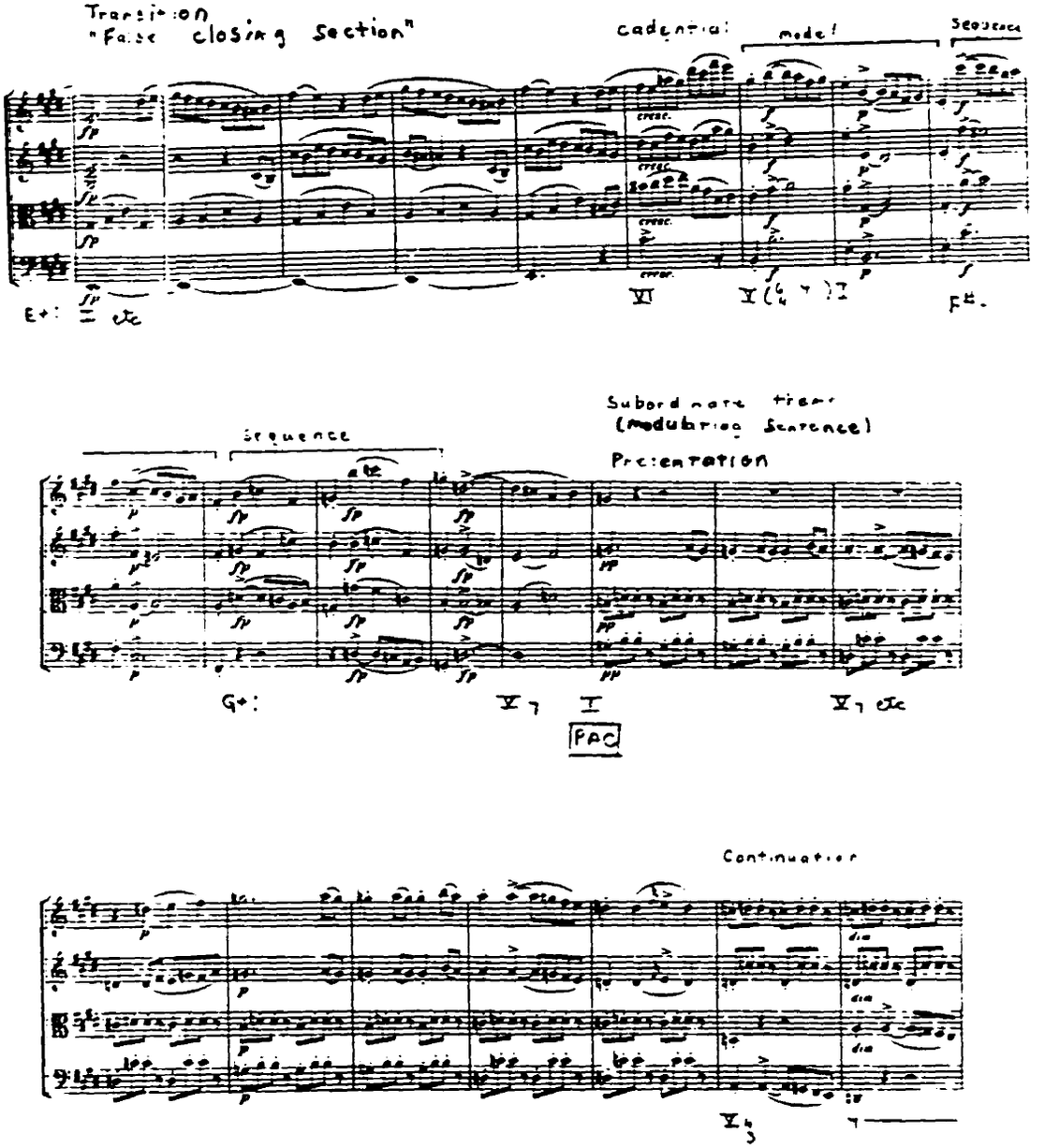
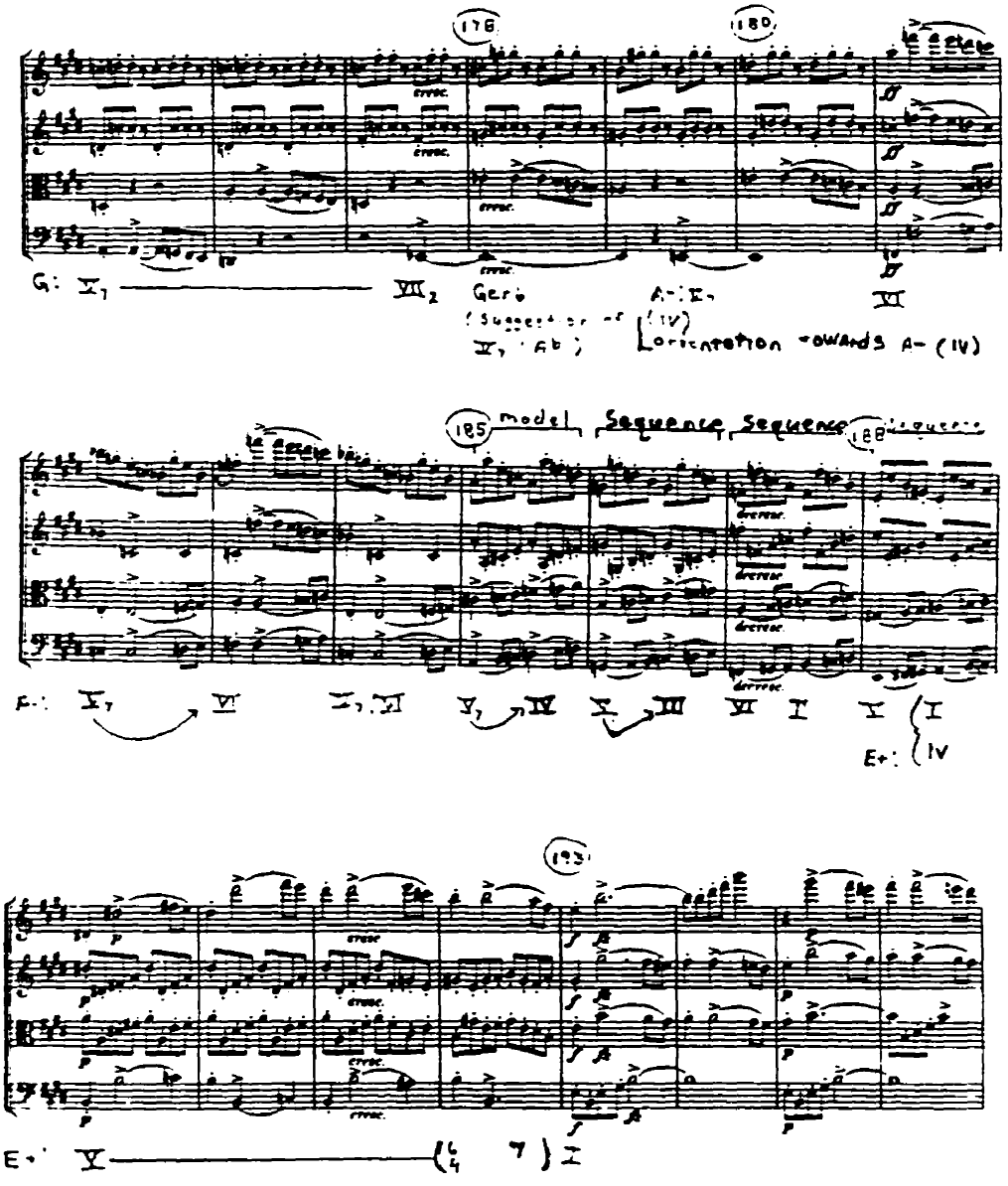


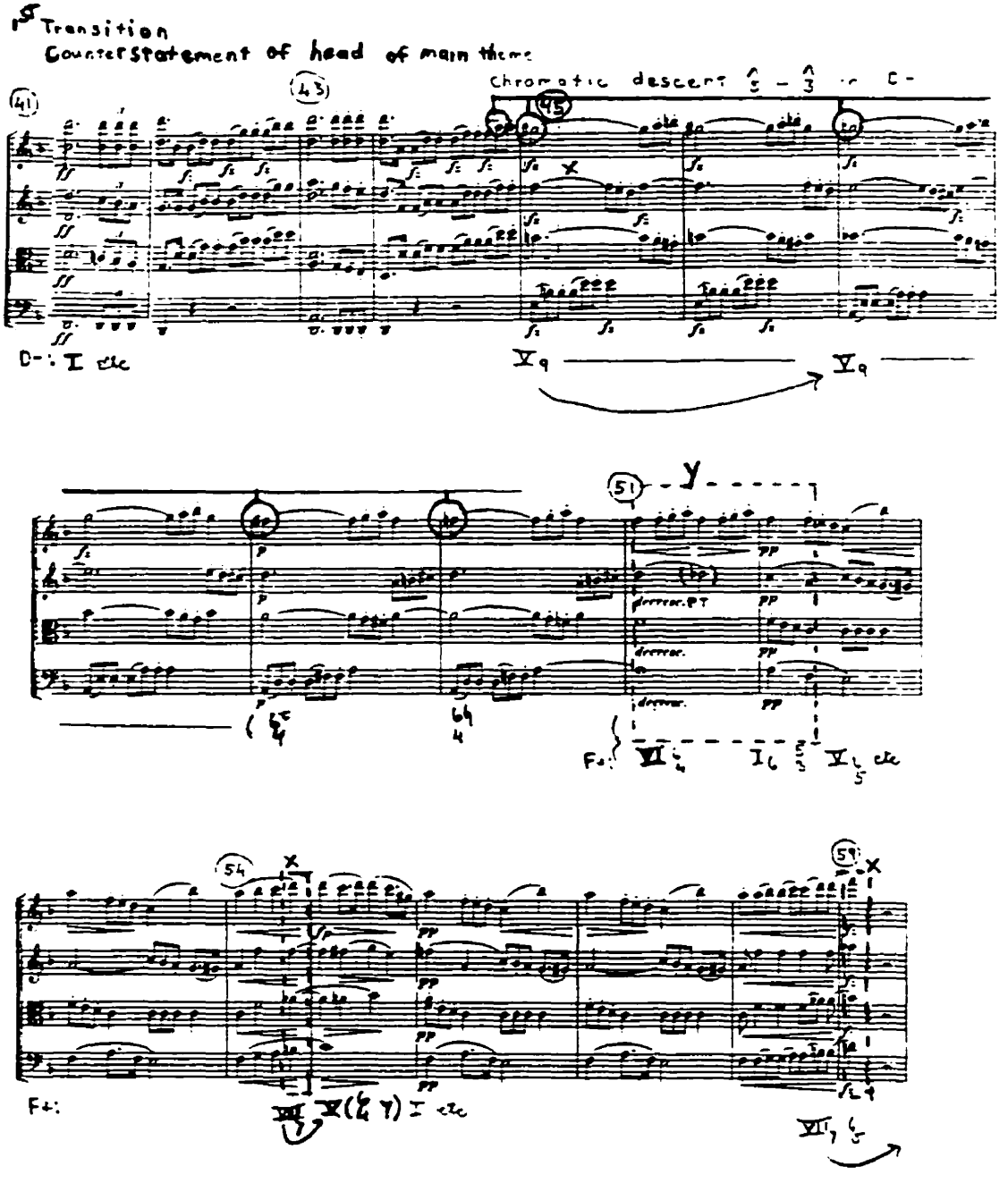
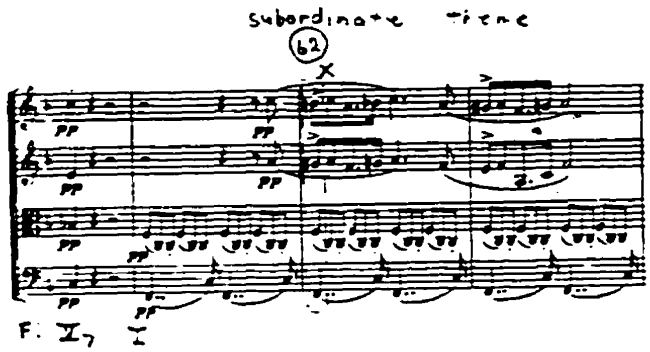
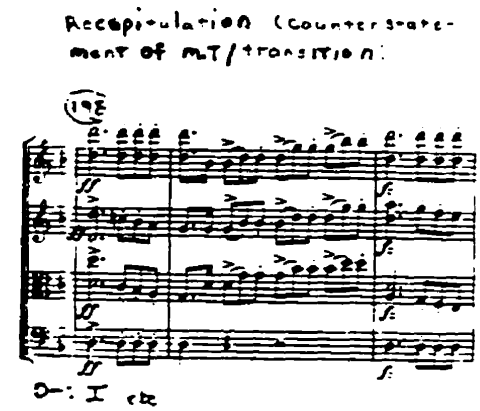
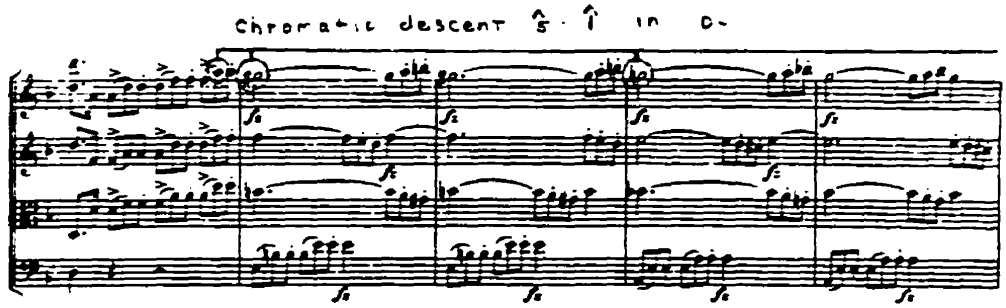
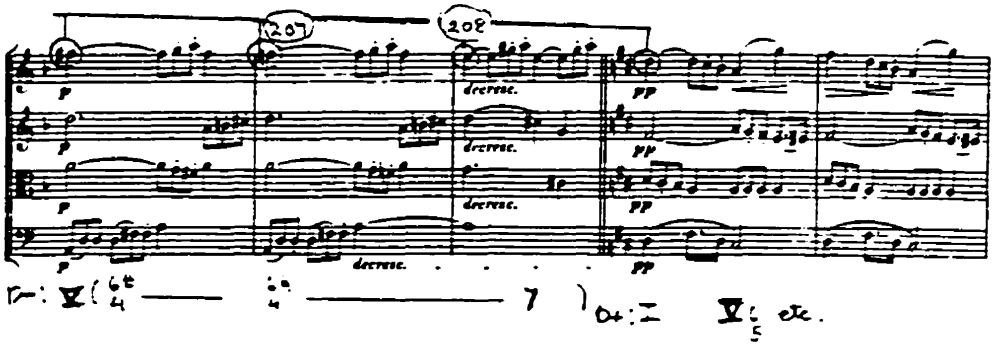
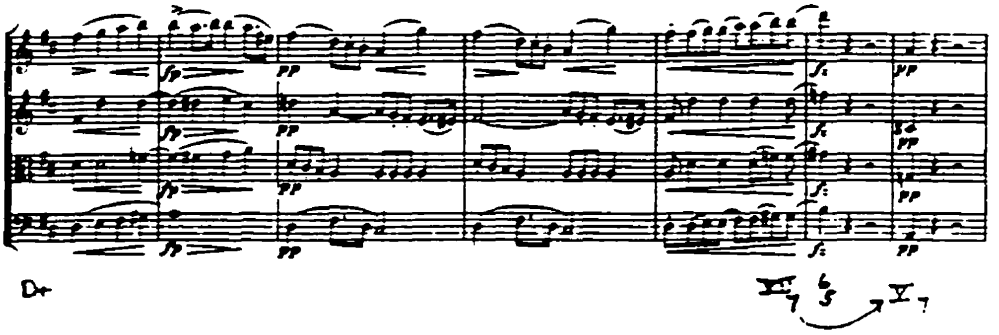
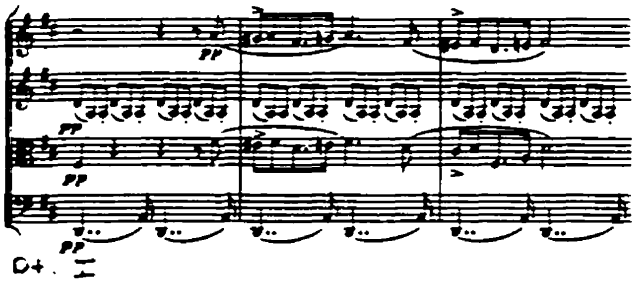
b) cadential pre-dominant chords.



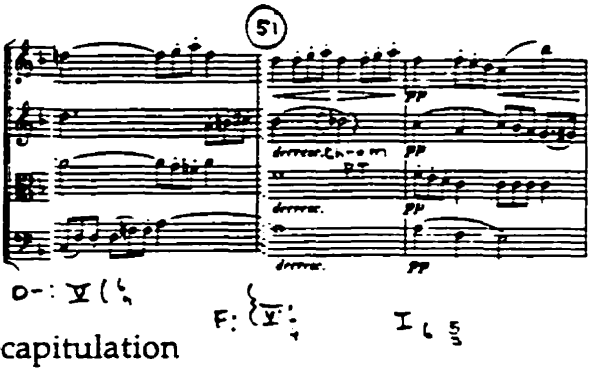
Ex. 8.4. String Quartet in E Major, D. 353, i,
comparison of subordinate theme in exposition
and recapitulation
a) exposition

Ex. 8.4a cont'd


model
sequence
Seq
Seq.
C. V7 etc
A-: V I
E- V IV V7 III VI II V I IV
B

Cadential
58
57
B+: V7 etc
I V etc

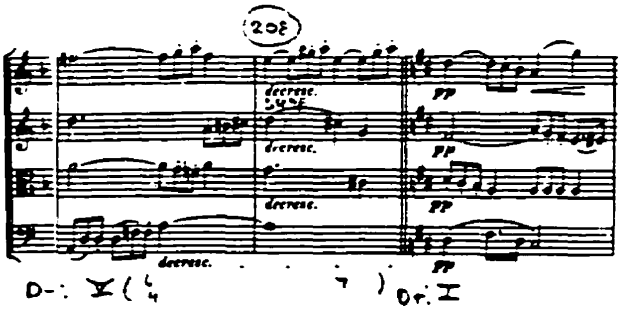
b) recapitulation

Ex. 8.4b cont'd

Ex. 8.5. String Quartet in D Minor, D. 810, "Death and the Maiden," D. 810, i, comparison of first transition in exposition and recapitulation

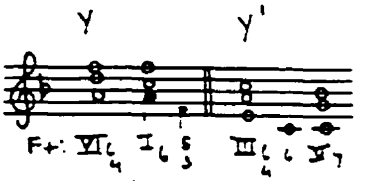
a) exposition

Ex. 8.5a cont'd

b) recapitulation

Ex. 8.5b cont'd

1st Subordinate theme

c) comparison of points of modulation

i) exposition

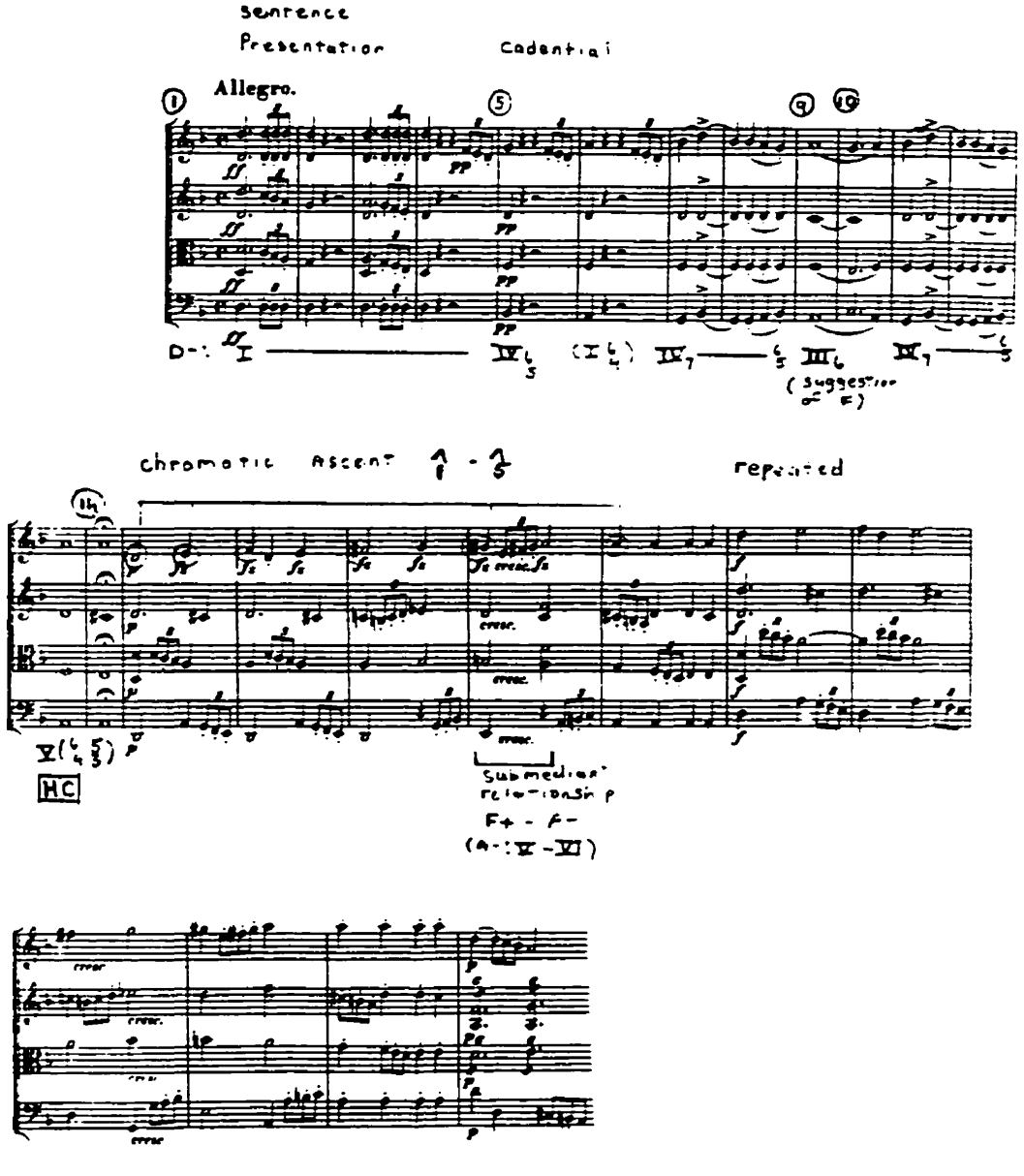


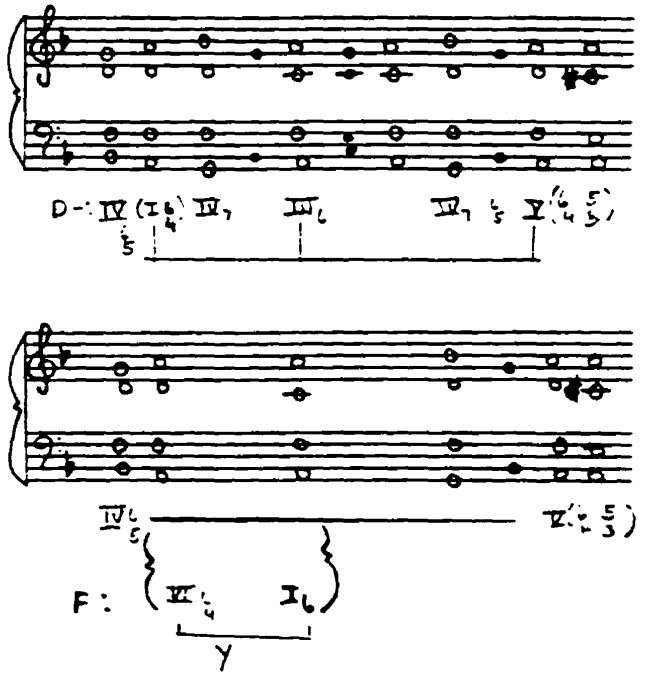
D-: V(6/4 F: { V: 6/4 I 6 5/3

ii) recapitulation

D-: V(6/4) D: I

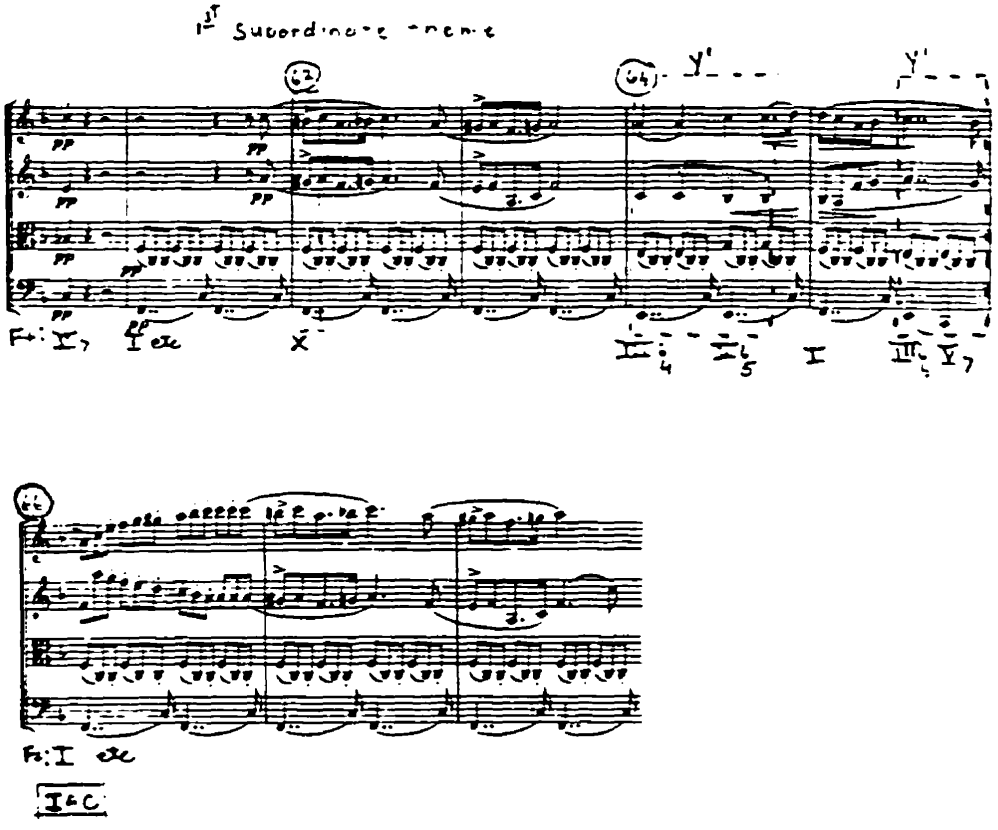
d) motive y

F+: VI 6/4 I 6 5/3 III 6/4 6 V7

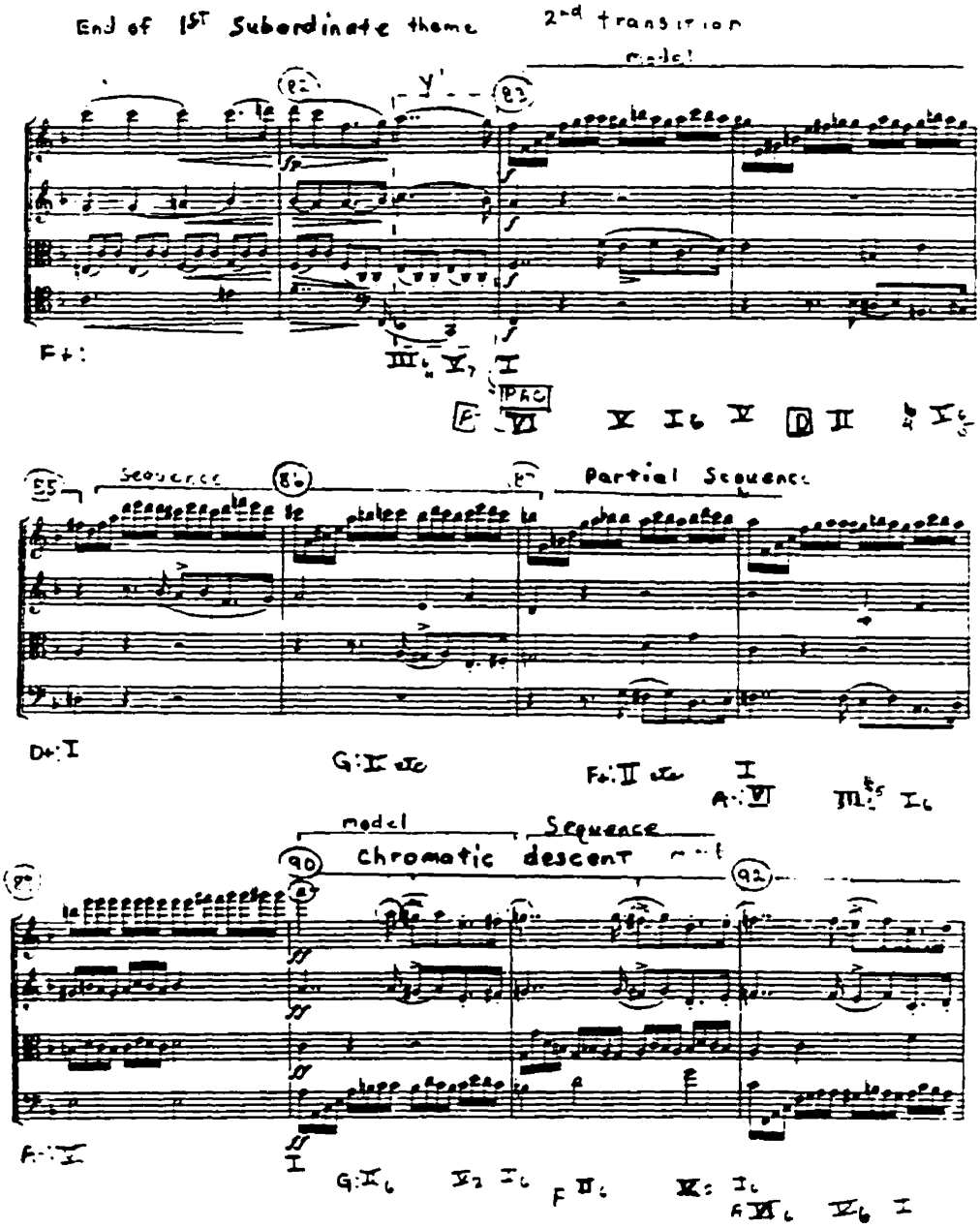
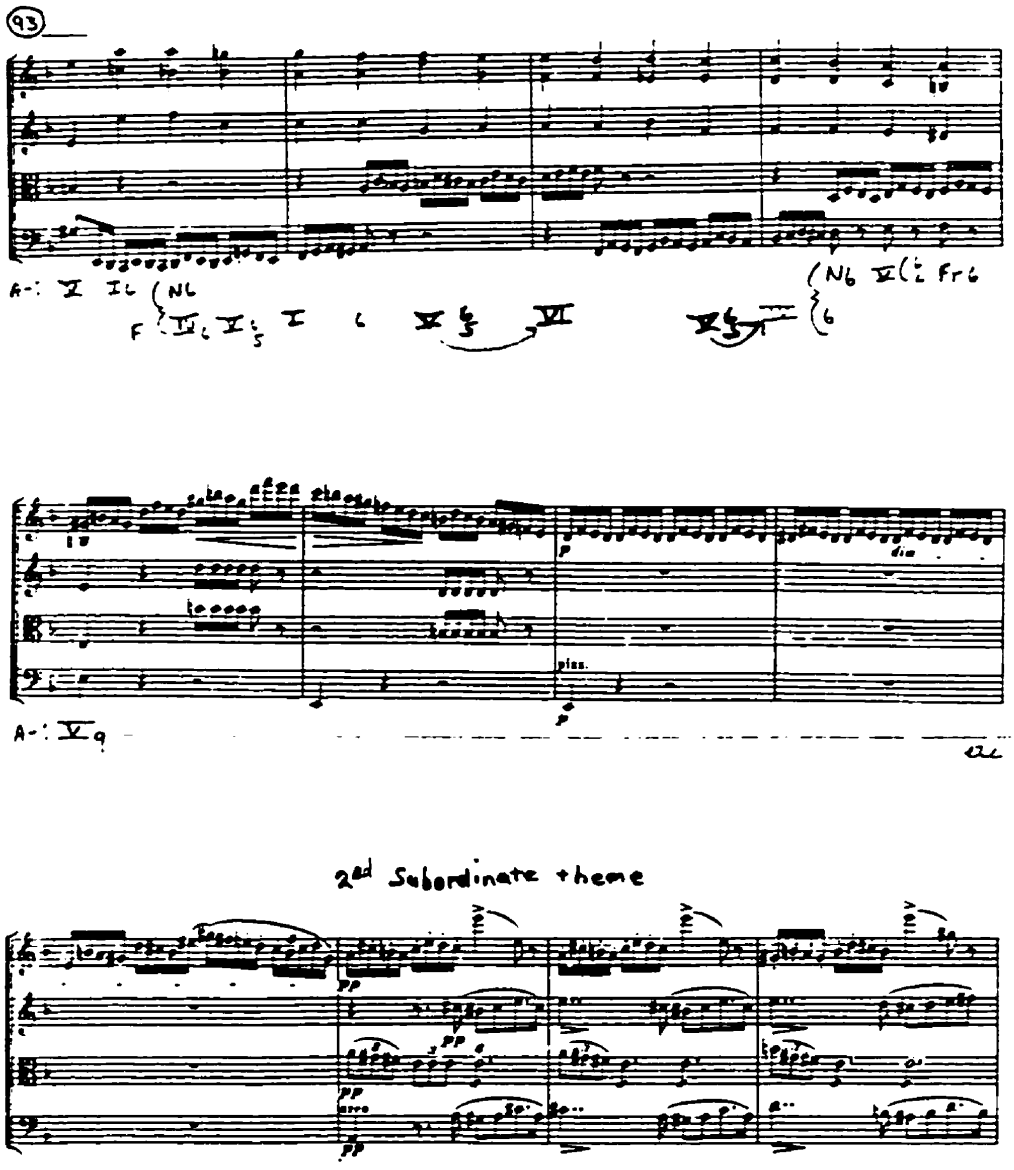
on tonic or dominant

Ex. 8.6. String Quartet in D Minor, D. 810, i,
a) main theme

b) harmonic reduction of cadence showing latent motive y.

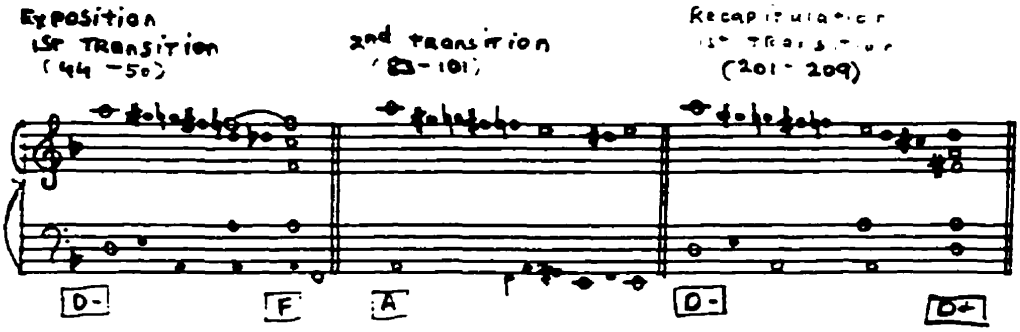


Ex. 8.7. String Quartet in D Minor, D. 810, i,
a) first subordinate theme in exposition

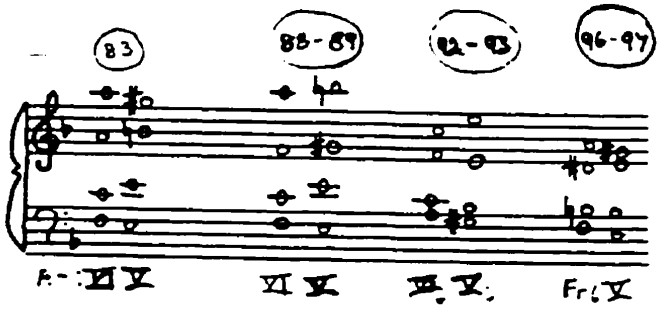

1st Subordinate theme
62
64
y'
y'
F: I, etc
x
I
I
I

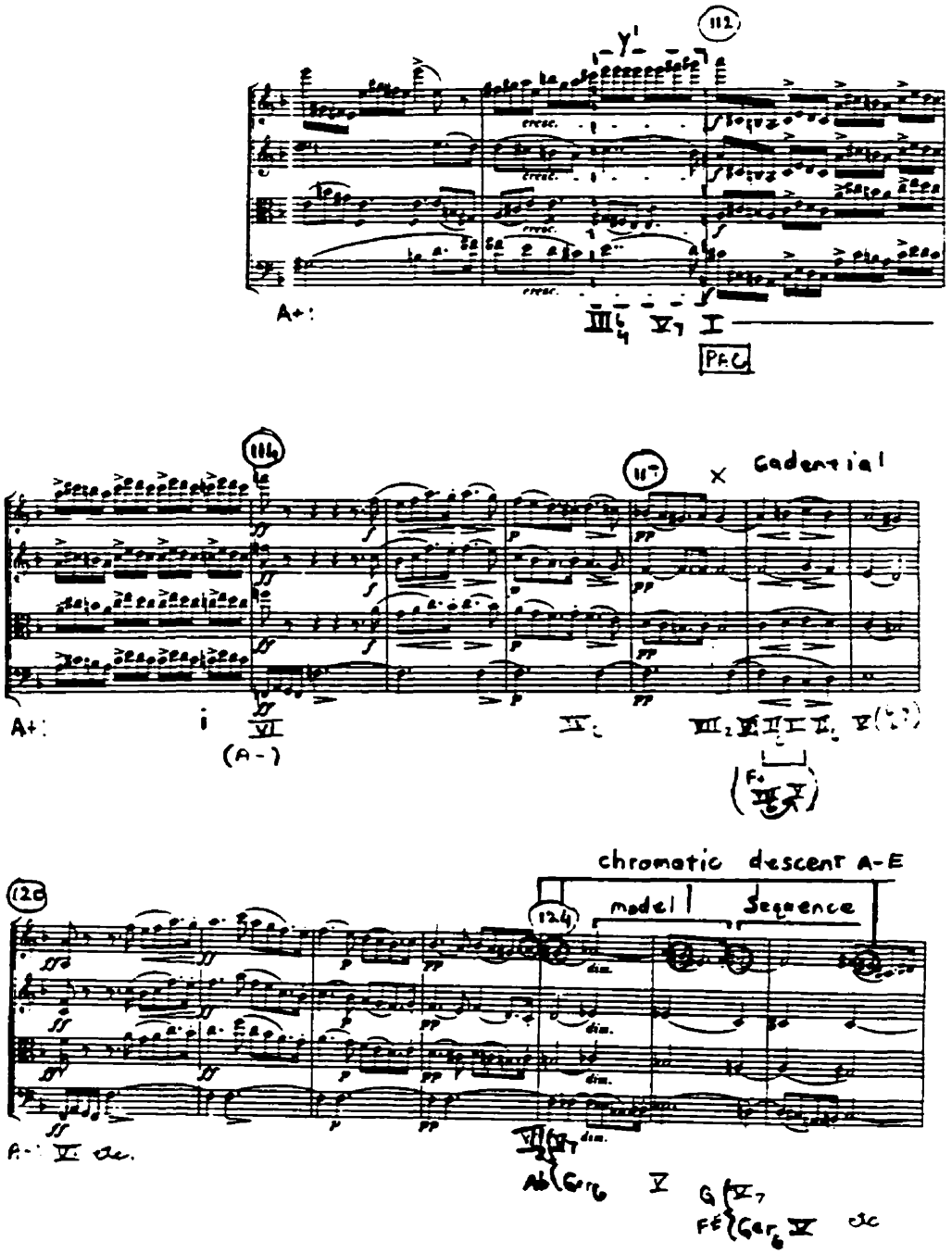
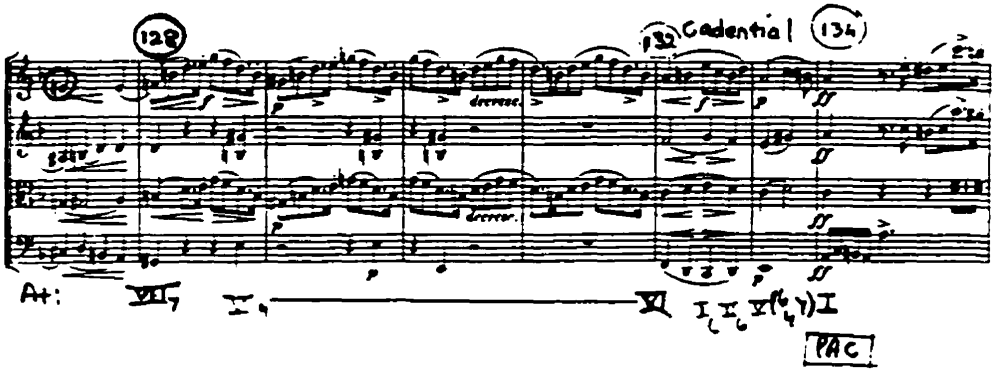
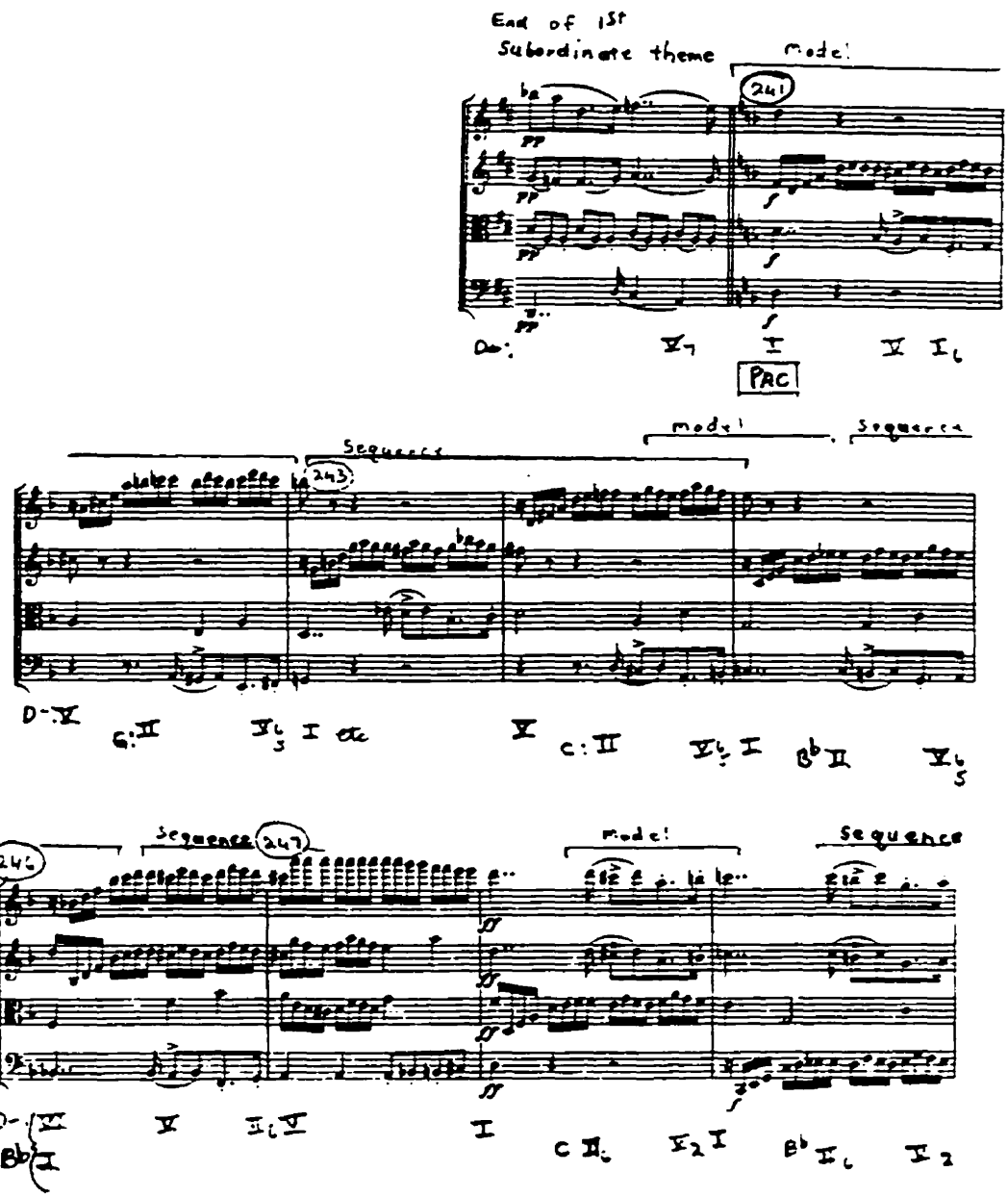
Ex. 8.8. String Quartet in D Minor, D. 810, i,
a) second transition in exposition

Ex. 8.8a cont'd

93
A-: V I6 (N6
F: IV6 I5 I 6 V 6/5 VI
(N6 V(6 Fr6
6
A-: V9
2nd Subordinate theme

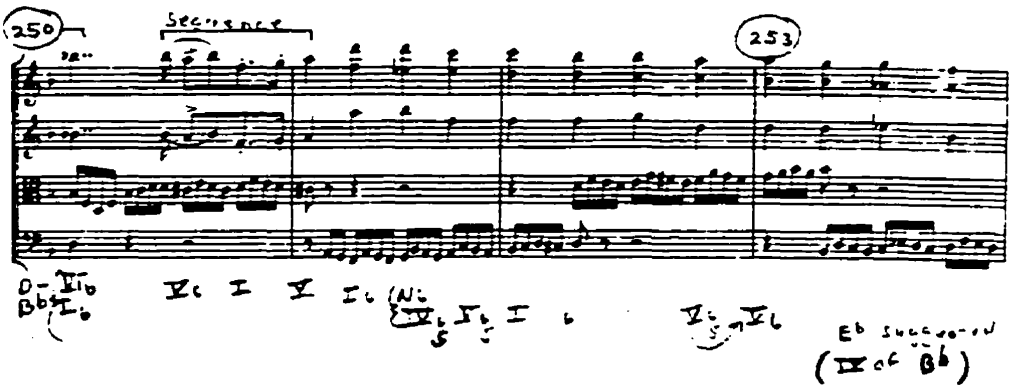
b) summary of chromatic descent from A across movement

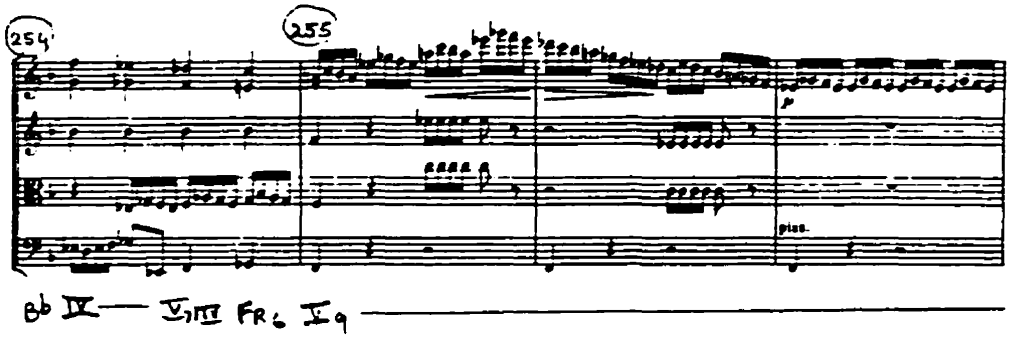
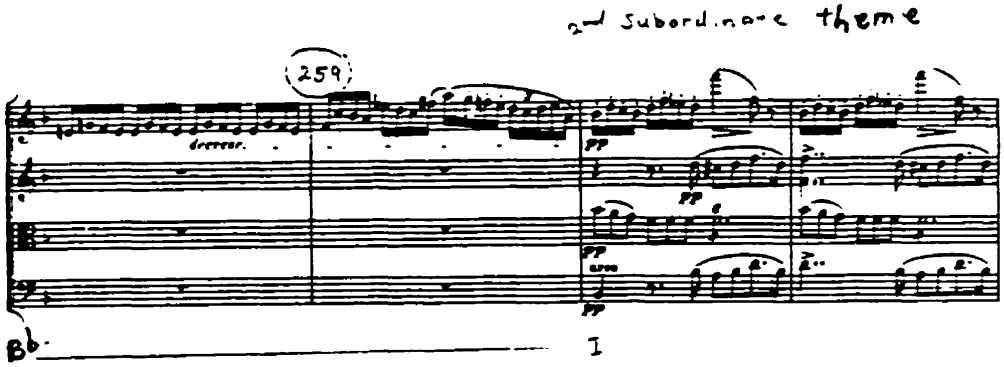


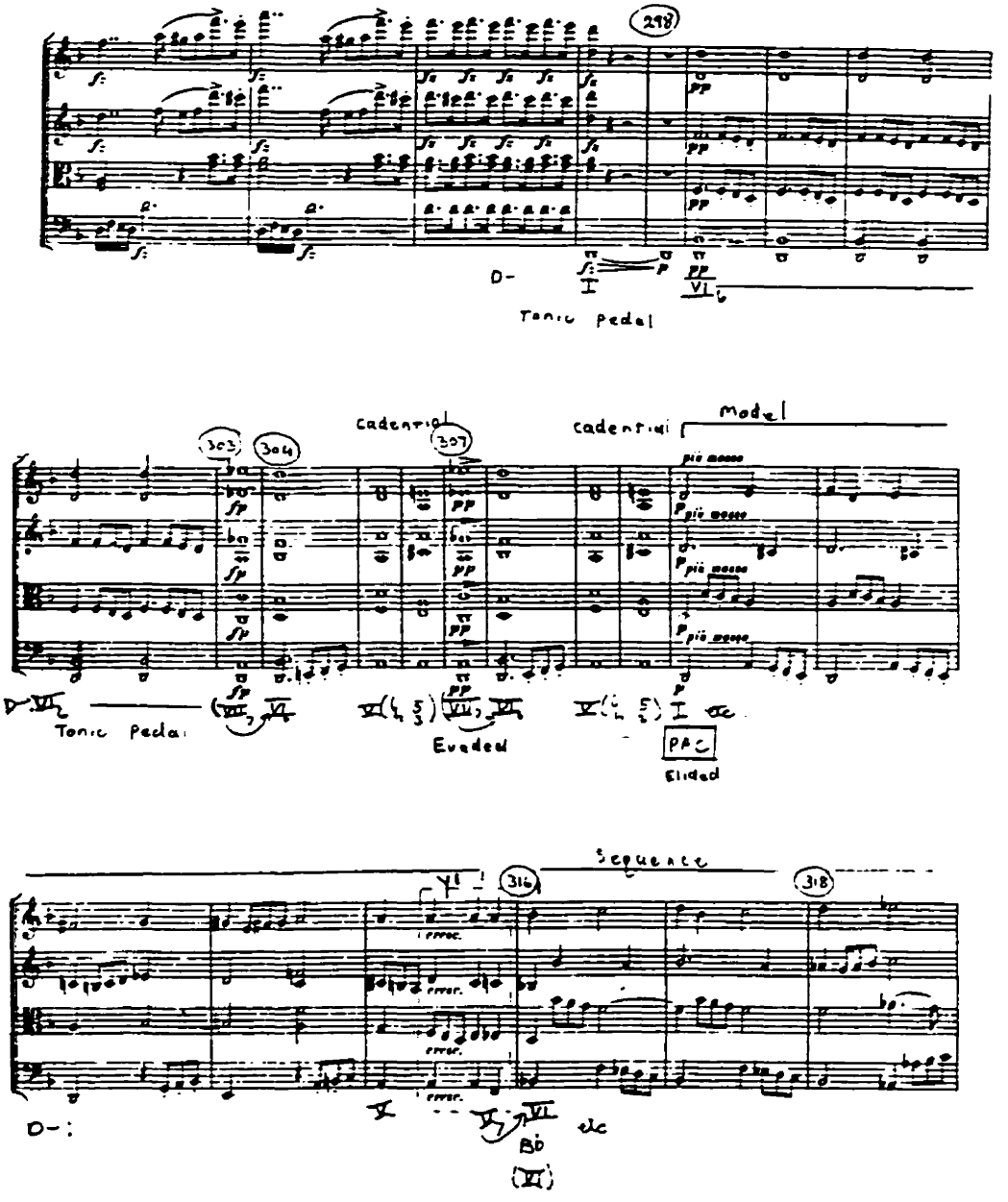
c) summary of VI-V gestures in second transition

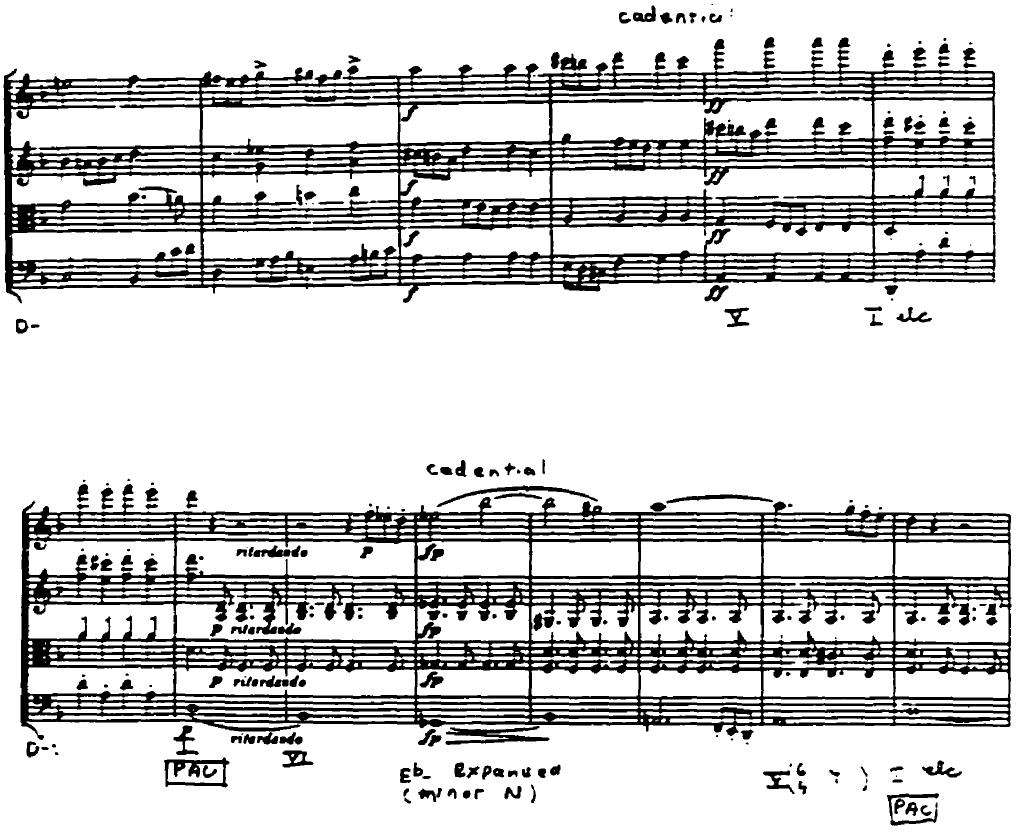


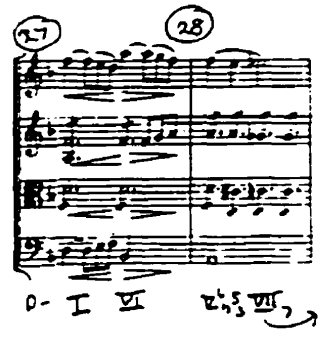
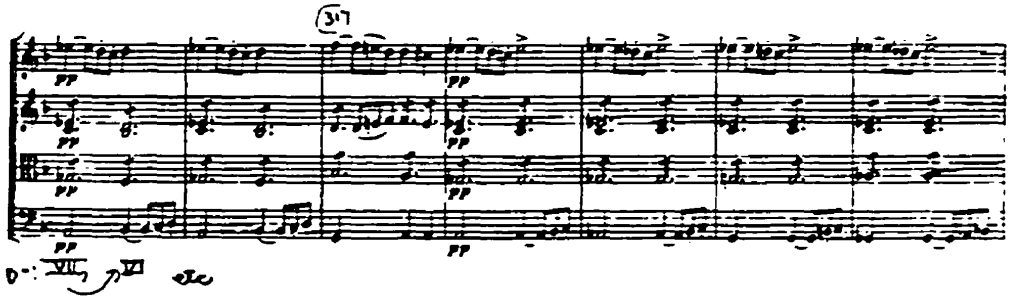
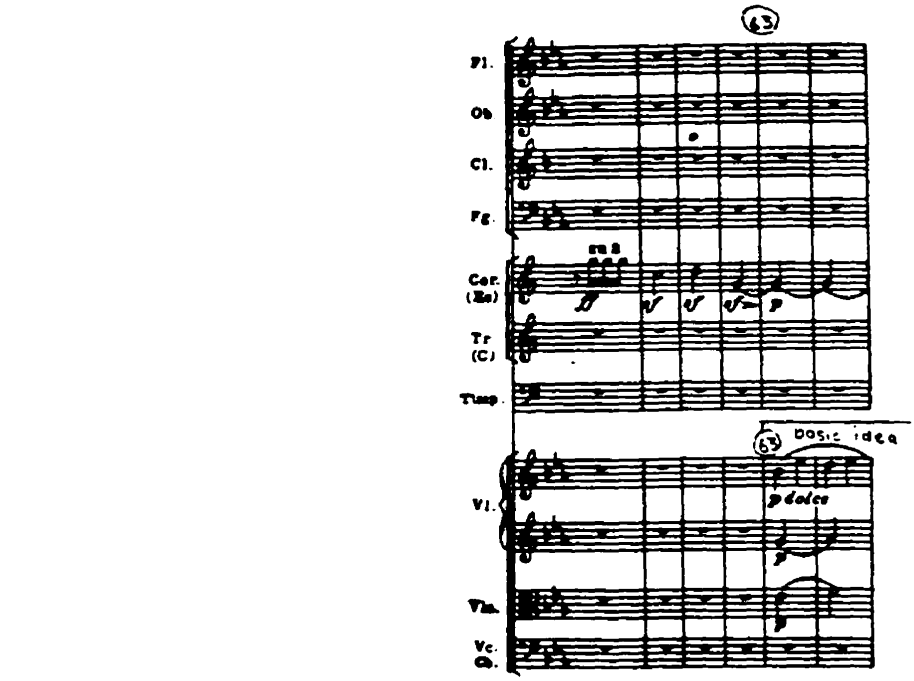
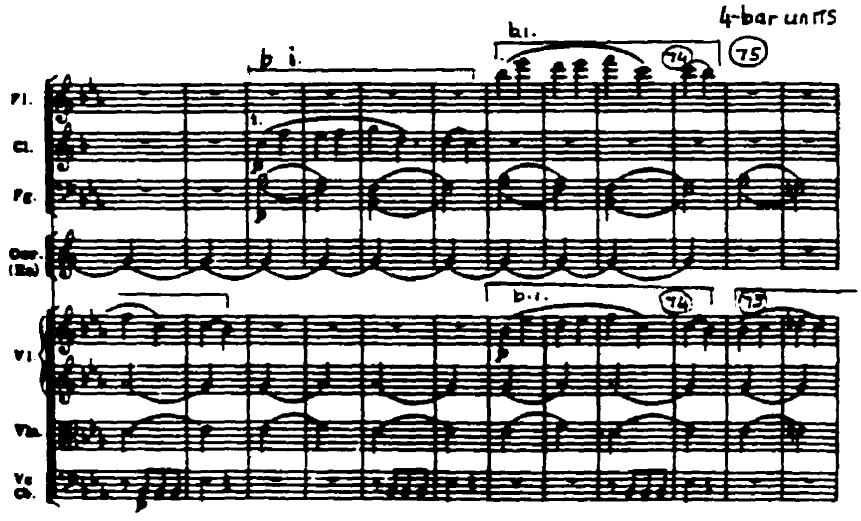
Ex. 8.9. String Quartet in D Minor, D. 810, i,
concluding cadences of second subordinate theme
in exposition

Ex. 8.9 cont'd

Ex. 8.10. String Quartet in D Minor, D. 810, i,
second transition in recapitulation

Ex. 8.10 cont'd


250
Sequence
253
Eb Succession
(IV of Bb)

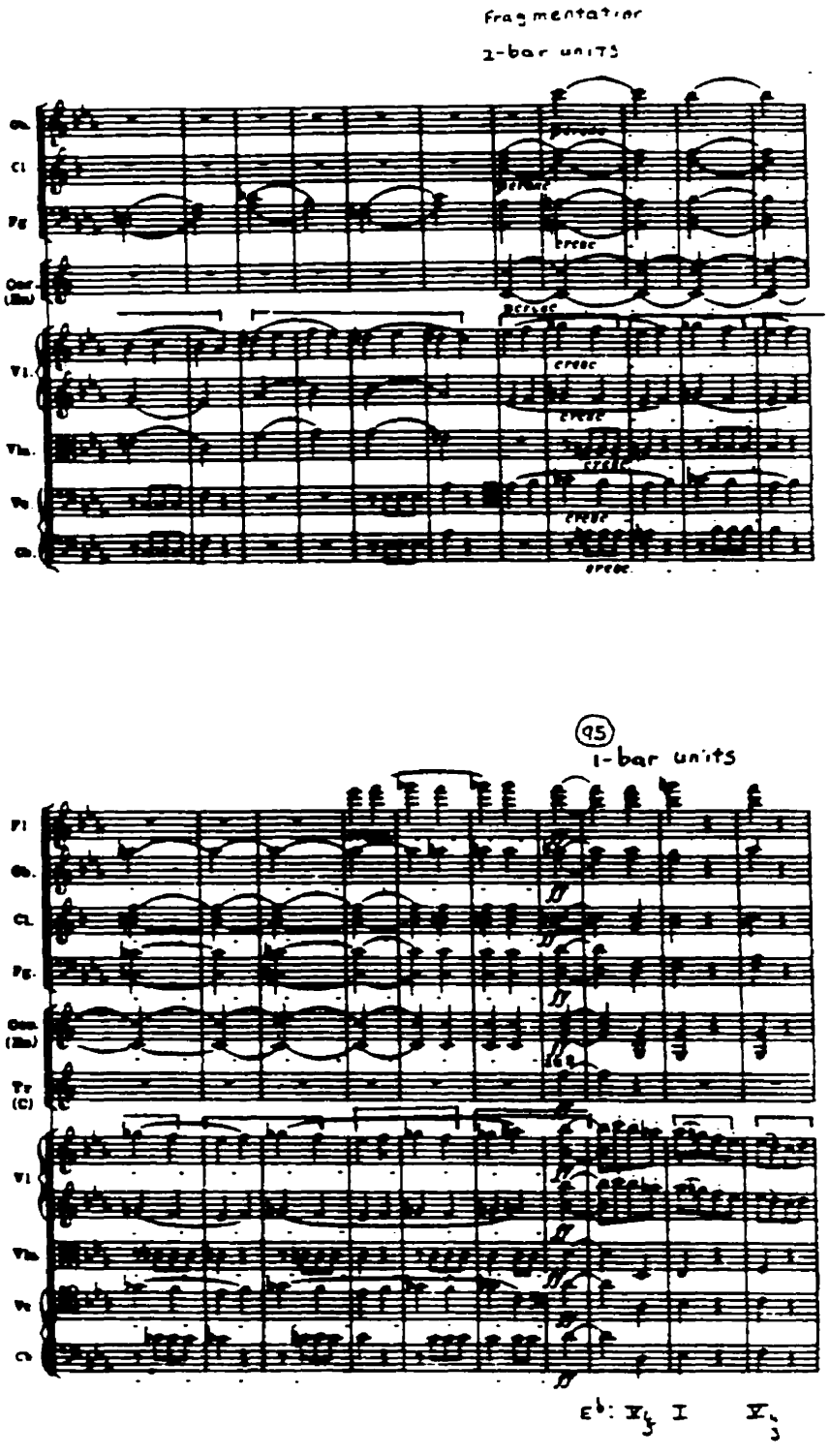

254
255
Bb IV — V7/III FR. I6

2nd Subordinate theme
259
Bb
I

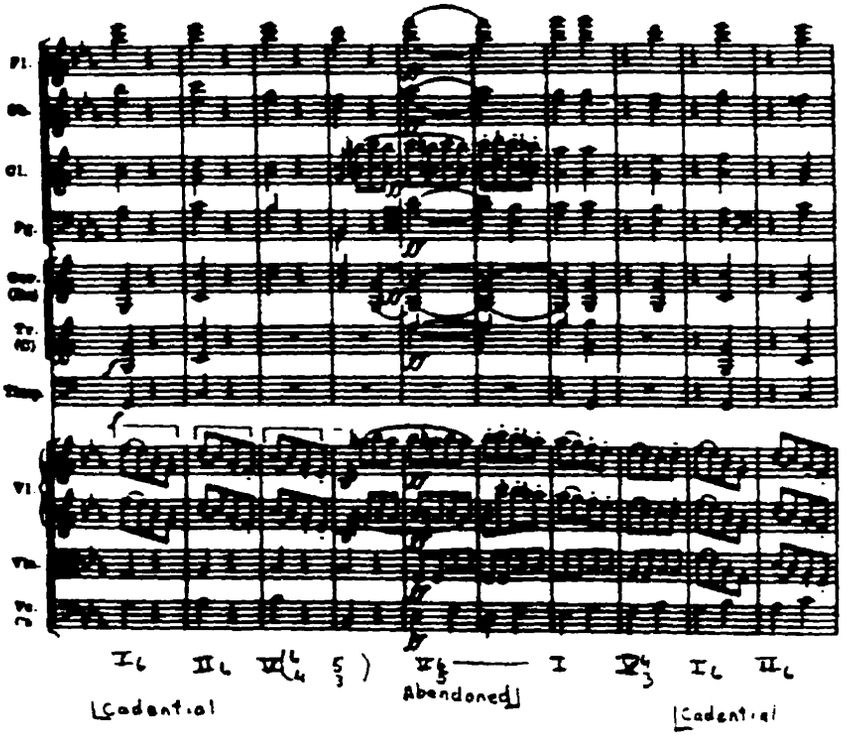
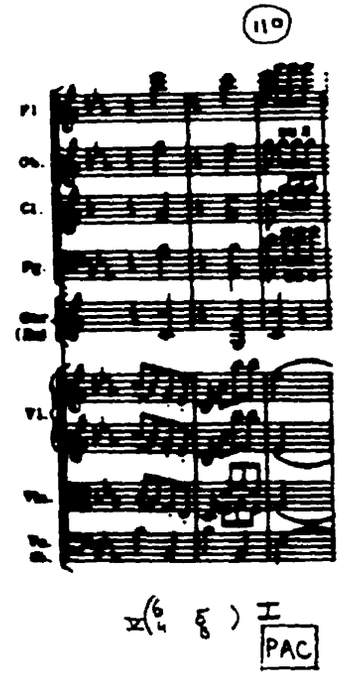
Ex. 8.11. String Quartet in D Minor, D. 810, i,
a) coda

Ex. 8.11a cont'd

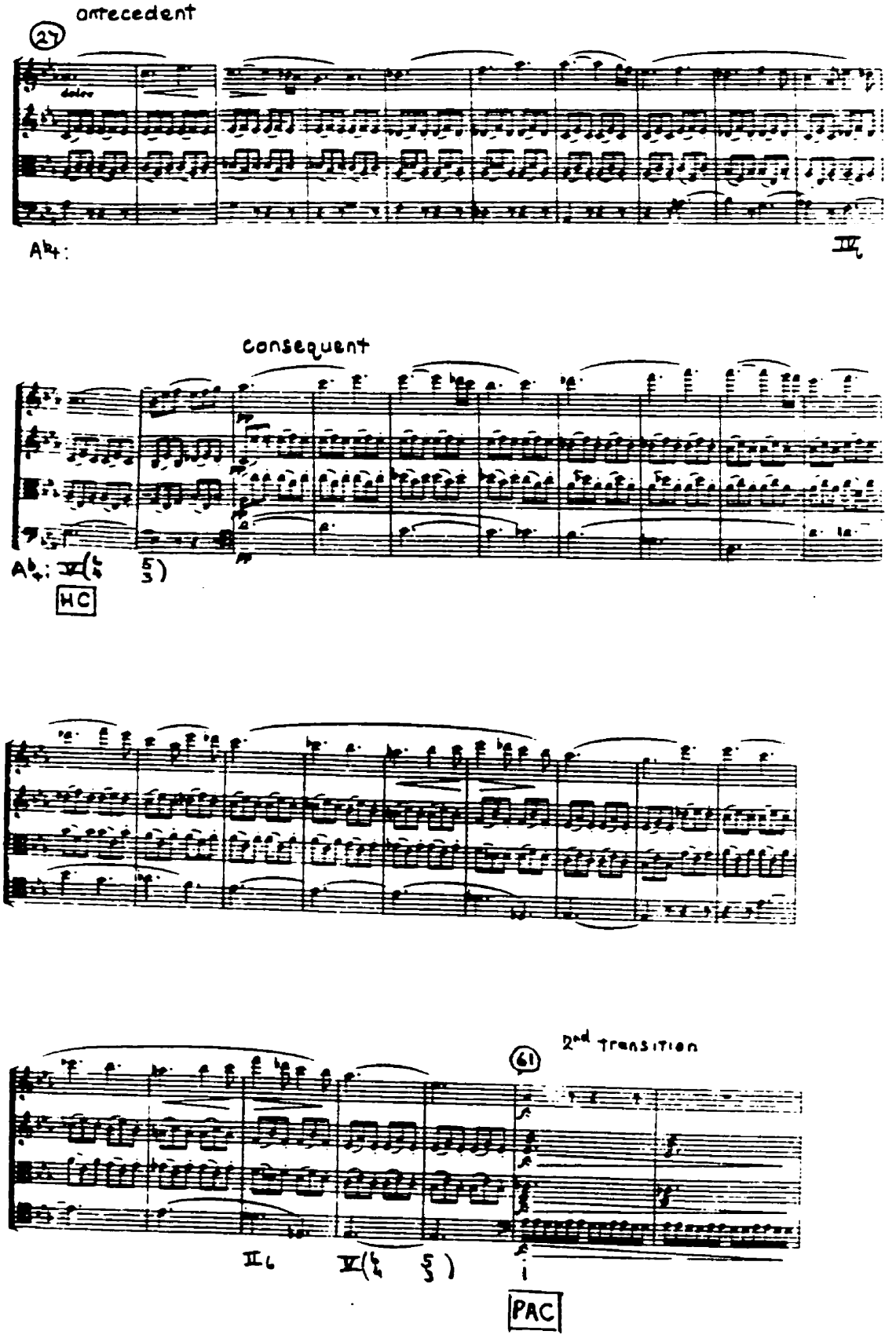


b) exposition bb. 27-31

Ex. 9.1. Beethoven, Symphony no. 5 in C Minor, op. 67, i, subordinate theme



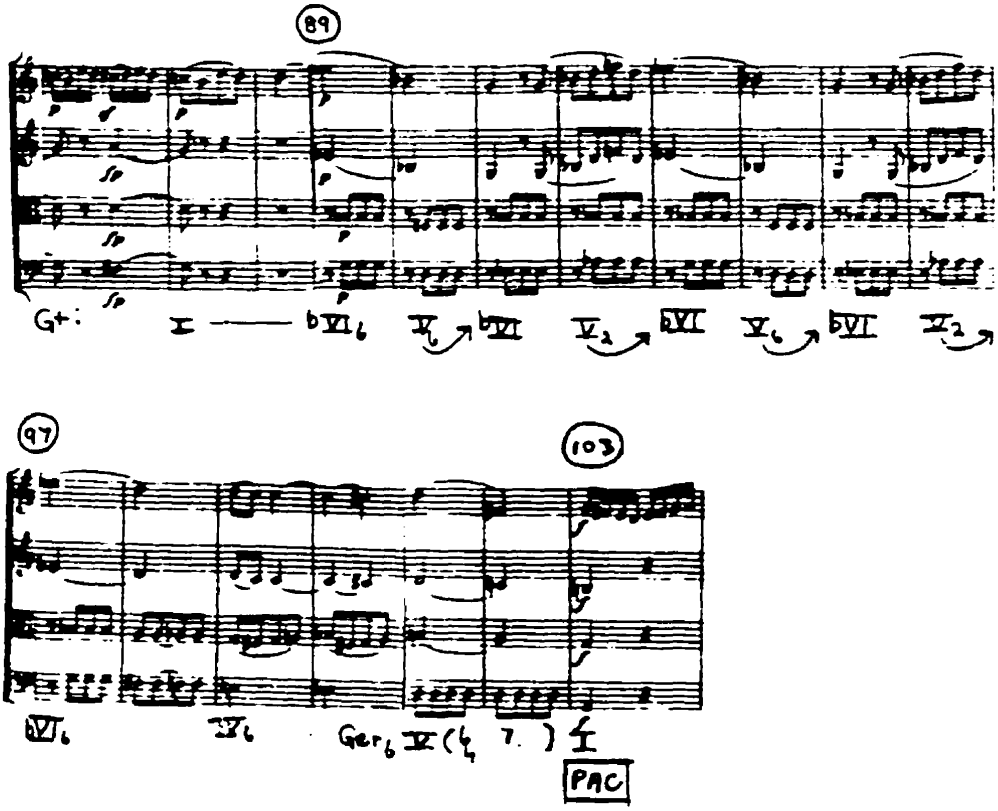
Ex. 9.1 cont'd



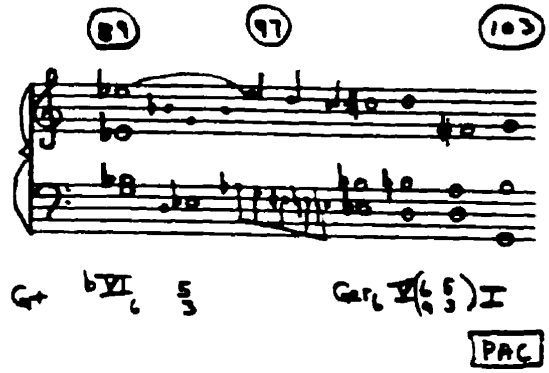
Ex. 9.1 cont'd

Fl.
Ob.
Cl.
Bsn.
Hn.
Vln.
Vla.
Vc.
I⁶ II⁶ IV⁶₄ 5/3 V⁶₅ I V⁴₃ I⁶ II⁶
Cadential
Abandoned
Cadential

110
Fl.
Ob.
Cl.
Bsn.
Hn.
Vln.
Vla.
Vc.
IV⁶₄ 5/3 I
PAC

Ex. 9.2. Schubert, Quartettsatz in C Minor, D. 703, subordinate theme

Ex 9.3. Mozart, String Quartet in C Major, K. 465, "Dissonance," iv

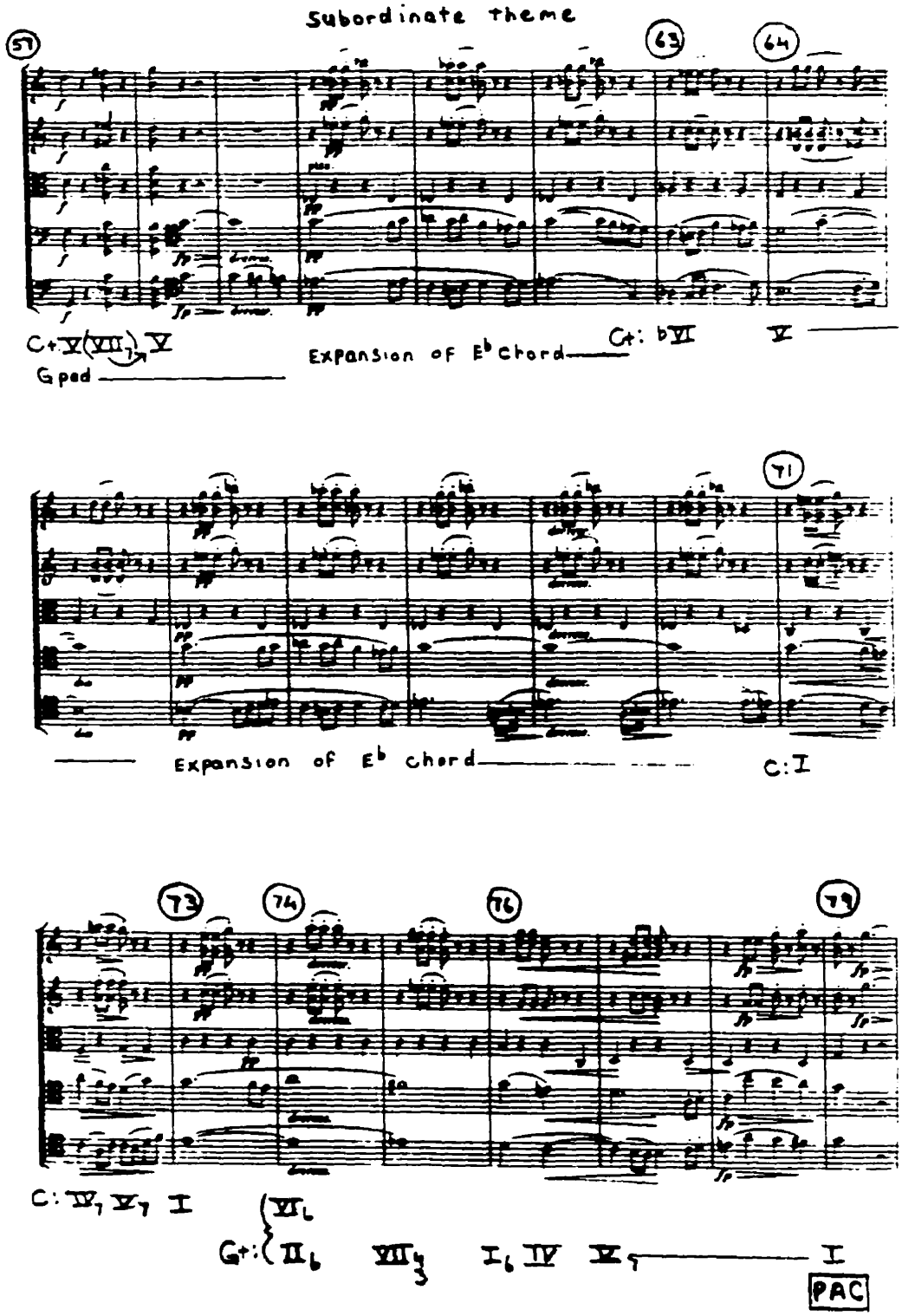
a) expansion of bVI in subordinate key



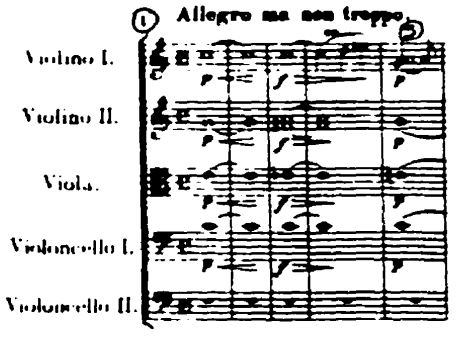
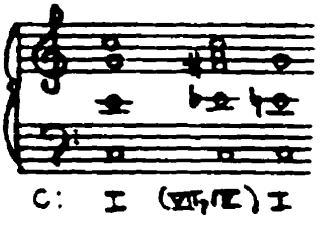
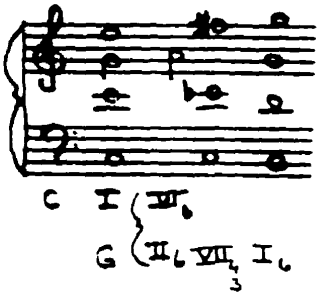
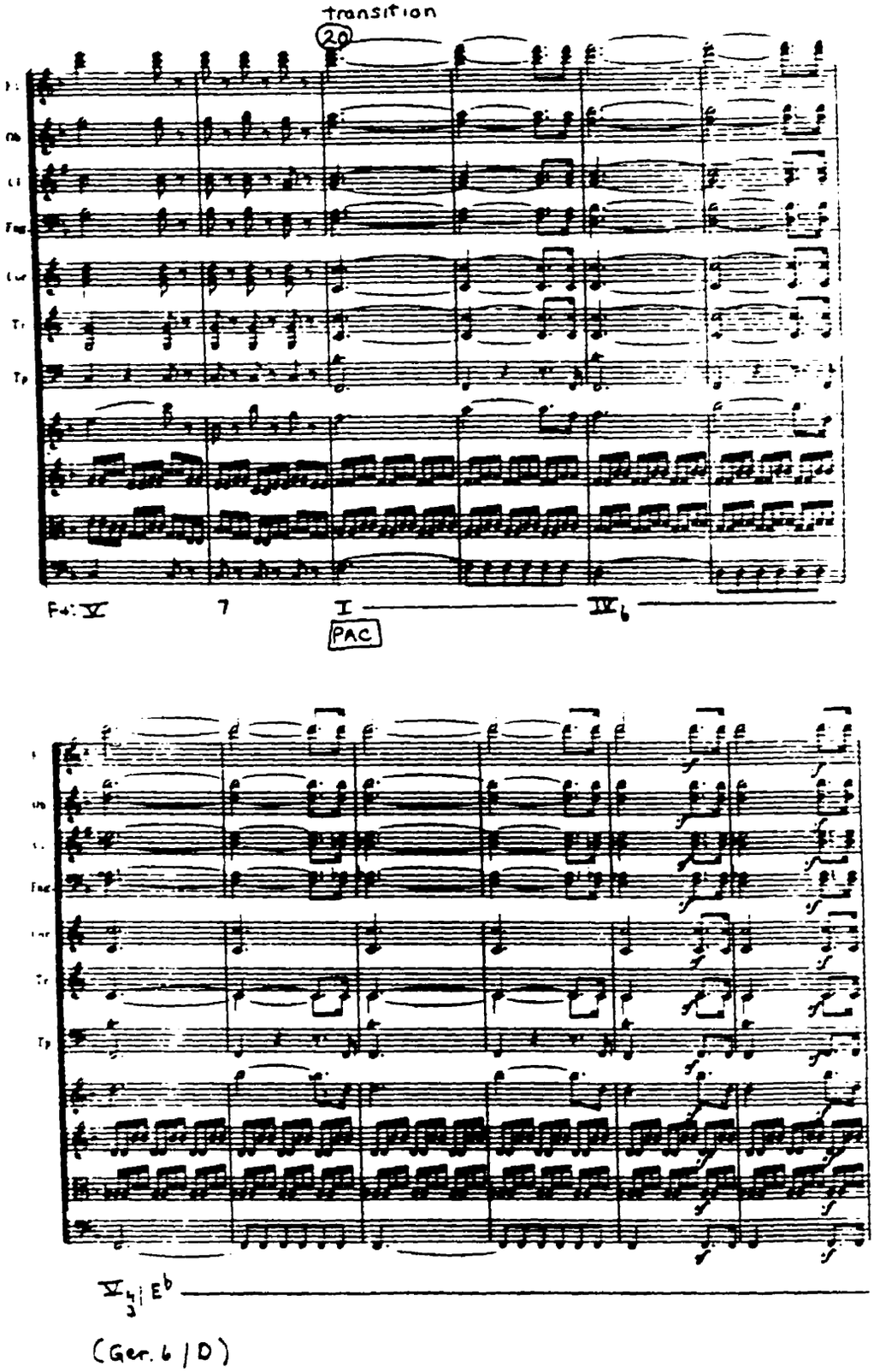
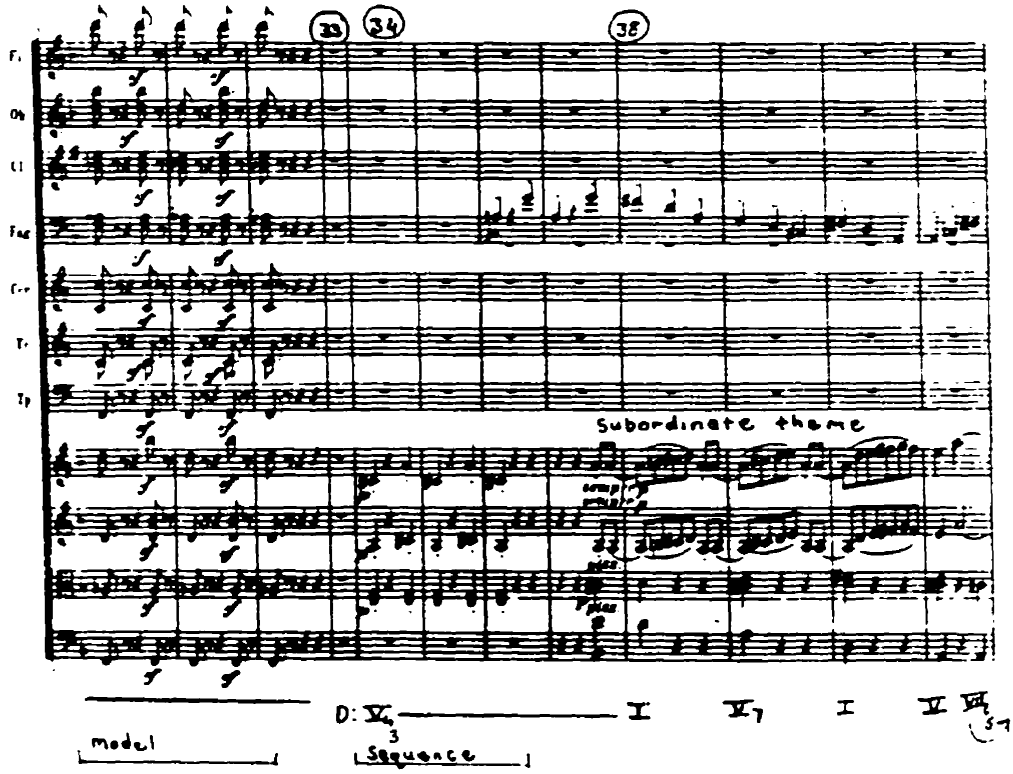
b) harmonic reduction of cadential progression, bb. 88-103

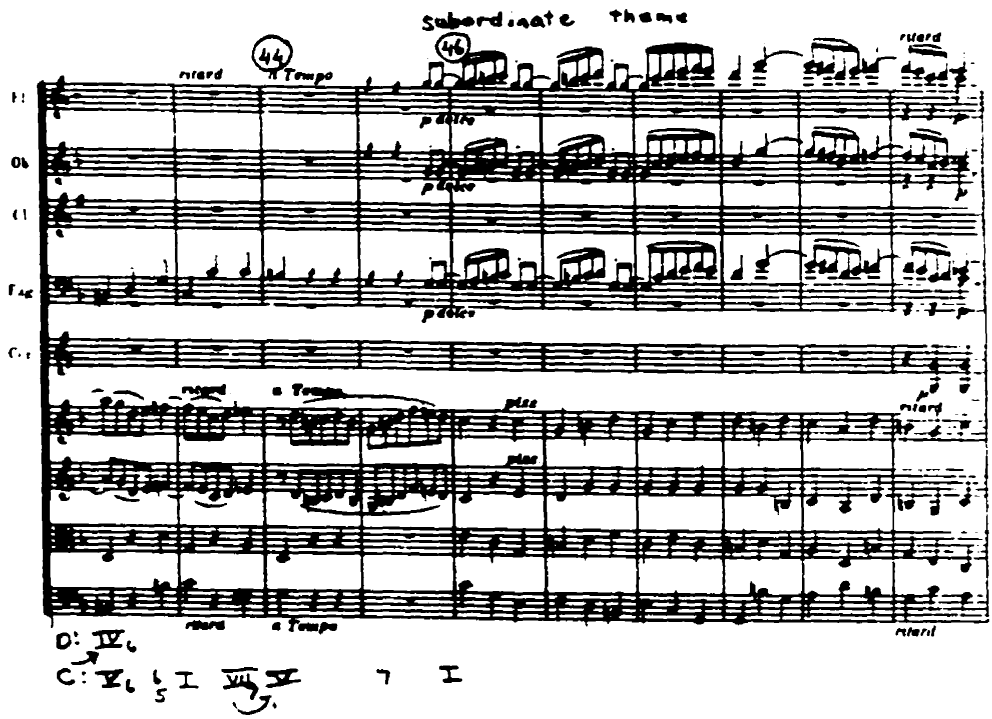


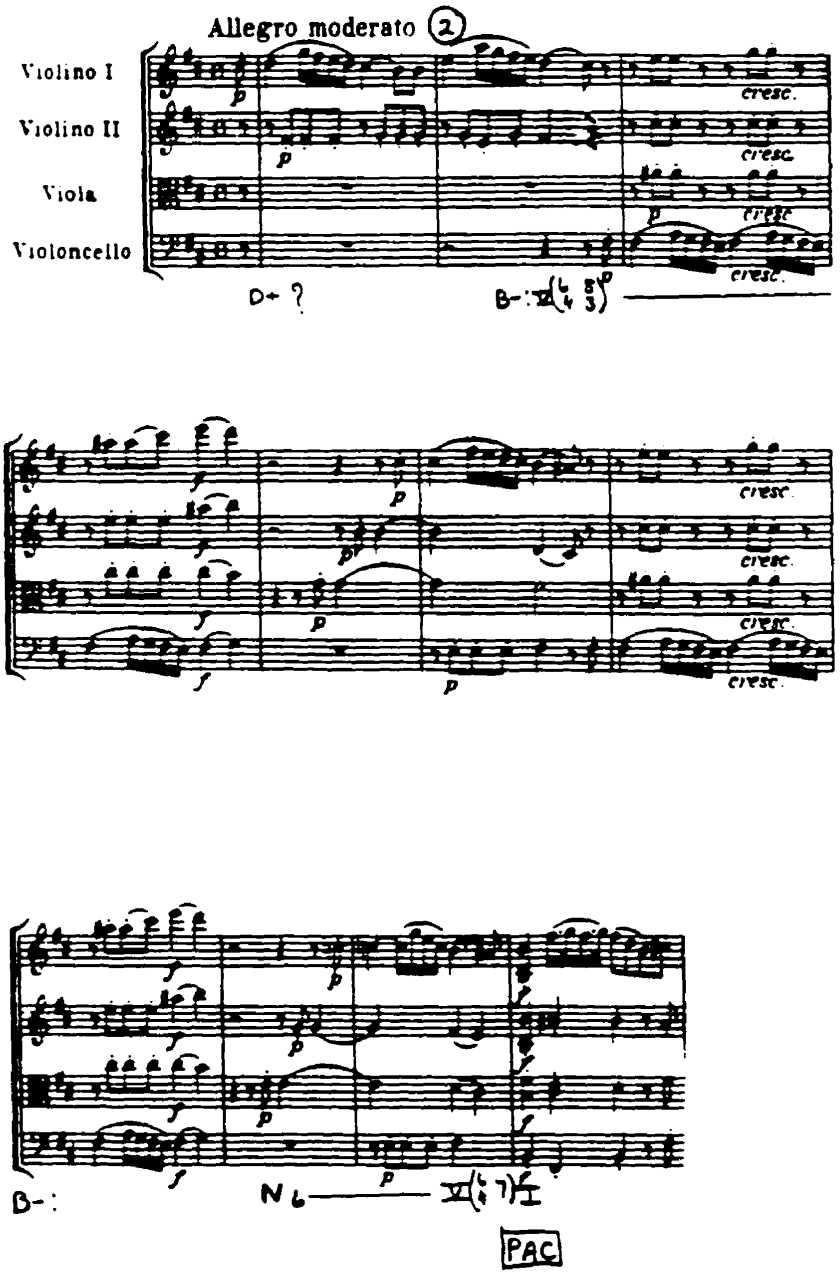
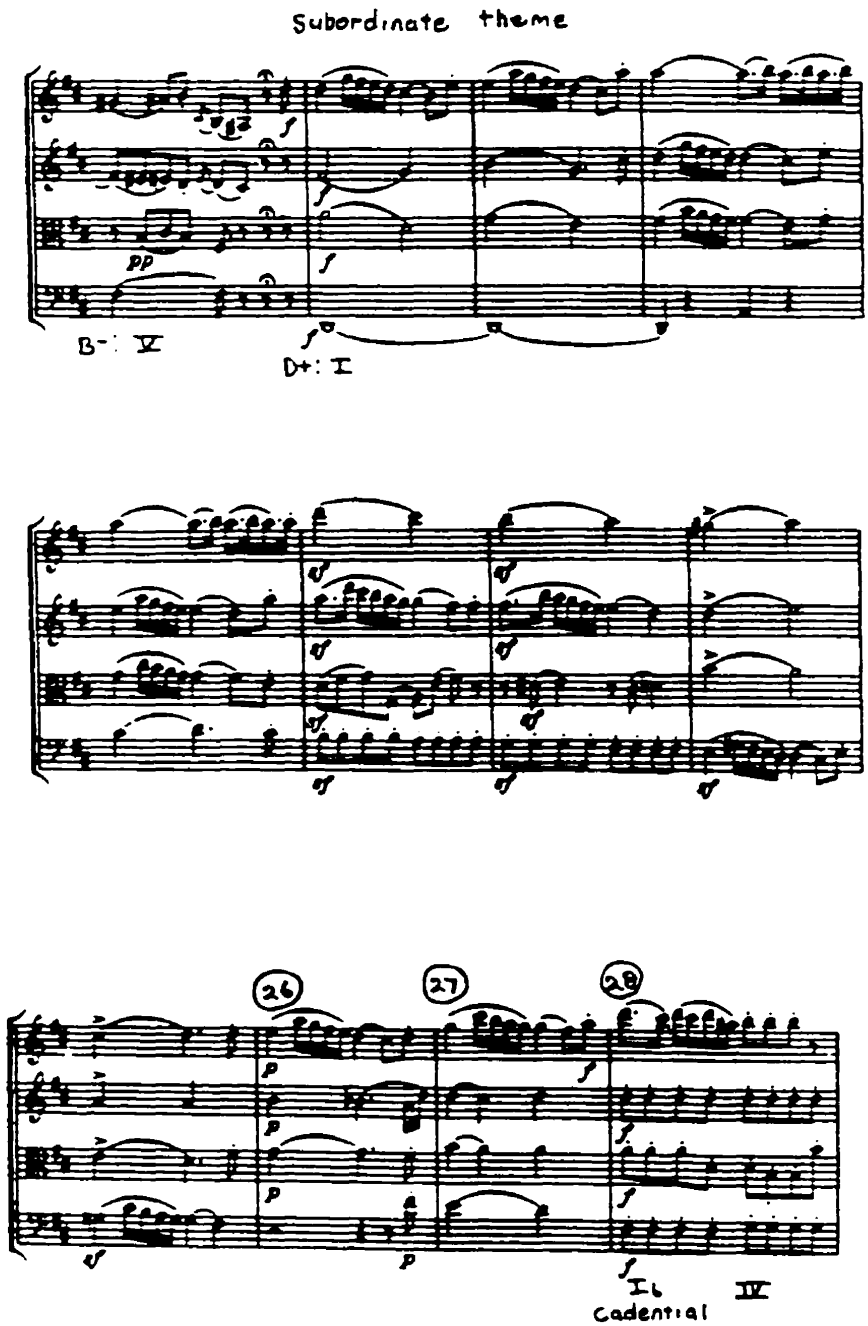
Ex. 9.4. Schubert, String Quintet in C Major, D. 956, i

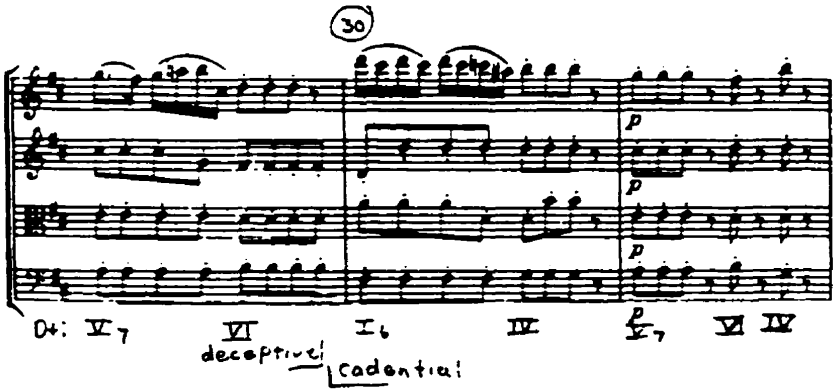
a) end of transition and subordinate theme

Ex. 9.4 cont'd

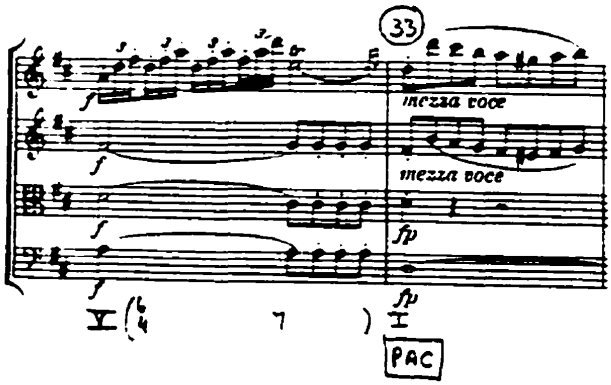
b) comparison of opening harmonic progression of movement and modulation to G major

i) beginning of movement (bb. 1-5)

ii) harmonic reduction of bb. 1-5 compared to bb. 73-6

Ex. 9.5. Beethoven, Symphony no. 8 in F Major, op. 93, i, transition and subordinate theme

Ex. 9.5 cont'd

33
34
38
Subordinate theme
D: IV6 — I V7 I V IV6
3
model
sequence

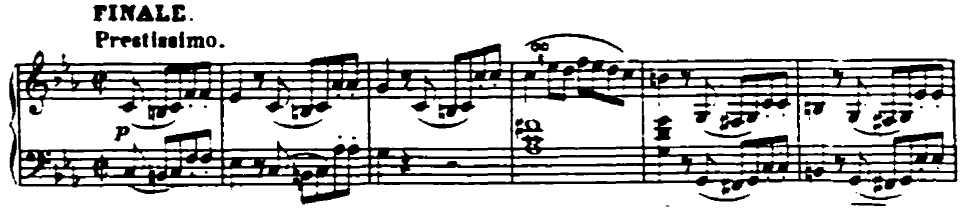

Subordinate theme
44
46
ritard
a Tempo
D: IV6
C: IV6 I6 I VII7 V 7 I

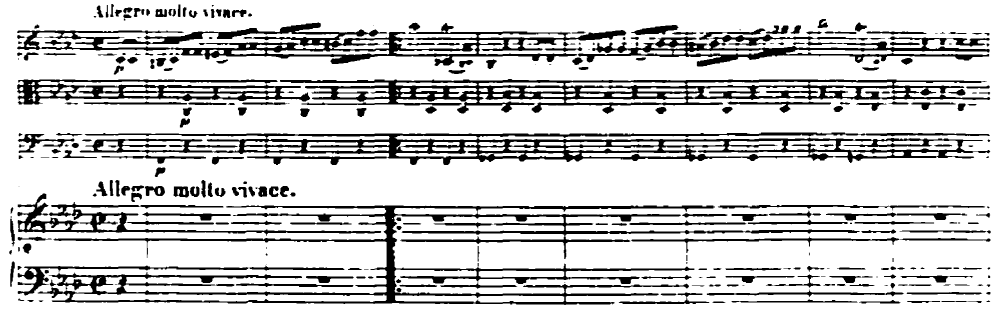
Ex. 9.6. Haydn, String Quartet in B Minor, op. 33, no. 1, i
a) main theme (bb. 1-12)

Ex. 9.6 cont'd
b) end of transition and subordinate theme

Ex. 9.6 cont'd


30
p
p
p
D+: V7
VI
deceptive!
I6
IV
cadential
V7
VI
IV


33
mezza voce
mezza voce
fp
fp
V
7
I
PAC

Ex. 9.7. Comparison of Beethoven, Piano Sonata in C Minor, op. 10, no. 2, iii and Mendelssohn, Piano Quartet in F minor, op. 2, iv

a) Beethoven

b) Mendelssohn

i) main theme

ii) subordinate theme

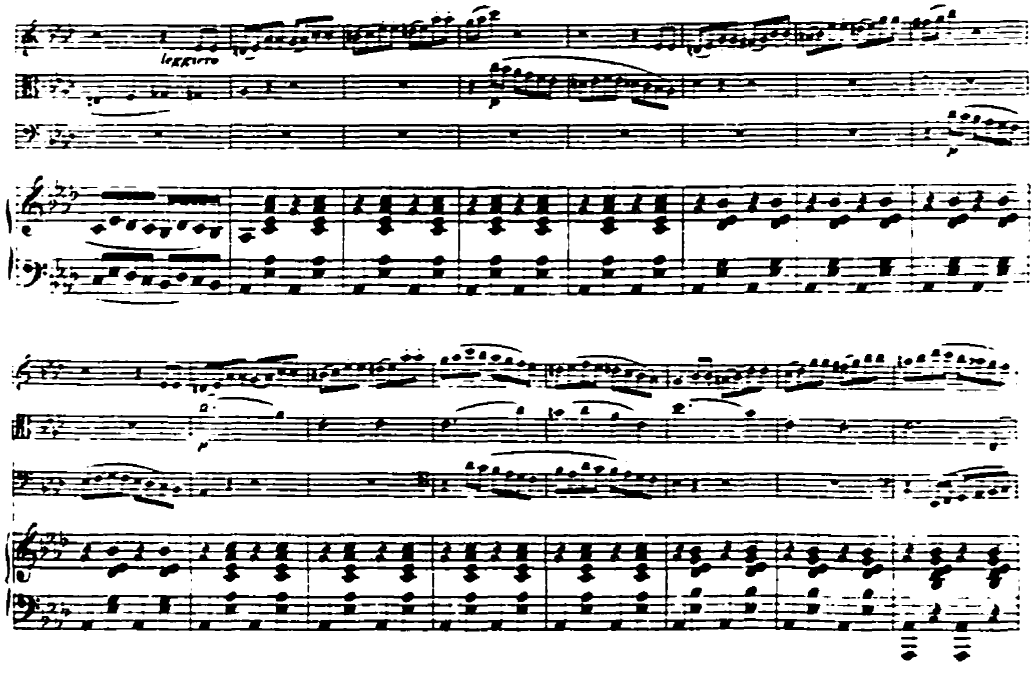
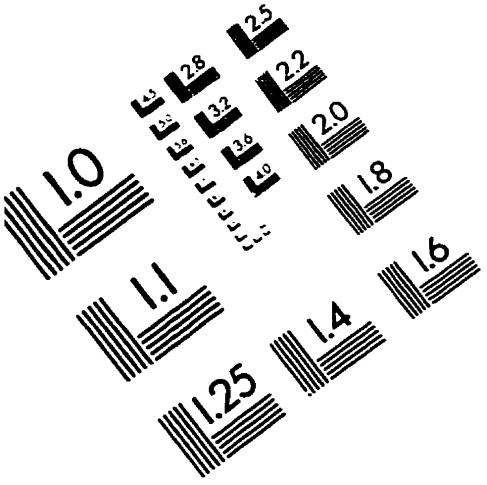
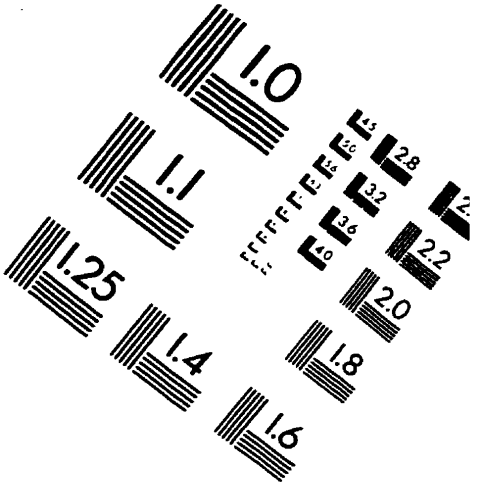
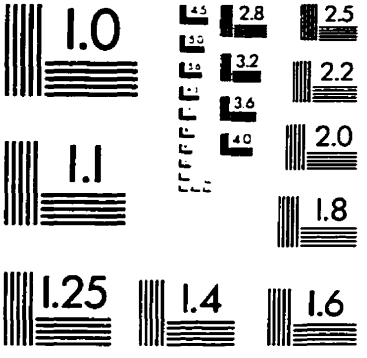
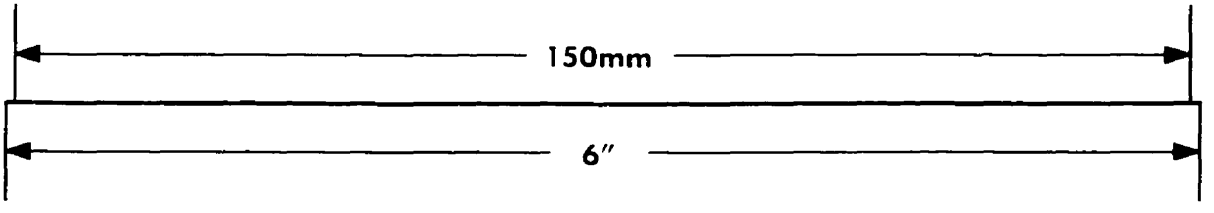



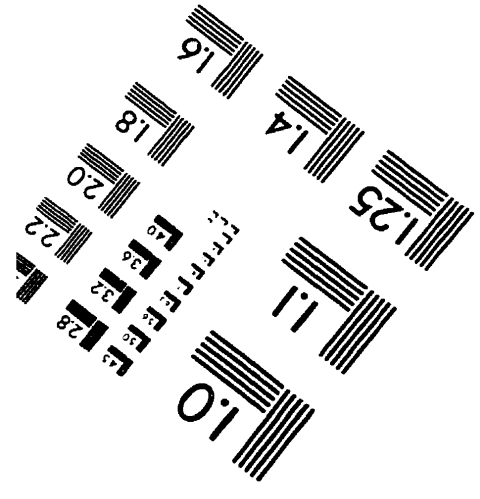
IMAGE EVALUATION TEST TARGET (QA-3)

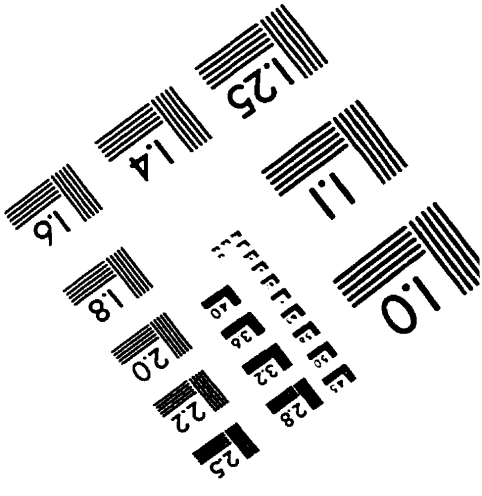












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