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Editorial

“Qualquer um que pega um livro sobre a forma sonata muito provavelmente acha que já sabe do que se trata, e esta pessoa provavelmente está correta” (p. 1). É assim que Charles Rosen abre sua monografia sobre as formas de sonata em 1980. Essa sensação de domínio sobre o assunto era, neste momento, fruto de uma compreensão formal baseada em um esquema restrito, desenvolvido principalmente para fins composicionais ao longo do século XIX. Mas, como aponta Daniel Harrison – com respeito ao estado dos estudos sobre acordes de sexta aumentada, em 1995 – a sensação de grande segurança perante um assunto, de que há pouco a ser desvendado sobre algo, “pode ser interpretada como um sinal de progresso ou complacência” (1995, p. 170). Em seu livro, Rosen descontrói tal sensação, expondo a pluralidade de realizações formais suportadas por essa estrutura denominada genericamente como forma sonata.

O surgimento de novos estudos sobre a forma musical ao redor da virada do século – principalmente a *Teoria das Funções Formais*, de William Caplin (1998), e a *Teoria da Sonata* (2006), de James Hepokoski e Warren Darcy – abriu novos caminhos para pesquisas na área. Estes estudos resgataram a tradição da *Formenlehre* através da reformulação de alguns de seus conceitos e suas fundamentações teóricas, e da proposta de novos instrumentos analíticos que contribuíram efetivamente para a compreensão desta pluralidade formal que compõe o universo da forma sonata.

Este número temático da revista *Musica Theorica* retoma esta tradição, estabelecendo diálogos com os variados avanços na área dos últimos anos. De maneira geral, o número retrata a maleabilidade formal e estilística da forma sonata, sua possível associação a gêneros que tradicionalmente não se estruturam como tal (e.g., poema sinfônico e fantasia) e uma variedade de abordagens teóricas que, além de se aproximarem da literatura recente sobre a forma musical, incluem também a teoria schenkeriana, a releitura de teorias oitocentistas, teorias da significação musical e a análise computacional.

No artigo que abre este número, Poundie Burstein aborda uma questão conceitual: a localização do tema secundário na forma sonata. Para isto, o autor,



primeiramente, examina a *Sonata para Piano em Sol Maior* (1819) de Sigismund Neukkom – provavelmente uma das primeiras obras em forma sonata compostas no Brasil – através das lentes de teorias formais oitocentistas e, na sequência, compara criticamente os resultados analíticos com possíveis interpretações formais de temas secundários a partir de teorias atuais, lançando luz sobre as vantagens e desvantagens analíticas de cada concepção.

Os dois artigos seguintes abordam a música de Leopoldo Miguez. Norton Dudeque analisa a manifestação da forma sonata em três de seus poemas sinfônicos. Debruçando-se sobre a interação entre programa e estrutura, Dudeque demonstra como a relação conflituosa entre as narrativas (programática e formal) resulta em recorrentes “deformações” formais. Adicionalmente, o artigo retrata o alinhamento de Miguez à estética musical alemã do fim do século XIX, destacando o uso do complexo de tônicas-duplas e de transformações temáticas. Desirée Mayr se debruça sobre o *Allegro Appassionato*, Op. 11 para demonstrar que diversos parâmetros (harmônicos, formais, temáticos e contrapontísticos) da obra podem, de forma mais abrangente, ser identificados como marcadores do estilo compositivo de Leopoldo Miguez.

O próximo artigo traz um estudo sobre a forma sonata no século XX. Katerina Maniou examina o diálogo entre bidimensionalidade formal e narrativas apocalípticas na obra do compositor soviético Alfred Schnittke, estabelecendo, por meio de uma abordagem hermenêutica, sua relação com aspectos sociais, políticos, econômicos e espirituais, por exemplo, e, em última instância, demonstrando que, como afirma Schnittke, “nada é o que parece ser”.

No quinto artigo deste número, Ivan Gonçalves Nabuco e Sérgio Paulo Ribeiro de Freitas oferecem a primeira revisão crítica em português da concepção de Heinrich Schenker sobre a forma sonata. Os autores examinam conceitos-chave para a compreensão desta e outras formas a partir da ótica schenkeriana como a interrupção, a improvisação e o organicismo, comentam a visão de Schenker sobre o motivo e exemplificam a discussão através da análise da *Sonata em Sol menor*, Hob. XVI:44 de Haydn.

O artigo seguinte não aborda aspectos da forma sonata em si, mas apresenta uma ferramenta analítica desenvolvida para a identificação computacional de padrões de alturas, ideal para o exame de *corpus* amplos. Sua inclusão neste número temático se justifica precisamente pelo *corpus* abordado

pelos autores: 155 sonatas de Domenico Scarlatti. Após apresentarem o programa, Thiago Luis Gomes e Flavio Santos Pereira passam a identificar recorrências de séries de alturas no repertório escolhido, demonstrando, principalmente, a proximidade entre passagens temáticas, motivos específicos e gestos cadenciais.

Os três artigos finais deste número examinam aspectos relacionados à forma sonata na obra de compositores europeus do século XIX. Gabriel Venegas Carro propõe que a multiplicidade textual do gênero sinfônico em Bruckner (i.e., a existência de versões diversas de uma mesma sinfonia elaboradas pelo próprio compositor) não necessariamente deve ser interpretada de forma pejorativa, mas como um traço característico deste repertório, com grande potencial para os estudos analíticos e musicológicos. O autor apresenta um modelo analítico que permite a consideração do significado formal-expressivo das sinfonias de Bruckner dentro de um diálogo bidimensional que se dá entre uma versão específica de uma sinfonia e o horizonte de expectativas associado ao gênero (diálogo externo) e entre as diversas versões de uma mesma sinfonia (diálogo interno). Apesar de ser exemplificado com dois movimentos sinfônicos de Bruckner, o modelo analítico proposto extrapola os limites deste repertório, podendo ser aplicado a obras de outros compositores.

No meu artigo, investigo o papel da cesura média em exposições de Schubert que, de certa forma, “relutam” para deixar a tônica inicial antes de moverem-se para o segundo grupo temático. Demonstro como a ausência de atividade harmônica em direção a uma nova tonalidade ao longo da primeira parte da exposição faz com que a cesura média assuma um papel central na preparação da segunda parte.

No artigo que fecha o número, Boyd Pomeroy apresenta uma análise da *Fantasia em Dó maior*, Op. 17 de Schumann a partir de uma abordagem analítica que combina a teoria schenkeriana e a *Teoria da Sonata* de Hepokoski e Darcy. Pomeroy oferece aqui uma leitura realmente inovadora da obra com respeito à sua organização tonal e formal. O autor propõe que a relação tonal da exposição não se baseia na oposição de tonalidades, mas de dois acordes, a dominante e a supertônica. No âmbito da forma, Pomeroy explora as “deformações” que se desprendem da interação entre a liberdade característica do gênero fantasia e as convenções associadas à forma sonata.

A variedade de assuntos, abordagens e repertórios que marca este número da *Musica Theorica* reforça que, ao contrário do que já se pensou em algum momento da história, há ainda muito a ser dito sobre essa rede de relações chamada de forma sonata.

Boa leitura a todos!

Gabriel Navia

Foz do Iguaçu, 04 de novembro de 2022

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The Lyrical Themes of Neukomm's Piano Sonata in G (1819)

Os temas líricos da Sonata para Piano em Sol Maior (1819) de Neukomm

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Abstract: Determining the location of the secondary theme group within a Classical sonata-form exposition relies on taking into account the interplay of disparate musical elements. In situations where these elements do not neatly correlate with each other, analytic disputes can arise concerning the precise location of the secondary theme. Analysis of the first movement of Sigismund Neukomm's Piano Sonata in G helps highlight the issues regarding this matter. Appealing to eighteenth-century approaches to musical form, in conjunction with more modern concepts, sheds light on this movement's form and stylistic context, as well as on the nature of the secondary theme group in general.

Keywords: Sonata form. Secondary theme. Lyrical theme.

Resumo: Ao determinar a localização do grupo temático secundário no âmbito da exposição de uma forma sonata Clássica, deve-se levar em consideração a interação entre elementos musicais díspares. Debates analíticos sobre a localização precisa do tema secundário podem surgir em situações que tais elementos não se correlacionem nitidamente. A análise do primeiro movimento da *Sonata para Piano em Sol Maior* de Sigismund Neukomm nos auxilia a destacar as questões relacionadas a este assunto. Lançando mão de abordagens oitocentistas da forma musical, juntamente com conceitos mais modernos, este trabalho lança luz sobre a forma e o contexto estilístico deste movimento, bem como sobre a natureza do grupo temático secundário em geral.

Palavras-chave: Forma sonata. Tema secundário. Tema lírico.



Where would you locate the secondary theme group in the exposition of Sigismund Neukomm's Piano Sonata in G, first movement?¹ Considering the seemingly straightforward nature of this movement, this is a surprisingly tricky question. As we shall see, exploring the issues involved with locating the secondary theme group in this exposition can help shed light on the concept of the theme grouping in Classical sonata form in general.

Neukomm completed this sonata in 1819 while living in Rio, making it one of the earliest surviving works composed in Brazil that is in sonata form.² Neukomm himself was no newcomer to this form, however, having composed various sonata-form movements before coming to Brazil. Much like his earlier works that he had composed while in Europe, the style of this sonata lies firmly within eighteenth-century Galant practice, its relatively late date notwithstanding. For this reason, it is helpful to explore the form of this movement through the lens of eighteenth-century theories, especially those of Heinrich Christoph Koch and Francesco Galeazzi. After examining the structure of Neukomm's exposition through such means, we will then consider if and to what extent modern concepts of sonata form—including the concept of the secondary theme group—can be applied to it.

Koch's Concepts and Terminology

The ideas of the eighteenth-century theorist Heinrich Christoph Koch offer an especially propitious vantage point for examining the form of Neukomm's Sonata. Of particular importance are Koch's discussions found in the second and third volumes of his celebrated treatise, *Versuch einer Anleitung zur Composition* (1787 and 1793). Since Koch's concepts and terminology might be less familiar to many modern readers, first an overview of his approach is in order.

¹ *Sonate pour le Pianoforté avec accompagnement de violon non obligé*, completed in Rio on 10 September 1819, and dedicated to the Brazilian Princess Marie-Thérèse de Beria (manuscript catalog n° 176). An online recording performed by Rosana Lanzelotte may be found [here](#). A score for the exposition is quoted in Ex. 1a below, and the score for the entire movement may be found [here](#). I am grateful to Luciane Beduschi for providing me with a photocopy of the manuscript, from the *Bibliothèque nationale de France* Ms. 7703 (12).

² A biography of Neukomm's life and works may be found in Beduschi 2005 and 2008.

Koch divides a sonata-form movement into a series of what he refers to as “*Hauptperioden*.” A *Hauptperiode* is a large section that comprises multiple phrases and that concludes with a “formal cadence” (*förmliche Cadenz*). A formal cadence almost always takes the form of a perfect authentic cadence, though Koch also suggests that in special cases a deceptive cadence can establish a formal cadence as well.³ Each *Hauptperiode* may be followed by an appendix, and if the appendix is lengthy, it creates what Koch labels as a “*Nebenperiode*” (subsidiary section). Whether short or long, the appendix normally finishes with the same type of cadence heard at the end of the *Hauptperiode* that precedes it. It is also possible, however, for an appendix to entirely avoid a cadence at its conclusion so as to prepare for the entrance of the ensuing *Hauptperiode* in the manner of a transition or retransition.

In a typical major-key movement that involves three *Hauptperioden*, the first *Hauptperiode* ends with a cadence in the key of V; the second *Hauptperiode* ends with a cadence in another related key; and the last *Hauptperiode* ends with a cadence in the home key. As depicted in Fig. 1, the first movement of Neukomm’s Sonata adheres to this standard layout. Also in a manner that is quite normal, the three *Hauptperioden* here (along with their appendices) line up with the modern notions of exposition, development, and recapitulation.

m.1	27	:	44	(85)	93
<i>Hauptperiode 1</i>	<i>Nebenperiode</i>		<i>Hauptperiode 2</i>	appendix	<i>Hauptperiode 3</i>
Starts with main theme in home key, ends with PAC in key of V.	Appendix to <i>Hauptperiode 1</i> ; starts in V, ends with PAC in V.		Starts with main theme in iii, ends with deceptive cadence in parallel minor of home key,followed by short appendix/retransition, ends on V of home key.	Starts with main theme in home key, ends with PAC in home key, followed by appendix in mm. 121–140.
(=exposition			development		recapitulation)

Figure 1: Chart of *Hauptperioden* in Sigismund Neukomm, Sonata in G (N.B.: bar numbers in parentheses indicates phrase elision)

Each *Hauptperiode* is composed of a series of phrases, which Koch refers to as “*Sätze*” (singular = “*Satz*”). Koch insists that a *Satz* must be at least four measures long, though he also notes that a *Satz* may be greatly expanded through

³ See analysis in Koch (1793, p. 188 and p. 312) of the middle *Hauptperiode* of Joseph Haydn, Symphony No. 42/II. As we shall see, the possibility of a *Hauptperiode* concluding with a deceptive cadence is particularly relevant to Neukomm’s Sonata.

insertions, repetitions, and other such devices.⁴ A *Satz* that ends in the middle of a *Hauptperiode* is known as an *Absatz*, and each *Absatz* is classified by the harmony at its conclusion. Thus, the term “*Grundabsatz*” refers to an *Absatz* that ends over a tonic triad (usually forming what modern terminology calls an authentic cadence). Likewise, a “*Quintabsatz*” is an *Absatz* that ends with a dominant triad (a half cadence). The *Satz* that leads to the formal cadence at the end of a *Hauptperiode* is known as a “*Schlußsatz*.” In many cases, the *Schlußsatz* is greatly expanded, and thus a *Schlußsatz* typically is much longer than any of the *Absätze* that precede it. Koch also uses special terms to describe phrases according to their affective character or other qualities. For instance, he refers to the phrase that introduces the main theme at the start of a *Hauptperiode* as a “*Hauptsatz*”; and he describes a lyrical phrase as “*cantabile*” and an energetic phrase as “*rauschend*.” Table 1 summarizes these and some other terms used by Koch.

Terminology for *Perioden*

<i>Hauptperiode</i>	Large, multi-phrase section that concludes with a perfect authentic cadence (or, more rarely, with a deceptive cadence).
<i>Nebenperiode</i>	Large, multi-phrase appendix to a <i>Hauptperiode</i> that concludes with a perfect authentic cadence (which echoes the cadence at the end of the <i>Hauptperiode</i>).

Terminology for phrase according to melodic/harmonic structure

<i>Satz</i>	Phrase that is at least four measures long and involves at least two contrasting ideas.
<i>Absatz</i>	<i>Satz</i> that concludes in the middle of a <i>Hauptperiode</i> .
<i>Grundabsatz</i>	<i>Absatz</i> that ends with a tonic triad.
<i>Quintabsatz</i>	<i>Absatz</i> that ends with a dominant triad.
<i>Schlußsatz</i>	<i>Satz</i> that ends with a formal cadence (i.e., a grand, perfect authentic cadence).

Terminology for phrase according to affective characters or other qualities

<i>Hauptsatz</i>	Passage that presents the main theme.
<i>rauschend</i>	Active, energetic passage.
<i>cantabile</i>	Lyrical, tuneful passage.
<i>Verbindungssatz</i>	“Connecting” passage, which seems to lead between two relatively stable passages.

Table 1: Table of selected terminology used by Heinrich Christoph Koch

⁴ More specifically, Koch claims that a *Satz* must comprise at least four “*einfache Takte*” (simple measures), which equal either four measures in a simple meter (such as 2/4 or 2/2) or two measures in a compound meter (such as 4/4 or 6/8); see Mirka 2009 and Zenck 2001. Regarding the expansion of *Sätze*, see Sisman 1982.

Galeazzi's Concepts and Terminology

Until the last few decades of the eighteenth century, a cantabile passage could be expected to appear almost anywhere within the middle of a sonata-form exposition. This is reflected in the writings of Koch, which display much flexibility regarding the possible locations of cantabile themes.⁵ As the century progressed, however, it became increasingly common for a prominent cantabile passage to appear at a specific location within the exposition: namely, at the spot that modern terminology labels as the start of the second theme group. This practice eventually became recognized in theoretical writings, an early instance which may be found in a treatise by Francesco Galeazzi published in 1796.

In a celebrated passage from this treatise, Galeazzi labels a movement's segments not merely by their melodic and harmonic features, but also by their affective qualities, along with their specific locations. Accordingly, he describes the segments of a movement's first part (that is, what today is known as the exposition) as follows:⁶

1. The *Motivo principale* introduces the movement's main theme and main key at the outset. This is followed by the [...]
2. [...] *Secondo Motivo*, an optional passage that counterbalances the *Motivo principale*. The *Secondo Motivo* connects with an ensuing [...]
3. [...] *Uscita a' Toni più analoghi* (departure toward a closely related key), which destabilizes the main key and ends with a conspicuously demarcated half cadence. This half cadence is followed by a [...]
4. [...] *Passo di Mezzo* (intermediary passage), otherwise known as a *Passo caratteristico* (characteristic passage). Galeazzi notes that the *Passo di mezzo* is an optional passage that begins in the secondary key and is typically "gentle, expressive, tender." The *Passo di Mezzo* in turn connects with the [...]
5. [...] *Periodo di Cadenza*, a lively, "bravura" passage that leads to a formal cadence ("*cadenza finale*").

⁵ See discussion in Burstein 2020, p. 83–87.

⁶ Galeazzi 1796, p. 253–260. Galeazzi's description of what is now known as sonata form was anticipated in certain ways in an unpublished, unfinished treatise penned by Franz Christoph Neubauer, written around 1783; see discussion in Burstein 2020, p. 91–103.

6. The *Periodo di Cadenza* optionally may be followed by an appendix known as the *Coda*, which wraps up the movement's first part.

Fig. 2 presents this layout in chart format. Fig. 2a depicts an exposition that includes the optional *Passo di Mezzo*. Fig. 2b depicts an alternate possibility described by Galeazzi in which the *Passo di Mezzo* is omitted, so that the *Uscita* is followed directly by the *Periodo di Cadenza*. In such a scenario, an active transitional passage leads directly to an active cadential passage, with no intervening cantabile segment.

Possible layouts for expositions described by Galeazzi

<i>Motivo principale</i>	<i>Secondo Motivo</i> (optional)	<i>Uscita a' Toni più analoghi</i>	<i>Passo di Mezzo</i> (optional)	<i>Periodo di Cadenza</i>	<i>Coda</i> (optional)
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Figure 2a: Exposition that includes a *Passo di Mezzo*

<i>Motivo principale</i>	<i>Secondo Motivo</i> (optional)	<i>Uscita a' Toni più analoghi</i>	<i>Periodo di Cadenza</i>	<i>Coda</i> (optional)
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When the optional *Passo di Mezzo* is omitted, the active transitional passage (the *Uscita*) is followed directly by an active cadential passage (*Periodo di Cadenza*).

Figure 2b: Exposition that does not include the (optional) *Passo di Mezzo*

In many cases, the sections mentioned by Galeazzi correspond to the thematic groupings described by modern terminology. For instance, the *Motivo principale* usually is equivalent to what modern terminology calls the first theme; the *Second Motivo* + *Uscita* to the transition; the *Passo di Mezzo* + *Periodo di Cadenza* to the secondary theme; and the *Coda* to the closing section. However, one cannot automatically assume such correlations between Galeazzi's concepts and modern terminology. In particular, sometimes what Galeazzi would label as the *Coda* presents a lyrical passage that is so substantial that it arguably could serve as what modern terminology would regard as the secondary theme. Furthermore, when the *Passo di Mezzo* is omitted (as in the layout of Example 2b), what modern terminology refers to as the secondary theme could consist of the *Periodo di Cadenza* alone.

It should be underlined that contrary to what is often wrongly assumed, what Galeazzi calls the *Passo di Mezzo* is *not* the same as the entire secondary

theme group. Rather, the *Passo di Mezzo* normally corresponds only to the first segment of what modern terminology regards as the secondary theme group. Nor was Galeazzi alone in dividing what now is called the secondary theme group into two separate sections, consisting of a lyrical passage followed by a cadential passage. Indeed, as suggested by the chart in Table 2, most music theorists prior to 1850 likewise tended to parse what is now called the secondary theme of a sonata exposition into two distinct segments.⁷

modern terminology	first theme (or primary theme, or main theme)	transition	secondary theme (or subordinate theme).	
			(lyrical part of secondary theme)	(active, cadential part of secondary theme)
Neubauer (c. 1783)	<i>Thema</i>	<i>Transition</i>	<i>Haupt Gedanke</i>	<i>Beschluß</i>
Galeazzi (1796)	<i>Motivo principale</i>	<i>Secondo Motivo + Uscita</i>	<i>Passo di Mezzo</i>	<i>Periodo di Cadenza</i>
Momigny (1806)	1 ^e période	2 ^e période	3 ^e période	4 ^e période
Reicha (1824)	<i>Motif</i>	<i>Pont</i>	<i>Seconde idée mère</i>	<i>Idées accessoires</i>
Birnbach (1827)	<i>Thema</i>	(weiter zu gehen)	<i>zweiter Thema</i>	<i>Durchzug</i>
Marx (1837–1847)	<i>Satz</i>	<i>Gang-like Satz</i>	<i>Seitensatz</i>	<i>Gang</i>
Czerny (1839, 1848)	principal subject	continuation	middle subject	continuation
Lobe (1850)	<i>Themagruppe</i>	<i>Uebergangsgruppe</i>	<i>Gesanggruppe</i>	<i>Schlussgruppe</i>

Table 2: Chart comparing terminology for parsing sonata-form expositions used by theorists prior to 1850

⁷ With some of these theorists, the section depicted in the final column of Table 2 is followed by an appended passage that is usually equivalent to what many today would label as the “closing section.” For instance, as noted above, Galeazzi refers to such a passage as a *Coda*. Others of these theorists, on the other hand, combine this appendix and the preceding cadential passage within a single section; for instance, what Lobe calls the *Schlussgruppe* embraces what in modern terminology would be called the end of the secondary theme + closing section.

Incidentally, the “lyrical” passage (i.e., what is analogous to the *Passo di Mezzo*) need not always be soft and gentle. For instance, this passage at times instead might be coy, playful, somber, serious, or impetuous. In almost all cases, however, this passage conveys sentiments that could be understood as somewhat more personal and intimate than what is found in the energetic passages that surround it.


Neukomm's Exposition

Let's now consider how the notions of Koch and Galeazzi could be applied to the exposition of Neukomm's Sonata. Ex. 1 parses this exposition using Koch's concepts and terminology (Ex. 1a provides an annotated score, and Ex. 1b presents a chart of the form).⁸ As depicted here, the *Hauptperiode* (mm. 1–26) that opens the exposition involves a succession of a *Grundabsatz*, a *Quintabsatz*, a *Quintabsatz* in the key of V, and finally a greatly expanded *Schlußsatz*. Such a *Satz* succession was mentioned by Koch as standard for a movement's first *Hauptperiode*. The *Hauptperiode* is then followed by a lengthy *Nebenperiode* (mm. 27–43), which opens with two lyrical *Sätze* that together form a parallel period (mm. 27–34). The ending of this lyrical parallel period overlaps with an energetic appendix (mm. 34–43) that wraps up the exposition.

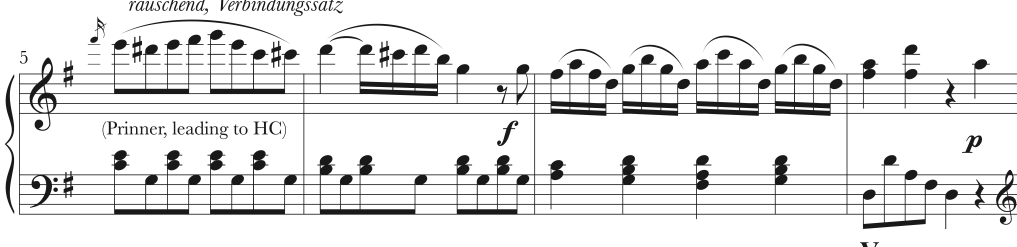
Exposition (mm. 1–42) from Neukomm, Sonata in G

Hauptperiode 1

Grundabsatz (phrase that ends on I in mid-section)
Hauptsatz
f (opening arpeggio) *dolce*



Quintabsatz (phrase that ends on V)
rauschend, Verbindungssatz
 5 (Prinner, leading to HC) *f* *p*



⁸ The annotations in parentheses in the middle of the staves in Ex. 1a indicate use of some of the standard Galant schemata. Regarding these schemata, see Gjerdingen 2007; Rice 2014; and Hartmann 2018a and b.

Quintabsatz in V (phrase that ends on V/V)
cantabile

(fonte) *f* V/V

Schlußsatz (phrase that ends with PAC, greatly expanded)
rauschend

(Passo indietro)

f (Passo indietro) (Feneroli)
deceptive cadence expansion of Schlußsatz

(Feneroli) *f* (Indugio)

f PAC in V

Nebenperiode
Quintabsatz in V
cantabile

dolce (Hertz) (Meyer)

Example 1a: Annotated quotation (piano part only)

m. 1	5	9	13	27	31	(34)
<i>HAUPTPERIODE</i>				<i>NEBENPERIODE</i>		
<i>Grundabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz in V</i>	<i>Schlußsatz</i>	<i>Grundabsatz</i>	<i>Schlußsatz</i>	appendix
<i>Hauptsatz</i>	<i>rauschend</i> <i>Verbindungssatz</i>	cantabile	<i>rauschend</i>	cantabile		<i>rauschend</i>

The *Satz*-succession within this *Hauptperiode* follows the standard layout described by Koch.

Example 1b: Chart parsing the form using Koch's terminology

The charts of Fig. 3 parse this exposition according to Galeazzi's concepts and terminology. As suggested here, there are two plausible ways of interpreting

the passage of mm. 9–12. In one sense, this *dolce* passage could be understood as a *Passo di mezzo* that begins (if somewhat tentatively) in the key of V and then links to the ensuing *Periodo di Cadenza* (Fig. 3a). On the other hand, notice that the passage of mm. 9–12 is harmonically unstable, moving through a harmonic progression based on a *fonte* (see Ex. 1a above) before settling in the key of D. As a result, this passage arguably lies in the middle of a larger motion to the key of V, so that the dominant key does not firmly arrive until m. 13. Accordingly, mm. 9–12 might be better understood as an *Uscita*—a departure toward a closely related key—ending with a half-cadential break that is followed immediately by a *Periodo di Cadenza* (Fig. 3b). Again, since the *Passo di Mezzo* is optional, it is quite possible for the *Uscita* to be followed directly by a *Periodo di Cadenza*, as proposed by this alternate parsing (cf. Fig. 2b above).

Charts proposing parsings based on Galeazzi's terminology

m. 1	5	9	13	27
Motivo principale	Secondo Motivo + Uscita di a' Toni più analoghi	Passo di Mezzo	Periodo di cadenza	Coda

Figure 3a: Parsing in which *Passo di Mezzo* enters in m. 9 (cf. Fig. 2a)

m. 1	5	9	13	27
Motivo principale	Secondo Motivo	Uscita di a' Toni più analoghi	Periodo di cadenza (optional <i>Passo di Mezzo</i> omitted)	Coda

The lyrical—but harmonically unstable—passage of mm. 9–12 could be interpreted either as a *Passo di Mezzo* or as an *Uscita*.

Figure 3b: Parsing in which optional *Passo di Mezzo* is omitted (cf. Fig. 2b)

The Secondary Theme

The elements of cadence, key, affect, and texture are conjoined in modern approaches to sonata form so as to posit separate theme zones. It is these theme zones, rather than the disparate elements that give rise to them, that tend to be regarded by modern approaches to sonata form as the fundamental building blocks of the structure. The criteria typically used in determining the secondary theme group within an exposition could be summarized as follows:

1. The secondary theme group consists of a clearly defined segment that appears in the secondary key and that leads to a grand perfect authentic cadence in this key.⁹
2. This theme group is preceded by a textural demarcation that separates it from the preceding transition section. Ideally, this demarcation involves a medial caesura—that is, a short pause in the melody, accompaniment, or both that follows a cadence. The cadence that comes before the medial caesura normally is a half cadence, though in special circumstances it may also appear in the guise of an authentic cadence (providing that this authentic cadence is less powerful than the one that appears at the end of the secondary theme).
3. The secondary theme group usually begins in a relatively “tuneful” manner, which ideally contrasts with the transition that precedes it as well as with the movement's opening theme.

There is a general agreement that these factors listed above help establish the presence and location of a secondary theme group. Yet there is less consensus regarding which of these factors are essential to defining a passage as a secondary theme and which are optional, or how these factors should be weighted or interpreted. This in turn often leads to analytic disputes regarding the location of the secondary theme.

For instance, music theorists frequently differ over whether the presence of a medial caesura is required for a secondary theme to be established, or whether a weaker demarcation would suffice.¹⁰ And if an exposition includes multiple half-cadential breaks, each followed by a theme in the secondary key, which half-cadential break should be interpreted as the true medial caesura?

⁹ This perfect authentic cadence is equivalent to what many people today call the “EEC” (Essential Expositional Closure); see Hepokoski; Darcy 1997 and 2006; and Hepokoski 2021.

¹⁰ Disagreements regarding the necessity of a medial caesura for establishing a secondary theme group have been a particular source of contention between the form-function theory advocated by William Caplin and the Sonata Theory developed by James Hepokoski and Warren Darcy; see, for instance, discussions in Caplin, Martin 2016 and Hepokoski 2016. Although the onset of what formal-function theory labels as the “subordinate theme function” is always somehow demarcated, the degree of textural demarcation required for establishing the onset of the subordinate theme is substantially less than what is tolerated according to Sonata Theory; see also discussion in Burstein 2020, p. 116.

Likewise, although most people agree that during the exposition the secondary theme group must appear in the secondary key, it is not always so clear what counts as being “in” this key. For instance, what if a demarcated passage begins in a harmonically unstable manner, but then concludes firmly in the secondary key? Should such a passage be regarded as modulating toward the secondary key in the manner of a transition, or as beginning in the secondary key in the manner of a secondary theme? Disagreements also might arise regarding whether its tuneful, contrasting nature should either be privileged or be considered entirely optional when determining the presence of a secondary theme, and if the former, whether a specific passage is sufficiently tuneful or contrasting for what is expected of a secondary theme.

These and similar issues have a bearing on trying to determine the location of the secondary theme within the exposition of Neukomm’s Sonata. Fig. 4 proposes one reasonable way to parse this exposition. According to this parsing, the energetic passage of mm. 5–8 serves as transition that ends with a half-cadential caesura marked by V of the home key, thereby forming a “second-level default medial caesura.”¹¹ This is followed by a large antecedent-plus-continuation in mm. 9–26. Note that this antecedent-plus-continuation meets most of the criteria mentioned above for establishing a secondary theme: it follows a transition that concludes with a medial caesura; it could be understood as beginning in the secondary key and ultimately leading to a perfect authentic cadence in this key; and it begins in a tuneful manner whose character contrasts with that of the main theme as well as with the active transition that immediately precedes it.

A potential objection to this parsing relates to an issue mentioned in relation to Fig. 3b above. Namely, since the passage of mm. 9–12 is harmonically unstable and modulatory, one could argue that this passage has not yet fully arrived at the secondary key of D major. As such, these measures might be better understood as concluding with what is known as a “medial caesura declined.”¹²

¹¹ A “first-level default medial caesura” is a cadential break that within the exposition follows a half cadence in the secondary key; a “second-level default medial caesura” follows a half cadence in the home key; and a “third-level default medial caesura” follows a (relatively weak) perfect authentic cadence in the secondary key. These categories are explained at length in Hepokoski; Darcy 2006.

¹² Regarding the medial caesura declined, see Hepokoski; Darcy 2006, p. 45–47.

With a medial caesura declined, a potential medial caesura is followed not by the secondary theme as expected. Instead, it is followed by a continuation of the transition, leading to what is ultimately understood as the actual medial caesura.

m. 1	5	9	13	27	31	34
<i>Grundabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz in V + Schlußsatz</i>		<i>Grundabsatz+ Schlußsatz, appendix</i>		
main theme	transition energetic	secondary theme lyrical, energetic		closing section lyrical, energetic		
	MC		PAC		PAC	

Secondary theme group interpreted as entering with a lyrical (but harmonically unstable) passage in the dominant key, following a half-cadential break on V of the home key (= 2nd-level default MC).

Figure 4: Parsing of exposition in which secondary theme enters in m. 9, after a second-level default MC (MC = medial caesura; PAC = perfect authentic cadence)

A reading that interprets the appearance of a medial caesura declined is presented in Fig. 5. According to this interpretation, mm. 9–12 continue the modulation toward the dominant key area. This modulatory phrase concludes with a half cadence in the key of V followed by a brief pause, thereby creating a “first-level default medial caesura.” The onset of the secondary theme thus would coincide with the energetic cadential passage that arrives in m. 13. As suggested above, a cantabile opening for a secondary theme group is regarded by many musicians as optional (much as Galeazzi noted that a *Passo di mezzo* is optional). As such, it would be plausible to consider the secondary theme here as beginning with an energetic cadential passage, much as is depicted in Fig. 5 (cf. Fig. 3b above).

m. 1	5	9	13	27	31	(34)
<i>Grundabsatz</i>	<i>Quintabsatz + Quintabsatz in V</i>		<i>Schlußsatz</i>	<i>Grundabsatz+ Schlußsatz, appendix</i>		
main theme	transition energetic, lyrical but unstable		secondary theme energetic	closing section lyrical, energetic		
	(MC declined!)		MC	PAC		PAC

Secondary theme group interpreted as entering with an energetic passage in the dominant key, following a half-cadential break on V of the secondary key (= 1st-level default MC).

Figure 5: Parsing of exposition in which secondary theme enters in m. 13, after a first-level default MC

On the other hand, those who do feel that its contrasting, lyrical nature is the most important feature of a secondary theme group might instead prefer to read this exposition in the manner parsed in Fig. 6. With this proposed reading, the medial caesura is preceded by a perfect authentic cadence, thereby yielding a “third-level default medial caesura.”¹³ In support of this interpretation, notice that the harmonically stable, cantabile passage of mm. 27–34 is far longer and more substantial than the previous cantabile passage of mm. 9–12, and it serves as a much more convincing counterweight to the main theme.¹⁴

m. 1	5	9	13	27	31	(34)
<i>Grundabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz</i> in V + <i>Schlussatz</i>		<i>Grundabsatz</i> + <i>Schlussatz</i> , appendix		
main theme		transition lyrical but unstable, energetic		secondary theme lyrical, energetic		
				PAC/MC		PAC

Secondary theme group interpreted as entering with substantial, harmonically stable lyrical passage in the dominant key, following a perfect authentic cadence (= 3rd-level default MC).

Figure 6: Parsing of exposition in which secondary theme enters in m. 27, after a third-level default MC

Beethoven’s *Eroica*

The issues involved with locating the secondary theme group within the exposition from Neukomm’s Sonata in G are by no means unique. I close by examining a more famous work in which the location of the secondary theme has long been the source of contention among music theorists: namely, the first

¹³ Regarding the third-level default medial caesura, see footnote 11 above. See also Hepokoski; Darcy 2006, p. 27–28, and Burstein 2010. Note that with the parsing presented in Fig. 6, what is labeled as the secondary theme corresponds with what in Koch’s terminology would be regarded as a *Nebenperiode* and in what Galeazzi’s terminology would be regarded as the *Coda* (cf. Ex. 1 and Fig. 3). Again, although this is less typical, it is certainly possible, as explained earlier.

¹⁴ Incidentally, with all of the parsings of Figs. 4–6, what is labeled as the secondary theme in the exposition does not reappear during the recapitulation: other than the main theme, the only earlier material that reappears (albeit transposed) during the recapitulation is from the retransition at the end of the development (cf. mm. 85–90 and 131–135) and the final cadential flourish at the end of the exposition (cf. mm. 38–43 and 135–140). Thus, comparing the exposition to the recapitulation in Neukomm’s Sonata would not help clarify the location of its secondary theme group.

movement of Ludwig van Beethoven's *Eroica* Symphony.¹⁵ Published discussions identify the secondary theme in the exposition of Beethoven's movement as arising in one of three different places. Curiously, these three different readings are similar in significant ways to the three parsings of Neukomm's Sonata depicted in Figs. 4–6 above.

Figs. 7a–c present these three possible parsings of Beethoven's exposition. The reading shown in Fig. 7a in many ways is parallel to that of Fig. 4 of the Neukomm Sonata. That is, much like in Fig. 4, what is labeled as the secondary theme in Fig. 7a begins in a lyrical manner; follows what could fairly be regarded as a medial caesura; and leads to a firm perfect authentic cadence in the key of V.¹⁶ Also like what is labeled as the secondary theme in Fig. 4, what is labeled as the secondary theme in Fig. 7a begins in a harmonically unstable manner.

Owing to its harmonic instability, it may be argued that the passage of mm. 45–56 from the Beethoven is thus better understood as continuation of the transition—that is, as a caesura fill—with the entrance of the actual secondary theme delayed until m. 57, as is depicted in Figure 7b.¹⁷ Notice that in a manner similar to what is shown in the reading of Fig. 5 above, with the reading of Fig. 7b the secondary theme begins immediately with an energetic cadential passage. In other words, in the parsing of Fig. 7b, the secondary theme lacks the lyrical opening that many music theorists regard as a decidedly ancillary, optional feature of a second theme group (much as Galeazzi regarded the *Passo di Mezzo* as optional).

¹⁵ The conflicting readings of the placement of the secondary theme within the exposition of this movement are examined in Horne 2006; and Drabkin 2020, p. 82–86.

¹⁶ Among those who favor a reading of the secondary theme group as entering (if somewhat tentatively) in m. 45 of Beethoven's movement are Hepokoski; Darcy 2006, p. 143—who read mm. 46–57 as "S"—and Horne 2006, p. 142–144.

¹⁷ Among those who favor a reading of the secondary theme group as entering in m. 57 are Tovey 1944, p. 222; Webster 2001; and Caplin 1991, p. 37–41. Regarding the concept of the caesura fill, see Hepokoski; Darcy 2006, p. 40–45, especially regarding what they call the "caesura-fill of the 'juggernaut' type."

Three possible parsings of exposition from Ludwig van Beethoven's Symphony in E-flat ("Eroica"), Op. 55/I

m. 3	37	45	57	83	99
main theme	transition energetic	secondary theme lyrical (but unstable), energetic	closing section lyrical, energetic		
MC		PAC		PAC	

Secondary theme group interpreted as entering with a lyrical (but harmonically unstable) passage in the dominant key, following a half-cadential break.

Figure 7a: Parsing of exposition in which lyrical but unstable secondary theme enters in m. 45 (cf. Fig. 4)

m. 3	37	45	57	83	99
main theme	transition energetic, lyrical but unstable (caesura fill)	secondary theme energetic	closing section lyrical, energetic		
MC		PAC		PAC	

Secondary theme group interpreted as entering in a harmonically stable manner with an energetic passage in the dominant key, following a half-cadential break that is extended via a caesura fill.

Figure 7b: Parsing of exposition in which energetic secondary theme enters in m. 45, caesura fill (cf. Fig. 5)

m. 3	37	45	57	83	99	145
main theme	transition energetic, lyrical but unstable, energetic	secondary theme lyrical, energetic	closing section/ retransition			
PAC/MC			PAC			

Secondary theme group interpreted as entering with substantial, harmonically stable lyrical passage in the dominant key, following a perfect authentic cadence.

Figure 7c: Parsing of exposition in which secondary theme enters in m. 45, after third-level default MC (cf. Fig. 6)

On the other hand, those who feel that a lyrical opening is a crucial distinguishing feature of a secondary theme might instead prefer the parsing depicted in Fig. 7c. According to this reading, what is interpreted as the secondary theme follows a third-level default medial caesura—that is, a caesura preceded by a perfect authentic cadence in the secondary key (cf. Fig. 6 above). In support of this interpretation, note that the passage that begins in m. 83

presents the most extended lyrical passage of the exposition, one that could be understood to provide a counterweight to the movement's main theme.¹⁸

In all, with the exposition from the first movement of Beethoven's *Eroica*, as well as with the one from the Neukomm Sonata movement, the features that establish what modern terminology labels as the secondary theme group seem spread out, rather than being isolated within a single passage. Attempting to locate a secondary theme group in these expositions nonetheless can be helpful to the extent that they promote sensitivity to features that lie at the heart of the dramatic dialectic that frames these expositions. On the other hand, a potential risk that accompanies such an attempt is that it might discourage recognizing alternate viable groupings, while downplaying musical features that work against the proposed grouping.

To be sure, you might personally strongly favor one of the parsings shown in Figs. 4–6 or shown in Figs. 7a–c. But even if you feel that one of these readings is preferable, can you nonetheless see how the others are at least plausible? Too stringently insisting on just one of the possible parsings here might unduly limit the interpretive possibilities. Once one examines the various features that support the reading of a secondary theme group in one place or the other, the attempt to locate the secondary theme group has served its heuristic purpose. After this, arguably little if any further benefit attaches to making a final decision regarding this theme group's precise location.

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¹⁸ Analyses that suggest the secondary theme group Beethoven's movement enters in m. 83 may be found in Kretzschmar 1890, p. 83; Reizler 1938, p. 255–258; Sipe 1998, p. 97; and many writings of popular musicology, such as James 2018.

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Program, Tonality, and Sonata Deformation in Leopoldo Miguéz's Symphonic Poems

Programa, tonalidade e deformação da forma sonata nos poemas sinfônicos de Leopoldo Miguéz

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Abstract: The aim of this text is to address Leopoldo Miguéz (1850–1902) approach to sonata form in his three symphonic poems. Each one of these works presents a different approach to the rhetorical musical discourse of sonata form and a specific “deformation” of the form. The normative model of sonata form to be considered is presented by Hepokoski and Darcy (2006) and by comparing each one of Miguéz's works with this model we may identify his approach to the form. In addition, characteristics of tonal and thematic compositional practice of the late 19th-century German music such as double-tonic complex and thematic transformation may be observed in these works, suggesting that Miguéz was aware of and willingly adopted such procedures in his music.

Keywords: Leopoldo Miguéz. Symphonic poem. Sonata form. Brazilian Romanticism. Musical analysis.

Resumo: O objetivo deste texto é abordar a forma sonata nos três poemas sinfônicos de Leopoldo Miguéz (1850–1902). Cada uma dessas obras apresenta uma abordagem diferente do discurso retórico musical da forma sonata e uma “deformação” específica da forma. O modelo normativo da forma sonata a ser considerado é apresentado por Hepokoski e Darcy (2006) e, comparando cada uma das obras de Miguéz com este modelo, podemos identificar sua abordagem da forma. Além disso, características da prática composicional tonal e temática da música alemã do final do século XIX, como o complexo de tônicas-duplas e transformação temática, podem ser observadas nessas obras, o que sugere que Miguéz estava consciente e voluntariamente adotou tais procedimentos em sua música.

Palavras-chave: Leopoldo Miguéz. Poema sinfônico. Forma sonata. Romantismo brasileiro. Análise musical.



Brazilian music of Romanticism has received more attention by researchers in the last two or so decades. Many studies concentrate on biographical and historical aspects of composers. However, there still is a lacuna in what concerns an analytical approach that considers structural-compositional aspects of these works. Among the many genres approached by Brazilian composers of the period, symphonic poems were not much preferred. The most known examples of the genre in 19th-century Brazilian music are Leopoldo Miguéz's three symphonic poems, *Parisina* Op. 15, composed in 1888, *Ave, Libertas!* Op. 18 in 1890, and *Prométhée* Op. 21 in 1891. The present text approaches a specific aspect in these works, the sonata form and the approach taken by the composer. In addition, I consider aspects of tonality and thematic transformation and development.

At the end of her book on Liszt's symphonic poems, Cormac (2017) asks about the definition on the nature of a symphonic poem. She answers from different viewpoints. The first, considering Liszt's own aesthetic theory, would define a symphonic poem as a lyrical form dealing with poetry and the intimate world of exceptional characters. The content is "ideal", that is, it deals with the movements of the soul, the absolute, but it is not expressed in a mimetic or descriptive way. It is expressed lyrically using different musical means. The program only reveals the composer's initial inspiration, and the form of the work is linked to its content. The second, Cormac expresses the viewpoint in which the symphonic poem can be seen as an alternative to symphonies. Thus, the heritage of the Beethovenian symphonic tradition is emphasized, through compositional practices such as thematic transformation, organic approach to form, innovation in approaching traditional forms, and a loosening of program function (Cormac 2017, p. 336–337).

In her conclusions, Cormac argues that Liszt's symphonic poems involve a dialogue with sonata form and possible modifications that occur throughout the works. Thus, sonata form, which is easily noticeable in *Prometheus* (1850–56) is not so in *Tasso* (1847–57) or *Festklänge* (1853–61). In Cormac's argument, interpretations of Liszt's symphonic poems that are based on sonata form are mistaken, and works such as *Tasso*, *Orpheus* (1853–54), and *Hamlet* (1857–58) have little to do with sonata form, or if they do, they must be forcibly accommodated in this formal scheme. However, the works in question are of a processual nature in form, and we can say that even when they are based on sonata form, they are

modified according to the composer's compositional needs, which is to say, to heighten the dramatic content through the use of contrasts and recitativo-like passages for example. Furthermore, the innovative aspect of Liszt's symphonic poems depends on their dramatic character which includes and relates, for example, a dramatic overture to the opera in *Tasso*; a mimetic and visual style in *Prometheus*; and recitative and melodramatic contrast in *Festklänge*, among others. Thus, the symphonic poem, in Cormac's view, is outlined as a dramatic genre freed from the post-Beethovenian heritage (Cormac 2017, p. 336–339).

Relevant to this discussion is Hepokoski's view of sonata form. For him, musical form is dialogic, that is, it results from the understanding that a musical form is "essentially the task of reconstructing a procedural dialogue between any individual work and the network of generic norms, guidelines, possibilities, expectations and limits provided by the implied genre in question". In other words, dialogic form is in dialogue with historically conditioned compositional options (Hepokoski 2009, p. 71–72). That is to say that musical form depends on the listener's, or analyst's perception of form, as well as the composer's. In addition, this understanding excludes more traditional notions of musical form, such as the "conformational form", that is, the idea that a musical work must be adapted to a pre-established form; and "generative form" which proposes that musical form is a development of motivic and contrapuntal processes. Both conceptions are contradictory to Hepokoski and Darcy's understanding that sonata form is not a fixed scheme or set of rules, instead it is dialogic. Hence, Hepokoski and Darcy delineate that

Sonata form is neither a set of "textbook" rules nor a fixed scheme. Rather, it is a constellation of normative and optional procedures that are flexible in their realization — a field of enabling and constraining guidelines applied in the production and interpretation of a familiar compositional shape. Existing at any given moment, synchronically, as a mappable constellation (although displaying variants from one location to another, from one composer to another), the genre was subjected to ongoing diachronic transformation in history, changing via incremental nuances from decade to decade (Hepokoski and Darcy 2006, p. 15).

Therefore, the perception of musical form, and specifically sonata form, is established through the dialogical relationship between norms and guidelines appropriate to the compositional style and the perception of how the composer

accomplishes his musical idea, which takes form in his musical work as the final product (see Hepokoski 2009, p. 71–72).

In its most typical form, sonata form can be considered as a binary structure composed of two parts: 1) The exposition and 2) The development and the recapitulation. In fact, the binary structure can also be seen as a formal space delineated in three major moments: exposition; development; and recapitulation, or in a such formal schema as A :| | B A'. The exposition consists of two strategies, one harmonic and the other thematic-textural, or rhetorical as argued by Hepokoski and Darcy. The first, harmonic, must delimit the tonal space of the tonic followed by a tonal movement to the secondary key. In pieces in major mode, the normative tonal movement would be towards the dominant (V) which would have the function of generating tonal tension. For works in minor, it would often move towards the relative major (III), and less frequently to the minor fifth degree (v). The second strategy, thematic-textural, provides an arrangement of themes and textures on which the development and recapitulation sections will be based. The exposition begins with the presentation of the primary theme (or idea) (P) in the tonic. It is followed by a transition section (TR) that presents an “energy gain” and directs to a caesura (MC) approximately in the middle of the exhibition. The secondary theme (S) area is in a new key. The secondary theme (S) is directed towards the essential expositional closure (EEC) which is characterized by a perfect authentic cadence (PAC). A non-mandatory closing (C) section follows, which confirms the new tonic through perfect cadences, but which can sometimes present elements of connection with S. The development section is an elaboration of thematic elements already presented in the exposition. In general, the development presents fragmentation of themes, harmonic sequences, and a general “modulatory” character, however, it moves towards the dominant (V) (see also Caplin 1998, p. 139–159).¹ The recapitulation resolves the tonal tension generated in the exposition by the dichotomy between P and S tonalities. By presenting the thematic-textural (rhetorical) elements in the tonic, the tonal conflict is resolved, and the synthesis of the rhetorical presentation is carried out. Even though there are cases of reordering of the

¹ Schoenberg argues that the designation of “development” for this section is misleading. This term suggests the idea of germination and growth, that is, the development of new musical ideas. Thus Schoenberg suggests *Durchführung*, thematic elaboration as more appropriate (see Schoenberg 1967, p. 200, footnote 1).

thematic material in some sonatas, often, the order of the exposition is respected. At the end of the recapitulation one can find the optional coda. Considered by Schoenberg as an “extrinsic addition” (Schoenberg 1991, p. 224), some codas can be classified, for example, according to Hepokoski and Darcy, as discursive and feature long duration as that represent an extra conclusion of the main event, the sonata form.² Also important are the optional sections located prior to the beginning of the sonata form. These are designated as “introduction” and may range from short segments of a few chords and large sections that provide “a sense of anticipation and formal preparation for a rapid-tempo sonata-to-come” (Hepokoski and Darcy 2006, p. 292). Frequently these larger introductions are in a slow tempo, present some distant thematic relationship to the sonata form themes, and closes on the dominant harmony as to prepare the fast primary theme on the tonic (see Hepokoski and Darcy 2006, p. 292–305).

Fig. 1 shows an adaptation of Hepokoski and Darcy’s graphic representation of a generic layout of sonata form (without the introduction section). This representation will provide the basis from which the sonata form found in Miguéz’s symphonic poems will be evaluated.

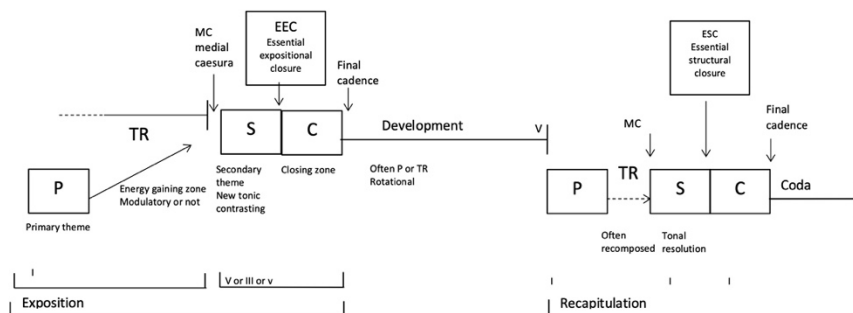


Figure 1: Sonata form scheme, adapted from Hepokoski and Darcy 2006, p. 17

Essential for the argumentation in this text is what Hepokoski and Darcy have referred to as “deformation” of sonata form. Such a concept should be perceived as alterations in the rhetoric of the form but maintaining a solid and recognizable basis of sonata form. Deformation is not to be understood as a concept in negative sense of something distorted, but simply a technical term

² For a broad discussion of sonata form, see Hepokoski and Darcy 2006, Chapter 2, p. 14–22; Chapter 13, p. 281–292; Hepokoski 2009; e Caplin 1998.

which introduces the sense of modification of a normative musical form. Hepokoski and Darcy clarify that

We use the term “deformation” to mean the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether in order to produce a calculated expressive effect. It is precisely the strain, the distortion of the norm (elegantly? Beautifully? Wittily? Cleverly? Stormily? Despairingly? Shockingly?) for which the composer strives at the deformational moment. The expressive or narrative point lies in the tension between the limits of a competent listener's field of generic expectations and what is made to occur—or not occur—in actual sound at that moment. Within any individual exemplar (such as a single musical composition) operating under the shaping influence of a community-shared genre-system, any exceptional occurrence along these lines calls attention to itself as a strong expressive effect. As such it marks an important event of the composition at hand. A deformation may occur either locally, producing a momentary or short-range effect, or broadly, over the large-scale architecture of a piece of music as a whole (Hepokoski and Darcy 2006, p. 614).

Hepokoski also comments that the procedures of “deformation” of sonata form during the 19th century occur in the works of Berlioz, Schumann, Liszt, and Wagner, among others. In addition, he lists the most common deformation procedures: 1) *The breakthrough deformation*. An unexpected modification with a new event at or near the end of the “development zone” redefines the character and course of the movement and transforms a normative symmetric recapitulation in invalid; 2) *The introduction-coda frame*. The procedure has the effect of subordinating the “sonata activity” to the contents of an encasing from the introduction and coda; 3) *Episodes within the development space*. Interpolated episodes that occur in the developmental space and may or may not have motivic relationships with the material already presented; 4) *Various strophic/sonata hybrids*. Large multi-themed stanzas that simultaneously articulate the modification of the sonata form; 5) *Multimovement forms in a single movement*. A single work in one movement that internally has characteristics of a work in several movements (see Hepokoski 1993, p. 5–7).³ In this last category, Vande

³ Hepokoski expresses his view on the application of Sonata Theory to music of the late 19th and early 20th centuries. Firstly, he recognizes that his theory is flexible and may not be applied solely to music before 1820 or 1830. Second, the Sonata Theory is “updatable” when considering music from the late decades of the 19th century. Third, sonata deformations are “almost” common characteristic in romantic music, and the perception of what has been modified, and how it was, is possible only in relation to the earlier norms (see Hepokoski 2020, p. 233–237).

Moortele explores what he calls two-dimensional sonata form, that is, “the combination of movements of a sonata cycle⁴ with sections of the sonata form at the same hierarchical level of a composition in a movement” (Vande Moortele 2009, p. 23). Finally, Kaplan also addresses sonata form modifications. The object of his study is Liszt’s symphonic poems. By examining five symphonic poems that use the sonata form as a basis, Kaplan concludes and lists some of the form modification procedures that thwarts the perception of the traditional sonata form. He lists: 1) the lack of repetition of the exposition; 2) the lack of harmonic sectional closure, that is, most themes do not present cadences and the exposition sections overlap the development sections (or end in dominant harmony); 3) to delimit the sections, Liszt uses formal delimitation resources of the “tempo and meter change” type, and of transition passages of recitative type, often with instrumental solo (Kaplan 1984, p. 144–146). These are just some common cases that occur in sonata deformations, but they do not exhaust all possibilities.⁵

In addition to sonata deformation, thematic transformation and the use of double-tonic complex are procedures that contribute to the uniqueness of these works. Thematic transformation is defined as “the process of modifying a theme so that in a new context it is different but yet manifestly made of the same elements” (Macdonald 2001, n.p.). Commonly used in cyclic forms, aiming at continuity between the various movements, this thematic process was privileged during 19th-century music, particularly in programmatic and operatic music. Thematic transformation does not imply a new theme, therefore, procedures such as rhythmic changes by free augmentation or diminution, melodic contour modification, timbre (orchestration), dynamics, tempo, among others, are common in the thematic transformation process. This thematic procedure is often related to the music of Franz Liszt and examples are in his symphonic poems *Eine Faust-Symphonie* (1854–57) *Les Preludes* (1848), and the *Sonata* in B \flat for piano (1852–53). Complex cases of thematic transformation are exemplified by the use

⁴ Vande Moortele uses sonata cycle to refer to the movements of a sonata: first movement, middle movement, finale. This nomenclature is derived from A. B. Marx’s conception of the sonata with various movements (see Vande Moortele 2009, p. 18–19).

⁵ For example Darcy proposes other deformations that occur in Bruckner’s work. Among these are modifications of the secondary theme; recapitulation without tonal resolution, and in the codas of Bruckner’s symphonies (see Darcy 1997, p. 140–207).

of *leitmotif* in Richard Wagner's operas. For example, in *Tristan und Isolde* (1857–59) and *Der Ring des Nibelungen* (1853–74) various *leitmotifs* are thematically related and derived in order to occupy the dramatic function in the various situations of the musical drama. In this sense, Dahlhaus argues that the technique of motivic transformation is related, even if indirectly, to the programmatic content of the symphonic poem, being a source for the abrupt contrasts of tempo and atmosphere relevant to the interpretation of the program. So, thematic transformation is not only a formal principle intended to unify the different musical atmospheres, but also it is an attempt to confer a syntax (as if it were a language), through a sophisticated and precise internal nexus, to programmatic music when its program occasionally fails in the intended expression (Dahlhaus 1989, p. 241–242).

Another important feature in Miguéz's symphonic poems is the double-tonic complex. Bailey initially observed this technique in Wagner's *Tristan und Isolde* and defines the "double-tonic complex" as "the new feature in *Tristan* with the most far-reaching consequences for large-scale organization is the pairing together of two tonalities a minor 3rd apart in such a way as to form a 'double-tonic complex'" (Bailey 1985, p. 121). Bailey clarifies that the pair of tonics, A minor and C major for the entire first act may have originated from the close relationship of A minor and C major. However, the idea of a double tonic goes far beyond the simple procedure of starting in a minor key and ending in its relative. In fact, it deals with "chromatic" A mode and a "chromatic" C mode, as to cause "the two elements are linked together in such a way that either triad can serve as the local representative of the tonic complex. Within that complex itself, however, one of the two elements is at any moment be in the primary while the other remains subordinate to it" (Bailey 1985, p. 122). This clarifies possible doubts about the difference between bitonality and "double-tonic complex". Bitonality implies the superposition of two distinct and simultaneous tonalities, while the "double-tonic complex" assumes that one of the tonics is predominant at some point in the work, acquiring the status of tonic, and consequently not occurring the superposition of distinct tonalities. In fact, it is the juxtaposition of two keys that most defines the double-tonic complex. Kinderman suggests that this affects the formal organization of a work. He argues that the "double-tonic complex suggests the juxtaposition of two keys that together form the tonal centre for a large formal section of music" (Kinderman 1980, p. 102, f. 4).

Kinderman further conjectures that Wagner uses the double-tonic complex as a structural element to solve the problem created by the great temporal expansion in his music. Wagner's solution was to base large sections of his operas on the tension between two tonal centres that reflect the tension of the musical drama, that is, to highlight the psychological conflict between characters (Kinderman 1980, p. 106). Logically, the use of double-tonic complex in sonata form is coherent since it highlights the contrast between primary (P) and secondary (S) themes. Finally, it should be noted that the use of double-tonic is one of the striking characteristics in the compositional practice in German music of the late 19th century.

Miguéz's symphonic poems present types of sonata deformation, also present examples of thematic transformation, and have instances of tonal organization by "double-tonic complex". The following discussion on these works will show how the composer adopted and adapted late 19th-century German music compositional practices.

1. *Parisina*, Op. 15 (1888)

The formal design of *Parisina* Op. 15 is completely determined by the literary program, and for this reason, the work's structure reflects the dramatic narrative organized in distinct scenes, one of them, an emphatic sonata form. The program story, reported by Larson, describes the love tragedy between Niccolò III, Marquis of Ferrara, Parisina Malatesta, his wife, and Ugo, his illegitimate son.⁶

The tragedy centered on Niccolò III d'Este, Marquis of Ferrara, his wife, Parisina Malatesta, and his illegitimate son, Ugo. Acknowledged as a capable and pious ruler, Niccolò was also known as a habitual womanizer. Married before, but without issue, he wed Parisina when she was only fifteen, amid the general expectation that this new marriage would provide the state with a legitimate heir, and at the same time bring some order to Niccolò's life. That was not to be, however, and it is assumed that partly in reaction to her husband's infidelity, Parisina, who was famed for her beauty and accomplishments, began an affair with her stepson, who was two years older and similarly celebrated. It is not certain exactly when the liaison commenced, although the supposition is that it was in the spring of 1424. Sometime later it was discovered by a gentleman of the court, who at once informed the Marquis. Niccolò's reaction to the news of the affair, which

⁶ I addressed the programs of Miguéz's symphonic poems in Dudeque 2016, 2021a, and 2021b.

according to the thinking of the time constituted not just adultery but incest as well, was swift. He ordered the arrest of the guilty parties and convened a tribunal, which shortly pronounced a sentence of death. Soon afterward, on the twenty-first of May, 1425, both Ugo and Parisina were led to the block and beheaded (Larson 2015, p. 1).

Larson argues that this plot establishes a narrative in three moments (or scenes): transgression, discovery, and punishment (Larson 2015, p. 2). Transgression occurs when love (incestuous) between Parisina and Hugo blossoms. The discovery takes place at night, when Parisina dreams of her lover and mentions his name, which Azo hears. Determined to punish the lovers, Azo brings the love between Parisina and Hugo to trial. Hugo is sentenced to death by decapitation and Parisina disappears madly. The story was also recounted in the poem *Parisina* (1816) by Lord Byron. Miguéz's program was based on this poem as expressed in the score. Despite Miguéz never having the program published, it was the Portuguese critic Antonio Arroyo (1865–1934), by occasion of a concert that took place in O Porto in 1896, that published his version of the program in a critical essay on Miguéz's work (Arroyo 1896). In Table 1, the program presented by Arroyo (my translation) is in the second column. In the first column there is the scenes delimitation, the thematic materials in the third column, followed by measure numbers and corresponding formal functions for each scene.

Ex. 1 illustrates the motivic figures that predominate at the beginning of the work in the first scene. The tonic pedal, A, provides the static basis for the twilight scene. To this is superimposed a trill on the flute that represents the song of a bird. Motivic figure A, bracketed and presented by the oboe in mm. 3–6, represents Parisina and will serve as a motivic basis for the theme that will represent Azo. Motivic figure B (horns), mm. 6–7, and C (bass), mm. 12–16, are important only within the context of scene 1. By structuring this section of the work with motivic figures that appear but are not fixed as structural elements for the entire work, the composer aims at the characterization of reminiscences, memories, seeking to evoke in the listener the feeling of an unfinished and ephemeral atmosphere.

Scene	Program plot	Thematic materials	Measures	Formal function
Scene 1 transgression	It's twilight time. There is a confused murmur of the breeze that lightly lashes the foliage, and the waves splashing on the beach. It's time for evocations and nostalgia. Parisina, fleeing from the court's gallantry and the caresses of her husband who had deprived her of Hugo, goes to seek, in the solitude of the forest, relief from the pains that torture her. Cruel fatality! Hugo is there too. In a sweet colloquy, they recall together past joys and deplore the present and hopes lost forever.	Motivic figure A, B and C Theme I (Parisina) Transition <i>recitativo</i> Theme II (love duet) (Parisina and Hugo) Theme III (Hugo) Motives of Azo's theme (frag.)	1–43 44–55 56–59 60–79 79.2–92 103–120	Episode 1 (free)
Scene 2 discovery	It's night. Prey of emotions, Parisina falls asleep. Dreams; and in broken phrases she lets her suspicious husband hear the name of the one she loves. At the height of despair, Azo, Parisina's husband, decides to take revenge by having Hugo condemned to the scaffold.	Theme IV (Azo) Transition oneiric ⁷ Motivic Fig. A Parisina Theme III Transition	121–130 131–144 145–148 149–162 163–168	Episode 2 (free) TRp-
Scene 3 punishment	Appearing before the judges, Hugo recounts his father's treacheries to steal his mistress. He is sentenced to death. Parisina goes mad. In her delirium, the ideas of past happiness and the bitterness of the grim present reality clash. Hugo on to the scaffold; and when his head rolls, decapitated by the executioner's axe, a piercing scream drowns the murmur of the haunted mob! From Parisina there was never any more news.	Motivic Introduction Theme IV (Azo) Theme Ia (derived from theme I) Theme V Andante-Grave (Hugo's condemnation) Theme IV (Fugato) Theme IV (Azo) in the tonic Theme V (tonic) Transition oneiric (towards scaffold) Theme IV (Azo) agitato Presto (Hugo's decapitation, Parisina screams) Adagio (<i>codetta</i>) oneiric-final	169–175 176–227 228–258 259–288 287–288 289–370 371–387 383–387 388–451 452–502 503–528 529–573 574–596 597–620 621–624 625–632	Sonata form P TR TR MC S TRp EEC Development Recapitulatory P TR Recapitulatory S TRp- Coda <i>Codetta</i>

Abbreviations: P primary theme; S secondary theme; TR transition; TRp. transitional passage; C closing section

Table 1: Scenes, program, themes, and formal function in *Parisina* Op. 15

⁷ The term oneiric is intended to characterize the transitional passage (TRp^{on}) according to the program intent. The mediant progressions set the dreamlike atmosphere that characterizes the scene representing Parisina's dream.

Example 1: *Parisina* Op. 15, mm. 1–16

The theme shown in Ex. 2 is related to motivic figure *A*. The representation of Parisina who is threatened by her husband, but who lived a great love with Hugo is represented by the tonal vagueness of the theme, it starts in C# minor and moves to F# minor/A major. The lack of a perfect cadence V–I, replaced by vii^{o7}–I⁶, suggests the inconclusive characteristic of the theme. Ex. 3 presents the theme of the duet. This is centred on F# minor, the key that characterizes Hugo, and presents two distinct moments. The first represents the “colloquy” between Parisina and Hugo (Ex. 3a, mm. 60–79), the second (Ex. 3b, mm. 80–92) presents the theme of Hugo still in the context of the duet. Ex. 3c presents a summary of the tonality in the first scene. It is centred in A major with the presentation of Parisina’s theme in C# minor (iii) in mm. 44ff., leading to a transition between mm. 54 and 59 and resolving in the presentation of Parisina and Hugo’s love theme in F# minor in m. 60. Finally, there is a return to the tonic through V⁹ and the restatement of the motivic figure of Parisina in m. 103.

44 *Parisina's theme*

cordas
p
pp

cl: *pp* i V i

48

V i ft: V V/V
A: I V I

51

ft: V vii°/ii ii V I vii°7 I⁶
A: V vii°/ii ii V I vii°7 I⁶

Example 2: *Parisina* Op. 15, mm. 44–53

a)

Andante Parisina and Hugo (duet)

60 *ob.*
p
ft: *cl.*

66

Example 3a: *Parisina* Op. 15, mm. 60–71

b)

Hugo (duet)

79

strings

p

mf

Example 3b: *Parisina* Op. 15, mm. 79–87

c)

Scene I

1 44 54-55 56-59 60 93 103

A: I iii V V/vi vi v⁹ I

Example 3c: Tonality summary in scene I

Scene 2 is brief, and Ex. 4a shows the beginning of Azo's theme (mm. 121–127) with a tense setting established by the *tremolo* in the violins and the presentation of the theme in violoncellos. The key begins in C# minor, passing sequentially through D major, D# major, C# minor, and extending the dominant of the dominant (vii⁹/V) of G major. Ex. 4a shows the beginning of Azo's theme. A brief transition follows with mediant progressions (Ex. 4b) in *tremolo* in the strings and leading to a reiteration of motivic figure A (Parisina) in B major. By relating the presentation of Azo's theme to the motivic figure of Parisina by way of a mediant progression, the composer suggests a dreamlike setting (TRp^{on}) when Parisina mentions the name of her lover. The scene is characterized by fragmented presentations of themes that suggest the mention of Hugo's name during Parisina's dream. Thus, the scene ends with the abbreviated restatement of Hugo's theme in G minor, representing the mention of his name. Ex. 4c presents a summary of the tonal movement in the second scene, which starts in C# minor with the presentation of Azo's theme, followed by the presentation of the motivic figure of Parisina in B major (=A#, submediant of C#) followed by the Hugo's theme in G minor (m. 149).

a) **Moderato**

121
vl. *pp*
Vc. Db. Azo
pp
c#: D:

Example 4a: *Parisina* Op. 15, mm. 121–125

b)

c. 131–144

Example 4b: Harmonic progression summary of mm. 131–144

c)

Scene II

121 145 149
C#: i B: I g: i

Example 4c: Tonality summary in scene II

The third scene is the biggest and most dramatic of the work. This scene is structured as a sonata form, or rather, an adaptation of the structural and rhetorical norms of the form. The main dramatic feature of this scene is the alternation of contrasting themes that suggests the reality of the lovers' judgment, their condemnation, and delusions and memories of happiness of their love. The normative contrasting primary (P) and secondary (S) themes form the structural core of this scene. The themes are vastly contrasting, in different tonalities, A minor and C major in the exposition, and A minor and A major in the recapitulation. The main theme with tempo *Allegro agitato*, presents a marked, almost martial rhythm. This theme represents Azo and his status as a betrayed lord who will judge and punish the lovers. Ex. 5a illustrates the primary theme. The secondary theme (S) has the necessary contrast to emphasize the dramatic quality of the scene. It is in C major and has a broad, lyrical melody (Ex. 5b).

a) **Allegro agitato**

176 *Azo*
strings *mf*
p

a: #vi #VI ii vii° i vii°

180
i

Example 5a: *Parisina* Op. 15, mm. 176–183b) **Tempo I**

295 *vls.*
mf

pp

C: V I⁶ vii°/V V I V vi V

Example 5b: *Parisina* Op. 15, mm. 295–302

Between P and S presentations, the normative transition (TR¹) occurs, with a small transitional insertion (marked as TR²) also occurring between the end of TR¹ and the S presentation. At the end of TR² there is a caesura (MC) characterized by the fermata on the Dominant chord of C major (mm. 287–288) establishing the closure of P zone. Transitions have an important function related to the work's program. They are the sections where the atmosphere changes to represent Parisina's delusions as she recalls her lover. In the second transition (TR²), between P and S in the exposition of the sonata form, the composer presents a theme derived from the continuation of Parisina's theme (Ex. 6a) modified by thematic transformation and free rhythmic augmentation (mm. 259–264). Harmonically the section starts in B major, moving to A \flat major then to the secondary key of C major (Ex. 6b).

a)

Example 6a: Thematic transformation and rhythmic augmentation, mm. 93–95 and mm. 259–264 in *Parisina* Op. 15

b)

c. 259–263 263–267 267–272 273–280 281 282 283–284 285–287 288

C: II V 9 I⁶ V⁹ I⁶ III⁶ I⁶ V⁷

Example 6b: harmonic reduction, mm. 259–288 in *Parisina* Op. 15

Two transitional segments lead to the development. The first segment leads to a chord of A \flat major (mm. 371–377); the second (mm. 378–387) leads to a diminished seventh of G followed by octaves in the low strings to a G natural and a long rest (mm. 383–387). This functions as EEC delimiting the expositional space. It is followed by the development section.

The most dramatic point of the sonata form in the work occurs at the beginning of the development section. The *fugato*, on theme IV (Azo), establishes the severity and seriousness that the drama requires. The section begins with the presentation of theme IV followed by its imitations, which engender a thickening of the texture (Ex. 7a). The culmination of this dramatic effect takes place between mm. 407 and 431 where theme IV is again presented, but with a dense texture in the accompaniment, after which there is a loosening of the texture until the presentation of a free augmentation of theme IV (Ex. 7b) that ends the development.

The recapitulation presents P in A minor and S in the parallel key (A major). However, there is no ESC, instead the music progresses straight to a new transitional passage (TRp^{on}) that leads to the coda. The transitional passage again represents a change of atmosphere, from memory of affections to one of despair and death, when Hugo is beheaded and Parisina screams in despair. This transition, based on that of mm. 131–144 (see Ex. 4b), presents a mediant progression with arpeggios on the bass and *tremolo* on the high strings. Ex. 8a

shows a harmonic reduction of the passage. This is centred on B \flat minor, passing through D \flat major, D minor, B \flat minor, and finally fixing on F major, and returning, in the coda, to A minor. Thus, it also reflects the type of harmonic progression that refers to a dreamlike atmosphere, but which is abruptly interrupted by the coda. Finally, at the end of the coda, a diminished seventh chord on D \sharp symbolizes both Hugo's decapitation and Parisina's cry of despair. The final passage of the work, again with a harmonic progression of mediants (Ex. 8b), symbolizes Parisina's disappearance, it is an inconclusive progression (no V–I cadence) that leaves Parisina's fate unresolved.

a) **Moderato assai**

388

c:

395

Example 7a: *Parisina* Op. 15, mm. 388–400

b)

444

Example 7b: *Parisina* Op. 15, theme IV, and its rhythmic augmentation

The third scene, therefore a sonata form, presents P in A minor proceeding through the transition, which is subdivided into two segments: TR¹, based on material from P, and TR², with material derived from the transition from scene II and passing through B minor, A_b major, D_b major, G major as dominant of C, and stabilizing in C major in S. The recapitulation section reiterates P in the tonic, A minor, S in A major, thus resolving the tonal normative dichotomy of sonata form. There follows a transitional passage (TRp^{on}) that starts in B minor and ends in F major (m. 591), later returning to A minor in the coda. Ex. 8c presents a summary of tonal relationships in scene III.

a)

574

b: i vii[°]7 III D: I vii[°]7/iii I

585 591–596

d: i V i b: vii[°]7 III V F: I

Example 8a: *Parisina* Op. 15, harmonic reduction, mm. 574–596

b)

Parisina disappears

626

a: iv ♭II VII v V/♭VII ii i

Example 8b: *Parisina* Op. 15, harmonic reduction, mm. 626–632

c) Scene III

Exp. Develop. Recap. Coda

P TR¹ TR² S P S

176 258 259 263 267 273-288 289 452 529 591 597

a: i C: I a: i A: I b: V a: i

Example 8c: Harmonic summary of scene III

Finally, Fig. 2 schematically illustrates the sonata form in scene III.

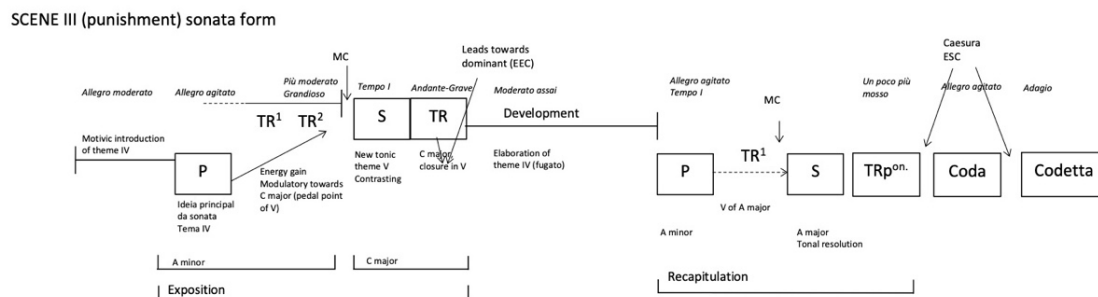


Figure 2: graphic scheme of scene III (sonata form) in *Parisina* Op. 15

* * *

The two scenes introduced before the core of sonata form are essential for the dramatic effect that the program needs. More specifically, scenes I and II frame scene III in the beginning by introducing important thematic material that is reorganized and developed in the sonata form, and the final coda, which represents the most dramatic passage of the sonata, also, surrounds the whole sonata form at the end. These sections subordinate the sonata form rhetoric to their formal function by establishing important thematic material and dramatic atmospheres of the program.

2. *Ave, Libertas!* Op. 18 (1890)

Ave, Libertas! Op. 18 does not have a specific program. However, the work is intended as an "homage to Marechal (Marshal) Manuel Deodoro da Fonseca, proclaimer of the Brazilian Republic, and commemorating the first anniversary of the Proclamation of the Republic of the United States of Brazil", as presented in the printed cover of the score.

Miguéz's *Ave, Libertas!* presents three facets that should be noted. The first refers to how the composer uses sonata form, not in the traditional Beethovenian approach, but as a reinterpretation of the form adapted to the composer's goal. The second facet concerns the compositional practices related to Liszt and Wagner's music. The traditional notion of thematic transformation and elaboration, the tonal planning of the work through a double-tonic complex and

mediant harmonic relations are characteristics of the work and denote Miguéz's perception of compositional practices in German music of the second half of the 19th century. The third aspect refers to the second part of the work, *Tempo di marcia*, a military march that refers to the homage intended by the composer.

Miguéz's work is subdivided into two parts as a sort of multimovement work shaped into one movement. The first part can be interpreted as a sonata form. The second part is a military march characterized by a free episodic form based on thematic materials used in the first part and treated by thematic transformation.

The first part, the sonata form, is outlined through the following characteristics: 1) the primary theme (P) is presented in the tonic (D major); 2) this is followed by the transition (TR) that leads to the secondary theme (S); 3) the contrasting S is presented in a new key (F# major); 4) the articulating elements of sonata form are clearly presented, the MC after the transition is clearly marked in mm. 87–89, but EEC is not present (as cadential point), instead it leads straight to the closing space (C) which begins with S-material in A major, in m. 135, and is delimited by a cadence to the dominant in m. 161 causing a superposition of EEC to C (as shown in Fig. 3). The development section elaborates the thematic material already presented. In particular, the primary theme (P) undergoes thematic transformation, and the entire section is characterized by modulation, notably treated by model and sequence. In the recapitulation section, P is reintroduced in the tonic. The transition is condensed (the articulating MC is omitted) and leading to the recapitulation of S. However, the normative practice of recapitulating S in the tonic, and as presented in the exposition, is not observed by the composer. In fact, S is modified by thematic transformation, and presented in E minor generating the non-resolution of the tonal problem characteristic of the sonata form. Miguéz reserves this resolution for the second part of his symphonic poem. Thus, after the presentation of S, follows a transitional passage (TRp.) that leads to part II of the work, *Tempo di marcia*. Finally, before the core of the sonata form there is an introduction where material of the primary theme (P) is presented twice, in D major and in F# minor. Fig. 3 adapts the original scheme by Hepokoski and Darcy (Fig. 1) and schematically illustrates the sonata form in the first part of *Ave, Libertas!*

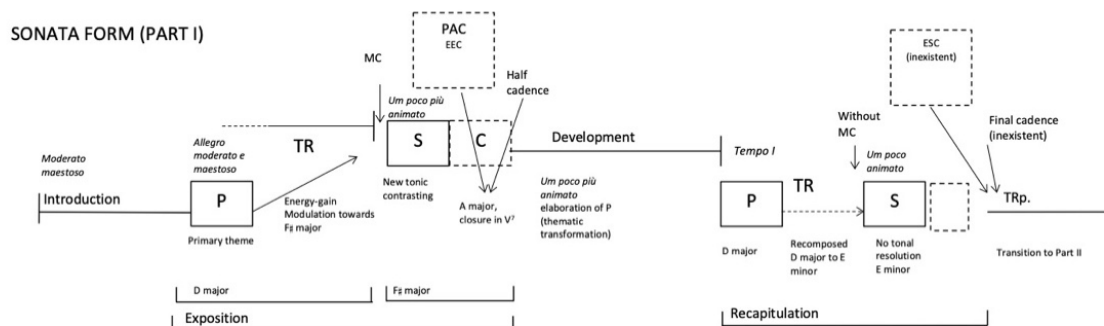


Figure 3: graphic representation of sonata form in *Ave, Libertas!* Op. 18

The second part of the work is greatly referenced by the military topic that directly denotes the tribute the composer aims. The March is organized as an alternation between thematically transformed presentations of the primary theme (P^m)⁸ and episodes of elaboration of the presented material. Thus, a trumpet call is featured in the short introduction along with a rhythmic martial figure. The P^m of this part of the work is presented by the horns as a fanfare and is directly derived through thematic transformation of P from the sonata form. This section presents episodes of elaboration and fragmentation of this theme. In the *Grandioso* section, the S of the sonata form is restated in the tonic tonality, D major, which accomplishes the missing tonal resolution in the recapitulation of the first part of the work. In the *Allegro molto* section, the primary theme of the sonata form is reintroduced in the tonic, but again with thematic transformation. This section is followed by an elaboration that leads to the prolongation of dominant with augmented fifth. The last section, *Adagio*, summarizes the military topic by presenting P^m and P (modified by thematic transformation) themes in a triumphant statement. The formal segmentation of the March is represented in Fig. 4.

⁸ It is important to clarify that the main theme of the march is a thematic transformation of P , therefore the designation of P^m for this theme. The P^m abbreviation refers to the main theme of the march.

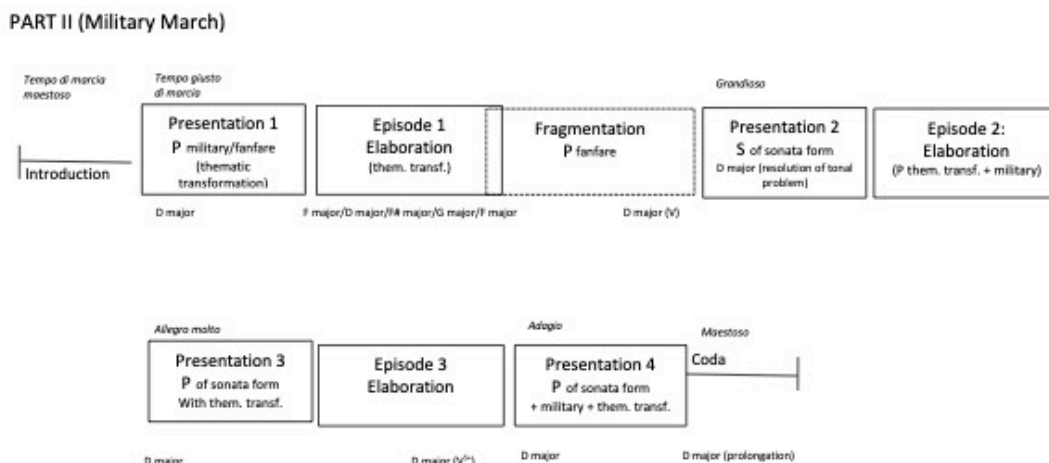


Figure 4: Graphic representation of *Tempo di marcia*, in *Ave, Libertas!* Op. 18

In Table 2 the constituent elements and formal segmentation of the work are detailed.

Section	Measures	Thematic materials	Tonality
Part I (sonata form)			
Introduction	1–36	P (mm. 1–18) P (mm. 19–36)	D Major F# minor
Exposition	37–161	P (mm. 37–53) TR (mm. 54–89) S (mm. 90–134) C (mm. 135–161)	D major D major/F major (=E#) F# major A major
Development	162–202	P (them. transf.)	Modulatory–sequential D minor–E _b minor–vii ^o /B–vii ^o /A
Recapitulation	203–240	P (c. 203–218) TR (mm. 219–232) S (them. transf. mm. 233–240) TRp. (mm. 241–267)	D major E minor
Tempo di marcia–(Part II)			
Introduction	268–299	P. (martial/trumpet call)	D major
Presentation 1	300–336	P ^o (them. transf.) fanfare	D major
Episode 1 Elaboration	337–386	P ^o (them. transf.)	F major/D major/F# major/G major/F major
	387–399	P ^o fragm.	D major
Presentation 2	400–408	S (resolution of tonal problem)	D major
Episode 2 Elaboration	408–423	P ^o + P (them. transf.)	
Presentation 3	424–440	P (them. transf.)	D major
Episode 3 Elaboration	441–497	P (them. transf.)	D major => V ^o
Presentation 4	498–501	P ^o +P (them. transf.)	D major (vii ^o /V)
Coda	502–512		D major (I)

Abbreviations: P primary theme; S secondary theme; TR transition; TRp. transitional passage; C closing section; P trumpet call introduction; P^o main-theme March; them. transf. = thematic transformation

Table 2: Formal segmentation of *Ave, Libertas!* Op. 18

The presentation of P in the sonata form is traditional (Ex. 9), that is, it is presented as a period. The antecedent begins with the presentation of the basic idea (mm. 37–39) followed by the contrasting idea (mm. 39–41). Harmonically it projects I→V. In the consequent, there is a modified repetition of the basic idea (mm. 41–43) in the tonic. The concluding phrase (mm. 43–46) of the consequent emphasizes the subdominant, G major, through its secondary dominant (V/IV), but progresses to the dominant generating the necessary momentum for the extension of the period. This continuation, mm. 46–54, already presents thematic material elaborated from the basic idea, but it is fully centred on the tonic through progressions that emphasize the basic harmonies of I, IV, V of the tonality. The thematic presentation ends through a cadential segment that tonally closes P (mm. 52–54).

Antecedent 38

bas. id. contrasting id.

D: I V I V I V

Consequent 42

repetition BI modified Conclusion continuation

I V/V V I IV V/IV IV V V/V V

47

V V/IV V V/IV V V/IV IV V

51

cadential closure follows to TR

I ii I ii I⁶₄ ii V I

Example 9: Presentation of primary theme (P) in *Ave, Libertas!* Op. 18, mm. 38–54

If, on the one hand, the thematic structure as a period, with the support of harmonies centred on the tonic, characterizes a stable thematic formation, on the other hand, the continuation of the period, despite the stable harmonic support, is unstable because it uses thematic elaboration from the basic idea and adds chromatic inner melodic lines (see mm. 46–49 in the internal parts) causing the need of continuity. If compared to the presentation of P in the introduction of the sonata form, there is a dichotomy in terms of the form of presentation: in the introduction, P is presented sequentially, whereas in the exposition of the sonata form, it is presented in a traditional way as a period. This mixture, in the form of the presentation of the musical material, reveals aspects of the large-scale tonal organization and compositional design that emphasize practices of the music of the late German Romantic period. In contrast, the secondary theme (S) is presented more loosely. It consists of a sequence of two-measure phrases articulated by superimposing the last note of each phrase as the first of a new phrase (indicated by the square brackets in Ex. 10). The secondary theme (S), in F# major, presents tonal instability emphasized by the pedal point C#, leaving the tonal articulation unstable. Also, the insertion in mm. 96–97 of a phrase in D major, refers to the work's tonic and suggests the compositional practice of "double-tonic complex" as discussed above.

The musical score for Example 10 is presented in three systems. The first system (mm. 90-94) shows phrases 1, 2, and 3. The second system (mm. 95-99) shows phrases 4 and 5. The third system (mm. 100-102) shows a continuation of the theme. Harmonic analysis is provided below the staff, indicating chords such as F#: I, V, V, I, I, V/ii, vi, ii7, D: V/IV, I, and v7.

Example 10: Presentation of secondary theme (S) in *Ave, Libertas!* Op. 18, mm. 90–102

In this viewpoint, composers like Miguéz adhere to the practice of the double-tonic complex out of the desire to adopt a contemporary trend of their time, nevertheless, this practice is not fully integrated in the structure of his work. There is indeed a large-scale planning of tonal relations that adheres to the practice of double-tonic and mediant progressions, but there is also the use of traditional progressions, at the distance of a fifth, in the surface structure of the work. In *Ave, Libertas!* Miguéz begins and ends his piece in D major. However, by presenting, in the introduction, the primary-theme material (P) in two consecutive keys (P is presented in D major and then in F# minor), the composer establishes the importance of the two tonal poles for the rest of the work. These tonics are emphasized through prolongations, the first, in D major, projects the following progressions, I-ii⁷-V^{13/7}-I (mm. 2-5) and I-ii⁷-I (mm. 6-10), followed by secondary dominants that suggest both the dominant (V) and the subdominant (IV and ♭II) in the progression vii^o/V-vii^{o7}/V-ii⁷-vii^{o7}/IV-V/♭II-V⁷-I (mm. 11-17). The next segment, in F# minor, is presented as a sequence (mm. 19-36) and follows the progressions of the D major presentation. Of course, the sequential thematic presentation is reminiscent of the Wagnerian practice of presenting themes sequentially.

Tonality mapping in *Ave, Libertas!* is graphically represented in Tab. 2 above. Ex. 11a illustrates the chronological arrangement of tonalities in the first (sonata form) and second parts (March) of the work. The double-tonic complex of D and F#, is predominant, from it other tonal centres are derived. In the introduction, P material is presented in D major and followed by F# minor. In the exposition of the sonata form, P is presented in D major, passing through TR with an emphasis in F major. It is worth clarifying here that, although not respelled as E#, F# enharmonically becomes the functionally active leading note of F# (see mm. 83-89). Hence the indication in the example of E#. S follows in F# major and then the closing section (C) in A major (relative to F# minor). The development section starts in D minor but is modulatory in its entirety. It presents passages leading through D minor, and implying the keys of E minor, B minor, and A major, the latter serving as a connection to the tonic, D major. In the recapitulation, there is the normative reiteration of P in the tonic. However, there is no restatement of S in the tonic, as already mentioned. S is restated in a modified form in E minor. After the presentation of S there is also the transitional passage (TRp.) that leads to the second part of the work.

In the second part of the work, D major is the predominant key, both in the introduction and in most episodes. Exception is the first episode where the role of tonal mediants emphasizes F major, D major, and F# major. From Presentation 2 onwards, there is a great tonic prolongation (D major) until the end of Episode 3 when the dominant with its augmented 5th (E#) is emphasized by its prolongation. At this point the composer seems to clarify the important function of E# (or F#) as the leading note of F# (in the example this relationship is indicated by an arrow connecting the notes). Thus, the importance of the double-tonic complex, D and F#, is explained by the work's own formal articulation. Ex. 11b shows a summary of the tonal relationships of *Ave, Libertas!* From the D major tonic towards its right is its parallel D minor, which in turn is related to F major. From F# major, towards the left, is its parallel minor, F# minor, and A major, the relative of F# minor and dominant of D major. The D/F# double-tonic complex is represented at the intersection of the rectangles and shows the mediant relationship between the two triads.

a) Part I sonata form

Part II episodic form

b)

The image contains three musical diagrams. Diagram (a) shows the tonality mapping for Part I (sonata form) and Part II (episodic form). Part I includes sections: Introd., Exp., P, TR, S, C, Develop. (Modulatory), Recap. (P, S). Part II includes: Introd., Pres. 1, Epis. 1, Pres. 2 (TS), Epis. 2, Pres. 3, Epis. 3, Pres. 4, Coda. Diagram (b) shows a tonality mapping with overlapping rectangles. The first rectangle covers D major and D minor. The second rectangle covers F major and F# major. The intersection of these two rectangles is labeled as the D/F# double-tonic complex. An arrow points from the E# note in the second rectangle to the F# note in the first rectangle.

Example 11a-b: Tonality mapping of *Ave, Libertas!* Op. 18

From this charting, we can verify the internal modulatory progressions in the work. For example, in TR (see Ex. 12a–harmonic reduction) there is a modulatory process to F# major, passing through F major. The progression starts in m. 84 with the dominant of F major followed by its tonic resolution. In mm. 85–86 there is an emphasis on the F# note which is played in octave doubling by violins and woodwinds. This note is essential for the next key as it works, enharmonically, like the leading note of F# major (E#). In the harmonic reduction, the enharmonic relationship is indicated with the note E# in parentheses and its

resolution in F \sharp (indicated by an arrow). Thus, in the last beat of m. 86 we can already see that vii^{o7} (fifth omitted) of A minor, in F major becomes vii^o of F \sharp major.

After the presentation of S in F \sharp major, there is a brief modulatory episode, but it moves towards the same key, F \sharp major. In Ex. 12b a harmonic reduction of the passage is shown. It begins with a V–I cadence in F \sharp major passing through, in m. 107, B \flat major. The next segment suggests G \flat major, which is followed by the tonic of B \flat major but with its augmented fifth (F \sharp). This chord is important as it can also be interpreted as the dominant with augmented fifth of G major, the tonic of the next segment in mm. 114–117. Finally, there is a return to F \sharp major in mm. 118–121 which is followed again by a modulatory passage starting in F major at m. 122 and leading to closing section (C) in A major. In addition, the composer delineates its progressions by mediant, F \sharp –B \flat (=A \sharp)–G \flat (=F \sharp)–B \flat (=A \sharp)–G–F \sharp . Finally, in Ex. 12c, at the end of episode 3 of the second part of the work, the composer elaborates the return to the tonic, D major, through a prolongation of the dominant with augmented fifth. The progression begins at m. 481 with \flat VI⁵⁺ followed by V⁵⁺. It should be noted that, as in the TR of the sonata form, the note F \natural is enharmonically the leading note of F \sharp , in this passage the note E \sharp , the fifth of the V chord, also resolves to F \sharp as the third of the D major triad. Thus, the importance of F \natural =E \sharp is emphasized in this part of the work as well.

Therefore, the composer delineates harmonic relations of mediant on a large and small scale and gives his work one of the harmonic characteristic practices of late 19th-century German music. The double-tonic complex, in the present case, demonstrates the use of two tonics at the distance of a third and with structural importance for the work's formal design.

a)

84 90

F: V⁷ I⁶ vii^{o7}/iii F#: vii^o F#: I

Example 12a: Harmonic reduction mm. 84–90

Example 12b shows a harmonic reduction in mm. 102–122. The score is in G major and 2/4 time. The first system (measures 102–107) features chords: F#: V⁷, I, B: I, and G#: vii^{o7}/vi. The second system (measures 114–117 and 118–119) features chords: B: I⁵⁺, G: V⁵⁺, I, V⁷, F#: I, V⁷, and F: I.

Example 12b: Harmonic reduction in mm. 102–122

Example 12c shows a harmonic reduction in mm. 481–497. The score is in G major and 2/4 time. The chords are: D: bVI⁵⁺, V⁵⁺, and I.

Example 12c: Harmonic reduction in mm. 481–497

A final illustration concerns thematic transformation of P and S. Ex. 13 shows the main transformations of the primary theme (P). In Ex. 13a the primary theme is illustrated, as it appears in the Introduction, it is summarized in four measures, which can be subdivided into two motives: *a*, which presents the thematic figure that undergoes most transformations, and *a'*, which complements and closes the thematic figure. This is the predominant motivic figure in the primary-theme (P) presentation of the sonata exposition. The first thematic transformation that the figure undergoes is shown in Ex. 13b, in the anacrusis of m. 104. The modification consists of a free rhythmic augmentation and a passing note between the two final notes of *a*, thus generating the motivic figure *a1*. In the following bars, the motivic figure *a1* is modified into *a2* and *a3*, and from a fragment of *a2*, indicated as *b1*, the motivic figure that characterizes the fanfare theme (*b2*) as P of the military march is shown in Ex. 13d. A new modification of motive *a* is shown in Ex. 13c. This figure, *a4*, is presented in the sonata development section and elaborated sequentially for much of the section (m.

164ff.). In Ex. 13d the main theme of the march (P^m) is illustrated, presented as a military fanfare. This theme is made up of the derived motives $b2$ and $a5$ and accompanied by the motive c , which establishes the character of a military march (Ex. 13e). Motives a , b , and c are also superimposed in sections of elaboration (Ex. 13e), representing the synthesis of thematic transformation. Finally, Ex. 13f illustrates the sonata primary theme in thematic transformation by rhythmic augmentation and in Ex. 13g a motivic synthesis of motives c and a is shown.

Example 13a-g: Thematic transformations of P

The image displays seven musical examples (a-g) illustrating thematic transformations of motive P. Each example is presented on a single staff in treble clef with a key signature of one sharp (F#). Brackets and labels identify specific motives within the notation:

- a)** Measure 1: Shows motive a and its first variation a' .
- b)** Measures 103-163: Shows variations $a1$, $a2$, $a3$, and $b1$, along with a fragment of b ($b\text{ frag.}$).
- c)** Measure 164: Shows variation $a4$.
- d)** Measures 300-407: Shows variations $b2$ and $a5$.
- e)** Measures 408-440: Shows a complex synthesis of motives a , $b3$, and c (with a triplet of eighth notes).
- f)** Measures 441-497: Shows variation a with rhythmic augmentation.
- g)** Measure 498: Shows a synthesis of motives $c1$ and a .

Example 13a-g: Thematic transformations of P

In Ex. 14a, S is presented in F# major and is composed of motives *d*, a descending octave, followed by motive *e* characterized by the arpeggio interspersed with passing notes, motive *f*, an ascending scale, and motive *g*, the syncopation motive. In Ex. 14b, S is elaborated through the inversion of motive *f* and presented in E minor. Here it corresponds to the recapitulation of S of the sonata form, which normatively should be presented in the tonic to solve the tonal problem, but the composer, by not doing so, drives the musical discourse forward, since this presentation of the modified S leads to a transition to the march. Finally, in Ex. 14c–d the motives *d* and *e* of the S can be perceived as generating the ascending arpeggio of the figures in mm. 408–411.

The image contains four musical staves labeled a, b, c, and d. Staff a (measures 90-94) shows motives d, e, f, and g in F# major. Staff b (measures 233-237) shows an inverted version of motive f (f inv.) in E minor. Staff c (measures 408-411) shows variations of motives d and e (d var., e var.) with ascending arpeggios. Staff d (measures 410-411) shows further variations of motives d and e.

Example 14a-d: Thematic transformations of S

* * *

According to the common types of sonata deformation listed by Hepokoski (1993), the multimovement work would shape the sonata form in one movement. Obviously Miguéz's *Ave, Libertas!* is not shaped in this way. However, it certainly represents a sort of multimovement work with a sonata

form as its first part. It suggests an alternative formal design and could be included in Hepokoski's list of sonata deformations. In addition, the second part, *Tempo di marcia*, presents a close thematic relationship to the primary theme of the sonata form, being for this reason at the same hierarchical level as the sonata form *per se*, characteristic that indicates a multimovement work as deformation of sonata form.

3. *Prométhée*, Op. 21 (1891)

Prométhée op. 21 pays homage to the newly founded Brazilian republic through its program, it invokes the myth of Prometheus as the character (the object) of the work's program. The program was published for a series of concerts dedicated to Miguéz's works in 1897, and was reproduced in the periodical *Jornal do Commercio* (Pereira 2018, p.146–147):

Prometheus will be punished for having pained from the ignorance and misery of mankind. Faced with the severity of the penalty, the gods pity the Titan's luck and implore Jupiter for mercy, inflexible, however, to their entreaties. Chained to a cliff, listening to the painful woes of the Oceanids and the beating wings of vultures flying overhead, Prometheus keeps his pride and ignores the pains that afflict him, suffocates the bitterness of the present and foretells his future glory. And when rejecting the counsels and threats of Jupiter's messenger, he is caught up in the maelstrom, surpasses the cataclysmic roar of the lament of the gods who deplore him (printed in *Jornal do Commercio* Jun. 6, 1897; my translation).

The promethean myth helped Miguéz to express his political bias in favour of the newly created republic. The titan who created and gave knowledge (represented by fire) to mankind, represents the republic and its heroes who are victorious over the decadent empire, represented by the gods of Olympus. In the program the dichotomy between the figures of Prometheus and the Oceanids are set as contrasting musical ideas by the composer, a crucial aspect for shaping the sonata form.

Miguéz's symphonic poem is structured according to a "deformation" of traditional sonata form. Nonetheless, three aspects connect the work to the traditional rhetoric of the form: (1) the resolution of a tonal dichotomy; (2) thematic duality, i.e., contrasting themes; and (3) a recapitulation section with the resolution of the tonal dichotomy. Nevertheless, the process of defining the form

of the work is not evident. The traditional features of sonata form, such as a repeated exposition and delimitations of themes through caesuras and cadences are not to be found. In fact, the presentation of thematic ideas is often followed by sequential passages that obscure its formal function. Perhaps to compensate for this lack of clear demarcation of formal functions, Miguéz uses other types of strategies. For example, sections are delimited by tempo changes such as those between the introduction and exposition and between the primary and secondary themes, and also by cadential gestures.

Fig. 5 illustrates the elements of the sonata form in *Prométhée*, op. 21. In Miguéz's symphonic poem there is the addition of the introduction (*Lento*), the section presents Prométhée's theme 1 followed by a brief imitative section and a final section that introduces the main motive of P, Prométhée's theme 2. MC clearly delimits P zone and the beginning of S. However, the deletion of the closing space (C, marked with dotted lines) and EEC, both replaced by a final cadential gesture (see Ex. 20), obscures the closure of expositional space. The primary and secondary themes are restated in the recapitulation section, however, the cadential gesture does not occur at the end of C. ESC is also omitted and S is followed directly by the Coda, which is organized in three different episodes.

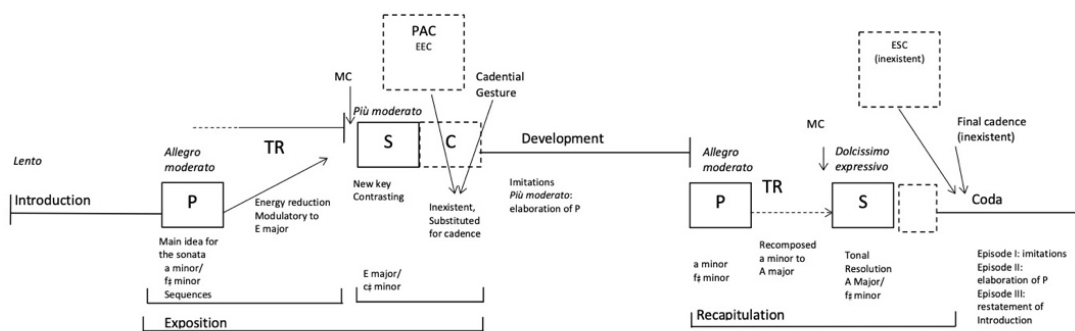


Figure 5: Graphic representation of sonata form of *Prométhée* Op. 21

In Table 3, we observe the formal segmentation of the work. The introduction in Miguéz's work does not present tempo changes, but there is a structured subdivision with the presentation of new material. In his work Miguéz uses in the exposition of the primary theme (P) a harmonic fluctuation that revolves around A minor and F# minor, followed by a sequential episode and the *Più animato* episode representing the birds attacking Prometheus. The

secondary theme (S) is characterized by a tempo change (*Più moderato*) and the tonality fluctuates between E major and C# minor. The development section is characterized by successive segments of imitative presentation of the primary theme in the strings and by two sections elaborating P. In the recapitulation section, the work corresponds to the exposition of a sonata form including the proper resolution of tonal dichotomy. However, the final coda of the work presents final climactic episodes, a restatement of the introduction in Miguéz's piece representing the redemption of Prometheus as the hero of mankind.

Section	Measures	Thematic material	Tonality
Introduction	1–63	Section 1 Prométhée theme 1 (mm. 1–29)	A major
		Section 2 Imitations: new theme followed by its inversion (mm. 30–40)	Towards Dominant (E major)
		Section 3 Fragments of P; transition to exposition (mm. 41–63)	Towards Dominant
Exposition	64–211	P Prométhée theme 2 (mm. 64–130)	A minor/F# minor
		<i>Più animato</i> Sequential episode (mm. 131–145)	
		TR (mm. 146–155) MC (mm. 156–159)	Towards E major
		S (<i>Più moderato</i>) Oceanid's theme (mm. 160–211) Cadential gesture for conclusion (mm. 202–211)	E major
Development	212–291	Imitations (mm. 212–251) P (m. 252–263) P <i>Più moderato (quasi Andante)</i> (mm. 264–291)	
Recapitulation	292–418	P (mm. 292–349)	B minor/F# minor
		TR (mm. 350–367) MC (mm. 368–371)	A minor to A major
		S (mm. 374–418.1)	A major/F# minor
Coda	418–482	Episode I imitations (mm. 418.2–450)	A major
		Episode II Elaboration of P (mm. 451–470)	
		Episode III Restatement of the Introduction (<i>Lento come prima</i>) (mm. 474.1–482) Prométhée redemption	

Table 3: Formal design of *Prométhée* Op. 21

Ex. 15 shows the main theme of the sonata form, which is characterized by its diffused tonality, having no assertive clear tonal centre. The constant harmonic fluctuation between A minor and F# minor shows how the composer uses locally the procedure of double-tonic complex. Following the exposition of the theme, there is a lengthy sequential passage (mm. 76–95; see Ex. 16) that destabilizes the notion of a primary theme as a traditionally treated structure, i.e., with well-defined tonality and form.

Allegro moderato

a: V⁷ i f#: V⁷ i

70

a: V f#: i

Example 15: Primary theme (P) in *Prométhée* Op. 21, mm. 64–75

Ex. 16 shows the first sequential passage that follows the presentation of the primary theme in the exposition. The sequence, in mm. 80–87, emphasizes the harmonies i^6 and iv . It is followed by fragmentation of its material and projects the progression of $vii^{07}/V-V-vi^6-i$. Thus, passage between mm. 88–95 moves directly to the dominant of A minor, and the sequence characterizes a cadential progression that reaches resolution in the stable tonic in mm. 96–97. This is emblematic for concisely representing the double-tonic complex, A minor/F# minor, indicated by arrows in m. 93 and m. 97, and for the first time presenting the tonic, A minor, in root position in the exposition of the sonata form. Although the harmonic progressions are essentially diatonic, the chromaticism on the music surface is limited to ornamental notes, appoggiaturas, and chromatic passing notes.

80

a: i^6

84

iv

88

vii^7/V V

93

vi^6 V_5^6 vi^6 v V i

Example 16: Sequential passage, mm. 80–97, in *Prométhée* Op. 21

Ex. 17 shows another passage which is characterized by motivic sequences. Although the elements that make up a phrase are fragmented, the passage leads to the dominant of A minor, however, it does not resolve to the tonic. The passage is characterized by motivic sequences, mm. 116–120, and by sequential figures, mm. 121–128, since they quickly change any reference to the tonic, they produce a temporary suspension of tonality. The passage, in regard to formal function, is close to the transition in the exposition of the sonata form but is still part of P zone. The *Più animato* episode that follows represents, within

the work's program, the attack of the birds (vultures) on Prometheus and is followed by a transition to S in E major.

116 *motivic sequence*

121 *sequential figures*

125

Più animato

129 *fff*

a: vii[°]7 V

Example 17: Sequential passage, mm. 116–131, in *Prométhée* Op. 21

The transition to S is accomplished through a modulation to E major. Ex. 18 shows the progression that projects a prolongation of V⁷ of the new key. This section shows a marked change of texture (strings and flutes), and of rhythmic

movement: the strings sustain long chords while the solo flute performs eighth-note arpeggios. These modifications produce a formal functional closure required for the large zone of P and tonally prepare the presentation of S through the modulating TR to E major, in this case it is characterized by a reduction of energy, instead of a gain, caused by the change in texture and tempo of S. At the end of the section, MC (mm. 156–159) is accomplished by the cadence in E major, V^7-I (m. 160).

The musical score is divided into four systems, each representing a four-measure phrase. The first system (mm. 146-149) is labeled with the chord $E: v^7$. The second system (mm. 150-153) is labeled with VII_4^6 and v^2 . The third system (mm. 154-157) is labeled with VII_4^6 and v^7 . The fourth system (mm. 158-159) shows the continuation of the flute's arpeggios and the strings' sustained chords. The notation includes treble and bass staves for strings and a single treble staff for the flute. The flute part consists of eighth-note arpeggios, while the strings play sustained chords with long horizontal lines indicating their duration.

Example 18: Excerpt from transition section (TR), mm. 146–159, in *Prométhée* Op. 21

Ex. 19 shows the secondary theme (S). This is also tonally unstable and fluctuates between E major and C# minor forming a double-tonic complex related by thirds. The contrasting theme represents the woeful song of the Oceanids and the flight of birds over Prometheus, represented by the figures in eighth notes. Ex. 20 shows the end of the secondary theme (S) that closes with a cadential gesture based on the progression of A major–F# minor–G# major–E major–C major–G# major, a progression that sums up the importance of mediant relationships used in the exposition. However, if this progression is classified in E major, it would read IV–ii⁷–III (or V/vi)–I– $\frac{1}{2}$ V–III (or V/vi), a progression that presents no defining tonal cadence of tonal directionality or even the resolution of a secondary dominant (V/vi). Therefore, the passage is characterized more by its cadential gesture than by its tonal aspect. This cadential gesture replaces both the closing zone (C) as well as the essential closing of the exposition (EEC). Thus, the formal delimitation of the exposition of the sonata form is complete.

160 *Più moderato*
p
p
p
 E: I V V I

166
 c#: V i V i

Example 19: Excerpt of the secondary theme (S), mm. 160–171, in *Prométhée* Op. 21

202

E: IV ii⁶ ii⁷ III (or V/vi)

207

I iVI III (or V/vi)

Example 20: Cadential gesture, mm. 202–211, in *Prométhée* Op. 21

The resolution of the tonal dichotomy presented in the exposition is resolved during the restatement of P and S in the recapitulation section. According to Table 4, the double-tonic complex A minor/F# minor of P is maintained as A minor/F# minor in the recapitulation, but the harmonic complex E major/C# minor of S is “resolved” as A major/F# minor in the recapitulation. Hence, the composer’s broad plan of the tonal complex is summarized in Table 4:

EXPOSITION		RECAPITULATION
Primary theme A minor /F# minor	➔	A minor/F# minor
Secondary theme E major/C# minor	➔	A major /F# minor

Table 4: Tonal relationships in *Prométhée* Op. 21

Finally, Ex. 21 graphically illustrates a representation of the tonal complex in the exposition of the sonata form and its resolution in the recapitulation.

Exposition

P

a: V i f#: V i

S

E: V I c#: V i

Recapitulation

P

a: V i f#: V i

S

A: V I f#: V

Example 21: Summary of the tonal structure in *Prométhée*, op. 21

The final coda is, structurally, subdivided into three sections: 1) the first presents the imitative procedure that characterized the beginning of the development section; 2) the second section presents a sequential fragment of the primary theme (P) in the strings; 3) the final section, restates material from the introduction in a great orchestral tutti representing Prometheus redemption as the hero of mankind. Thus, the coda, in general, has a recapitulatory function by restating material and procedures of the work.

* * *

Prométhée Op. 21 is Miguéz's symphonic poem that most adheres to the traditional sonata form. Nevertheless, it also presents characteristics of sonata deformation in what concerns the introduction-coda frame. The introduction is the first and the last sections of the work in such a way as to frame the whole piece. The last structural section, the coda, summarizes and restates important passages such as the beginning of the development section, superposes the birds-flying-over-Promethu figure on a Promethu's theme fragment and, as mentioned, restates material from the introduction. In addition, the lack of a complete exposition repetition (the recapitulation is modified) also contributes to

the “deformation” version of sonata form. In sum, *Prométhée* Op. 21 may be classified as a case of introduction-coda frame.

4. Final Remarks

Each of the three symphonic poems by Leopoldo Miguéz presents a characteristic sonata deformation. The composer was aware of innovative compositional procedures of the late 19th-century German music, among these were included harmonic double-tonic complex, reported by Bailey, thematic transformation and, the focus of this text, sonata deformations as argued by Hepokoski and Darcy. In addition, sonata deformation in symphonic poems is a way to achieve the dramatic effect the program suggests. Of the three works examined, *Parisina* Op. 15 is the most evident case of this strategy: the composer highlights the drama by designing the form in three scenes, the most dramatic of them being a sonata form (and its deformation). *Ave, Libertas!* Op. 18 may be categorized as a multimovement work that has sonata form as part of its formal design. In fact, the composer shapes the work as a sonata form followed by a military march in a way as to highlight the intended programmatic homage. Finally, *Prométhée* Op. 21, perhaps the most traditional of the three works, also presents sonata deformation to emphasize the drama suggested by the program and intended by the composer. These works are also exemplary in the use of double-tonic complex and thematic transformation. If in *Parisina* Op. 15 we may perceive a less emphatic use of these techniques, in *Ave, Libertas!* Op. 18 and *Prométhée* Op. 21 they are essential for the structural unfolding of the pieces. This may suggest an evolution in the composer's skills and style of composition. Finally, these three symphonic poems are evidence of how important late 19th-century German music was for Miguéz. In fact, so important as to not only influence his compositions but also to guide some of his activities as conductor and educator (for example, see Dudeque 2021a and b, and 2016).

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Uncovering the Stylistic Traits of Romantic Leopoldo Miguéz: An Analysis of his *Allegro Appassionato*

Desvendando os traços estilísticos do romântico Leopoldo Miguéz: uma análise estrutural de seu Allegro Appassionato

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Abstract: Leopoldo Miguéz (1850–1902) was a pioneer of absolute music in Brazil, composing the first Brazilian symphony, symphonic poem, violin sonata, and nocturne. Despite his prominent position in historical accounts of the late-nineteenth century in the country, his music has received little analytical attention to date due to its lack of Brazilian elements. Here I conduct an in-depth examination of Miguéz’s compositional practices and stylistic preferences through a detailed analysis of the thematic material, tonal relations, harmony, and form (Caplin 1998. Hepokoski; Darcy 2006. Hepokoski 2021) of one of his most popular piano works: *Allegro Appassionato* op. 11 (1883). Miguéz reached the peak of his national popularity during Brazil’s change of regime from monarchy to republic in 1889, and the resulting shift in musical aesthetic preferences from Italian opera and sacred genres to German instrumental music. While Wagner, Liszt, and *Zukunftsmusik* have long been known as influences on Miguéz’s compositional style, I suggest that Beethoven, Brahms, and the formalist-organicist tradition also permeate his works. The last part of this paper consists of a comparative analysis of analytical findings for the *Allegro Appassionato* and a group of parameters identified as potential markers of Miguéz’s compositional style: use of proto-themes, mediant regions, roving harmonies, smooth voice leading, and motivic economy.

Keywords: Leopoldo Miguéz. Brazilian Romanticism. German instrumental music. Formal and harmonic analysis. Stylistic characterization.

Resumo: Leopoldo Miguéz (1850–1902) foi um pioneiro da música absoluta no Brasil, sendo o primeiro compositor brasileiro a escrever uma sinfonia, um poema sinfônico, uma sonata para violino e piano e um noturno. Apesar de sua posição de destaque histórica no final do século dezenove no país, sua música recebeu pouca atenção analítica, possivelmente devido à falta de elementos típicos nacionais. Neste artigo conduzo um exame aprofundado das



práticas composicionais e preferências estilísticas de Miguéz através de uma análise detalhada do material temático, relações tonais, harmonia e forma (Caplin 1998. Hepokoski; Darcy 2006. Hepokoski 2021) de uma de suas populares obras para piano: *Allegro Appassionato* op. 11 (1883). Miguéz atingiu o auge de sua popularidade nacional durante a troca de regime da Monarquia para a República em 1889, que envolveu uma mudança de preferências estéticas musicais da ópera italiana e gêneros sacros para a música instrumental germânica. Embora Wagner, Liszt e a *Zukunftsmusik* sejam considerados influências no estilo composicional de Miguéz, sugiro que a tradição formalista-organicista de Beethoven e Brahms também permeiam suas obras. A última parte deste artigo consiste em uma análise comparativa entre os resultados da análise de *Allegro Appassionato* e um grupo de parâmetros previamente identificados como potenciais marcadores do estilo composicional de Miguéz: uso de proto-temas, regiões mediânticas, harmonias *roving*, condução de vozes econômica, e economia motívica.

Palavras-chave: Leopoldo Miguéz. Romantismo brasileiro. Música instrumental germânica. Análise formal e harmônica. Caracterização estilística.

* * *

Leopoldo Miguéz is a true representative of the short and often overlooked Brazilian Romantic period in music. This period occurred roughly between 1850–1910, and bridges the more frequently researched Colonial and Nationalist eras (Volpe 2001).¹ Lack of information from this period could suggest that musical production was negligible as the country changed from a monarchy to a republic in 1889, but this is far from the case. Romanticism set in motion some very important changes to art music in Brazil, shifting from reliance on Europe to achieving its own “musical voice.” Despite Miguéz’s prominent position in historical accounts, his music has received very little analytical attention both in Brazil and beyond, possibly because it is perceived as lacking “nationalist” characteristics while its Germanic influences are clear. Many scholars have classified Miguéz as a follower of Wagner and Liszt (for example, Kiefer 1982); I (2018) have found strong evidence that he followed the organicist-formalist tradition of Beethoven and Brahms. I aim to further explore that argument through an analysis of his piano piece *Allegro Appassionato*, op. 11. At the heart of

¹ The Colonial period is considered to be roughly between 1600–1820, having its apogee from 1750, and characterised by the music of Lobo de Mesquita (1746–1805) and Padre José Maurício (1767–1830). The nationalist music aesthetic never disappeared, but predominated roughly between 1910 and 1970.

this study lies my intention to better understand the compositional processes at work in this piece and in doing so, to show evidence of other possibilities for Miguéz's stylistic influences. A secondary intricately bound up goal is to see how the work does or does not adhere to the principles of the German music aesthetic.

As we begin this stylistic investigation, it is worth noting that the information of Miguéz's compositional training is sparse, provide little detail on how he acquired the skills to become a pioneer of “absolute” musical genres in Brazil, as I argue in this article. As will be discussed below, it can be explained at least partially by the political context of his times. Given the absence of models and a living tradition of Brazilian art music, it is impressive and surprising that Miguéz acquired the knowledge and mastery to create works which manage to be in accordance with romantic practice, while also considerably personal and even unconventional. The imperial court and the aristocracy had a taste for romanticism shaped by Italian aesthetics. The compositional practice of the second half of the nineteenth century reflects their high regard for opera. During this period, the most renowned Brazilian composer was Carlos Gomes (1836–1896), who studied and lived in Milan and wrote a number of successful operas (most with librettos in Italian) like *Il Guarany*, *Fosca*, and *Il Schiavo*. His international fame inspired a generation of new Brazilian opera composers. In this context, Miguéz's propensity for writing absolute, German-oriented music around the 1870s, at the beginning of his compositional career, was unusual. Yet, the proclamation of the republic, in 1889, was a turning point; the republican government's cultural project for modernization included abandoning the “decadent” and “outmoded” Italian aesthetic for the new airs of the *Zukunftsmusik* (music of the future). Thus, Miguéz became one of the most important composers of this new period.²

The Brazilian nationalist movement, predominant between roughly 1910 and 1970, was formed by composers such as Heitor Villa-Lobos (1887–1959), Lorenzo Fernandez (1897–1948), Francisco Mignone (1897–1986), Camargo Guarnieri (1907–1993), and César Guerra-Peixe (1915–1993), among others, and created a path to a new aesthetic era. Writer Mário de Andrade (1883–1945), the intellectual leader of the nationalists, promoted the idea that, for a Brazilian

² Due to Miguéz's Republican political stance, he was appointed the first director of the new National Institute of Music (currently the School of Music of Federal University of Rio de Janeiro), former Imperial Institute of Music.

composer, any music that did not have “typical” elements (especially including rhythmic figurations, but also modal melodic-harmonic construction, mood, and character) was not worth composing (or studying). This aesthetic (and political) reorientation was applied not only to the epoch in which it arose, but also retroactively, affecting the immediate past. For this reason, knowledge and appreciation of Miguéz’s music has been sparse even into the present day.

Yet, as Brazil constructed its voice and musical colors, it never renounced the exploration and absorption of compositional practices that originated overseas. The adoption of foreign musical aesthetics to elaborate on a national music idiom was the norm, according to Cayres de Mendonça (2008, p. 5). The disdain of the nationalist movement for Romantic national composers who used European musical aesthetics raised a barrier to fully understanding the country’s musical history.

1. Leopoldo Miguéz, German Influence, and the *Allegro Appassionato*

Miguéz’s European outlook may have come from living in Porto, Portugal as a young boy, though he was born in Niterói, a city close to Rio de Janeiro, in 1850. His full name was Leopoldo Américo Miguéz and, whilst staying in Porto, he had private lessons in violin with Nicolau Ribas and counterpoint and harmony with Giovanni Franchini, in the Italian tradition. He did not train at a conservatoire. His father insisted that he work in commerce, but his interest in music did not cease. When Miguéz returned to Brazil in 1871, he continued to invest in his musical skills, composing and studying scores while working for his father’s business.³ He was known for his diligence and aptitude, which led to his conducting debut in 1876, at the age of 26. Soon after that, in 1882, he conducted his Symphony in B-flat major before the Brazilian Emperor, Pedro II: certainly a privilege and an honor. Most likely as a result of this performance, Pedro II wrote a letter of introduction for Miguéz to the French composer Ambroise Thomas, director of the Paris Conservatoire, where Miguéz soon

³ His earliest known surviving work is an unpublished autographed manuscript dated November 17, 1867, when he was living in Portugal, which he labeled op. 19. It is stored in the Alberto Nepomuceno Music Library, Federal University of Rio de Janeiro.

traveled. During his stay in the French capital, Corrêa affirms that Miguéz contacted renowned composers such as Vincent D'Indy and César Franck (Corrêa 2005, p. 28).⁴ Miguéz remained in Europe for nine months.⁵ The experience made an impression on him. Upon his return to Rio, as a devout follower of the republican party, he helped organize various activities for the city's music scene, mostly associated with the so-called *Zukunftsmusik*. His late start as a full-time musician and early death may have prevented him from having a more prolific output, yet Miguéz wrote two symphonies, two operas, several orchestral pieces, three symphonic poems, along with several songs, chamber music, and works for piano solo.

Miguéz's work life was enhanced by the Brazilian political moment, which increased his popularity. On November 15, 1889, after 67 years of monarchy, Brazil became a republic. Just a week later, the new government announced a contest for a new national anthem. Miguéz won the contest, but there was public outcry against replacing the traditional Brazilian anthem (composed in 1881 by Joaquim Osório and Francisco Manuel da Silva). As a result, the traditional hymn, which is popular to this day, was kept, and Miguéz's composition was given the title *Anthem of the Republic*.

The same year, Miguéz was appointed the first director (and violin professor) of the National Institute of Music (*Instituto Nacional de Música*, INM). He revised its program and philosophy substantially. During the imperial years, the Institute had been primarily dedicated to training musicians to perform at theatres and churches. Miguéz promoted instrumental music, both chamber and symphonic, especially based on the German and French traditions (Magaldi 1994, p. 13–14). In 1895, he traveled to Europe again and visited sixteen conservatoires

⁴ No record of these supposed encounters can be found.

⁵ Although Gerard Béhague's article in *The New Grove* asserts that Miguéz traveled to Belgium in 1882, there is no known evidence of the trip. There is, however, a comment in the newspaper "A Gazeta Musical" about Ambroise Thomas' reaction to Miguéz's B minor symphony for four hands at the piano in Paris, as well as a number of French newspaper articles on the same symphony, which confirms his presence in the French capital. Miguéz conducted a concert at the *Novo Cassino Fluminense*, Rio de Janeiro, on the 10th of September 1882, so he must have traveled after this date. Concerning the return date, Béhague writes "upon his return to Rio in 1884." Yet, there are reports of him at Rio de Janeiro's premiere of Wagner's *Lohengrin* in September 1883, and he wrote a letter to Carlos de Mesquita from the Brazilian capital dated November 30, 1883, which leads us to believe that the dates in Corrêa's book are correct.

in four countries (France, Belgium, Germany, and Italy). His main purpose was to collect information for a detailed report for the educational authorities in Brazil, outlining a model for the Institute. In this report, Miguéz criticizes the Italian conservatoires for their lack of discipline and those in Paris for “promiscuity” between male and female students. He praised the German and Belgian schools for their “order and discipline, and rigor in the control of the school’s statistics” (Vermees 2004, p. 5).⁶ We may interpret this Italian/German pedagogical duality as it is reflected in the field of musical aesthetics. Specifically, the Italian school (linked to operatic production) was associated with the principles of the monarchy for Miguéz and the republicans, while the instrumental music of the German orientation expressed the new political ideals. The latter was the new European value in pedagogy that Miguéz aimed to implement.

Curiously, the profound francophilia that persisted in Brazil from the last quarter of the nineteenth century until the end of the 1910s mediated the preference for instrumental music, Germanism, and Wagnerism (which together represented the concept of the music of the future) (Andrade 2013, p. 111). Paradoxical though it may seem, a strong German influence (in music and other fields) arose in part of the French people after their humiliating defeat in the Franco-Prussian War of 1871. This influence emerged from profound introspection on the causes of the French loss at a time when France was the most powerful European nation, and a deep examination of conscience (Andrade 2013, p. 153–155). Some French analysts believed that the discipline, rigor, morality, determination, and education of the Germans as compared to the reputed decadence, immorality, and indiscipline of the French were decisive factors for the Prussian victory.

Richard Wagner was arguably the most important German musical influence on French musicians. He profoundly inspired both D’Indy and Franck. There is evidence to suggest that as a result of the months Miguéz’s spent in Paris in 1882–3, his compositions were influenced by these two composers. Thus, the germanization of French musical culture made an impact on his works. But there were also a vast number of musicians who wanted to separate French music from German influence (Strasse, 2001).

⁶ “da ordem e disciplina, e rigor no controle das estatísticas da escola” (Vermees 2004, p. 5).

As an alternative to Wagner, as passed through D'Indy and Franck as an important reference for Miguéz⁷ (and the Hungarian Franz Liszt is also frequently mentioned), I propose a new possible lineage for his style: the organicist-formalist tradition of German music exemplified by Beethoven and Brahms. This influence was common for nineteenth-century composers in Europe, but not for Brazil. Historical documentation does not lead to this conjecture, yet analytical observation does (Mayr 2018). Focusing on the compositional strategies adopted by Miguéz in the *Allegro Appassionato*, as a case study, reinforces this claim.

Miguéz composed the *Allegro Appassionato* op. 11 in 1883, shortly after his return from Europe. Structured as a sonata movement, the work reflects the musical changes of that era, exploring the sound of the piano during a time when domestic musical activity, *Hausmusik*, had increased. There was a surge in piano ownership, and a great demand for new music. The premier of the *Allegro Appassionato* took place at the Club Beethoven in 1885 with Miguéz's friend Arthur Napoleão at the piano. The proximity in time of the op. 11's composition date to that of the violin sonata op. 14 (1884) (Cayres de Mendonça 2014, p. 104)⁸ is especially relevant for a comparative examination of the constructive processes of these works and suits the objectives of this study. According to Cayres de Mendonça (2014, p. 46, 153), the *Allegro Appassionato* seems to be influenced by Mendelssohn and Schumann, and is one of the few works by Miguéz that requires virtuoso, *bravura* techniques in impassioned passages, contrasting with calm, lyrical sections throughout. However, the formal structure Miguéz uses resembles that of the Beethoven tradition.

⁷ See for example Neves (1981, p. 18), and especially Norton Dudeque, who analyzes the symphonic poem *Prométhée* composed by Miguéz in 1899, comparing it to the symphonic poem of the same title by Liszt, written in 1850 (Dudeque 2014, p. 1–8). In his study, Dudeque points out several similarities in structure, compositional procedures, and harmonic/thematic construction in the two pieces, suggesting an influential relationship that may be more than purely aesthetic, involving also harmony, form, and thematic structure.

⁸ The opus numbering does not follow a regular order. As mentioned by Cayres de Mendonça, there are several inconsistencies in this aspect of Miguéz's *oeuvre*.

2. Formal Analysis of Romantic Music

Brazilian musicologists⁹ have long maintained that the music of certain European Romantic composers, especially Liszt and Wagner, motivated Miguéz's compositional style.¹⁰ I (2018) argue that Beethoven and, notably, Brahms are also models for him, and not only aesthetically. Several characteristic constructive aspects reinforce this claim, such as a preference for traditionally classical formal structures (especially sonata, but also scherzo and rondo, among other types), tonal plans encompassing remote regions connected by intense chromaticism and privileging mediant relations, and economic elaborations of motivic-thematic material including the use of developing variation.

According to Hepokoski and Darcy, Classical formal theory is relevant when analysing music of the late nineteenth century. As they affirm,

the *Elements of Sonata Theory* [...] provides a foundation for considering works from the decades to come – late Beethoven, Schubert, Weber, Mendelssohn, Schumann, Liszt, Brahms, Bruckner, Strauss, Mahler, the 'nationalist composers', and so on. [...] [the late-eighteenth-century] sonata norms remained in place as regulative ideas throughout the nineteenth century" (Hepokoski; Darcy 2006, p. vii).

This is further reinforced by Hepokoski (2021, xiii), "Sonata Theory's principles for the high-classical and early-romantic eras are extendable, albeit with appropriate modifications and nuances [...] to later composers."

This provides a solid basis for analysing Miguéz's compositions using new-*Formenlehre* ideas as lens. Rather than having an organic and solid adherence to the normative characteristics of a classical formal practice, Miguéz's compositions introduce, with sophistication and originality, "deformations" in the formal and tonal structures, a characteristic trait of Romantic practice. Janet Schmalfeldt, author of *In the Process of Becoming*, also endorses the analytical methods used in the eighteenth-century repertoire for examining Romantic works, as long as they are filtered through a "deformational" perspective. For her, "Classical formal functions and theme types continue to thrive in music of the Romantic generation" (Schmalfeldt 2011, p. 17). Thus, it is worth noting that Miguéz, a pioneer of absolute music in Brazil, could assimilate and adapt the

⁹ See, for example, Kiefer (1982), Volpe (2001), Andrade (2013), and Dudeque (2014).

¹⁰ For more on this, see Vidal (2012) and Avvad (2009).

principle of deformation even without the exposure to it that contemporary European composers had.

Steven Vande Moortele warns that specific tools are needed to properly address Romantic music. Commenting on Schmalfeldt's book, he states that she "has analysed Romantic music in Classical terms," and adds "but at the same time, things of course happen in Romantic music which are unheard of in Classical music. And unless one develops a theory of early nineteenth-century music, the only way to account for those is by understanding them as deformations of Classical norms" (Vande Moortele 2013, p. 408).

When Schmalfeldt analyses of Chopin's A-minor Mazurka, Op. 17 No. 4, and compares it with her earlier analysis of the Mazurka in F minor, Op. 6 No. 1, Vande Moortele comments

The tacit methodological shift behind this is quite fundamental: Chopin's own oeuvre, not the Classical repertoire, becomes the primary context within which to interpret one of his works; the dialogue is no longer (or not only) between a nineteenth-century piece and a Classical norm, but (also) between a nineteenth-century work and a nineteenth-century norm (Vande Moortele 2013, p. 412).

The present article aims, at a certain level, to contribute to this theoretical discussion, since the analytical results suggest that Miguéz, despite making the *Allegro Appassionato* formal-tonal plan adhere to the Classical norm (in Vande Moortele's terms), also introduced personal (even idiosyncratic) elements, following the practice of Romantic European composers. These procedures, classified generically by Hepokoski and Darcy as "deformations", can be seen as a basis for the establishment of specific and solid Romantic norms, a theory still in formation. In this sense, the most recent book by Hepokoski (2021, chapter 12) proposes the use of new *Formenlehre* in the music of the nineteenth century, extending the authors' arguments mentioned above, and supporting the theoretical-methodological framework adopted in this study.¹¹

Hepokoski is careful in endorsing the use of Sonata Theory (Hepokoski; Darcy 2006) complemented by Caplin's form functional theory and Schmalfeldt's process theory. I particularly agree with this view and use it as basis for my analysis (without straying from Vande Moortele's main arguments). Further, as

¹¹ For other examples of studies of nineteenth-century works that have adopted these tools see Horton 2017, Schmalfeldt 2011, and Monahan 2011.

the frontiers of this “disputed territory” are not yet precisely and formally delimited, I think that the most adequate analytical approach for the *Allegro Appassionato* is to combine both views (i.e., considering classical and romantic perspectives), highlighting and commenting on the “traditional” and “innovative” aspects when necessary. With this in mind, I also present in the end, a dialogue of the compositional procedures employed in Miguéz; the *Allegro Appassionato* op. 11 and three other compositions. In this case, the Romantic oeuvre will dialogue with the Romantic norms of other works by the same composer.

3. Analysis of the *Allegro Appassionato*, Op. 11

Structured as a unique sonata-form movement of 174 measures, the *Allegro Appassionato* is in the key of A minor. The analysis of the piece considers interactions between thematic structure, form, harmony, and tonal organization. According to Hepokoski (2021, 2) “Sonata Theory’s core concept is that of dialogic form.” By using it in the analyses here, Miguéz comes “into a dialogue with the contextually relevant, normative expectations of a once-in-place, taken-for-granted genre.” In the analysis, we “reanimate this implicit dialogue” (Hepokoski and Darcy 2006, p. 605) telling the work’s story as a singular sample of the genre. The sonata form should not be seen as a set of rules that restricts the composer, but as “freedom, with some limits, to alter individual aspects” (Hepokoski 2021, p. 4). So, we embark on a “musically narrative journey.”

This study considers as comparative parameters five compositional procedures that I have identified in a previous analysis of Miguéz’s violin sonata, op. 14 (2018). I will consider these as candidates for compositional characteristics of Miguéz’s personal style, or his stylistic tendencies. They are, namely, the use of proto-themes, mediant regions, connections between remote tonal regions through roving harmonies, smooth voice leading, and motivic economy.¹² In section 4, a brief comparison takes place and finding these parameters in the *Allegro Appassionato* will further endorse them as characteristics of Miguéz’s style.

¹² These will be explained later in the study.

I will consider the thematic material and the harmonic formal process as “two equal partners working together, thereby generating a synoptic view of a piece’s structure: its ‘real form’” (Hepokoski 2021, p. 14).

3.1 Thematic Structure

The most distinctive aspect of the motivic-thematic organization of the *Allegro Appassionato* is the treatment of the main theme. A kind of provisional thematic structure, that I will call a *proto-theme*,¹³ precedes its entrance.¹⁴ This is an incomplete and unstable version of the main theme of a piece or movement, whose entrance it prepares for a number of measures.¹⁵ Due to its “embryonic” nature, the proto-theme normally fails in its successive attempts to establish itself as an autonomous idea, which may eventually result in brief digressions toward related tonal regions and avoidance of proper closure. Eventually, a more expressive, stable, and complex¹⁶ theme almost naturally replaces the proto-theme. As well as preparing the definitive arrival of the main thematic idea, proto-themes introduce essential motives that will be elaborated throughout the piece. Miguéz’s use of proto-themes can be associated with the notion of “thematic becoming,” proposed by Janet Schmalfeldt (2011) in her processual approach to musical form explaining a distinctive trait of Romantic music. As the author explains, “the expression ‘introduction becomes main theme’: rather than favouring the notion of a main theme as the final verdict, [it] suggests that what has become preserves our memory of the original conflict” (Schmalfeldt 2011, p. 50). This definition nearly describes the function of a proto-theme.¹⁷

¹³ Labeled as “embryonic theme” in Mayr 2018.

¹⁴ An alternative interpretation would be to consider mm. 1–12 as P and mm. 13–37 as TR.

¹⁵ Here I do not mean an “incomplete and unstable” theme in its structure, but from a broader perspective, as a musical idea. In this sense, P^{1.1} seems in my interpretation to be “realizing” the implications present in the proto-theme, becoming more “centrifugal” and connecting with TR.

¹⁶ Evidently, this adjective can be associated with several attributes, for instance, thematic structure (e.g., tight-knit x loose), harmony, melodic contour, rhythmic configuration, etc. In the present case, the complexity of P^{1.1} lies mainly in its centrifugal tendency, when compared with the more centripetal P^{1.0}.

¹⁷ Another way to approach this is as a reverse Schoenbergian liquidation, a consolidation process.

The twelve-bar proto-theme of the *Allegro Appassionato* shows these characteristics (Ex. 1). For a formal, analytical designation, let us label it P^{1.0}, adopting Hepokoski and Darcy's terminology.¹⁸ Miguéz builds it using sequential treatment such as mm. 1–2 sequenced in mm. 3–4 and m. 5 in the following 6 measures, with harmonic variety maintaining interest. Proto-theme P^{1.0} has a simple structure based on two asymmetrical segments, whose characteristics can be described as follows:

- Segment 1 (mm. 1–5): An inflection toward the subdominant (as if preparing for a more consistent tonicization to take place in the main theme) follows the introduction of the basic motive *x* (located at the weak beats of measures 1 and 3). A broken-chord melodic profile initially animates the characteristic rhythmic configuration of *x*.¹⁹ Harmonically, the unusual presence of a German-sixth chord in the first bar draws some attention;²⁰
- Segments 2 and 3 (mm. 5–8 and 9–12): Motive *x*, assuming a distinct melodic contour (ascending leap followed by a descending step), is relocated from the weak to the strong metric position. It recurs more frequently, appearing in all of the following measures except the last.²¹ In the harmonic domain, the alternation of a diminished-seventh with D in the bass and the return of the German sixth in mm. 5–8 seems to prepare a premature cadence. However, a return of the diminished sonority

¹⁸ Although the notion of proto-theme does not exactly match the concept of “introductory modules” as defined in Hepokoski and Darcy's sonata theory, the functional similarity of the structures justifies the use of the label (2006, 86). According to the original convention, the zero in the superscript of “P^{1.0}” indicates that the proto-theme does not close with a cadence, “suggesting its function as a more “necessary” preparation for the particular P^{1.1} that follows it.” Hepokoski (2021, p. 182–184) uses P⁰ for the introductory theme of Schubert's Quartet in D minor since its function is more introductory than “becoming” and has a close supported by a fermata in m. 14. However, similar to the *Allegro Appassionato*, the P^{1.1} initiates a “more forward-driving vector.”

¹⁹ The melodic transformations of motive *x* involving both the proto- and main theme will be examined below.

²⁰ The appearance of this chord at such an early moment (and its recurrence throughout the piece) certainly exemplifies a “deformative” preference in Miguéz's treatment of harmony.

²¹ The eighth-note figure that follows *x* will become motive *y* in the main theme.

follows the German sixth, this time represented by the chromatic sequence $G^{o7}-G\#^{o7}$ over a pedal on A, avoiding closure.

segment 1

a : i Ger_6 vii^{o4}_3 V/iv iv Np_6 Ger_6 V^o_4 ii

segment 2

motive x is dislocated
← and becomes more frequent

vii^{o4}_3 VI Ger_6 vii^{o4}_3 VI Ger_6

segment 3

V^9_7/iv vii^{o7}_1

Example 1: Miguéz's *Allegro Appassionato* op. 11, reduction (mm. 1–12): Proto-theme $P^{1.0}$ subdivided into three segments (basic motive x is highlighted)

Ex. 2 depicts the main theme (labeled $P^{1.1}$). It begins at m. 13, and the stability it brings is emphasized through repetition in m. 14, as the left-hand starts playing an arpeggiated accompaniment. A point of interest in this passage is the impression of metrical displacement it creates through a restatement of motive y at the second quarter-note span of m. 15 and 18 where motive x was expected. It is in m. 22 that $P^{1.1}$ ends and the transition (TR) begins, so we can say that section

P merges with TR, a relatively common situation (Hepokoski and Darcy 2006, p. 95), or the main theme becomes transition in accordance with Schmalfeldt. This strategy favors a continued elaboration of the pair of motives x and y .

P^{1.1} Compound Presentation = c.b.i. + c.b.i.

a : $i \quad vii^\circ \quad i \quad vii^\circ \quad i \quad vii^\circ \quad IV \quad (= Np_6) \quad vii^{o4}_3$

d : $(= i) \quad vii^\circ \quad i \quad vii^\circ \quad i \quad VI_6$

=> TR

a : $i \quad Np \quad vii^\circ \quad i$

C : $(= vi) \quad vii^{4/3}_3/V \quad V_6 \quad V_2/IV \quad IV_6 \quad V^{8/6}_4 \quad V^{7/5}_3 \quad I$

C : $I \quad V \quad I \quad vii/V \quad I \quad vii/V \quad I \quad vii/V \quad V^{8/6}_4 \quad V^{7/5}_3 \quad I$

PAC

Example 2: Miguéz's *Allegro Appassionato* op. 11, reduction (mm. 13–33): Theme P^{1.1} and part of TR

Ex. 3 provides a simple analysis of the two metamorphoses that motive x undergoes in P^{1.0} before reaching its definitive configuration at the head of the main theme. In its first manifestation (m. 1), x is located at the second quarter-note span of the bar. Observe how contrary-motion semitones, before and after, link the extremities of the motive, denoting: B_3 –[C_4 – A_3 – A_4]– $G\#_4$. A sort of permutation of this collection takes place in segment 2 (m. 5): A_4 –[$G\#_4$ – C_5 – B_4]. Moreover, as mentioned, this transformed version of the motive (labeled x_1) is relocated to the strong beat in m. 5, where a rhythmic idea foreshadowing motive

y follows it. With the entry of theme $P^{1.1}$ (m. 13), motive *x* returns to the original, weaker metrical position and assumes its definitive scalar melodic profile. The contour of *x* has gradually “compressed” during $P^{1.0}$.

The image displays three musical staves illustrating the transformations of a motive *x*.
 - The first staff (m. 1) shows the original motive *x* in a treble clef. It consists of a sequence of notes with intervals of -3 and +12 indicated below. A bracket above the notes is labeled *x*.
 - The second staff (m. 5) shows a transformation of the motive, labeled *x*₁. The interval between the first two notes is +4. A bracket above the notes is labeled *y* (?).
 - The third staff (m. 13) shows the original motive *x* again. A bracket above the notes is labeled *y*.
 Dashed arrows indicate the relationships: one arrow points from the -3 interval in m. 1 to the +4 interval in m. 5, and another arrow points from the +12 interval in m. 1 to the *y* interval in m. 13. A large 'X' is drawn over the arrows between m. 5 and m. 13, suggesting a comparison or contrast between the transformed and original motives.

Example 3: Transformations of motive *x*

3.2 Formal Structure

The *Allegro Appassionato* is structured as a sonata-form movement. Tab. 1 presents the basic layout of the piece. The work’s structure corresponds to the scheme of Hepokoski and Darcy’s Type-3 sonata. Three rotations of thematic material form this type, matching the traditional section labels of exposition, development, and recapitulation. Disregarding the expected differences in tonal organization (examined below), the expositional and recapitulatory blocks of Miguéz’s piece are almost identical in their material (considering both main and subsidiary melodic lines, as well as textural organization and accompaniment) as seen in the score.²²

²² The scores of both the *Allegro Appassionato* and the violin sonata are available on the IMSLP homepage (see References for details).

Basic sections	Bar numbers	Rhetorical elements
EXPOSITION	1–12	P ^{1.0}
	13–21	P ^{1.1}
	22–37	TR
	37–49	S ^{1.1}
	49–60	S ^{1.2}
	61–65	S ^C
DEVELOPMENT	66–74	Core
	75–83	"false-recapitulation effect"
	84–87	RT
RECAPITULATION	88–99	P ^{1.0}
	100–108	P ^{1.1}
	109–119	TR
	120–132	S ^{1.1}
	132–143	S ^{1.2}
	144–148	S ^C
CODA	149–161	Subsection 1
	162–174	Subsection 2

Table 1: Basic formal organization of Miguéz's *Allegro Appassionato* op. 11²³

The tonal plan of the *Allegro Appassionato* is imaginative and relatively complex. For a clearer analysis, I have subdivided the work according to the three main sonata sections, or, as Hepokoski (2021) names them, broad action zones: exposition, development, and recapitulation.

Fig. 1 presents a graphical representation of the tonal relations in the exposition. In this scheme, letters inside squares denote the formal sections, whereas letters inside rectangles denote the keys, with capital letters representing major keys, and lowercase letters minor keys. The vertical positions of the rectangles in the diagram represent the order of first appearance of each key. The passage of time is shown in the horizontal dimension, divided according to the most important formal designations.

²³ The rhetorical elements present in Table 1 are labeled according to terminology and symbology proposed by Hepokoski and Darcy (2006).

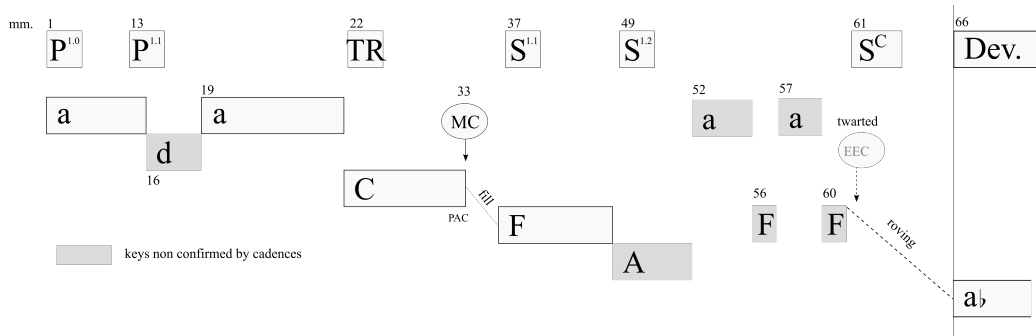


Figure 1: Graphical representation of formal-tonal correlations in the exposition of *Allegro Appassionato* (mm. 1–65)

The primary theme zone or P section is basically in the key of A minor. It touches upon D minor for three measures in mm. 16–18, but it moves back to A minor, via a Neapolitan sixth chord, staying in A minor until the start of the transition at m. 22.

P^{1.1}, a nine-measure-long structure, can be viewed as a compound presentation = c.b.i. + c.b.i. (in Caplin’s terminology). As shown in Ex. 4, the first compound basic idea (mm. 13–15), comprises the basic idea in its “tonic form” (accompanied by a tonic pedal) followed by a compressed contrasting idea. The second compound basic idea (from m. 16 to the first beat of m. 22) begins in the corresponding “subdominant form” (instead of the more common “dominant form”), with the basic idea tonicizing D minor. Here, the contrasting idea is two measures long, when at m. 18, a first-inversion B_b major triad (VI in D minor) brings the tonic bank as its Neapolitan sixth. This is followed by a two-measure extension that leads to the end of P^{1.1} on the first beat of m. 22.²⁴

P^{1.1} Compound Presentation = c.b.i. + c.b.i. **TR**

Compound basic idea (3 - compressed) Compound basic idea (6 - compressed)

b.i. c.i. (compressed) b.i. c.i. c.i. (extension)

a: i vii^{o7} i vii^{o7} i vii^{o4} iv (= Np₆) — vii^{o4} i Np₆ — vii^{o4} i₆

d: (= i) vii^{o7} i vii^{o7} i VI₆

Example 4: Miguéz's *Allegro Appassionato* op. 11, reduction (mm. 13–21): The structure of theme P^{1.1}

²⁴ I am grateful to Gabriel Navia for suggesting this perspective.

In fact, at m. 22, P^{1.1} as a compound presentation *becomes* (\Rightarrow) TR as a dissolving continuation, in accordance with Schmalfeldt's terminology (2011).²⁵ This interpretation is based on the rhythmic-melodic acceleration and the process of fragmentation introduced from m. 22 on as well as the lack of a cadence to mark the boundary between P and TR. Reinterpreting retrospectively, P^{1.1} *becomes* TR as part of one large module.

Again, sequence treatment is seen in m. 22 and m. 23. The first half of the passage (mm. 22–25) ends on a largely expanded cadential 6/4 C-major triad that suggests the approach of a cadence. A point of closure with a clearly articulated PAC takes place at m. 33 (rather than the 1st-level default HC MC), where the medial caesura occurs, “a breath-like break,” which is then followed by a caesura-fill in mm. 33–37. This type of medial caesura is one of the Romantic aspects of Miguéz's piece, where the most common tonal destination in a minor-mode sonata exposition is the major mediant (III). However, this is not the goal, since Miguéz surprisingly uses the caesura-fill to modulate to F major (the submediant region), the key in which the S module takes place, after the MC articulation in a normative key.²⁶ In retrospect, C major as I in m. 33 could be understood as V of the key of F.

Ex. 5 presents an analysis of the entire S module. After 12 measures in F major as S^{1.1}, the second part of the S module, S^{1.2}, goes to the major home key of the piece, A major, at m. 49, led by a melodic reference to motive x. By m. 52, through the typical effect of “lights-out” (according to Hepokopski and Darcy's terminology) A minor is inferred, forming a passage that seems to have the function of closing the section (this passage is labelled “continuation” in Ex. 5). This return of the tonic at the end of the S area is a somewhat rare event. This “reference to the main tonic [...] within the context of secondary key” is seen by Burstein (2002, p. 69) as creating “a dream like impression” of memory. One eventually expects the phrase to end with a PAC, to drive towards a cadential close back to F major in m. 61, but the cadence is thwarted, eliding with a varied repetition of the previous passage. The new bid for closure in F is then prepared,

²⁵ Like the “dissolving continuation” in Mozart's sonata K. 545.

²⁶ For the use of similar strategies in the music of Schubert, MC preferences in minor-mode works and tonal choices for the secondary theme zone, see Navia 2016, p. 52–66. See also Darcy 2007, p. 256–277, considering deformations in Bruckner's sonatas.

suggesting that the expected EEC will finally take place. However, it is replaced by the tonally unstable, bridge-like passage (shown in Ex. 6). I interpret this passage as S^c , which, according to Hepokoski and Darcy (2006, p. 190–191) is an “apparent C-zone in the absence of an EEC [...] when S breaks down without producing a PAC [...] followed by decisive, contrasting, potential ‘C-like’ theme [bestriding] both the S- and C-concept.” They more precisely define S^c as “an S-theme [...] in the style of a pre-planned C-theme.”

S 1.1

Presentation
 basic idea (tonic form) dominant form (fill) Continuation

F : I IV₄⁶ iii V₃/V V⁴ IV V/vi consecutive dominants V₃/ii V₂/V₃ V V iii IV V I pedal on F

S 1.2

(varied repetition of mm. 37-41) (varied repetition of mm. 37-41, transposed M3 higher)

basic idea with motive x repetition ("lights off") new idea

F : IV V⁷ I V/V I₄⁶ IV V/vi pedal on F pedal on A

A : I ii V⁹ I

a : ii^o V^{b9} V^{b9}/iv vii^{o4}₃

S^C

closing segment (varied repetition of mm. 53-56)

reiteration reiteration + closure

F : V⁴⁻³₇ (conclusion frustrated) V⁴⁻³₇ (conclusion frustrated) roving

a : V^{b9}/iv vii^{o4}₃ V^{b9}/iv vii^{o4}₃ V^{b9}/iv vii^{o4}₃ V^{b9}/iv vii^{o4}₃ V^{b9}/iv vii^{o4}₃

Example 5: *Allegro Appassionato*, mm. 38–60 (reduction)

end of S^{1.2} S^c

pedal on $\hat{5}$ 3

F/f : V_7^4 — 3

? : C[°]7 B7 B[°]7 B \flat 7

E \flat (?) : V^7

Development

63 7 8^{vb} etc.

E \flat : V_5^6 7 ? V^7

a \flat : V^7/V i_3^4 — 2

Example 6: *Allegro Appassionato*, mm. 60–66 (reduction)

The normative 19th-century sonata-form cadential practice contrasts with Miguéz's treatment of the main structural cadences of the piece, which he evades. As explained by Hepokoski and Darcy (2006, p. 117, 232), the *essential expositional closure* (EEC) and the *essential structural closure* (ESC) articulate the boundaries of the secondary and conclusive sections of a sonata form (p. 117). While the EEC's main function is to confirm the secondary key as a new tonal pole, the ESC is responsible for resolving the "structural dissonance" (Rosen 1998), bringing the long-expected gravitational confirmation of the tonic near the end of the movement. Miguéz subverts these elements in this piece which suggests a conscious strategy. In fact, he uses *roving-harmony* progressions to replace the expected structural cadences at the end of the S module, in the exposition, as seen here, and also in the recapitulation. Roving harmonies (a term coined by

Schoenberg) are (normally short) harmonic passages formed by a sequence of *vagrant chords* (i.e., chords of multiple meanings, like symmetrical or ambiguous structures), in which any tonal determination becomes fruitless, or at least highly uncertain, as in the present case.²⁷ This suggests that Miguéz intended to provide smooth connections between the two instances of the secondary theme S^{1.2} and their respective subsequent sections (development and coda), probably motivated by a compositional intention to blur formal boundaries.²⁸ There is no EEC – nor ESC – in the piece, forming what Hepokoski and Darcy refer to as “failed exposition.” Ex. 6 shows the organization of the exposition-development connection (mm. 60–66), which departs from the use of modal-mixture between the keys of F major and F minor, and reaches the very remote key of A-flat minor (the region of flat-minor tonic) after the roving progression.

The development section has a tripartite internal organization: core, “false-recapitulation” effect, and retransition. The core (mm. 66–74) works with material from the S^c section.²⁹ It uses sequences mm. 66–67, rises by a semitone in mm. 68–69, and then by another semitone in mm. 69–70, this time with variation. The “false-recapitulation effect” (mm. 75–83)³⁰ (Hepokoski; Darcy 2006, p. 226–228) elaborates material from the proto-theme P^{1.0}, while new material makes up the retransition (mm. 84–87), harmonically anchored by a firm dominant preparation, as expected. Notice the use of the model from mm. 75–76, sequenced up a fourth in mm. 77–78, and m. 79 up a tone in m. 80, and up another tone in m. 81. The second half of m. 81 is then liquidated in mm. 82–83, going into the retransition with both hands playing in sixteenths. In terms of the tonal structure, the same key that ends the exposition (A-flat minor) is harmonically present as a chord in the launch of the development (Fig. 2), followed by two sequentially ascending chromatic modulations to A minor and B-flat minor.³¹ The core closes

²⁷ For more information on this concept, see Schoenberg 1969, p. 156–167.

²⁸ Under a strict point of view, neither passage could not be classified as “conclusive sections,” since they act as transitions. Hepokoski and Darcy recognize that, in some cases, the conclusive section is absent.

²⁹ An alternative interpretation is to consider the S^c as a pre-core.

³⁰ This could also be interpreted as a new core.

³¹ Actually, the perception of the three keys is in some way weakened, not only by the brevity of their durations, but also by the fact that the respective tonics are displayed in second inversion.

with a chain of roving chords. The “false-recapitulation effect” section, entirely based on P^{1.0}, coincides with a return to A-flat minor, after which a modulation to D-flat minor takes place, roughly reproducing the tonal scheme of the beginning of the exposition, a semitone lower. Instead of the expected return to the initial harmonic level, however, a new roving passage appears, leading to a diminished-seventh chord built over a G[#] bass (see details in Ex. 7), which substitutes for the V of the home key, properly initiating the retransition with a normative dominant preparation to the recapitulatory section.

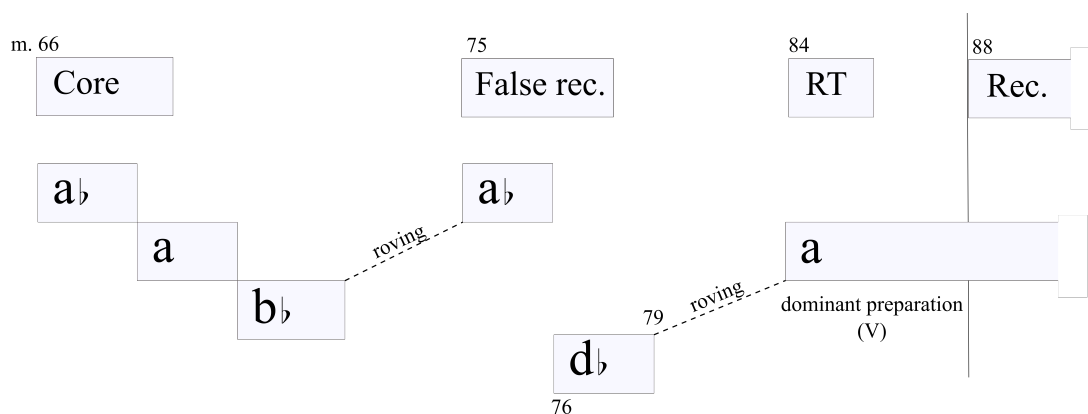


Figure 2: Graphical representation of formal-tonal correlations in the development of *Allegro Appassionato* (mm. 66–87)

The musical notation shows the piano accompaniment for measures 81–84. The right hand (RH) features a melodic line with chromatic movement, and the left hand (LH) features a series of diminished-seventh chords. The chords are labeled as follows:

?: C[#]7/G[#] E[#]°7 E°7 G°7 F[#]°7 A°7 G[#]°7

roving harmonies

etc.

Example 7: *Allegro Appassionato*, mm. 81–84 (reduction)

Miguéz connects these remote keys using diminished-seventh chords, resulting in an intensely chromatic passage.

The recapitulation of the P area (encompassing P^{1.0} and P^{1.1}) reproduces the exposition almost exactly apart from a few superficial reformulations concerning chordal inversions and textural treatment (see Fig. 3).³² The beginning of the transition brings the first surprise: a roving passage formed by a sequence of dominant-seventh and diminished-seventh chords leads to E major (corresponding to C major in the exposition). However, this time a MC does not take place, since a pedal on B is kept from m. 113 until the end of the section.

The difference between the medial caesuras of the exposition and the recapitulation is quite striking and should be looked at in greater detail. The equivalent occurrence of the medial caesura in the recapitulation is at m. 119, but it is approached quite differently from the exposition. Comparing the two occurrences, the music in mm. 26 – 33 is mostly transposed a major third up in mm. 112 – 119, except that where there is a resolution to a root-position C major chord in m. 33, the harmony remains on a second-inversion E major chord in m. 119, with no true resolution. The first half of m. 120 in the recapitulation – ½ of a measure – substitutes for what was m. 34 – the first half of m. 37 in the exposition (3 ½ measures).

From a large-scale perspective, the key of E major that ends the transition functions as a high-level dominant preparation for the goal of the whole passage: the normative major tonic, A, starting the S zone, which proceeds similarly as in the exposition, transposed a major third higher. Also, as previously noted, the structural cadence (ESC in this case) is evaded, replaced by a roving bridge. What originally functioned as a blurring of the boundary between exposition and development, now introduces the coda.³³ This begins as a dominant preparation in the tonic region, giving the impression that the final cadence is approaching. However, a new roving progression emerges, leading surprisingly to B minor, a key that has not appeared before. Subsequently, a progression of chromatic harmonies brings the tonic back, followed by the cadential passage that closes the piece.

³² As a matter of fact, a new 2-bar thematic introduction at mm. 98-99, formed by an arpeggiated A-minor triad is inserted between the end of the proto-theme and P^{1.1}.

³³ The coda is almost entirely P^{1.1}-based, a procedure considered as normative by Hepokoski and Darcy.

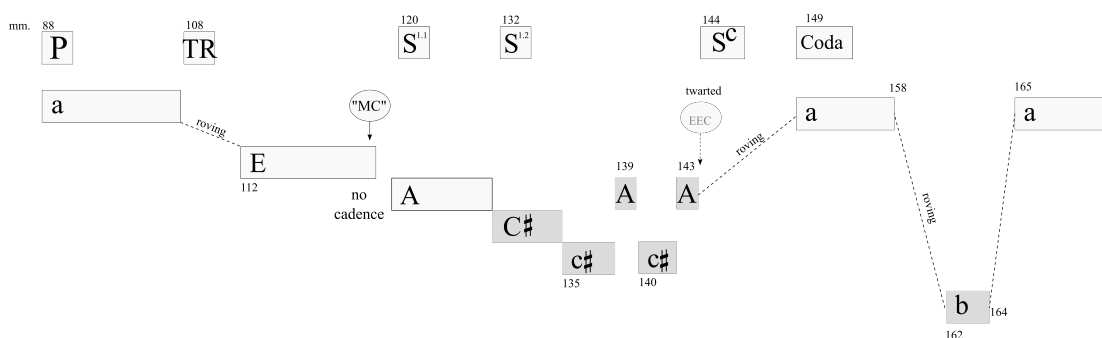


Figure 3: Network diagram of tonal relations in the recapitulation of *Allegro Appassionato*

Ex. 8 illustrates the chromatic paths that Miguéz employed to connect A minor and B minor, and then back to the tonic. Interestingly, in both connective passages he explores non-normative resolutions of German sixth chords, as referring to the events of the initial bars (see Ex. 1). Voice-leading graphs are added beneath the reductions, in order to evidence the smooth melodic linkages, predominantly chromatic and in contrary motion.³⁴

(a)

158

a: III₄⁵₄ (?) vii₅⁶₅

d: Ger.₆ V₄⁶ Ger.₆ IV⁷ (?)

b: Ger.₆ V₄⁶

(non-normative resolution)

D

C

B

B_♭

A

G_♯

F

F_♯

C

B

B_♭

A

G_♯

G

F_♯

Example 8a: *Allegro Appassionato* (harmonic reduction and voice-leading graph): modulation A minor—B minor (mm. 158–162)

³⁴ These graphs, originally conceived by Carlos Almada, aim to map the relative motions of the chordal voices acting on an abstract pitch space. The width of the rectangles is proportional to the duration of the respective note. For the sake of visual clarity, the rectangles are alternatively colored as grey and white and the exact vertical distances between the voices are not considered.

(b)

162

b: V_4 $Ger.6$ $IV_5^{6\#} (?)$

a: $V_5^{6\#}$ i

F# F E D C B A G# G F#

Example 8b: *Allegro Appassionato* (harmonic reduction and voice-leading graph): modulation B minor–A minor (mm. 162–163)

One impressive aspect of the piece’s tonal plan is the number of different keys employed: twelve, as shown in Fig. 4.

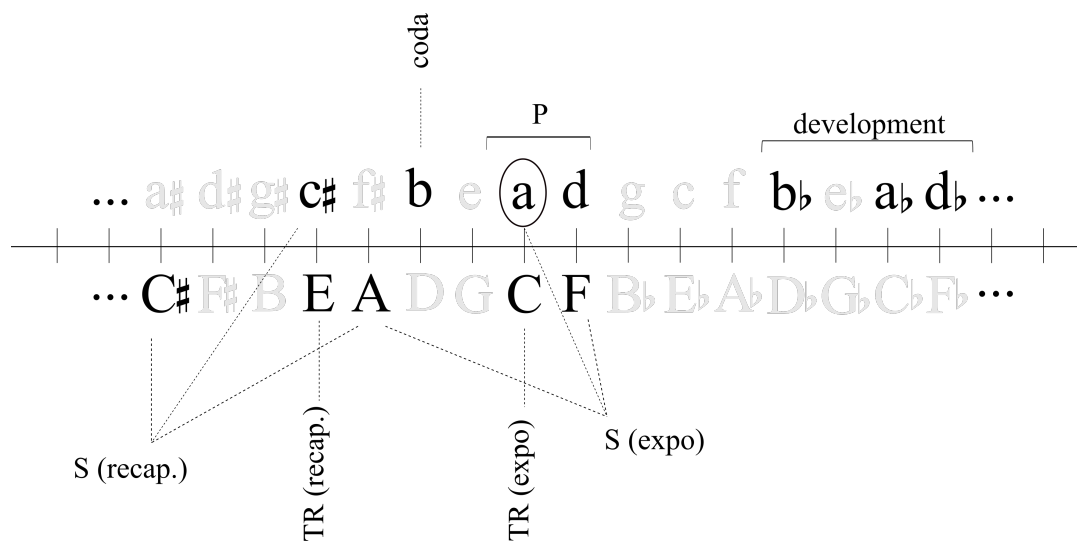


Figure 4: Distribution in the circle-of-fifths of keys in the two halves of *Allegro Appassionato*

Another remarkable feature revealed in the tonal analysis of this piece is the role that mediant relations play. Fig. 5 shows a graphic scheme demonstrating third-based relations between the *tonic-complex* (i.e., the combination of A minor and A major into a referential unity) and important keys that make up the tonal plan of the piece. The Neo-Riemannian R (Relative), L (Leading-Tone Exchange), and LP (composition of L and Parallel) model some of the main tonal relations in the exposition and recapitulation. Interestingly, mediant linkages are not present in the development.

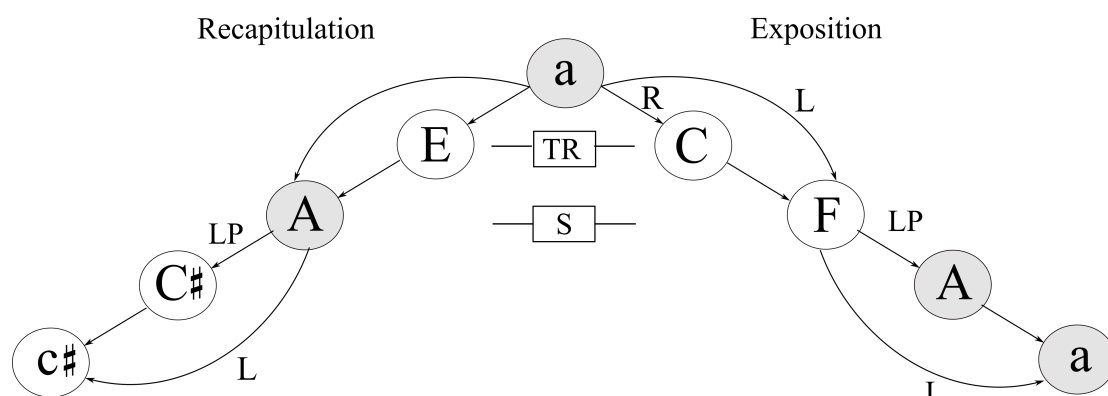


Figure 5: Mediant relations between the tonic complex and main keys in *Allegro Appassionato* considering the main sections of the Exposition (right) and Recapitulation (left)

The use of sonata form implies that Miguéz was engaged with the expectations of the genre, but also with realizing his own ability in applying it. His work is in dialogue with pre-existing works in the sonata form that had established and then digressed from the norms; they opened the way for him to elaborate and create his own compositional “voice.” Conscious of all the possibilities that the genre provides, Miguéz (like any composer) changed the conventions and found his own way of telling the story, which listeners can hear and interpret.

4. Toward a Stylistic Characterization

Considering a group of works by Miguéz, including *Allegro Appassionato*,³⁵ it is possible to list some most salient features of his compositional style, in order to define the characteristic traits of his music:

1. *Proto-theme*: As in the *Allegro Appassionato*, an unstable version or proto-theme prepares the entrance of the main theme in the first movement of the violin sonata, op. 14. The proto-theme in op. 14 is longer (34 measures) and more structurally complex (a compound period) than in op. 11. A simpler and shorter proto-theme is also present in the Nocturne op. 10. In spite of differences, these proto-themes have essentially similar structural functions in their respective contexts. Namely, they serve as an “embryonic” version of the main idea, gradually preparing its entrance, and to introduce the basic motivic ideas of the piece.
2. *Mediant regions*: Third-based relations (both diatonic and chromatic) play a meaningful role in the tonal structure of the four works;
3. *Roving harmonies*: Many of the modulations in elaborative passages in the violin sonata are accomplished through imaginative explorations of the inherent ambiguity of certain harmonic structures (especially diminished-seventh and German-sixth chords), as it was also seen in the *Allegro Appassionato*. Roving harmonies connecting relatively remote regions in transitional passages are also present in the two nocturnes. This characteristic element is intrinsically associated with the next;
4. *Smooth voice leading*: The chords that form roving passages seem to result from a basic need for highly economical voice leading (frequently chromatic and in contrary motion), rather than functional considerations.
5. *Motivic economy*: A special aspect of Miguéz’s violin sonata is its organic thematic construction, reflecting the use of derivative techniques (eventually associated with the Schoenbergian principle of developing variation) applied to a group of elements that form the

³⁵ These pieces are the violin sonata op. 14 (1884) and the piano nocturnes op. 10 (1883-4), and op. 20/1 (1892-4).

Grundgestalt of the piece (another concept introduced by Schoenberg). Although less exuberant, motivic derivation and transformation are also present in the *Allegro Appassionato* and in the nocturnes (perhaps because of their relatively shortness, compared to the sonata), suggesting that economy of material could be a compositional concern for Miguéz.

This list may be used as a starting point for further investigation. Clearly it is far from definitive, but it gives us some information on Miguéz's stylistic tendencies.

5. Concluding Remarks

This article offers a detailed investigation of the compositional practices found in Leopoldo Miguéz's piano piece *Allegro Appassionato*. The findings contribute to a large-scale, systematic mapping of his style, detecting structural procedures and preferences in some of his works. With this paper, I suggest that comparative analyses can be used effectively to confirm or refute potential characteristics of Miguéz's compositional style. In addition, this paper extends the use of new *Formenlehre* tools to analyze music from a native Brazilian composer, fostering diversity and inclusion in the field.

As evidenced throughout this study, Miguéz demonstrates a remarkably solid knowledge of sonata construction, tempered by decisive personal interventions (such as his sophisticated tonal plan), at a time when his Brazilian contemporaries would have been steeped in opera rather than "absolute" music. At the same time, the manner in which he balanced normative procedures and idiosyncratic, imaginative "deformations" indicates his alignment with Romantic compositional practices.

These findings are important considering the almost complete lack of information about Miguéz's compositional training and the absence of a formalist tradition in Brazil or national models that could have inspired him. He was not in dialogue with local musical traditions in the particular genre that he could easily embody and extend. In light of this fact, his acquisition of compositional skills and, especially, his resourcefulness in the creative use of the

sonata form as well as the clever manner in which he defied its norms is quite surprising. Miguéz's personal strategies and ingenious solutions are remarkable and original achievements, suggesting that further, deeper investigation into his music will be particularly fruitful.

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Purifying Through Failure, Uniting Through Defeat: Schnittke's Sonata Forms and Their Apocalyptic Structural Logic

Purificando através do fracasso, unindo através da derrota: As formas de sonata de Schnittke e a sua lógica estrutural apocalíptica

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Abstract: In this article, we suggest that Schnittke creates imaginative paraphrases of sonata form which are concealed in the whole movements of his works and are supported by a network of reversals. By codifying common threads of thematic, functional, gestural, and developmental logics, in combination with theories which concern the sonata-tonality duet as well as the ideological reflections of pivotal patterns of modern western culture, we argue that the composer, driven by a fierce desire towards wholeness, creates a structural edifice which negates itself through an ambiguous language “where nothing is as it seems”. We use four case studies to suggest that, beyond Schnittke’s inherently representative aspects, imprints of ambiguity, stress, and failure are totally absorbed by the material, the processes, and structure themselves. Extreme heterogeneities provoke the sustainability of the sonata’s limits, setting crucial questions about preservation, renewal, continuity, and belonging. By discerning a thorough exploitation of the sonata’s two-and-three dimensional aspects as well as its narrative and dramatic potential, we support that the composer outlines a “reversed success-story” moving from Enlightenment’s drama to cultural trauma. The internalized ideological discontinuities and the violent externalizing of his predecessors’ techniques, filtered by Adorno’s musical aesthetics and the composer’s inner imperatives, reveal gaps that nurture cultural and ontological anxiety, alluding both to late capitalism’s and the Soviet regime’s antinomies. Following a path of agony, where “consonance is tested through increasing dissonance,” the ideological disillusionment gets inscribed on the sonata’s narrative and constitutional framework, where failure is sovereign in different levels, offering hermeneutic, ontological reflections as well as prophetic problematizations about the futural sounding world.

Keywords: Alfred Schnittke. Sonata Form. Theodor Adorno. Idea of Progress. Failure.



Resumo: Neste artigo sugerimos que Schnittke cria paráfrases imaginativas da forma sonata que são disfarçadas ao longo dos movimentos de suas obras e são apoiadas por uma rede de reversões. Através da codificação de linhas comuns de lógica temática, funcional, gestual e de desenvolvimento, em combinação com teorias sobre o par sonata-tonalidade, bem como sobre os reflexos ideológicos de padrões pivotais da cultura ocidental moderna, argumentamos que o compositor, impulsionado por um forte desejo de integralidade, cria um edifício estrutural que se nega através de uma linguagem ambígua, “onde nada é como parece ser”. Utilizamos quatro estudos de caso para sugerir que, para além dos aspectos intrinsecamente representativos de Schnittke, impressões de ambiguidade, *stress* e fracasso são totalmente absorvidas pelo material, pelos processos e pela própria estrutura. As heterogeneidades extremas geram a sustentação dos limites da sonata, estabelecendo questões cruciais sobre preservação, renovação, continuidade, e pertencimento. Ao discernir uma exploração minuciosa dos aspectos bidimensional e tridimensional da sonata, bem como de sua narrativa e potencial dramático, defendemos que o compositor esboça uma “história de sucesso invertida”, passando do drama do Iluminismo para o trauma cultural. As discontinuidades ideológicas internalizadas e a violenta externalização das técnicas dos seus antecessores, filtradas pela estética musical de Adorno e pelos imperativos interiores do compositor, revelam lacunas que alimentam a ansiedade cultural e ontológica, aludindo tanto às antinomias do capitalismo tardio como às do regime soviético. Seguindo um caminho de agonia, onde “a consonância é testada através de dissonâncias crescentes”, a desilusão ideológica fica inscrita na narrativa e na moldura constitutiva da sonata, onde o fracasso é soberano em diferentes níveis, oferecendo reflexões hermenêuticas, ontológicas, bem como problemáticas proféticas sobre o mundo sonoro do futuro.

Palavras-chave: Alfred Schnittke. Forma Sonata. Theodor Adorno. Ideia de Progresso. Fracasso.

* * *

In this article, we suggest that Schnittke creates similar formal frameworks which embrace and control the unfolding of each work. These often produce rephrased sonata types which are narratively and structurally supported by a broad network of reversions. We intend to show how, through the total substitution of a sonata’s thematic material, developmental techniques, and gestures, the composer structures a process of controlled disaster with identical characteristics. At the same time, it is argued that Schnittke creates new types of thematicism and functionality which substitute and renew the oppositional relationships of tonality. It is supported that, through thorough substitution, Schnittke creates a structural edifice which ultimately betrays itself, concluding in an apocalyptic (in Adorno’s sense) failure. Fueled by the composer’s expressionistic need of testing wholeness as meaning, validity, and truth, an unbreakable bond of material, process, form, and extra-musical dimensions leads

to an organic entity, and gradually assumes the qualities of a personal language which exists in an intermediate space 'where nothing is as it seems' We argue that the formation of reversed sonata types is fundamental to this language's transparent organization.

We focus on Schnittke's solo *concerti* from the third violin concerto (1978) onwards. Exceptionally, the beginnings of our conceptualization lie on the Concerto for Piano and Strings (1979). This continuous single-movement work follows a sonata form where Schnittke's "sonata logic" is explicitly outlined for the first—and last—time. From this work on the sonata's sections remain segmented and hidden within each work's particular movements. Features of sonata feeding both two- and three-dimensional aspects can be detected both macroscopically and microscopically, and are justified by such elements as: the sharing of the same main material, the adherence to stable developmental practices and models, the conjunction of ternary structure to acme shapes with analogous overall symmetries in combination with transitional and climaxing points in a continuous course of dramatic force.

Aiming to depict the ways that the composer exploits and apocalyptically reverses the sonata form, we combine theories on sonata form and tonality with a consideration of the ways that sociopolitical Western ideological patterns get absorbed by the structural logic and musical material, which are then eventually filtered by Adorno's musical aesthetics. To do so, we use four solo concertos as case studies where the internalized ideological discontinuities and the violent externalizing of his predecessors' techniques reveal gaps that express cultural stagnation and nurture ontological anxiety, fitting to bourgeois antinomies, communist regimes' disillusionment as well as to forthcoming worldly sonority. Failure is fostered in different compositional levels, acquiring additional contemporary hermeneutic reflections and ontological extensions within a dynamic course where the sonata's dramatic potential, according to Rosen, is fueled. A "reversed success-story" is constructed, turning from Enlightenment's drama to cultural trauma, which ends up elevated to an ontological mystical one, creating new states of purification.

To arrive at our conclusion, we present one by one the movements of Schnittke's works in correspondence to sonata sections and endeavor the codification of common, processes and techniques.

1. First Movements

The first movements function as a relatively short introduction and provide an effective re-engagement with traditional thematic material and tonality. Below, we discuss new types of thematicism and functionality which allow the first movements to act analogically to a sonata's exposition and fuel the compositional plot.

a. New Types of Thematicism

In Schnittke's first movements, a large spectrum of thematic structures is detected. Here we focus on the prevalent role of motif in Schnittke's work as we trace a common logic which often connects diverse thematic schemas. We suggest that he not only builds his thematic formations on combinations or enclosure of motivic cells, but he also chooses to confine themes themselves in the abbreviated form of motif. In those cases, the traditional thematic material is manipulated in two main complementary ways: it is linked to allusions or other types of musical borrowing and is generally reduced to minimal motivic formations, whose thematic function is reinforced by the implementation of common supportive means. Through a network of "complementary treatments" that submit to the main presuppositions of thematicism, motif is converted to "a complete, autonomous and recognizable entity that stands out from the compositional context, able to consist the main building-material for compositional structure and elaboration" (Zervos 1994, p. 57).¹ These treatments are related to the strong bond established between thematic-motifs and orchestration, texture, and dynamics. Such simple means partially derive from the composer's conception of the inherent symbolism of sound itself: "This symbolism is predetermined by the character of the sound. For example, a loud, harsh, sound is a natural elemental phenomenon, something that evokes fear and alarm [...] the same applies to another kind of sound that turns you on [...] or calms you down" (Schnittke 2002, p. 10). Furthermore, the occasional identification of thematic-motifs with monograms integrates their autonomy

¹ A theme in tonal music is understood as a "single melodic-rhythmic-harmonic unity", forming a self-sufficient and recognizable musical entity, which provides the main building material of each composition (Zervos, 1994, p. 57–58).

through the force of symbolism, while their incorporation in raw-series facilitates their developmental suitability.

Their identification as stylistic allusions and conventions plays a key role to the motifs' thematicisation. This practice is reinforced by the unique features of musical borrowing from contemporary sound material, of which Schnittke is fully aware, something which can be seen in his theoretical work as well. In his essay "The third movement of Berio's *Sinfonia*: Stylistic counterpoint, thematic and formal unity in context of polystylistics, broadening the concept of thematicism", he remarks on the unprecedented potential of contemporary musical material to convey "an intonational block with an enormous range of emotional, stylistic, and historical associations" (Schnittke 2002, p. 216). For Schnittke, the Adornian concept of the "socially saturated material" (Padisson 1993, p. 93; Tsetsos 2012, p. 208) obtains extra qualities: The uprising sonic situation supersedes the "sedimentation of history", imprinted in musical material, and saturates it by novel types of techno-cultural-media sedimentations, characterized by new attributes such as brevity, ephemerality, sound-image-topos-senses relations etc. For Schnittke, the above activates the ability of awakening a vast variety of associations with instantaneous emotional accessibility, rendering types of borrowing adequate to support new forms of thematicism.

Schnittke's observation coincides with the phenomenon of "historical awareness of music", a term coined by Zofia Lissa in the same period of time (1973) (Lissa 1973, p. 18). It is connected to the emerging commercialized world of media and information, where a co-existing space of unending musical/cultural sounds of many origins and genres is being shaped. According to Lissa, thorough cultures are restricted to the form of information modules, functioning as codes of "manifold stereotypes": elemental music-stimuli capable of eliciting the listeners' automatic associative reflexes, by alluding to an unprecedented plethora of sources (epochs, places, situations, cultures, advertisements, images, etc.)

Schnittke thoroughly exploits these new qualities of the contemporary raw sound material, that allows the thematic shortening to motivic cells. Within them, their referential aspects and influential effects remain active. In this way he achieves maximum impact by implementing an extreme economy of means. This choice strengthens further his indispensable principles of economy and

organicism (Peterson 2002, p. 43) serving the merging and transformation of thematic-motifs' in the sections to follow. The confinement of a theme's referential capacity in the elementary and abstract formation of motif, results in a paradox: through abstraction, its generalization's ability and, consequently, its referential range, are increased. This solution neutralizes and purifies Schnittke's sources, which seem to occupy an intermediate space between plagiarism and authenticity. For example, the first theme of the Concerto for Piano and Strings (1979) (Ex. 1) consists of a twelve-tone row based on four triadic chords (Storch 2011, p. 53), which appear separated by pauses. The row itself becomes totally veiled by its intrinsic triadic arrangement (recalling a tonal landscape). At the same time, the general character of the triadic chords along with their serial treatment prevents from any narrow sense of "borrowing". Through such paradoxical means, Schnittke rests between "musical purity" and his own memory-scape.²



Example 1: Twelve-tone row based on triadic chords: G–Eb–C–Gb–Cb–F–D–A–Ab–Db–E–B), Concerto for Piano and Strings (1979)

In the choice itself of reducing thematic material into motivic cells a series of hermeneutics may be established. The under-fed themes bear an aspect of mourning: an ambivalent state between the desire and the inability to speak. Given the connection between the structure of language and the perception of the world, the inability to speak a (musical) language in Schnittke becomes an inability to communicate in a broad sense, thus raising issues of faith. Since "memorizing does not guarantee understanding" (Meyer 1994, p. 303) and since memory has been extensively linked to the constitution of self (Steinhauer 2021, p. 1), the reduction of allusive material to the bare bones of its referential ability

² This approach seems to be inspired by Alban Berg. It has been argued that Berg incorporated thirds within his rows, as he wished to embrace beloved musical kinds of his surroundings such as popular and film music (see Pople 1994, p. 79; and Bruhn 2016, p. 9). As we see below, Schnittke also adopts a Bergian logic concerning the motivic development.

not only puts forward issues of originality, historical continuity, as well as of linguistic egalitarianism and deconstruction, but mirrors an increasingly spread out, nonspiritual reality and alludes to the lacanian issue of homogenized identities.

Such a thematic treatment resembles to sketches on silence, indicating an effort to re-activate it in the form of a zero-point and of re-starting a quest for faith, through sonata's propulsive nature. The first theme of the Viola Concerto (1985) constitutes an example of that. Comprising eight bars, it is divided in two parts: mm. 1–4 include two intervals (a ninth and a seventh) and mm. 5–8 a downward semitone movement. The intervallic simplicity highlights the gestural, primordial, element of sound, which supports symbolic dimensions (Ex. 2) and deepens the starting point of the work.

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Example 2: First eight-bar theme, shaped by two characteristic motivic formations, Viola Concerto (1985) (mm. 1–8)

b. New Types of Functionality

The aforementioned thematicism is based on new types of contrast that provide novel types of functional interactions. Instead of harmonic areas, stylistic areas, made by allusions to multiple musical kinds as well as to idioms connected with different historical phases of Western classical music, are engaged. These produce stylistic conflictive relations which enhance the preservation of dissonance/consonance attributes of traditional tonality, and elevate harmonic dissonance to stylistic dissonance.

The origins of this practice are traced to the basic idea of his work *Quasi Una Sonata* (1968), which has been extensively discussed and analyzed (see Rice 1989; Cholopova 2002; Westwood 2002; Smirnov2002; and Fitzpatrick 2016). Grounded in Webern's conceptualization of sonata as the interaction between the rigid (fest) and the flexible (locker) Schnittke introduces two stylistic allusions, one of tonality (flexible) and one of atonality (rigid) to engage an antagonistic debate, appearing in the form of two single chords in-between of stretched pauses. These different idioms act as contrastive worlds fighting for domination, an aspect that supports their role as the main and the secondary key of a sonata's exposition. According to Schnittke himself,

We know that Webern understood the basic principle of sonata form as contrast between Strict and Free (fest und Locker). I thought that such contrast might also be possible between the Atonal and Tonal or Tonal and Serial [...]. I tried it out and seemed to me that a certain condition of music history was restated on a new level. (Perhaps the opposition of two styles can be experienced in a similar way to the interaction of two themes in a sonata form) (Fanning, 2006, p. 3).

The replacement of thematic/harmonic areas with motivic/stylistic ones will henceforth be central to the composer's logic. Through it, he will enrich and renew the notion of hierarchical interrelationships and restore functionality in a contemporary manner. In later phases, Schnittke arranges heterogeneous thematic material in a less conflicting manner. However he preserves the sense of instability which enhances the promotion of the work towards a 'solution'.

Silence plays an unusual role in backing functionality. Pauses which intervene between thematic-motivic elements offer important solutions, through their utter simplicity alone. Pauses encourage thematic-motivic discrimination and memorizing, a crucial precondition of thematicism. Furthermore, they prevent from a quasi-collage, paratactic display of the thematic-motifs. The composer activates pauses' "silent quality" and utilizes them as a reminder of an eternal inaudible field of sounds.³ Its presence adds a further mystical element of dubiety, which expands the sense of non-stability and reinforces functionality's main attribute in the exposition: the creation of a situation of instability and conflict. Thus, silence reinforces the creation of a "living space" around thematic-

³ The application of this kind of pause is characteristic of works such as the Violin Concerto No. 4, the Viola Concerto, and the Concerto for Piano and Strings.

motifs, substituting the notion of a “harmonic area” which correlates rather suggestively with their functional dimension. Long pauses contribute to the perception of the composition as an “eternally pre-existing territory”, in which pluralistic fragments arrive, claiming a (thematic) role, offering rich hermeneutic potential.

In the fourth violin concerto (Ex. 3), the first thematic motif, which derives from the monogram of the violinist Gidon Kremer (G–C–D–E), appears within a silent atmosphere and is completed amid pauses. The orchestration, the brevity of this thematic motif, and its nature as a monogram enhance its function as a birth of a sonic entity amid silence. This effect is also intense in the Viola Concerto discussed above (see Ex. 2). The beginning of this concerto can be associated to Peer Gynt's Prologue “into the world” (1987) (Weitzeman 1994, p. 13) as both works open with the succession of the same intervals: a ninth and a seventh. This treatment provides spatial, symbolic, and ontological effects. The octave seems to act as a sort of equilibrium which is undermined both by the desire to outstrip it (ninth) and the impotence to reach it (seventh). We suggest that the silent surroundings and the musical utterance amid pauses reinforce the sense of something that is both felt and known and at the same time remains unattainable. This connects with the “mystical element” which, according to Wittgenstein, is “the sense of the world as a confined whole” (Wittgenstein 1978, p. 130).

Example 3: First thematic motive, based on the monogram of Gidon Kremer's name, appears in between of pauses, Violin Concerto No. 4 (1984)/I (mm. 1–6)

Thus, despite the pluralistic referential effect, the choice of economic devices not only highlights a preference towards suggestiveness and abstraction, which give space to spirituality. This treatment of suggestive substitutions achieves the preservation of sonata form's dynamics. To quote Adorno's remark: “Composers now work in terms of ‘areas’, instead of themes and thematic

complexes [...]. the sonata and even more importantly the spirit of the sonata, has been exhausted” (Adorno apud Westwood 2002, p. 47). We support that Schnittke activates the fundamental elements of the thematic and functional attributes of the sonata form in order to preserve exactly its “spirit”, that allows the future to speak through the past and vice versa: The “spirit” infuses soul to the fragmentary sound reality, gives structure to discordant sounds and remobilizes meaning. Finally, we suggest that this spiritual, yet tangible and strict compositional mentality goes beyond the representative polyglots and calls for a broadening of polystylistics’ perception while it seems supportive to the recently coined term of metastylitics which reflects soviet metaspirtuality and postmodernity (Medic 2017, p. 322).

2. Intermediate Movements

Schnittke’s intermediate movement(s) corresponds to an extensive elaborative area identified with the development section of the discussed works. The introduced material is manipulated through certain procedures with similar characteristics, position, and role within the whole structure. Instead of a propulsive procedure towards stability (such as the return to the dominant key in the recapitulation), Schnittke’s developmental area corresponds to a series of elaborative disintegrational processes, chaotic climaxing procedures in conjunction with diverse reflections through stylistic changes. This deepening sequence of dissolution and decolorization, was initially codified by Alexander Ivashkin as “negative development”. Ivashkin connects this treatment with Shostakovich’s patterns, and interprets it as alignment to the principle of variation instead of alignment to the large-scale sectional logic which derives from traditional tonality. “Syntax is more and more eroded by morphology, by withdrawal into the depths of material itself, by the search of different point of views upon it-as it is used to be in the old variation form” (Ivashkin 1995, p. 265).

Ivashkin’s term encodes a large spectrum of erosional and exhausting manipulations. We explore this term by supporting that negative development draws further aspects of motivic manipulation and types of substitutional practices that owe their logic to two separate models of compositional thinking,

deriving from two composers that Schnittke recognized as his predecessors: Dmitri Shostakovich and Alban Berg.

Schnittke seems to follow Shostakovich's footsteps by adopting elements of his developmental technique and bringing them to the fore of his own music, making them more visible and intense. According to Yuriy Kholopov, Shostakovich often thoroughly exhausts the material's transformational possibilities in the exposition of his symphonic works. Subsequently, he seeks and develops "new effective means of contrast, an even higher form of dissonance" (Kholopov 1995, p. 69). By citing Shostakovich's Symphony no. 5 (1937) as an example, Kholopov continues:

Shostakovich's new solution as 20th-century composer consists of finding new effective means of contrast, an even higher order of dissonance. In the development section he now starts to place contrasted sound-layers one on top of another. The unity of the harmony in the vertical dimension is broken. The layers of Polyharmony dissonantly contradict one another, as if voices somehow are not listening to one another; in some places they even try to out-shout one another to see who can make the most noise. In places it becomes impossible to sense any tonality whatsoever. Supercharging the discordant mass of sound leads to a huge "proclamation" at the beginning of the recapitulation, where uncoordinated shouting lines suddenly merge into mighty unison (Kholopov 1995, p. 70).

This treatment is clearly discerned in many of Schnittke's compositions. The stratification of diverse repetitive patterns, in ostinato form, undertaken by specific instrumental groups that increasingly create a "supercharged mass" which results in catastrophic entropy or unison, is one of the main ways he organizes his material (compare Exs. 4 and 5).

Shostakovich's tradition is decisively merged with Berg's motivic elaborative processes, characterizing his total work since "Five Altenberg songs" (1912) admittedly revealing an ambiguous mentality which urged him to incorporating contrastive trends (Pople 1997, p. 23). In this piece (see Ex. 6), Berg creates a specific effect of "mixed sound without mixing" (Adorno 1968, p 66), realized through the repetitive quasi-ostinato treatment of elementary cells, which becomes horizontally punctuated in the form of gradually added parallel vocal lines. Each ostinato-motivic line is linked to a special orchestral group and sound-color, becoming discernible and less integrative. Berg's model is quite evident in Schnittke's practices, shaping the micro-scale of his own corrosive motivic treatments.

a tempo con tutta forza

Picc.
Fl.
Ob.
Cl. picc.
Cl.
Fag.
C-fag.
Cor.
Tr-be
Tr-ni e Tuba
Timp.
T-tam
Sil.
Archi

253 DSCH

Example 4: Shostakovich, Symphony No. 5/I (mm. 253-256)

Example 5: Violin Concerto No. 4/III (1984) (mm. 298–302)

Berg's technique, following "a predetermined tendency towards disintegration which extends to orchestration" (Adorno 1994, p. 66) in combination with Shostakovich's "deaf voices", acquires a renewed developmental force with extra-musical dimensions. In fact, the deaf parallel and repetitive vocal/motivic stratification is incarnated both in Berg's exceptionally elaborative, elusive, and less pictorial manners and in "Shostakovichian grandiose logic" constituting a common developmental logic. Schnittke detects this fundamental logic between the two composers, incorporating them combinatorially in his own work. In the second movement of the composer's third violin concerto, this logic is reinforced by techniques which intensify the chaotic sense (Ex. 7). At the same time, in the third and the fourth violin concertos, the merging of "deaf voices" into unison takes place.

6

(15) $\left(\frac{4}{8} = \frac{2}{4}\right)$ poco rit. rit. molto rit.

Kl. Fl. Flattage

1. Fl. Flattage

2. Fl. Flattage

1. 2. Ob. Flattage

3. Ob. Flattage

1. Fl. (in B) Flattage

2. Fl. (in B) Flattage

3. Fl. (in B) Flattage

Bkl. (in B) Flattage

1. Fl. Flattage

2. Fl. Flattage

1. Hr. (in F) Flattage

2. Hr. (in F) Flattage

3. 4. Hr. (in F) Flattage

1. Trp. (in F) Flattage

2. Trp. (in F) Flattage

3. Trp. (in F) Flattage

Glsp. Flattage

Xpl. Flattage

Beck. Flattage

Trg. Flattage

Cel. Flattage

Hrc. Flattage

Klav. Flattage

Ges. Flattage

(3. Ped.) (beide [und 3.] Pedale)

(15) $\left(\frac{4}{8} = \frac{2}{4}\right)$ poco rit. rit. molto rit.

VI. I div. trem. gliss. A-Salte trem. gliss.

VI. II trem. gliss. D-Salte

Br. (pizz) (poco dim)

Vcl. gliss.

Kb. div. mf cresc.

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Example 6: Disintegrative ostinato-like motivic lines in Alban Berg's *Five Orchestral Songs after Postcards* by Peter Altenberg, Op. 4 (1912) (mm. 15–16)

Example 7: Incoherent repetitive motivic lines, Violin Concerto No. 3/II (mm. 160–166)

We support that Schnittke maximizes the techniques of Shostakovich and Berg, in four main ways:

1. He links motivic cells not only to specific instruments but also to certain stylistic references.⁴
2. He applies an extremely expended *divisi*, resulting in his characteristically dense “Schnittkean Stretto” (Taruskin 2005, p. 418).
3. He uses indeterminate repetition (Stone 1980, p. 133) to magnify the chaotic and absurd effect.
4. He applies steadily a collapse-gesture, functioning as the peak of the previous chaotic treatments and as an end of a development section, which leads either to generalized orchestral unison, after both Berg’s and Shostakovich’s paradigm, or a cluster.

⁴ Alban Berg also uses allusive stylistic elements seamlessly in such works as the Violin Concerto (1935) and the Three pieces for orchestra (1913–1915). For example, Antony Pople has characterized the second movement of his Violin Concerto as a “Valse Pastiche” (Pople 1994, p. 54).

Along with these four practices, an additional developmental practice frequently completes the composer's developmental techniques, which we codify as "Polystylistic variations". These appear as a sequence of stylistic areas, in which the thematic material is reflected through various prisms. "Polystylistic variations" function as a necessary ingredient to bring about a completed material's wandering, deepening, and deconstruction. Following "dreamy-converting procedures" (Schnittke 1994, p. 96), stylistic areas substitute the harmonic areas and modify the main structural divisions of the section, they highlight the narrative approach of the sonata as an adventure, and offer modernization as well as immediate representational effects.

The image displays a musical score for Example 8, consisting of two systems of staves. The first system begins at measure 34 and includes a boxed measure 19. The instruments are Piano (Pf. s.), Violin I (VI. I), Violin II (VI. II), and Cello/Double Bass (Cb. s.). The piano part features a melodic line with a *p sub. molto rubato* marking. The string parts are marked with *sul pont.* and *pp*. The second system continues the piano and string parts. The score is identified as H.S. 1879.

Example 8: "Jazz variation" based on the intervals of Bach's monogram, Concerto for Piano and Strings (1979) (mm.188-191)

This process is observed in overtly pluralistic as well as tonal-elusive works such as the Concerto for Piano and Strings (1979), Violin Concerto no. 4 (1984), or Viola Concerto (1985). In these works, the pre-described models of motivic decomposition and vocal stratification fall short of exhausting the developmental potential of the material. Stylistic territories are thus shaped, in which the material is imposed to a spiral process of stylistic deformation and metamorphosis,⁵ which allude to romantic developmental models as well as Russian variation (Zajaczowski 1987, p. 138). For example, in the Concerto for Piano and Strings, the main thematic material is mirrored through a series of stylistic areas, ranging from atonal, to valse and jazz sections. In the “jazz variation” (Ex. 8), orchestration, rhythmic, and melodic features, such as the use of Bach's monogram (BACH) are adapted to a jazz-like idiom and reflect the thematic material from a different point of view.

When the variation process within a stylistic section is completed, the composition proceeds either to a new stylistic area, to a new development section, or to a “collapse gesture”. Therefore, we discern a typical developmental sequence: Episode (stylistic area) – Erosion (bridge) – New episode (new stylistic area).

In such practices as “polystylistic variations” and motivic/vocal disintegrational networks, a potentially endless deepening into heterogeneous compositional elements, a quest for a common essence between uncommon elements is identified, realized in analyzable compositional techniques.

In summary, the dominant elements which support the intermediate-development section of Schnittke's works can be codified as follows:

1. motivic deconstructive processes;
2. linear (motivic/vocal) augmenting stratification;
3. “polystylistic variations”;
4. collapse-gestures.

⁵ “Spiral” is a term used by Schnittke himself in 1988 to describe a branch of his compositional approaches. (Makeleva; Zyppin1994, p. 23).

Collapse-Gesture as Culmination and Transitional Point

Collapse is a common gesture that holds a fixed position in Schnittke's works. Through its repetitive appearance it acquires a representative dimension and meaning.⁶ It is connected to the end of the intermediate-development section and consists of the negative culmination of the disintegrational processes which precede it. Representing a climax of "maximum estrangement", a collapse reconfigures the sonata's acme shape in an expressionistic and catastrophic way. It reveals itself as a giant mass, a chaotic gesture shaped by repetitive elementary motivic cells, highlighted by a controlled indetermined notation. Simultaneously, huge crescendo, *divisi*, and *stretti* expanded to each instrument of the orchestra are utilized to achieve an effect of complete incoherence.

Despite its catastrophic sound effect, collapse bears aspects of redemption. As examined at the end of this article, this "explosion" resides between catastrophe and relief and serves as an important point of transition. As collapse

⁶ To codify meaning, we choose four different approaches which may function complementarily to each other. Firstly, we engage with Leonard Meyer's definition of style as a "system of probabilities". Probability is identified with the "expected" and, by default, with "normality" (Meyer 1994, p. 6). According to Meyer, (embodied) meaning arises through the appearance of unexpected musical stimuli within certain "systems of probability". These "improbable" stimuli awake reflexes towards new directions and at the same time they highlight the "probability system" as a recognizable context and as "normality". Secondly, we adopt the approaches of musicologists such as Charles Rosen, Christopher Ballantine, Peter Burkholder, and Robert P. Morgan (Morgan 1978, p. 78), who have dealt with the inherent extra-musical dimensions of borrowed material. Here, meaning is formed through the referential character of musical borrowing itself. This, in combination with the ways of the borrowed material's incorporation, shape the symbolic (Rosen 1980, p. 93) or the dialectic field (Ballantine 1979, 168) of the work. Thirdly, we embrace the notion of meaning, as it is reflected on the surficial and linear narrative dimension, mainly based on the sequential organization and the musical facts' unfolding. Theorists such as Lawrence Kramer and Susan McClary observe that, through the repetitive use of similar processes, forms of meaning become stabilized which are supported by the fact that key metanarratives of western mentality are perpetuated in the abstract musical form (McClary 1995). Finally, we use Adorno's notion about meaning in music, which arises through repetitive use, historical progress, and social saturation of material which is imprinted in form. Meaning, is exceptionally connected to "authenticity". It is identified with dimensions of dissonance which reveal social antinomies and seal the form in ways which reflect "the crisis of meaning" (Padisson 2006, p. 200; Adorno 1970, p. 264–265).

Concerning Schnittke's works, meaning results from a constellation of 1) the unexpected aspect which provokingly tests "systematic normality", 2) the extra-musical aspects of borrowed material, 3) the aspects of material's "social saturation" and "dissonant form", 4) these function supplementarily to each other and, when poured to the eloquent narrative sequence of sonata-form types, reveal dimensions of anxiety about music history culture and self.

crashes, it allows space for an enigmatic recapitulation, where the thematic material gets reconsidered under ambiguous prisms in-between massive defeat and unification. An instance of Schnittke's collapse gesture is found in his Concerto for Piano and Strings (Ex. 9).

The image shows two pages of a musical score, measures 64 and 65. The score is for a Concerto for Piano and Strings. The piano part is on the top staff, and the string parts are grouped below. The score shows a complex, dense texture with many notes and rests. The piano part has a wavy line above it, and the string parts have various markings like 'gliss.' and 'rit.'

Example 9: Collapse gesture in the Concerto for Piano and Strings (1979) (mm. 351–354)

3. Last Movements or “Lingering” in the Shade of Failure

In the last movements of Schnittke's works, the main thematic-motivic material reappears in its initial keys, often in a sequence similar to the expositional first movement,⁷ completing a cyclical course. Totally affected by the preceding development section, the thematic material reappears annihilated, bearing the marks of its previous adventures, and acquires the quality of sonata

⁷ Less frequently, extra elements are added, such as choral (third violin concerto and second violoncello concerto) or monograms (fourth violin concerto) as thematic episodes. At the same time, certain characteristic gestures, or fragments of motifs from the intermediate sections may appear in weakened forms of remembrance.

form's recapitulation. This exhaustion is represented through particular strategies which appear almost identical in the majority of Schnittke's last movements. It is mainly carried through by means of sparse orchestration, timbre, texture, low dynamics, slow tempo, as well as a specific use of register and sound effects associated with the solo instruments. Ex. 10 brings an instance of this procedure in the Finale of his Violin Concerto No. 4.

The musical score for Example 10 shows the final bars of the Violin Concerto No. 4/IV. The score is for a full orchestra and includes parts for Contrabassoon, Tamtam, Piano prepared, Harp, Violin solo, Viola, Cello, and Contrabass. The music is in 3/4 time and features a 'rall.' marking. Dynamics range from ppp to ff. The score shows a 'lingering' finale with sparse orchestration and low dynamics.

Example 10: Last bars of the Violin Concerto No. 4/IV: a “lingering” finale

To codify the above, we chose the word “lingering”, which is considered representative of the composer's treatment and its extra-musical dimensions. By occupying a fixed position within the musical plot, “lingering” acquires narrative potentialities, crystallizing a “double-oriented meaning”: Looking backwards, it stands as the conclusion of a certain sonata sequence which is inseparably fused with the re-enlightenment of the thematic material, resulting in a re-evaluation

of the preceding procedures' worth. The form's endurance and validity in order to afford a unity of dissimilar elements and sustain new levels of dissonance is questioned. Simultaneously, a two-dimensional "forward-looking meaning" is shaped, functioning both as question mark, incarnating in musical terms Wittgenstein's urgent question "Now, how shall we go on?" (Wittgenstein apud Bauman 1997, p. 228) while flirting with glimpses towards spiritual exits.

Ordering and grouping the above, we trace a structure which resembles the three-dimensional framework of the sonata form's regulatory prototype:

1. Introduction of the main thematic-motivic material implicating a precarious state, which triggers the composition's unfolding.
2. Models of motivic disintegration and maximized stratification as well as "polystylistic variations" that shape combinatorially a set of entropic forces, meticulously organized in a chaotic way which leads to collapse.
3. Recapitulation of the main thematic-motivic material, which reappears in a decolorized way, leading to an ambiguous conclusion.

The repetition of similar structural rules and the engagement with similar technical devices concerning thematic, developmental, functional, as well as extra-musical parameters, result in formations of meaning. Meaning is reinforced by the immediacy of the representational aspect of the composer's style (Schmelz 2009, p. 12) which is linked to his conception that music is a "thought about the world in musical form" (Kholopova 2002, p. 63). Through a total substitution of elements and processes as well as through a decomposing route which reflects familiar attributes of the sonata, the composer creates a stressful state where "nothing is as it seems to be". Schnittke preserves the driving forces of tonality and creates microscopical and macroscopical levels of dissonance to reorder the sonic world in terms of "white noise which becomes a signifier of our civilization" (Aranovsky apud Medic 2008, p. 217), within a comprehensible structure. We suggest that Schnittkean forms get revitalized by residing in this intermediate space where "nothing is as it seems". This stands as a key to his choices: if sonata and tonality constitute an inseparable dyad ideally suitable to endorse and reproduce the great metanarratives and ideas of Enlightenment in musical procedures themselves, then, the self-negating versions of Schnittke's sonata forms obtain rich hermeneutic ramifications.

4. The Sonata as Ideological Echo: The Sonata-Tonality's Hermeneutic Approaches and Schnittke's Overall Formal Designs as Paraphrased Sonata Types

Investigating macroscopically Schnittke's structural route, one easily discerns a generalized three-section contrasting and continued framework which reflects the normative model of sonata form, organized in an acme shape with characteristic cornerstones. This framework encompasses the whole movements of the discussed works, reorganizing this well-known schema to a deconstructive narrative sequence that leads to defeat and vacillation.

Considering the catalytic influence of Philip Herschkowitz, who acted as a bridge between the unofficial soviet composers⁸ and the Vienna School, we assume that Schoenberg's structural thinking about this form influenced Schnittke's perception. Almost every aspect of Schoenberg's dealings with this form is discerned in Schnittke's organizational approach. The composer's macroscopical thought reveals a three-dimensional scheme based on the concept of contrast, thematically and structurally, as well as a passage from stability to modularity, with specific points of transition. Simultaneously, the openness of Schoenberg's thought, who repeatedly connects this "fixed design" to the "sensitive formal feeling of the artist" (Strang; Stein 1967, p. 213) and his imagination, as well as the unique value he attributes to the sonata as a "form of commanding position" due to "its extraordinary flexibility in accommodating the widest variety of musical ideas long or short, many or few, active or passive, in almost any combination", (Strang; Stein 1967, p. 213) echoes the treatment of sonata by Schnittke as a form of high respect and as an elastic concept able to

⁸ We adopt the term "unofficial composers", proposed by the musicologist Peter Schmelz. According to Schmelz, the "unofficial musical world spanned the long decade from Khrushchev's time in power to that of Brezhnev, running from mid 1950's [...] until late 1980's" (Schmelz 2009, p. 21). As "unofficial composers" are characterized those who were not subscribed, or quitted from the Composer's Union (official musical culture) such as Abrdei Volkonsky, Edisson Denisov, Sofia Fubaidulina, Alfred Schnittke, Alemdar Karamanov, etc. They resided in a non-resistant, intermediate state of being, obeying to the ideal of making art for the sake of art. They were "oppositional but not directly, only musically" (Schmelz 2009, p. 67–68). They adopted "non-official musical techniques" such as dodecaphony and aleatory, to follow later their personal compositional paths. Finally, the strong bond between the unofficial composers, their performers, the particular concert venues and the audience created an increasing stream of interest and popularity both within and outside the Soviet Union.

incorporate imaginative personal elements, exploited in poetic paraphrastic ways. At the same time, in the legacy of soviet realism, the sonata never stopped being the paragon of morphological thought, where another bridge from Mahler to Shostakovich was formed, offering the composer an ideal "pattern of embracing his whole musical periphery" and enhancing a dialectic relationship spanning from the classic/romantic era up to the recent soviet past.

Although Schnittke seems to follow one three-dimensional preconceived structural model, his broad imaginative logic demands combinatorial theoretical approaches linked to the sonata form. These have resulted in a long-lasting debate concerning mainly its binary or three-dimensional aspects that have recently ended up to more inclusive contemporary approaches from Cook and Caplin to Hepokoski. We support that, by total substitution and reversion of material and processes, the composer achieves the "restructure of a banal form with simultaneous avoidance of it" (Schnittke 1994, p. 96) where two- and three-dimensional aspects are fully exploited.⁹

In Schnittke, binary aspects that generally correspond to the tonal design and the continued dynamic course, fueled by a "crisis point at the exposition" (especially since Beethoven's era; see Ratner 1970, p. 472–473) are totally supported by the means presented in the first section of the article which are mobilized through substitutional devices of functionality. Emphatically, the reduced thematic material, the primary focus on initiating a state of disharmony

⁹ According to theorists of the twentieth century such as Rosen and Rattle, the conception of the sonata as a binary form considers the harmonic factor as its most prominent feature and is mainly grounded on the two main cadences that take place in the overall sonata structure, as well as on its continual, non-segmented route and dramatic character that derive from the dynamic nature of functional tonality. The two main cadences formalize a succession of: I-V (exposition)/V-I (development-recapitulation). In exposition, a state of disharmony occurs that propels the compositional continuation towards development, mobilizing a craving for resolution served in turn by the recapitulation, which is elevated to the notion of an end as a gesture of re-appearance and resolution than mere re-exposition. Schenker provides an alternative reading of sonata form as a binary structure, an interrupted one, that supported the form's thematic layout organized as Exposition-Development (I-V¹¹) and Recapitulation (I-V-I). Such binary approaches have been presented in contrast to the three-sectional model of exposition-elaboration-recapitulation which mainly follows the thematic factor. The two- and three-dimensional approaches also concern issues of the sonata's chronological evolution and origins, which have been surpassed. Nowadays, theory, after forming a long catalogue of compositional examples, inclines to the amalgamation of the two approaches within a wide spectrum of types of this form, dealing with it as a space of broad potentiality rather than an ocellated framework with exceptions. See, selectively, Ratner 1980, p. 216; Rosen 1988, p. 9–10; and Hepokoski 2002, p. 97–98)

in the exposition, the extensiveness of the development section by combinatorial introduction, integration, renewing, and maximizing of diverse techniques and models, along with a recapitulation affected by the preceding processes of the development section, support the form's two-dimensional aspects.

Schnittke's sonatas endorse three-dimensional aspects in a similar manner. In his ternary structures, the division in three sections (organized as three different movements) is mainly linked to the thematic factor. Macroscopically, a contrastive form which glides from stability to mobility and stability again shapes a typical sequence in numerous of Schnittke's works, and produces one more reversal aspect: if the sonata is dealt as a genre (not as a form) then, the sequence of *tempi* of the work's movements is the opposite, reversing the fast-slow-fast arrangement to a slow-fast-slow one. The association of a quick tempo with the mobile, variative, and modular character of a development section stands as one more feature of the composer's handling of each formal section as a single movement.

At the same time, an acme shape controls the piece's power in a way which results in a deconstructive pyramid, made by a starting point (already alienated and torn out), disintegrational proceeding, culmination (collapse), and end (lingering), offers a schema which is harmoniously related to Rosen's approach of the sonata as "a dramatic structure in which exposition, contrast, and reexposition function as "opposition, intensification, and resolution" (Rosen 1988, p. 18), where the "intervallic dissonance" is elevated to "structural dissonance" (Ibid., p. 25). Through his contrastive continuity, formulating linear processes of beginning, gradation, peak, and end, Schnittke exploits the sonata's inherent dramatic and narrative potential, and enriches the notion of dissonance, with harmonic/stylistic/structural dimensions. Substituted thematic material, processes, gestures, and narrative course, all interconnect with the abstract interactivity of contrasted, elastic, and juxtaposing relationships of the consonance/dissonance complementarity of traditional tonality, revitalize the structure from within and prove that the composer deals with the sonata as a living concept rather than a stereotypical canonical structure or a form of the past.

Under this scope, Schnittke's solo concertos are conceptualized as a broad variety of sonata types, based on this form's imaginative paraphrases. The personalized character of the solo concerto, supported by the propulsive nature of sonata, acquires an additive feature of drama or martyrdom in which the

soloist acts as a protagonist. This phenomenon eliminates any “notion of distance” and delineates his solo concertos after 1978. “Distance elimination” leads to utterly expressionistic works, where the subject/object relationship, which will be dealt with below, obtains forceful qualities: The representative, programmatic, and theatrical aspects are absorbed by a vivid form where the drama-bearer (not storyteller) is the soloist himself. He/she seems to become an integral part of the sonata form's revitalization as if it was a drama unfolded in real time through the voice of the protagonist/martyr himself/herself. If “voice is a sound produced by something with a soul” (Aristotle 2003, p. 163) then the preservation of the “spirit” of the sonata form is completed by the infusion of soul through the “voice” of the soloist. The issue of “voice” in terms of sound-identity relation, as well as phonation as means of presence and praxis will be analyzed in the last section of the article.

Such facets of Schnittke's sonata types maintain contemporary and apocalyptic (in Adorno's sense) features. To examine them, we will present and combine a series of sovereign ideas as well as their incorporation to the material itself, placing especial focus on those that are correlated to the relationship between tonality and sonata.

In the last few decades it has been shown that the musical gestures and procedures themselves as well as the ways the material is organized, structured, and developed, mirror the social and ideological nexus that generate them. The sonata, related to the Enlightenment, Reason, and the French Revolution's emerging bourgeois attitudes, is thought to foster in its dynamic plot the same archetypal and pivotal Western ideological patterns. Here we discuss the Alterity Logic, the Heroic Quest Pattern, the Idea of Progress and the bourgeois Harmonious Whole.

The Logic of Alterity constitutes a branch of “Binary thinking” (Kramer 1995, p. 34), a fundamental element of Western “either/or mentality” (Samson 2008, p. 17) which gradually acquired ideological features, able to justify sociopolitical choices and practices. Alterity is based on a differentiating model between a superior, central, and global prototype and a number of imperfect, inferior individuals considered “others”, which is also mirrored to a homogenized self-identity.

Aspects of Alterity are endorsed in the narrative archetype of Heroic Quest Pattern, the roots of which, according to Adorno and Horkheimer, can be

traced as early as in the *Odyssey*. A subject is provoked to confront and survive through numerous fatal facets in the form of otherness as temptation, magic, femininity, adventure, nature, to return self-realized and fully conscious. “The contrast between Enlightenment and Myth is represented by a Self that manages to survive and pass through the myriad turns of fate. The wandering from Troy to Ithaca corresponds to the path through the Myths that a self is challenged to follow, who is naturally weaker than the forces of nature, and can attain self-realization only through self-knowledge” (Adorno; Horkheimer 1944, p. 65)

According to Suzan McClary, “tonal music in general depends on a ‘narrative adventure away from and back to the tonic’ that must pass through and ultimately annex or ‘master’ an ‘alien terrain’” (McClary apud Kramer 1995, p. 36) thus functional tonality and sonata form consist of two complementary narrative schemes. The exposition of primary themes, the development section as adventurous wandering, and the recapitulation as return and domination, become representative of an archetypal hero who sets off on a quest, confronting a series of provocations in various forms of “otherness”, in order to come back self-conscious and self-realized. In the sonata’s historical context this hero is elevated to a bourgeois individual, provoked to “lose himself so as to find him again” and acquires the noble features of the Enlightenment ideals where “the hero’s entitlement is gained only at the cost of negation of all desires in favor of a complete, ecumenical and indivisible happiness.” (Adorno; Horkheimer 1944, p. 75)

Moreover, the great metanarrative of the Idea of Progress (Meyer 1994, p. 329), theorized as the main ideological fuel of Western civilization since the early modern era (1450), multi-dimensionally invigorated by the ideas of Enlightenment and Modernism and reevaluated by postmodern thought is reflected in sonata’s forward-looking motion, nurturing a “historical optimism” (Meyer 1994, p. 331). Through rationalization, humankind acquires control of its own fate, by mobilizing, dividing, and evolving the sectors of scientific, philosophical, artistic, and religious life, in order to create a global progressive motion towards ecumenical happiness. From the three main spheres of “objective Science, ecumenical Justice and autonomous Art” renewed faith is drawn, aiming at a gradual understanding of world and self, which will finally lead to universal prosperity (Habermas 1988, p. 90). The perception of time is affected and consequently the entire human experience and activity as well his perception of

self and world become affected. Deleuze codifies a time-dimension as "Chronos": "the actual, linear, succession of just in time production" (Deleuze 1994, p. 122) in conjunction to a future-oriented mentality engaged with Christian mentality (Meyer 1994, p. 321) further encouraged by the scientific, geographical discoveries, and technological advancements finds ideal residence in sonata form(s). For us, sonata's domination, dissemination, and long-lasting utility as a key reference to engage dialogue with, rest upon its ability to be a "time sculpture" of this time/self constitution.

The Sonata-Tonality dyad functions as a source that regenerates cultural ideas and antinomies perpetuated both in collective and individualized western consciousness, providing a commonly recognized musical platform of meanings. It endorses structurally and narratively the prescribed sovereign ideas, ideals, contradictive attitudes, and reproduces a specific sense of time, self and worldly interaction. Underneath its eloquent musical sequence, its processes narrate a "story of dominance", saturated by qualities such as difference, inequality, superiority, and hierarchy, through which the early modern Western civilization and the bourgeois period which followed, fueled a principal worldview which in effect translated a goal-oriented culture into a profit and conquest-oriented one.

Thus, we may divide the sonata form in a schema with two levels. At a superficial level, its dynamic course incorporates a positive mentality and mechanistic future-oriented temporality. In the end, a typical return to the main key, appears as a reward for the previous tortuous wandering, representing ideally the Idea of Progress, and simultaneously enriching the heroic quest pattern with noble features. However, at the internal level of harmonic/structural interrelationships, the alterity practices are incarnated. A story of violent domination emerges through interchangeable situations of stability and instability, of tension, stress, and solution incorporated in the functional and thematic processing. The contradictions between the superficial and structural aspects mirror the distance between ideology and practice, while the definite conclusion is not based on unity but on violent tactics of homogeneity, where "not a hint of difference is allowed to be remembered" (Fitsioris 2000, p. 144).

Bourgeois ideology seems to search an equilibrium between Western othering practices (Staszak 2008, p. 3) and Enlightenment ideals. Engaging with the immanently contradictive perception of a "harmonious whole", able to sustain and reconcile diverse individual parts by following higher global visions,

bourgeois culture nurtured crucial antinomies and formed a deceptive idea of universal freedom, control, and reason. According to philosopher Panagiotis Condyles,

Programmatic concern of bourgeois thinking was the constitution of its own worldview by a diversity of elements and forces that, separately observed (potentially) may stay in oppositional places between each other, brought together in order to constitute a “harmonic and law-abiding whole”, within which partial struggles and confrontations are removed according to the precepts of higher logical goals (Condyles 2000, p. 63).

In music, the idea of harmonious wholeness is represented by the principle of Organicism, conceived during the Romantic era and heightened by modernist mentality. According to Leonard Meyer,

Organicism posits that all the relationships through a work of art [...] should develop into an in-violable unity (a movement or a whole composition) and that the process of development should be governed by an inner necessity and an economy of means such that nothing in the work is either accidental or superfluous (Meyer 1994, p. 327).

The principle of Organicism is an ideal fit for the sonata form. Based on the logic of an inviolable “harmonious whole” which reflects the inherently violent practices embedded in Alterity tactics, sonata’s overall schemas seem to emerge through the equilibrium of dissonant antagonism, and it is no coincidence that their positivistic ends are increasingly saturated by meteoric attributes (Hepokoski 2001, p. 151–152; Fulfias 2005, p. 235–236) aligned with the revelation of contradictive practices that undermine the uniting ideals.

The previous aspects are linked to Adorno’s concept of “object-subject relationship”. Adorno traces the success of an artwork in its “self-reflective character”, which enhances the disclosure of the “subject-object” antinomies, incorporating them in the structure itself. Starting as early as the late Classical era, Adorno discerns the “socially deceptive wholeness” internalized in Beethoven’s late works, where an innate impulse for truth becomes the key towards antinomies’ revealing.

The “late Beethoven’s demand for truth rejects the illusory appearance of the unity of subjective and objective, a concept practically at one with the classicist idea. A polarization results. Unity transcends into the fragmentary [...]. The gap between both becomes obvious and makes the impossibility of aesthetic harmony into the aesthetic content of the work; makes failure in a highest sense the measure of success (Padisson 2006, p. 218).

Below, we combine structural narrative and ideological tools to examine the features of Schnittke's reversal forms, attempting further hermeneutic approaches. We notice the ways Alterity, Hero Quest, bourgeois Harmonious Whole and the Idea of Progress are reflected in his structures and examine how the "subject/object relationship" formations provide new types of exit and meaning within his own times and perspective.

5. Schnittke's Reversal Logics: Using Dissonance as a Path to Consonance and Failure as a Path to Wholeness

Schnittke restructures a generalized sonata concept under conditions of failure. The stabilized developmental techniques of disintegration increasingly expose and unmask the incompatibility's attributes within a sonata framework which represents a model that challenges unity in various levels and meanings. In such a course, the maintained ideologies embodied in musical structure are questioned in the most obvious way possible, sonata being their highest musical expression. The heroic quest pattern is reversed: the thematic material gives in to defeat, while the lingering finale questions the worth of preceding adventures and reveals a crisis of meaning. The nature of sonata as a transcendental whole that houses and gives a role to the individual parts becomes thoroughly exploited. Provoked to sustain an extreme heterogeneity of differently oriented trends, and conducted by a dynamic desire towards holistic unity, its association to a "bourgeois harmonious whole" becomes immediately questioned. The ideal of wholeness as an objective, collective goal providing cultural meaning proves insufficient to contain and mobilize the individual parts, and results in a tensional "subject-object relationship", mirrored in structural cracks which turn the "harmonious whole" into a "disharmonious division".

The choice itself to implement the sonata framework is of utter importance, as its use is directly associated with historical tradition and sets crucial questions about preservation, renewal, continuity, and belonging. Furthermore, the sonata stands out as the natural choice for a composer who belongs to the great Soviet tradition and works under Shostakovich's sovereign influence. By externalizing its latent structural cracks, the composer embraces and advances his heritage, ending up in an overtly expressionistic and

ambiguous language by maximizing and transforming his predecessor's polyharmonic surfaces. At the same time, the sonata seems to be the most recognizable format in order to confront the pluralistic sound material of the present, which enhances eloquent re-organization and vivid representation of the composer's "musicophilosophical queries" (Ballantine 1979, p. 181).

Failure is internalized both on structural and narrative level. On the structural level, the aspects of a substituted functionality not only revitalize Schnittke's forms by the maintenance of their contrastive tensions but also play a fundamental role in "failure's absorption" in process and structure. We support that except for the reversion of the sonata's narrative course, the composer adds a new form of reversion by "turning the sonata upside down": the harmonic interrelationships, the sonata's inner propulsive network, break through the musical surface and regenerate structure in an apocalyptic way by sealing it with violent attributes of tensional relations grounded in dissonance. When fostered on the narrative compositional field, failure is linked to the musical sequence by fashioning an inverse story of success, where defeat is superimposed on progressive positivity and the personified themes acquire expressionistic qualities. Thus, on the narrative level, failure is shaped by the reversion of the sonata's positivistic sequence of musical facts. In the structural field, anxiety is fostered through disintegrative processes and renewed functional tensions that expand the notion of dissonance which seals the form.

Schnittke's reversed sonatas are entirely composed by a "personal" material. This derives from the composer's high task and belief that (every composer) must "he, himself find everything he does" (Schmelz 2009, p. 245) motivated by transcendental laws of inner necessity and high objectivity. Sonata facilitates Schnittke to create multi-movement as single-movement works, which, through the use of repetition, obtain the qualities of an increasingly specific personal language. The logic of the sonata allows him to arrange his material in a way which connects him structurally and linguistically to the broader logic of an already existing vocabulary that "bears quantities of knowledge, that one has never been taught but already knows" similarly to oral language. (Bloom 1973, p. 63) We support that Schnittke preserves this inherent information, its "spirit" and expands it by his thorough and yet not visible re-orderings. His structure is dictated by elements the nature of which is often incompatible with the sound effect they provide and constitutes an apocalyptic compositional realm, an

intermediate space, where surrounding, historical, inner, and transcendental sound reality is reformed in the quest for new types of solution.

The reduced thematic-motifs are “socially saturated” and appear imprinted by the new aspects of musical polyglossia, produced by the coexistence of styles, idioms and techniques, combined with fragmentation, and are furthermore polluted by the combination of sound and image. The abbreviated formations act as musical sounds, decoupled from their origins, and thus their value as tools of communication is undermined. As such, they are reflective of the late Soviet regime, where words lose their ideological consistency and are repetitively cancelled by controversial practices. Therefore, the decreased thematic material, appears not only alienated from its initial context but also tired, marked by mistreatment and erosion: In the same way, words become deprived of meaning, thematic-motifs occur as sounds deprived of music, and appear in the beginning of the work already as motivic remnants. A series of crucial emerging issues can be glimpsed through such thematic manipulation.

First, that of a socially/musically saturated subconscious, occupied by a plethora of fragmented voices calling for attention, validity, or domination (Kramer 1995, p. 19). In the beginning of many of Schnittke's works, the arrival of a diversely mutilated thematic material seems correlated to the way that the “contemporary self” receives sounds as shattered information, and gradually acquires the qualities of what Cage named as an “omniattentive soul” (Morgan 1990, p. 327), shaping a saturated subconscious. Second, the alienated nature of the thematic elements, results in the constitution of noisy masses that acquire dimensions of a threatening reality beyond one's own choice and control. As “sound is never a private affair” (Labelle 2014b), Schnittke's “threatening sonic expansion” feeds extra levels of despair by stressing an uprising issue of “inner privacy” and, in our view, acts prophetically in terms of the following sound-power-technology relations. Concerning his era, the inner-sounding world, saturated itself, becomes incapable of providing shelter, abolishing thus the latent shelter of Modernism: the inner, private sphere where a creative escapism from oppressive realities transformed despair into authentic types of expression, is rendered inaccessible. Concerning contemporary issues, we trace dimensions linked to the politics of “prevention of accessing one's own thoughts” ranging from everyday life to sonic torture methods (Goodman 2009, p. 132; Cusick 2018, p. 285) as well as a designation of the passage “from music to sound” (Solomos

2020)—e.g., from the structure to noise, the abstraction of sound, as well as from pluralism to liquidation through the drift of high technology to the imperceptible (Baumann 2013, p. 7; Goodman 2009, p. 206).

As we have showed, in the development section, the implicative heterogeneity of the exposition is multiplied through divisional, erosive manipulations as well as stratification and practices based on the variation principle. The increasingly fragmenting tactics, interpreted as a struggle between “possessive sonic surroundings” as “voices” threatening to consume the individual, attains evidently political as well as nightmarish dimensions. This practice acts in the same way dreams do: the truth about mundane perceptions and memories emerges, through the apocalyptic reconstructions of everyday’s experiences resulting in a surrealistic, intolerable fusion. Compositionally, this truth becomes an agent of unveiling in manifold ways, underlining the composer’s anxiety about “his inability to talk with his own voice” (Griffiths 2010, p. 270). Voice’s metaphorical as well as literal qualities as identity, presence, and resistance bears exceptional importance.

As Dialogic theory has been far considered in relation to polystylistics and the unofficial composers of Schnittke’s generation, implementing Bakhtin’s phrase “we are full of responses” (Bakhtin 2014, p. 93) in Schnittke’s Babylonian edifice adds an extra aspect of imagining the inability of forming and uttering a deliberate response through one’s own voice as a metaphor for hell and imprisonment to non-existence. In Derridean terms: “if the voice were the metaphorical voice of consciousness, there would be much less in circulation. Only the voice that is perceptible sound and breath is capable of transferring an effect of living presence to the phonic sign, rendering it an animated signifier” (Derrida 226 apud Magnat 2021, p. 85). In an Arendtian view, the revelation of the real subject behind the praxis is inseparably connected to speech. Thus the vocal utterance forms a precondition for subject’s complete, responsible and free presence in the world, an attitude that heightens meaning. (Arendt 1958, p. 246. Born 2012, p. 177). Seen under the metaphor of voice, Schnittke’s sonata forms in combination with the solo-concerto genre complete each other. They revitalize the “dead letter” and reassure tradition’s sustainability and regeneration within the world beyond the duration of a single life (Arendt 1958, p. 233). Schnittkean massive orchestral sound renders the “concerto’s” initial meaning from a dialectic antagonism to an unequal battle between voices in the form of inner

pluralism or totalitarian and sonically fragmented reality where the soloist's "voice", implicates futural issues linked to sound immersion, self-coherence, echoic memory, and self-expression (voice) as identity, presence as well as resistance to sonorous colonization. Voice's linkage to soul and Schnittke's approach to sonata's "spirit", in the way showed before, offer a quasi-literal revitalization of form in terms of a real life impression, because of the ubiquitous (solo) voice's unfolding.

Moving from the private sphere of the vocally "occupied subconscious" to the public sphere of ideological patterns, the segmented pluralism's nightmarish reformations are also supported by a deconstructive narrative course which encourages a critical re-evaluation of the Metanarrative of Progress. This re-evaluation is incorporated in the developmental treatment as well as in the external compositional field, mirrored in the sequence of the musical facts and the thematic factor's manipulation. Schnittke values the dynamic linearity of the sonata form in a way that accurately reflects a type of defeat linked to cultural failure. After two world wars, colonization, racial, gender and political oppression the idea of progress is no longer sustainable. The composer from his own geo-historical point and ideological view adds his own seed of doubt which seems aligned to Meyer's codification of the conclusion of the modern era as the "end of historical optimism" (Meyer 1994, 332–3). He raises issues of incompatibility, stress, and dead-end, and calls for alternative, metaphysical exits.

Adhering to vast "dissonance's multiplying practices", diverse fragmented materials are being imposed to a seeming merging, constituting a scheme of spiral deepening and erosion. Such a treatment of multiplication results in division instead of constructive augmentation, being connected to fragmentation and subsequently to deconstruction. The deconstructive nature of *Multiplication-as-division* is not only an eloquent way to express anxiety about a de-oriented, deceptively positive culture, be it capitalist democratic or socialist. It also appears as a means of querying the elements' deep linking thread, which would immediately test and enhance consonance in the form of an ultimate immanent substance. However, the material itself, despite Schnittke's disintegrative processes, seems to resist it. Failure towards a common essence internalizes defeat in the material itself, reflecting stress towards new types of unification as representatives of a new sustainable objectivity, questioning the

possibility of attaining meaning. Finally, *Multiplication-as-division* stands for a hellish aspect which alludes to the idea of “Evil” in Schnittke’s work. Besides concepts extensively discussed linked to it, ranging from instrumental theater and orchestration (Kostakeva 2002, p. 21, Adamenco 2007 p. 158–163), idioms such as atonal and pop (Redepening, 2010 p. 74) to monograms (p. 127) and programs (Dixon 2010, p. 90), we notice a non-symbolic “Evil”, absorbed by abstract musical processes. In this form, it acts as Whitehead’s “eliminating feeling” which is “inoperative in the progressive constituting the unity of the subject” (Whitehead 1928, p. 24). It functions ambiguously as in our approach, it forms the path towards the common essence of musical material, thus towards unification, which implicates a Christian point of view of achieving purification through martyrdom. Such interpretations reinforce the naming of development as “negative” by Ivashkin entangling religious approaches to the contemporary self and world.

However, Schnittke’s catastrophic collapse-gesture, which serves as climax to the developmental procedures, appears as a double-coded confirmation of the consonance’s impossibility as well as its peculiar attainability. A type of consonance amounting to catastrophic dissonance substitutes the notion of unification. Unification is expressed in the form of total disorganization which follows the preceding catastrophic procedures, revealing an inability towards unity as common truth and meaning and a terrifying violent unity in the form of depersonalization and equation appears, which replaces the value of an “in-violable unity” and reveals the unsustainability of both the Idea of Progress and the Harmonious Whole. The decolorization of the unitary subject in the soviet regime is eloquently expressed while the deceptive nature of a symbiotic postmodern mentality is remarked upon. Thus, collapse acquires hermeneutic dimensions that concern both the contradictions of the soviet regime and the practices of late capitalism.

In addition, collapse functions as “exit” providing a sense of relief: if a solution cannot be offered through a higher consonance, then it must be gained through absolute disaster. A dimension of catharsis is thus engaged which attains qualities of differentiated redemption and completion. Collapse transforms the preceding procedures, it releases failure and sketches a common “defeat area”, which functions ambiguously as a “departure area”. Here, again, Schnittke constructs a reversed solution in the form of entropy which in fact is no solution

at all. However, the free creative space offers the possibility of a liberating expression, even in catastrophic form, provoking identification and consolation, linked to catharsis (Taruskin 2005, p. 403).

By examining the above, we return to the remark that each feature of Schnittke's forms "is not as it seems to be": The thematic material's referential range is augmented by its confinement. Multiplication and grading are based on decrease and division. The developmental procedures correspond to disintegration. Collapse is both catastrophe and relief. The end is equally exhaustion, ambiguity, and liberation. As an inseparable whole, the material processes and the sonata form itself seem revealed and hidden at the same time. By "not being what it seems" Schnittke's music reflects the antinomies of the decadent socialist environment, which are absorbed and exposed through his musical language itself.

We suggest that the use of sonata by Schnittke reveals also that time (in "chronos" form) is 'not as it seems' and uncovers different temporalities. For example, after the collapse crashes down, another type of time is revealed. Fragmented pieces of time in the form of motivic cells (sounds) corresponding to mediated, mundane and memorial synchronic aspects of time, accelerated through the futural motion of sonata's linear time, leave space for a rhythm of the world in herakleitean terms (Axellos 1976 p. 55–56) to be heard, or unveiling an inner mythological time (Adamenco 2007, p. 127) accessing an inner habitat (Arendt 2015, p. 17) or a "Cagean" unison of silence. In this way, we approach Schnittke's sonatas as paths from dissonance to consonance in two additive ways: As path from "social/subjective time" to cosmic time or, in Jungian terms, from personal to collective unconscious.¹⁰

Instead of building a "spiritual country" (Kostakeva 2002, p. 68) the composer through the extensive corrosive treatments accelerates and dissolves time in apocalyptic way. At this point we support that the composer amplifies the potential of the sonata's structural and dramatic features, shaping a permanent "crave for consonance through dissonance", consonance representing unification in various levels: unity through heterogeneity of material, unity

¹⁰ Schnittke's concept of Schattenwelt as a hyper sphere of musical and temporal co-existence as well as his appreciation and use of Jung's archetypes have been analyzed (e.g., Adamenco 2007, p. 158–163; Trimblais 2007; and Borchard 2002, p. 28).

through purification towards a common essence sought by developmental decaying practices, unity as consistent objectivity/truth or unity as one's domination, related to the end of the composition, unity as revelation of spatial temporalities. Sonata's familiar framework, by its predominant reiteration throughout history, incorporates a race towards unification, affirmation, and meaning, condemned to fail by the composer's own treatments, enhancing however the most overt apocalyptic and dramatic impact possible. This impact is achieved by his manipulation towards unity in such a way that the "whole is repetitively turning out to be untrue" (Göhr 2006, p. 222). The composer's fundamental desire for unity clashes with his imperatives for truth, and results in an organic network which negates itself by its own constitution: "I set down a beautiful chord on paper – and suddenly it rusts" (Ross 1992).

Permanently driven by the variously expressed challenges for truth-as-unity, ranging from inner necessity, to truth to self, to reality, to transcendental laws, to eternal spiritual impositions,¹¹ the composer repeats stubbornly a wager: the unifying of extreme contrasts in an overt and simultaneously in-violent way, craving for their unifying deep essence. In his sonata course, the consonance is elevated to the notion of unity, a test of cultural, personal, and spiritual limits in a quest for a new consistency. His "defeat manipulations" function as an apocalyptic deepening path toward social antinomies embodied in structure and material, highlighting the "crisis of meaning as negative", ending in failure. His self-denied intermediate space reveals the systematically sustained and concealed antinomies of his era through a structure sealed by the ambiguous nature of his language itself, redefining the "subject/object relationship" in contemporary terms. The fact that "nothing is at it seems" stands as proof of contradictory reflections absorbed by structure, functioning as the work's "self-reflection" as well, enhancing a series of processes that challenge meaningfulness. His forms attain aspects of a test of faith, touching upon a religious Dostoevskyan questions. In addition, the retelling of a dissonance-to-

¹¹ The idea(l) of truth is repetitively expressed by the composer, linked to different symbolisms and internal commitments. Some indicative pages where forms of truth emerge are: About truth and truth as unity/economy: see Schnittke, "From Schnittke's conversations with Alexander Ivashkin", Ivashkin ed. *A Schnittke Reader*, 10, 24. On truth as imperative of confluence with the world, see Ivashkin 1995, p. 254. On truth as a transcendental realm conceptualized as Schattenwelt by Schnittke, see Schnittke 1994, p. 88. And, on truth as high imperative and internal necessity in comparison to Schoenberg's idea, see Maniou 2015, p. 20.

consonance story of failure, brings about the ideal of unity-as-co-existence instead of domination. The idea of "unity as common essence" becomes doubly symbolical as co-existive democratization as well as a type of quest for ontological global roots.

Schnittke refuses to comply with a superficial use of traditional models by composing consolidating surfaces and insists on fragile authenticity (Adorno 1970, p. 264–265). He also denies the notion of choice itself, considering it as confinement to the shelter of a single style.—He also seems uninterested in renewing his relationship to the past through disguise, to quote Eco (Kamper 1988, p. 213). On the contrary, he insists on un-masking and dangerously exposing the inherent incompatibilities imprinted in the material itself, empowering the sonata framework to function again, motivated by a manifoldly revealing contemporary agony, constantly "interpreting darkness, instead of replacing it by a clarity of meaning" (Göhr 2006, p. 244). By internalizing agony, his structures reflect his "battle with the material as battle between himself and society" (Adorno 1958, p. 40) while traumatic failure serves Adorno's imperative for an apocalyptic, uncompromised art, which, after the horror of Auschwitz, has to "express the crisis of meaning as negative" resulting in "mutilated forms": "works that truthfully show the untruth of society are those that have dissonant or mutilated form. If 'dissonance shows the truth about harmony', then dissonant elements in society show the untruth of its apparent harmonious administration" (Adorno 1958, p. 110)

As his manipulations express sheer anxiety without even the hint of a reconciliatory or resurrective return to the traditional language of the past, Schnittke chooses innovation instead of mere restoration. Schnittke's sonatas function in a historically progressive way concerning both their socially saturated material and their dissonant structure. His exploitation and externalizing of his predecessors' techniques function in the same way that time externalizes deception. They act apocalyptically in terms of cultural meaning, of internalized contradictions, of time conceptualizations and they prelude the forthcoming global sonority. The re-introduction of a bare bones functionality and thematicism through the substitution of tonal interrelationships and elastic oppositional contrasts enhances the direct revelation of the inherent dominating ideological controversies through dissonant tactics and, at the same time, highlights music's nature as an immaterial nexus of relations which gets

informed by temporal, humanly vocal and sonic qualities of the future. Schnittke, through his continuous striving for unity, does not try to hide a nostalgic desire for the traditional musical past: However, by “making music for the world through confluence with the world” (Ivashkin 1995, p. 254) the composer manages to control completely his materials’ dissolution, remaining consistent to his contradictory internal impositions toward truth. By committing to an anxious quest for consonance and implementing increasingly dissonant procedures, Schnittke identifies material with ambiguous structure and a plot of defeat, achieving “synthesis through dissolution” (Padisson 1993, p. 171). As Schnittke converts failure into a unifying space for his heterogeneous and saturated material, he offers ambiguous glimpses to different types of realities. Due to such attributes, Schnittke’s sonatas get “saturated” by authenticity, composing an ambiguous sphere that speaks on behalf of itself.

To conclude, a final reversal aspect must be highlighted: a reversal course from saturation to purification. Thematic remnants, already saturated, become purer and more “original”, following a course from inauthenticity to originality enhanced by the composer’s processes. This adheres to a reversed course of the sonata’s thematic factor, which (in personalized “heroic quest” terms) starts off ignorant to return marked by his adventures at the end of the composition. Through exhaustive techniques, Schnittke converts failure into a unifying space for his heterogeneous and saturated material. His ternary forms attain a mystical dimension, since, through total dissolution, he endeavors to offer his thematic material back to its original sources, a bit humbler and united within a common field of defeat. Or, to put it differently, in a higher level where the previous procedures are not and never were that important. The path of purification from saturation to originality is an added, almost religious, element to his reversal sets. The socially saturated material ends up in a form closer to originality, a bit closer to nature than culture, closer to *Schattenwelt* than human dimension, functioning above all in a metaphysical level of de-personified common origins. An ambivalent catharsis is shaped, opening up a space for repetition in the form of the next composition.

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O princípio orgânico da forma: sobre a forma sonata de acordo com Heinrich Schenker

The Organic Principle of Form: On Sonata Form According to Heinrich Schenker

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Resumo: O artigo aborda a questão das formas musicais em geral, e a forma sonata em particular, a partir da perspectiva aberta por Heinrich Schenker, caracterizada pelo próprio autor como uma concepção orgânica da música. A compreensão de Schenker a respeito da forma é apresentada como uma consequência do problema da unidade da obra musical e, portanto, do problema da causalidade em música. São discutidos ainda alguns conceitos presentes na obra de Schenker relevantes para o entendimento de problemas e de questões relativos à forma, com destaque para os conceitos de *interrupção* (*Unterbrechung*) e *improvisação* (*Stegreif*), assim como para a rejeição de Schenker em relação ao conceito de *motivo* enquanto fundamento para a conceito de *forma musical*.¹

Palavras-chave: Teoria e Análise Musical. Conceitos schenkerianos. Sonata Hob. XVI: 44 de Haydn.

Abstract: The article deals with the question of musical forms in general, and the sonata form in particular, from the perspective opened by Heinrich Schenker, characterized by the author himself as an organic conception of music. Schenker's understanding of form is presented as a consequence to the problem of musical unity and, therefore, to the problem of causality in music. We also discuss some concepts present in Schenker's work that are relevant to the understanding of problems and questions concerning form, especially the concepts of *interruption* (*Unterbrechung*) and *improvisation* (*Stegreif*), and Schenker's rejection of the concept of *motif* as the foundation for the concept of *musical form*.

Keywords: Music Theory and Analysis. Schenkerian concepts. Haydn's Sonata Hob. XVI: 44.

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Registros dão conta dos planos de Schenker de escrever uma obra sobre as formas musicais desde o ano de 1907.² Embora não tenha publicado uma obra específica sobre tal assunto, Schenker incluiu uma discussão sobre forma em *A Composição Livre (Der Freie Satz)*,³ na qual ele afirma:

Precisamente por isso, porque eu derivo as formas do plano de fundo [*Hintergrund*] e do plano médio [*Mittelgrund*], benefico-me de uma concisão na sua apresentação. Mas, por breve que seja, considero-me afortunado em poder oferecer, ao menos nesta forma, o “Ensaio sobre uma Nova Teoria das Formas” que há décadas tenho prometido (Schenker 1935, p. 210).⁴

Em uma peça musical os acontecimentos têm lugar em uma sucessão temporal, o que sugere ou favorece a sua fragmentação ou, pelo menos, a fragmentação da sua percepção. A necessidade de conceber a obra musical em sua unidade, que faz parte da própria possibilidade de compreensão do discurso musical, é colocada por Schenker no centro de sua obra. A centralidade desse problema encontra expressão no modo com o qual Schenker se refere à sua doutrina musical: a doutrina da coerência orgânica (*die Lehre vom organischen Zusammenhang*).⁵ A abordagem de Schenker ao problema da unidade da obra o conduz a uma crítica da teoria musical. Essa crítica, que em certa medida é também uma auto crítica, pode ser representada exemplarmente pela afirmação de que, embora a teoria musical tenha suscitado o conceito de *organismo* de forma recorrente ao longo de sua história, ela “não conhece ainda a essência do orgânico musical e, por isso, também não é capaz de indicar os meios que conduzem ao orgânico”.⁶ O que equivale a dizer:

² Cf. [Schenker Documents Online: Formenlehre](#).

³ *Der Freie Satz*, Parte III, capítulo 5, §§30–324, Schenker (1935, p. 207–232; 1977, p. 128–145; 1993, p. 129–141).

⁴ “Gerade daraus, daß ich die Formen aus dem Hinter- und Mittelgrunde ableite, ziehe ich für ihre Darstellung den Vorteil der Kürze. Wie kurz ich mich aber auch fasse, schätze ich mich dennoch glücklich, den seit Jahrzehnten von mir versprochenen ‚Versuch einer neuen Formenlehre‘ mindestens in dieser Form bieten zu können.” (Schenker 1935, p. 210; 1977, p. 130; 1993, p. 131, §306).

⁵ A palavra *doutrina* é usada aqui como tradução para o termo alemão *Lehre*, que, de acordo com o dicionário *Langenscheidt* (Epple 2015, p. 998–999), pode significar também: teoria, ensino, ensinamento, lição, aprendizagem. O dicionário *Houaiss* (2009, p. 711) define a palavra *doutrina* do seguinte modo: “1 conjunto coerente de ideias fundamentais a serem transmitidas, ensinadas. 2 conjunto das ideias básicas contidas num sistema filosófico, político, religioso, econômico etc.” A palavra é utilizada na tentativa de evitar uma impressão errônea que o uso da expressão, muito mais comum, *teoria schenkeriana*, pode sugerir: de que o pensamento de Schenker se constitua pela proposição de uma outra gramática musical e, nesse sentido, que ele represente uma *outra* teoria.

⁶ “sie kennt in Wahrheit das Wesen des Musik-Organischen noch nicht und kann deshalb auch die Mittel nicht angeben, die zum Organischen führen” (Schenker 1926, p. 47; 1996, p. 24).

apesar do termo *organismo* ter constantemente acompanhado os debates sobre a música, o problema da unidade da obra musical permaneceu não resolvido e, talvez, nem mesmo suficientemente colocado.

A possibilidade de compreensão de uma obra musical em sua totalidade, que pode ser traduzida pela exigência de unidade, tem grande consequência sobre o problema das formas musicais. É assim que, no ensaio *Sobre o Orgânico da Forma Sonata (Vom Organischen Der Sonatenform)*,⁷ Schenker se dedica inicialmente a mostrar como as denominações ligadas à definição da sonata – tais como: *exposição*, formada por *primeira ideia*, *modulação*, e *segunda ideia*; *desenvolvimento*; e *reexposição* – não apenas não dariam conta do significado dessa forma musical, isto é, da sua unidade, como até mesmo o deturpariam ao destacar sua multiplicidade (falta de unidade):

Apesar de se ter observado que o traço característico da forma sonata está em ser constituída por três partes destacando-se, logo na primeira parte, uma modulação para uma tonalidade contrastante, no entanto, o seu verdadeiro significado não tem sido apreendido adequadamente. O conceito de forma sonata, tal como a teoria até hoje ensina, carece precisamente de seu caráter mais essencial, o orgânico, o qual é exclusivamente determinado por meio da criação das partes a partir da unidade do som principal [*Hauptklang*], isto é, por meio das elaborações composicionais [*Auskomponierungen*] da linha originária [*Urlinie*] e do baixo arpejado [*Baßbrechung*]. A capacidade de uma percepção tão abrangente do som principal [*Hauptklang*] é um privilégio dos gênios do qual eles, por natureza, desfrutam; eles dissolvem o acorde principal [*Hauptklang*] no movimento melódico da linha originária [*Urlinie*] e, ao mesmo tempo, em alguns acordes individuais [*Einzelklänge*] que eles desenredam novamente. Uma tal percepção não pode ser cultivada por vias artificiais e, por isso, se diz que apenas a criação pela improvisação [*aus dem Stegreif*] garante a unidade da elaboração composicional [*Auskomponierung*]. Assim, para expressar o universal mais adequadamente, seria necessário acrescentar ainda ao conceito de forma sonata: que o todo deve ser criado pela improvisação [*aus dem Stegreif*], se ele não tiver de ser uma mera coleção de partes e de motivos individuais no sentido de um esquema (Schenker 1926, p. 45–46; 1996, p. 23).⁸

⁷ Schenker 1926, p. 43–54; 1996, p. 23–30.

⁸ “Daß der Sonatenform der Zug zur Dreiteiligkeit eigen ist unter Hervorfehrung einer Modulation und gegensäßlichen Tonart schon im ersten Teil, ist zwar beobachtet, aber in seiner wahren Bedeutung noch nicht richtig erfaßt worden. Dem Begriff der Sonatenform, wie ihn bis heute die Theorie lehrt, fehlt gerade das wesentlichste Merkmal, das des Organischen, wie es allein durch die Erfindung der Teile aus der Einheit des Hauptklangs bedingt ist, d. h. durch die Auskomponierungen der Urlinie und der Baßbrechung. Die Fähigkeit zu einer solchen Durchempfindung des Hauptklangs ist ein Vorzug der Genies, den sie von Natur aus genießen; sie lösen den Hauptklang in die melodische Bewegung der Urlinie und gleichzeitig in wenige Einzelklänge auf, die sie wieder und spalten. Eine solche Empfindung kann auf künstlichem Wege nicht gezüchtet werden, und damit ist gesagt, daß nur die Erfindung aus dem Stegreif die Einheit der Auskomponierung gewährt. So wäre den dem Begriff der Sonatenform, um das Allgemeine richtiger auszudrücken, noch hinzuzufügen: Daß Ganze

A palavra *improvisação* (*Stegreif*) ocupa a posição de um termo técnico na obra de Schenker. Nela, *improvisação* significa: “a criação das partes a partir da unidade do som principal” (Schenker 1926, p. 45). Nesse sentido, o conceito de *improvisação* se fundamenta sobre o conceito de *organismo*. A *improvisação*, esse desenvolvimento orgânico da obra, do *material* musical a partir de si mesmo, em um movimento de dentro para fora, em certo sentido, autônomo, se contrapõe a um modo mecânico de desenvolvimento da composição, compreendida como uma imposição de modelos pré-estabelecidos e, portanto, vazios, na medida em que não apresentam uma relação específica com o conteúdo.

A doutrina schenkeriana da coerência orgânica se caracteriza, desse modo, pela exigência de uma relação forte entre forma e conteúdo. Ou seria, talvez, mais acertado dizer: pela ausência de uma distinção entre forma e conteúdo. Para Schenker, a forma seria uma consequência necessária do conteúdo, nesse sentido, ele acusa a teoria musical de, ao separar a forma do conteúdo, tomar a forma como uma mera reunião das partes, de pensar a forma como extensão (número de compassos), e, portanto, a composição como mera conjunção de frases, a frase como mera conjunção de incisos, e, por consequência, de pensar a tarefa da análise musical não como interpretação (crítica), mas como uma técnica. De acordo com tal concepção, a análise musical pode ser identificada com uma segmentação da obra que a toma por um aglomerado de frases de um determinado tamanho, indistintas no tocante ao conteúdo.

Schenker defende que a forma musical deva ser fruto do desenvolvimento interno, da música a partir de si mesma. Um desenvolvimento que se origina nas camadas de condução de vozes (*Stimmführungsschichten*) mais profundas e que se espalha por todas as camadas em direção ao plano frontal (*Vordergrund*).⁹ Um

muß aus dem Stegreif erfunden sein, wenn es nicht nur eine Klitterung von einzelnen Teilen und Motiven im Sinne eines Schemas sein soll” (Schenker 1926, p. 45–46; 1996, p. 23).

⁹ Embora Barros e Gerling (2020, p. 23) optem por traduzir *Schicht* por *nível* ou *plano*, o termo aparece no *Prefácio* do mesmo livro traduzido também como *camada* (Barros; Gerling 2020, p. i). No *Prefácio*, escrito pela professora Ilza Nogueira, utiliza-se a expressão “camadas de transformação”, expressão que corresponde ao termo alemão *Verwandlungsschichten*, e que, portanto, traduz *Schicht* por *camada*. Cabe notar ainda que Barros e Gerling utilizam a palavra *nível* como tradução tanto de *Schicht* quanto de *Grund* ao traduzir *Hintergrund*, *Mittelgrund* e *Vordergrund*, respectivamente, por *nível fundamental*, *nível intermediário* e *nível frontal* (2020, p. 23). No entanto, embora o significado dos termos *Schicht* e *Grund*, no contexto em que Schenker os utiliza, seja semelhante, ele não é idêntico. O *plano* (*Grund*) constitui uma noção mais ampla do que a de *camada* (*Schicht*) na medida em que um plano pode conter mais de uma camada, como, de fato, muitas vezes acontece com o plano médio (*Mittelgrund*). Por conta dessa diferença, e levando em conta as particularidades dos termos escolhidos por Schenker (cf. Nabuco; Freitas 2021, p. 134–135) reservamos *plano* para traduzir a palavra *Grund* dentro das expressões *Hintergrund*, *Mittelgrund* e *Vordergrund*, e *camada* ou *nível* como tradução de *Schicht*.

desenvolvimento que se manifesta na correspondência entre os acontecimentos do plano frontal, ou primeiro plano, e os acontecimentos do plano de fundo (*Hintergrund*). A relação das camadas de condução de vozes entre si, uma relação orgânica – o que significa, portanto, uma relação causal – constitui o aspecto essencial daquilo que Schenker veio a propor como uma *Nova Teoria das Formas*. Ao conceber o primeiro plano de uma obra como resultado, como efeito ou consequência de acontecimentos mais simples que têm lugar em níveis mais profundos, Schenker coloca o problema das formas musicais sob uma nova perspectiva. Seria esse o aspecto mais propriamente inovador de sua concepção acerca das formas musicais: a relação causal entre os acontecimentos pertencentes aos diferentes planos.

A novidade na exposição das formas que se segue se encontra na derivação de todas as formas, enquanto um primeiro plano [*Vordergrund*] mais externo, a partir do plano de fundo [*Hintergrund*] e do plano médio [*Mittelgrund*]. No decurso da exposição anterior descrevi repetidamente a forma como *consequência última* da coerência trazida pelo plano de fundo [*Hintergrund*], plano médio [*Mittelgrund*] e primeiro plano [*Vordergrund*] (ver §§25, 26, 29, 33, 40, 94, 101, 103, 111 etc.), assim, repito e insisto nisso aqui também, a fim de colocar, o mais enfaticamente possível, a diferença desta nova doutrina das formas com todas as anteriores sob a luz adequada (Schenker 1935, p. 210).¹⁰ [grifo nosso].

Essa relação entre plano de fundo, plano médio e primeiro plano é consumada exemplarmente pelo conceito que Schenker nomeia *interrupção da linha originária* (*Urlinie*).¹¹

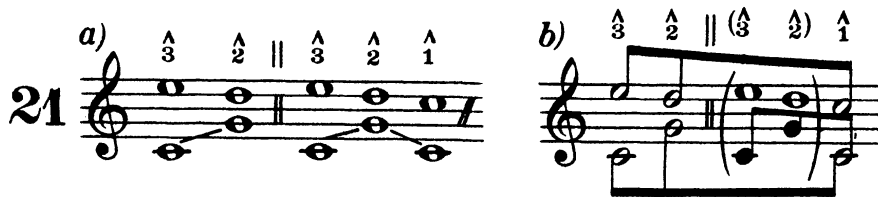
1. O conceito de *interrupção* como princípio da forma sonata

O conceito de *interrupção* (*Unterbrechung*) é da maior importância para uma discussão da forma sonata na medida em que Schenker reconhece nele a origem dessa forma musical. A *interrupção* é um acontecimento que pertence aos níveis mais profundos (Ex. 1), mais precisamente àquilo que Schenker denomina primeira camada (*erste Schicht*), isto é, a primeira camada transformacional (*Verwandlungsschichten*) a

¹⁰ “Das Neue in der nachfolgenden Darstellung der Formen liegt in der Ableitung aller Formen als eines äußersten Vordergrundes von dem Hinter- und Mittelgrund. Habe ich schon im Verlaufe der früheren Darstellung wiederholt die Form als äußerste Auswirkung des von Hinter-, Mittel- und Vordergrund getragenen Zusammenhanges bezeichnet (s. §§25, 26, 29, 33, 40, 94, 99, 101, 103, 111 usw.), so wiederhole und betone ich es auch an dieser Stelle, um so eindringlich wie möglich den Unterschied dieser neuen Formenlehre von allen früheren ins richtige Licht zu setzen.” (Schenker 1935, p. 210; 1977, p. 130; 1993, p. 131, §306).

¹¹ Sobre a possibilidade de tradução dos termos *Urlinie* e *Ursatz* por *linha originária* e *contraponto originário* cf. Nabuco; Freitas 2021, p. 125–148. Observa-se ainda que o presente artigo integra uma pesquisa em andamento.

partir do plano de fundo (*Hintergrund*), pertencente, portanto, ao plano médio (*Mittelgrund*), e apresenta grande implicação sobre a divisão formal de uma peça.



Exemplo 1: Representação do conceito de *interrupção*, figuras 21a) e b) do *Free Composition* (*Der freie Satz*)

A interrupção divide a linha originária em dois segmentos: no caso da linha que tem o $\hat{3}$ como nota primária (*Kopftone*)¹², a *interrupção* resulta em um primeiro segmento $\hat{3}-\hat{2}$, e em um segundo, $\hat{3}-\hat{2}-\hat{1}$, tendo o $\hat{2}$ como único ponto de interrupção possível. Segundo Schenker, a interrupção tem o efeito de uma primeira tentativa, que fracassa, na direção de um objetivo e, por isso, tende a aumentar a expectativa da chegada do $\hat{1}$.¹³ A interrupção dá origem a formas musicais com duas ou três partes, sendo a origem da forma canção e também da forma sonata. Mas, diferentemente da

¹² O termo alemão *Kopftone* – no inglês, *primary tone*, e no francês, *note de tête* – é traduzido por Barros e Gerling (2020, p. 25) como *nota primária* ou *tom melódico principal*. A tradução francesa, mais literal – *Kopf* significa *cabeça* (Epple 2015, p. 979) –, preserva certa conotação da terminologia alemã que a tradução inglesa perde: a remissão ao caráter orgânico da obra musical por meio da comparação da vida lógica da música com a vida do homem e com a vida animal de um modo geral. Uma comparação que assume, neste ponto, características físicas. Além disso, a tradução inglesa sugere que a nota da cabeça da linha originária (*Kopftone*) tenha prioridade ou primazia sobre a própria tônica. Conforme argumenta Anderson: “A tradução de Oster de *Kopftone* também é problemática. Seu termo, ‘nota primária’, herdado de escritores anteriores na área da teoria de Schenker, dá uma implicação de prioridade a este componente da progressão linear. Uma tradução literal de *Kopftone*, ‘nota da cabeça’ (‘head tone’), evitaria qualquer implicação deste tipo” (Anderson 1983, p. v). Por essas razões, defendemos que seria apropriado que se realizasse uma tradução mais próxima da terminologia original alemã, e que, portanto, se utilizasse em nossa língua a expressão *nota da cabeça*.

¹³ “Porque a progressão linear $\hat{3}-\hat{1}$ da linha originária [*Umlinie-Zug* $\hat{3}-\hat{1}$] permite apenas uma única forma de articulação, a interrupção $\hat{3}-\hat{2} || \hat{3}-\hat{2}-\hat{1}$, a primeira sucessão $\hat{3}-\hat{2}$ aparece como uma primeira tentativa da progressão linear da linha originária [*des Umlinie-Zuges*].” [“*Deshalb gestattet der Umlinie-Zug $\hat{3}-\hat{1}$ nur die eine Form der Gliederung, die Unterbrechung $\hat{3}-\hat{2} || \hat{3}-\hat{2}-\hat{1}$, bei der die erste Folge $\hat{3}-\hat{2}$ wie ein erster Versuch des Umlinie-Zuges erscheint*”] (Schenker 1935, p. 65; 1977, p. 36; 1993, p. 49, §87). “Assim, a interrupção não apenas cria mais conteúdo, mas também o efeito de um retardamento, de um atraso no caminho em direção ao objetivo último $\hat{1}$.” [“*die Unterbrechung schafft also nicht nur mehr Inhalt, sondern auf dem Wege zum letzten Ziel $\hat{1}$ auch die Wirkung einer Aufhaltung, Retardation.*”] (Schenker 1935, p. 66; 1977, p. 37; 1993, p. 49, §90). “A interrupção se presta a isso, a intensificar a expectativa em relação ao $\hat{1}$ ” [“*Die Unterbrechung eignet sich dazu, die Spannung zur $\hat{1}$ zu steigern*”] (Schenker 1935, p. 68; 1977, p. 39; 1993, p. 51, §94). Cf. também Barros; Gerling 2021, p. 17–18.

forma canção, que pode ter origem tanto na interrupção, quanto na mistura (*Mischung*), quanto também na nota vizinha (*Nebennote*), a forma sonata se origina necessariamente a partir de uma interrupção.¹⁴

A Fig. 22a) do *Free Composition (Der freie Satz)* (Ex. 2b) mostra o caso concreto de uma linha originária interrompida representado pelo Coral *Ich bin's, ich sollte büßen* (*Sou eu, eu deveria pagar*), BWV 244, nº16, de J. S. Bach. O Ex. 2a mostra a partitura do Coral contendo indicações gráficas correspondentes àquelas feitas por Schenker no gráfico da Fig. 22a) (Ex. 2b).

Comp.: 1 2 3 4 5 6
(Fermatas: 3 2 ||)

Ich bin's, ich soll - te bü - ßen, an Hän den und an Fü - ßen ge - bun den in der Höll.

Die Gei - ßeln und die Ban - den und was du aus - ge - stan - den, das hat ver - die - net mei - ne Seel.

Exemplo 2a: Partitura do Coral *Ich bin's, ich sollte büßen*, contendo indicações gráficas correspondentes às da Fig. 22a) (Ex. 2b) do *Free Composition (Der freie Satz)*

¹⁴ “Apenas o prolongamento da articulação [i. e., da interrupção] conduz à forma sonata. Nisso se manifesta a sua diferença em relação à forma canção, que pode também vir a ser obtida ainda por meio de uma mistura ou por meio de uma nota vizinha.” [“Zur Sonatenform führt nur die Prolongation der Gliederung. Darin drückt sich der Unterschied gegenüber der Liedform aus, die auch noch durch Mischung oder durch eine Nebennote erzielt werden kann.”] (Schenker 1935, p. 216; 1977, p. 134; 1993, p. 134, §312).

Exemplo 2b: Representação do conceito de *interrupção* a partir de um caso concreto, o Coral *Ich bin's, ich sollte büßen*, figura 22a) do *Free Composition (Der freie Satz)*

Esse Coral (Ex. 2a) apresenta uma melodia com a duração de seis compassos que vem a ser repetida. A interrupção da linha originária coincide, no primeiro plano, com o final da primeira apresentação da melodia (marcado pela semicadência ao fim do terceiro verso) e com o início da sua reapresentação (c. 6). Schenker ressalta que é possível reconhecer a interrupção apesar do movimento do baixo aparentemente se contrapor a ela, na medida em que o ponto de interrupção ocorre simultaneamente a uma *progressão linear de quarta (Quartzug)* ascendente no baixo, entre os compassos 6 e 11.¹⁵ O movimento dessa progressão linear (*Zug*)¹⁶ transcende

¹⁵ “Em a) [Ex. 2b] encontra-se uma interrupção muito embora o baixo execute, contrariamente a ela, a progressão linear de quarta Mi_b-Lá_b, cf. *Cinco Análise Gráficas*” [Bei a) liegt eine Unterbrechung vor, trotzdem der Baß gegen sie den Quartzug Es-As ausführt, vgl. „Fünf Urlinie-Tafeln“] (Schenker 1935, p. 65; 1977, p. 36; 1993, p. 49, §88).

¹⁶ O termo *Zug* possui múltiplos significados podendo significar trem, comboio, cortejo, parada, procissão, coluna, pelotão, bando (coletivo de pássaros), puxada, puxão, golpe, lance (de um jogo), fôlego, tragada (cigarro), trago (bebida), mas também, traço: de caráter, de personalidade, ou facial, ou ainda o traço de um desenho ou da própria escrita, nesse sentido, como sinônimo de *Schrißzug* (Epple 2015, p. 1290). O sentido específico no qual Schenker utiliza a palavra é explicitado por Meeùs na seguinte passagem: “O termo em alemão utilizado por Schenker é *Zug*, palavra muito polissêmica que significa ‘linha’, mas também ‘traço’, tanto no sentido de um traçado quanto no sentido de uma flecha: a linha conjunta [*Zug*] é uma linha que se dirige a um objetivo” (Meeùs 2008, p. 18, nota de rodapé nº 8, não publicado). O termo *Zug* é usado por Schenker em referência a movimentos melódicos por grau conjunto. O conceito é explicado assim por Meeùs: “Na concepção schenkeriana, um movimento disjunto é sempre da ordem de um arpejo: ele representa uma passagem de uma nota do acorde a outra, então de uma voz do contraponto a outra. As notas de passagem formam *linhas conjuntas* [*Züge*]. A procura destas linhas é um dos elementos importantes da análise schenkeriana. Elas são o resultado do preenchimento de arpejos com notas de passagem: é preciso deduzir disto que uma linha conjunta [*Zug*] liga necessariamente duas notas diferentes de um mesmo acorde” (Meeùs 2008, p. 18, não publicado). O termo foi traduzido para o francês como *ligne coinjointe* e para o inglês como *linear progression*. Embora majoritariamente aceita, existem divergências em relação à tradução inglesa não apenas no meio acadêmico europeu, mas também no estadunidense (cf. Slatin 1977, p. 182; e Anderson 1983, p. iv–v). Anderson, por exemplo, argumenta: “A tradução de Oster do termo é ‘progressão linear’ e, por ser bastante desajeitada, ele usou ‘progressão’ como a forma abreviada. ‘Progressão linear’ é bastante aceitável como tradução de *Zug*, mas ‘progressão’, por se sobrepor a outros usos no campo musical, não é. A forma abreviada utilizada aqui será, portanto, ‘linha’.” (Anderson 1983, p. v). No sentido em que é

a fermata no compasso 6, contrapondo-se não só à interrupção da linha originária, mas também à pontuação musical sugerida pelos versos.

A Fig. 22b) do *Free Composition (Der freie Satz)* (Ex. 3b) apresenta outro caso concreto de interrupção da linha originária: *Aus meinen Tränen spritzen (Das minhas lágrimas brotam)*, *Dichterliebe (Amor de Poeta) n.º2*, Op. 48, de Robert Schumann (1840), segunda de um ciclo de dezesseis canções sobre poemas de Heinrich Heine. O Ex. 3a mostra a partitura contendo intervenções gráficas correspondentes às indicações feitas por Schenker na Fig. 22b) (Ex. 3b). Neste caso a interrupção dá origem, no primeiro plano, a uma forma canção com três partes, A_1-B-A_2 . A parte *B* é compreendida por Schenker como uma espécie de aposto em relação ao movimento da linha originária, assinalado por parênteses na descrição dos graus sob o terceiro pentagrama do Ex. 3b (c. 9 a 12). Esse aposto é constituído, no plano médio, por uma progressão linear de terça cromática descendente, $Sol\sharp-Sol\flat-F\sharp-Mi\sharp-Mi\flat$. Essa progressão linear aparece no gráfico do primeiro plano como uma voz interna, cercada por um movimento por nota vizinha, $Si-D\sharp-Si$, na voz superior, e por um movimento descendente por terças, $Mi-D\sharp-L\flat$, no baixo.

O comentário de Schenker em relação a esta figura (Ex. 3b) menciona o movimento realizado pelo baixo durante esse aposto como um prolongamento do gesto de retorno à tônica, o movimento $V-I$.¹⁷ Portanto, o movimento do baixo que, no plano médio, aparece como um movimento por terças é sustentado, no plano de fundo, por um movimento por quintas.

utilizada por Schenker, *Zug* significa, portanto, *linha* ou *traço*. Considerando-se que, no texto de Schenker, a palavra *Zug* aparece como sinônimo para *Linie*, para cuja tradução reserva-se a palavra *linha*, compreendemos que a escolha mais apropriada, no sentido de buscar uma correspondência com a terminologia original alemã e não com a sua tradução inglesa, seja traduzir *Zug* pela palavra *traço*. Uma tradução conceitualmente rigorosa e, a nosso ver, estilisticamente elegante, embora divergente da opção comumente encontrada em publicações brasileiras.

¹⁷ “Em b) o baixo realiza um arpejo de quinta através da terça, sem, no entanto, abolir a interrupção (cf. §189)” [*bei b) führt der Baß eine Quintbrechung durch die Terz abwärts aus, ohne aber die Unterbrechung aufzuheben (vgl. § 189)*] (Schenker 1935, p. 65; 1977, p. 36; 1993, p. 49, §88). Cf. o §189 de *Der Freie Satz* (Schenker 1935, p. 113; 1977, p. 69–70; 1993, p. 78).

Comp.: 1 2 3 4 5 6 7 8
 (Fermatas: 3 2 1)



Aus mei nen Trä nen sprie-ßen viel blü ben-de Blu men ber- vor, und mei- ne Seuf zer wer den ein Nach- ti- gal len chor. Und wenn du mich lieb hast, Kind- chen, schenk' ich dir die Blu men all', und vor dei nem Fens ter soll kin- gen das Lied der Nach-ti- gall.

Exemplo 3a: Partitura de *Aus meinen Tränen sprissen*, contendo indicações gráficas correspondentes às da Fig. 22b (Ex. 3b) do *Free Composition (Der freie Satz)*

Schumann, "Aus meinen Tränen sprissen" (*Dichterliebe*, no. 2)

b)



Fgd. I (A1) — IV (cons. p.t.) — V-I V-(B) — I (A2)

Exemplo 3b: Representação do conceito de *interrupção* a partir de um caso concreto: *Aus meinen Tränen sprissen*, Fig. 22b) do *Free Composition (Der freie Satz)*

No Ex. 3b Schenker destaca ainda alguns dos acontecimentos que têm lugar nesse aposto por meio de um sinal distintivo: um ponto de exclamação colocado entre duas chaves (c. 11 e 12). O fato é digno de nota pois mostra como, ao determinar o plano de fundo como causa, Schenker valoriza os acontecimentos em primeiro plano: o ponto de exclamação parece indicar a engenhosidade harmônica contida nesse aposto, algo que podemos descrever mais ou menos assim: a segunda chave destaca o acorde de C#, que prepara F#m, mas realiza uma resolução deceptiva em direção ao A, em princípio, o I grau. Assim, a expectativa que o C# gera é duplamente frustrada na medida em que acaba por encontrar o A⁷, outro acorde de preparação, que inicia o segmento A₂. Com isso, o movimento por terças do baixo, Mi–Dó#–Lá, que, no plano médio, constitui o arpejo descendente do acorde principal, efetiva-se no primeiro plano como uma preparação cuja resolução, ao ser sucessivamente postergada, potencializa o esperado repouso. O acorde de C# destaca-se ainda por sua ambiguidade, pela pluralidade de sentido que encontra nele uma espécie de ponto culminante na medida em que funciona como pivô entre as áreas tonais sugeridas no segmento (c. 9 a 17): Fá# menor, Ré maior e, por fim, o esperado Lá maior.

Os comentários a respeito do Coral e da canção, que tiveram lugar aqui a partir de uma discussão acerca do conceito de *interrupção*, ilustram a concepção orgânica da forma defendida por Schenker marcada pela exigência de que a forma seja consequência do desenvolvimento do conteúdo musical. A possibilidade da compreensão de uma obra musical enquanto uma unidade, representada pelo contraponto originário, implica em uma crítica à fundamentação do conceito de *forma* sobre o conceito de *motivo*. Crítica que envolve a acusação de uma segmentação excessiva da obra musical e da consequente interpretação do todo como a mera coleção das partes.

2. Sobre o problema do motivo como fundamento da forma

Ao se dedicar a identificar os menores elementos que constituiriam a composição, a teoria musical não dedicaria o mesmo esforço na síntese necessária para a compreensão da obra naquilo que ela tem de mais próprio. Essa crítica, entretanto, não envolve uma acusação personalizada, mas a acusação contra uma concepção da qual o próprio Schenker foi partidário. Em seu *Tratado de Harmonia (Harmonielehre)*, primeira parte de suas *Novas Teorias e Fantasia Musicais*, Schenker, logo nos primeiros parágrafos, escreve:

§2

Mas de onde a música deveria tomar a necessária associação de ideias, uma vez que a própria natureza lhe negou? De fato, a obtenção do material para as associações de ideias tomou por direito, sob dificuldades inauditas, muitos séculos e todo um mundo de experimentações. Por fim se descobriu também a associação de ideias na música: era o motivo [*Motiv*].

O motivo e apenas ele é a associação de ideias característica da qual a música, afinal, dispõe. Ele é a primeira associação fundamental e, acima de tudo, *endêmica*. O motivo é, desse modo, conclamado a desempenhar na música aquilo que, nas outras artes, foi recebido como uma dádiva, nomeadamente, a eterna e grandiosa associação de ideias da natureza.

§3

Apenas com a descoberta e adoção do motivo a música é efetivamente transformada em arte. Assim, em si mesma fortificada e consolidada, na posse tranquila de um princípio imutável, que não se perderia jamais, a partir de agora, ela poderia deixar em segundo plano todas aquelas associações externas que, anteriormente, por breves momentos, foram capazes de fecundá-la, como, por exemplo, a palavra ou a dança. Desse modo, foi permitido a ela, mesmo sem o modelo da natureza, simplesmente com a ajuda do motivo, por fim, ser arte, sem que, no entanto, lhe faltassem estímulos de outras espécies, que lhe transmitissem as associações da natureza de segunda mão, por assim dizer* (*O modo como se expressa a natureza secundária dessas associações externas, nomeadamente, na música programática, será tratado em outro lugar).

§4

O motivo é uma série de notas [*Tonreihe*] obtida pela repetição [*Wiederholung*]. Qualquer série de notas pode se tornar um motivo, entretanto, ele é reconhecido como tal apenas quando a repetição se segue *imediatamente*. Enquanto, porém, não houver repetição imediata, mesmo que, posteriormente, em algum ponto da obra de arte, uma série seja elevada à categoria de motivo, ela deve ser considerada preliminarmente apenas como uma parte integrante dependente de um todo maior.

Apenas a repetição é capaz de elevar uma série de notas a algo determinado, apenas ela é capaz de esclarecer quem é essa série e a que ela almeja; assim, é a repetição que, de fato, proporciona à série original a mesma função que as mencionadas associações de ideias da natureza proporcionam às criações das outras artes (Schenker 1906, p. 4–5).¹⁸

¹⁸ “§2 [*Motiv als einzige Ideenassoziation der Musik*] Woher aber sollte die Musik die nötigen Ideenassoziationen nehmen, da die Natur selbst sich ihr verweigert hat? In der Tat nahm die Beschaffung des Materials an Ideenassoziationen unter unerhörten Schwierigkeiten eine ganze Welt von Experimenten und viele Jahrhunderte in Anspruch. Endlich wurde auch die Ideenassoziation der Musik entdeckt: es war das Motiv. Das Motiv und nur dieses allein ist die einzige Ideenassoziation überhaupt, die die Musik aufweist. Sie ist die erste grundlegende und vor allem eingeborene Assoziation. Das Motiv ist solcherart berufen, der Musik das zu ersetzen, was den anderen Künsten zum Segen geworden, nämlich die ewige und gewaltige Ideenassoziation der

O motivo (*Motiv*), enquanto aquilo que possibilita a associação de ideias na música, foi considerado por Schenker, em correspondência ao pensamento de uma época, como aquilo que possibilita a coerência (unidade) do discurso musical. Segundo Schenker, o que determina o motivo enquanto motivo é a repetição, constituindo o cerne desse conceito e, portanto, da própria linguagem musical. Enquanto a possibilidade de estabelecimento de um nexos, de uma ligação entre os distintos acontecimentos, o motivo foi pensado como o responsável pela conquista de uma lógica, como aquilo que estabelece uma continuidade entre o acontecimento musical que antecede e o que se sucede, e que propicia a existência de uma relação causal entre as partes. Nesse sentido, o motivo fundamentaria a compreensibilidade do discurso musical. A partir do motivo a música faria sentido por ela mesma, dispensando a necessidade de uma remissão a qualquer coisa que não a ela mesma. O motivo: o elemento propriamente musical, responsável por elevar a música à condição de uma arte autônoma. De acordo com essa interpretação, o conceito de *motivo* representaria uma espécie de correlato ao conceito de *substância* (ὕποκειμενον): o substrato, aquilo que subjaz às mudanças e que permite reconhecer a unidade da peça musical, a sua identidade, a conexão entre os diversos acontecimentos que se sucedem uns aos outros. O motivo, ou sujeito, enquanto a essência da composição, representaria, desse modo, a *causa formal*,¹⁹ a origem e o fundamento da composição musical.

Ao pensar o motivo como “a associação de ideias característica da música”, a posição defendida por Schenker não parece divergir daquela defendida pela teoria das

Natur. §3 [Kunstwerdung der Musik] Erst mit der Entdeckung und Einführung des Motivs ist die Musik wirkliche Kunst geworden. So in sich selbst erstarkt und gefestigt, im ruhigen Besitz eines unwandelbaren, nicht mehr zu verlierenden Prinzips, konnte sie alle jene externen Assoziationen, die sie auch schon vorher für kurze Momente zu befruchten vermochten, wie z. B. die des Wortes oder des Tanzes, nunmehr in die zweite Linie stellen. Auf diese Art war sie endlich befähigt, auch ohne Vorbild der Natur, bloß mit Hilfe des Motivs, Kunst zu sein, ohne indessen Anregungen anderer Art zu entbehren, die ihr die Assoziationen der Natur gleichsam aus zweiter Hand vermittelten*). *) Wie sich die sekundäre Natur dieser externen Assoziationen in der Musik, namentlich in der Programmmusik, äußert, davon wird noch an anderer Stelle gehandelt werden. §4 [Wiederholung als Prinzip des Motivs] Motiv ist eine Tonreihe, die zur Wiederholung gelangt. Jede Reihe von Tönen kann Motiv werden, jedoch ist sie als solches erst dann anzuerkennen, wenn die Wiederholung unmittelbar folgt. Solange aber die sofortige Wiederholung fehlt, ist die Reihe, selbst wenn sie nachträglich irgendwo im Kunstwerk zum Range eines Motivs erhoben wird, vorläufig nur als unselbständiger Bestandteil eines höheren Ganzen zu betrachten. Erst die Wiederholung vermag eine Reihe von Tönen zu etwas Bestimmtem zu erheben, erst sie vermag zu erläutern, wer die Reihe ist und was sie will; eigentlich also ist es die Wiederholung, welche der ursprünglichen Reihe denselben Dienst leistet, wie die erwähnten Ideenassoziationen der Natur den Schöpfungen der anderen Künste” (Schenker 1906, p. 4–5; 1968, p. 4–5).

¹⁹ Causa formal: a ideia. A expressão *causa formal* remete à doutrina das quatro causas de Aristóteles (1998, p. 18, 983a20).

formas. A compreensão do motivo como a possibilidade do estabelecimento de uma relação causal dentro da música aparece como o fundamento da análise fraseológica contra a qual Schenker iria posteriormente se insurgir, notadamente, a partir do início dos anos de 1920, com a publicação da sua análise da Sonata Op. 101 de Beethoven (1921) e do *Der Tonwille* (1922–1924), trabalhos que marcam o estabelecimento do conceito de *linha originária* em sua obra. Faz-se referência neste momento à linha originária na medida em que tal conceito implica o reconhecimento de uma relação causal na música distinta daquela representada pelo motivo musical. É assim que, na terceira parte de suas *Novas Teorias e Fantasias Musicais*, Schenker escreve:

Assim como, na linguagem, raramente alguma coerência pode ser alcançada logo na primeira sílaba de uma palavra, na primeira palavra, na primeira frase, apesar da objetividade das palavras, toda coerência da linguagem, na medida em que constitui um plano de fundo, é inaparente, para a qual aqueles inícios certamente não são suficientes, tampouco, na música, alguma coerência pode ser alcançada por meio de um ‘motivo’ no sentido usual do termo! Portanto, todas as definições da forma canção que são fundadas sobre a noção de motivo, bem como sobre a manipulação do motivo por meio, por exemplo, de reexposição, variação, expansão, partição, dissolução e outros afins, devem ser aqui descartadas, assim como as noções de frase, grupo de frases, período, período duplo, tema, antecedente e conseqüente, etc. Na minha doutrina estes são integralmente substituídos por conceitos de forma específicos, determinados, a princípio, a partir do conteúdo do todo e das partes individuais: são os diferentes prolongamentos que conduzem a diferentes formas e à multiplicidade das partes (Schenker 1935, p. 212–213).²⁰

Os gênios abandonam-se confiantes à sua visão ampla; por isso não baseiam sua obra naquilo que comumente é chamado de “melodia”, “motivo” ou “ideia”, pelo contrário, o conteúdo é fundado nas transformações e nas progressões lineares [Zügen], cuja unidade, no entanto, não admite segmentações e nem nomes de segmentações (Schenker 1935, p. 51).²¹

²⁰ “So wenig in der Sprache ein Zusammenhang schon aus der ersten Silbe eines ersten Wortes, aus einem ersten Wort, aus einem ersten Satz gewonnen werden kann, da trotz dem Gegenständlichen der Worte jeder Zusammenhang in der Sprache gleichwohl ein Hintergründiges, Unanschauliches ist, dem mit jenen Anfängen gewiß noch kein Genüge geschehen kann, ebensowenig vermag in der Musik ein Zusammenhang schon aus einem „Motiv“ im gang und gäbe Sinn gewonnen werden! Also seien hier alle Bestimmungen von Liedformen verabschiedet, die auf das Motiv gegründet sind, wie z. B. auf eine Verarbeitung des Motivs durch Wiederholung, Variation, Erweiterung, Teilung, Auflösung u. dgl., ferner auf Satz, Satzreihe, Periode, Doppelperiode, Thema, Vorder- und Nachsatz usw. An ihre Stelle treten in meiner Lehre ganz bestimmte Formbegriffe, von vornherein im Inhalt des Ganzen und der Einzelteile festgelegt: Verschiedene Prolongationen sind es, die zu verschiedenen Formen in Mehrteiligkeit führen.” (Schenker 1935, p. 212–213; 1977, p. 131; 1993, p. 132, §308).

²¹ “Die Genies überlassen sich vertrauensvoll ihrem Weitblick; deshalb stellen sie ihr Werk nicht etwa auf das was gemeinhin „Melodie“, „Motiv“ oder „Einfall“ genannt wird, vielmehr ist der Inhalt in den Verwandlungen und

O posicionamento assumido por Schenker no *Tratado de Harmonia* (1906), a defesa do motivo como aquilo que propicia o estabelecimento de uma causalidade própria ao discurso musical, será posteriormente tema de revisão e de crítica, o que sugere uma espécie de *virada* ou *reviravolta* em seu pensamento. Cabe destacar que a recusa de Schenker em relação ao conceito de *motivo* não se refere propriamente a um abandono desse conceito, ou da sua definição a partir da ideia de repetição, o qual permanece válido e vigente na sua obra posterior,²² mas à negação de que o motivo possa ser compreendido como fundamento para a coerência (unidade) musical. Especificamente sobre a forma sonata, Schenker afirma:

Tal como na apresentação das formas canção, aqui também é necessário, primeiramente, rejeitar os conceitos e as designações das teorias convencionais: todas elas se prendem ao “motivo” e, por isso, são completamente imprecisas. Não por conta da quantidade de designações para a elaboração composicional [*Auskomponierung*] da nota primária da linha originária [*Urlinie-Kopftones*] que, desse modo, são oferecidas, como, por exemplo, primeira ideia [*erster Gedanke*], ideia principal [*Hauptgedanke*], tema principal [*Hauptthema*], frase principal [*Hauptsatz*], primeiro grupo temático [*Satzgruppe*] etc., mas porque essas designações, através das quais não se esclarece por que a primeira elaboração composicional segue apenas aqueles caminhos e nenhum outro, não correspondem à verdade. Mas isso advém do fato de que, por não saber ler as diminuições, essa teoria encontra nelas falsas unidades, secciona as existentes e impõe novas (Schenker 1935, p. 215–216).²³

O problema, portanto, não estaria propriamente na nomenclatura, isto é, na quantidade de nomes ligados à excessiva fragmentação do fenômeno musical. O reconhecimento de unidades musicais onde elas não se encontram seria apenas indício de outro engano: a procura por uma relação causal onde ela não pode ser estabelecida, entre os membros de uma frase ou período, que seriam, antes,

Zügen begründet, deren Einheit aber nicht Teile, also auch nicht Namen für Teile zuläßt.” (Schenker 1935, p. 51; 1977, p. 26–27; 1993, p. 40, §50).

²² Conforme fica claro no comentário sobre a análise de Schenker da Sonata Hob. XVI: 44 de Haydn que se segue, na qual Schenker utiliza constantemente a expressão diminuição-motivo (*Diminutionsmotive*). Cf. também a definição do conceito de *sobreposição* (*Uebergreifen*) em *Der Freie Satz*, especialmente §133, Schenker (1935, p. 82; 1977, p. 48; 1993, p. 59).

²³ “Wie bei der Darstellung der Liedformen ist auch hier zunächst nötig, die Begriffe und Bezeichnungen der üblichen Theorien abzulehnen: hängen sie doch alle mit dem „Motiv“ zusammen und sind deshalb völlig unbestimmt. Nicht daran also liegt es, daß z. B. für die Auskomponierung des Urlinie-Kopftones so viele Bezeichnungen geboten werden wie: erster Gedanke, Hauptgedanke, Hauptthema, Hauptsatz, Satzgruppe usw., sondern daran, daß diese Bezeichnungen die Wahrheit nicht treffen, daß nicht eine erklärt, weshalb denn die erste Auskomponierung nur solche Wege geht, keine anderen. Das kommt aber daher, daß diese Theorie die Diminution nicht zu lesen versteht, falsche Einheiten hineinliest, vorhandene zerschneidet und neue behauptet.” (Schenker 1935, p. 215–216).

diminuições (*Diminution*) ligadas a acontecimentos musicais mais simples – o que significa, necessariamente, mais profundos – os quais deveriam ser reconhecidos como causa para os acontecimentos em primeiro plano. Caracteriza-se, desse modo, a doutrina musical de Schenker como uma doutrina que aborda, de uma maneira singular, o problema da causalidade em música.

O termo *diminuição*, utilizado por Schenker em sua forma latina, *diminution*, conhecido também como *passaggi* ou *gorgi* (Itália), *glosas* (Espanha), *divisions* (Inglaterra), *doubles* (França), é uma designação para o processo de ornamentação ou embelezamento de notas mais longas por um número maior de notas mais curtas. O conceito de *diminuição*, enquanto fundamento para a noção de *camadas de condução de vozes*, constitui um conceito-chave para o pensamento de Schenker, para a sua compreensão da coerência, para o reconhecimento da relação de causalidade entre os acontecimentos pertencentes aos diferentes planos. O conceito de *diminuição* fundamenta a conexão entre notas que se encontram a uma certa distância, interpostas por diversas outras, determinando assim uma conexão de longo alcance. Esta ligação entre notas distantes, a percepção de gestos ou movimentos musicais subjacentes àqueles mais aparentes, pressupõe a possibilidade da existência de diferentes níveis em que o movimento musical acontece, de diferentes camadas de condução de vozes.²⁴

A relação de causalidade que teria sido predominantemente procurada em termos de uma sucessão temporal, de acordo com Schenker, pode ser estabelecida propriamente apenas nos termos de uma sucessão lógica. Assim, o papel que foi exercido pelo motivo enquanto causa, responsável pela unidade da composição musical, é agora atribuído, em última instância, ao contraponto originário. Apenas o contraponto originário – e, desse modo, a linha originária enquanto momento estrutural constitutivo do contraponto originário – pode ser propriamente compreendido como causa, como substância ou sujeito, como a *causa formal* da obra de arte musical. Este entendimento, constantemente afirmado por Schenker, é reiterado na seguinte passagem, na qual é feita uma referência explícita à linha originária como a *ideia*, e, portanto, como a *causa formal* da música por excelência:

Na linha originária [*Urlinie*] se consuma o milagre da criação em seu esplendor, ela sozinha é a musa de toda criação pela improvisação, de toda síntese, ela é o princípio e o fim da peça, em suma, a sua fantasia. Por meio dela o compositor se torna um visionário, ele é atraído na sua direção como para as mães originárias, e como que embriagado por suas orientações e ensinamentos, ele concede às notas

²⁴ Sobre *diminuição* cf. *Early Music Sources*, [The art of diminution in the 16th century - YouTube](#).

dela um destino gracioso, pleno de correspondência entre a vida individual delas e uma existência por detrás e acima delas (como uma “ideia platônica” na música), um destino repleto de zelo e norma e ordem, mesmo lá onde, em primeiro plano [*im Vordergrund*], apenas tumulto, caos ou dissolução parecem se mostrar (Schenker 1921, p. 23).²⁵

O esforço de Schenker em demonstrar a unidade da obra se opõe à fragmentação do fenômeno musical que se expressa na própria terminologia utilizada pela teoria das formas, na compartimentação que esta terminologia manifesta. A diferença entre essas perspectivas é problematizada no ensaio *Sobre o Orgânico da Forma Sonata*, inicialmente, a partir de um comentário ao primeiro movimento da Sonata nº32, em Sol menor, Hoboken XVI: 44 de Haydn.

3. O princípio orgânico da forma na Sonata Hoboken XVI: 44 de Haydn

Os comentários de Schenker a respeito do primeiro movimento da Sonata de Haydn se concentram sobre a primeira das três partes que compõe a forma sonata, designada *exposição* ou *seção principal*, apresentada pelo Ex. 4.

1

Moderato

5

²⁵ “In der Urlinie vollzieht sich das Schöpfungswunder im Großen, sie allein ist Muse aller Stegreifschöpfung, aller Synthese, sie ist Anfang, Ende des Stückes, dessen Phantasie überhaupt. In ihr wird der Komponist zum Seher, zu ihr zieht es ihn wie zu den Urmüttern, und wie trunken von ihren Auskünften und Weisungen bescheidet er seinen Tönen ein gnadenreiches Schicksal voll Übereinstimmung zwischen ihrem Eigenleben und einem über und hinter ihnen Seienden (als einer „platonischen Idee“ in der Musik), ein Schicksal voll Zucht und Sitte und Ordnung selbst dort, wo im Vordergrund sich Aufruhr, Chaos oder Auslösung zu zeigen scheint.” (Schenker 1921, p. 23; 2004, p.22).

9

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Exemplo 4: Exposição (c. 1 a 31) do primeiro movimento da Sonata Hob. XVI: 44 de Haydn (1771–73)

A *Fig. 1* do ensaio de Schenker (Ex. 6), que se divide em duas imagens, designadas pelas letras *a*) e *b*), representa, por meio da diferença entre essas duas imagens, aquilo que Schenker descreve como o desenvolvimento lógico do primeiro movimento da sonata de Haydn. A letra *a*) mostra uma representação do contraponto originário, enquanto a letra *b*) mostra uma camada de condução de vozes pertencente ao plano médio. No que diz respeito à trajetória da doutrina musical de Schenker, a observação dessa imagem (Ex. 6) revela um aspecto relevante: embora contenha a representação de uma forma sonata, não se encontra nela a interrupção da linha originária, acontecimento que em *A Composição Livre* Schenker viria a estabelecer como a origem desta forma musical. Embora, no ensaio de 1926, Schenker não faça menção ao conceito de *interrupção*, cabe destacar a semelhança entre a representação do contraponto originário do primeiro movimento da sonata de Haydn (Ex. 6, letra *a*) e a *Fig. 26a*) de *A Composição Livre* (Ex. 5), que ilustra um tipo particular de interrupção: em tonalidades menores, na forma da linha originária em que o $\hat{5}$ constitui a nota primária, Schenker menciona a possibilidade de que essa nota (*Kopfton*) apareça acima do $\hat{2}$ no momento da interrupção.²⁶

a)

in minor:

I — III^{#5} — V^{#3} I — V I

(= a₁ — b — a₂ —)

(= Exposition — Development — Recapitulation —)

Exemplo 5: Tipo particular de interrupção da linha originária em que a nota primária (*Kopfton*) aparece acima do $\hat{2}$, *Fig. 26a*) de *Free Composition (Der Freie Satz)*

²⁶ Cf. os §§95–99 de *A Composição Livre* (1935, p. 68–70; 1977, p. 39–40; 1993, p. 51–52).

Exemplo 6: Primeiro movimento da Sonata Hob. XVI: 44 de Haydn, Fig.1 do ensaio *Sobre o Orgânico da Forma Sonata*

Nessa imagem (Ex. 6, letra *b*) Schenker apresenta uma nomenclatura utilizada em relação à forma sonata, comparando-a com a sua representação da coerência orgânica. O trecho que inclui os primeiros quatro compassos é discriminado pela denominação *erster Ged.* A palavra *Gedanke*, que aparece abreviada, significa *ideia, pensamento*.²⁷ A expressão *erster Gedanke, primeira ideia*, é utilizada para designar a seção que, algumas vezes, também é chamada de *primeiro tema, primeiro grupo temático* ou *primeiro sujeito* de uma sonata. A denominação *Mod.*, abreviação da palavra *Modulation*, indica acontecimentos algumas vezes chamados de *transição* ou *ponte* e que, nesse movimento, têm lugar do compasso 5 ao 12. A expressão *zweiter Ged.*, abreviação para *zweiter Gedanke, segunda ideia*, também denominada *segundo tema, segundo grupo temático* ou *segundo sujeito*, demarca os acontecimentos entre os compassos 13 e 30. O termo *Durchführung*, literalmente *execução, realização, efetivação*,²⁸ muitas vezes chamado de *desenvolvimento*, e que representa a segunda das três partes que constituem a forma sonata,²⁹ indica os acontecimentos entre os compassos 31 e

²⁷ Epple 2015, p. 879.

²⁸ Epple 2015, p. 812. Sobre o termo *Durchführung*, e sobre os problemas relativos à sua tradução ver o comentário de Marden Maluf (1999, p. 70) em sua tradução do *Harmonia (Harmonielehre)* de Arnold Schoenberg.

²⁹ Cf. o §314 de *Der Freie Satz*, Schenker (1935, p. 220; 1977, p. 136; 1993, p. 136).

52. Por fim, a palavra *Wiederholung*, literalmente *repetição, recapitulação, revisão*,³⁰ por vezes referida como *reexposição*, terceira parte da forma sonata, indica os acontecimentos que têm lugar do compasso 52 até o fim do movimento. Entretanto, de acordo com a escuta proposta por Schenker, tudo o que ocorre entre os compassos 1 a 52, abrangendo *primeira ideia, modulação, segunda ideia e desenvolvimento*, constitui a elaboração composicional das primeiras notas da linha originária. Desse modo, ao comparar procedimentos descritivos distintos, Schenker enfatiza a unidade subjacente à obra musical em contraste com uma nomenclatura que tende à sua fragmentação. Nas suas palavras:

Embora a figura b) empregue as denominações convencionais para as seções formais: 1ª ideia [1. *Gedanke*], modulação [*Modulation*], 2ª ideia [2. *Gedanke*], desenvolvimento [*Durchführung*] e reexposição [*Wiederholung*], para além disso, ela revela também o sentido mais profundo do movimento, uma vez que ela indica a coerência com as primeiras elaborações composicionais [*Auskomponierungen*] do contraponto originário [*Ursatz*] a). Não basta simplesmente ler as mudanças de tonalidade em primeiro plano [*Vordergrund*], como a teoria o faz, é também absolutamente necessário saber ainda que força impulsiona as mudanças de tonalidade e proporciona a unidade do todo. Haydn não conhecia ainda uma teoria das formas assim como nós conhecemos; a nova vida que ele gerou, ele criou a partir da vida de seu próprio espírito. A linha originária [*Urlinie*] e o arpejamento do baixo [*Baßbrechung*] o dominaram com a força de um instinto natural e deles ele retirou também o ímpeto genial para ter o domínio do todo enquanto uma unidade. Mas onde na teoria anterior se encontra ao menos indícios de tal caminho para a unidade? É certo que ela também prega incansavelmente o orgânico, embora apenas com as palavras baratas de uma esperança devota; na verdade, ela não conhece ainda a essência do orgânico musical e, por isso, também não é capaz de indicar os meios que conduzem ao orgânico (Schenker 1926, p. 46–47).³¹

³⁰ Epple 2015, p. 1268.

³¹ “Zwar wendet das Bild b) die üblichen Bezeichnungen der Formteile an: 1. *Gedanke*, *Modulation*, 2. *Gedanke*, *Durchführung* und *Wiederholung*, doch enthüllt es darüber hinaus auch den tieferen Sinn der Bewegung, da es ihren Zusammenhang mit den ersten *Auskomponierungen* im *Ursatz* a) zeigt. Es genügt eben nicht, vom *Vordergrund* den *Tonartenwechsel* abzulesen, wie die Theorie es tut, es ist durchaus nötig, auch noch zu wissen, welche Kraft den *Tonartenwechsel* hervortreibt und für die Einheit des Ganzen sorgt. Haydn kannte ja noch keine *Formenlehren*, wie wir sie kennen; das neue Leben, das er zeugte, schöpfte er aus dem Leben seines Geistes. Ihn beherrschte die *Urlinie* und die *Baßbrechung* mit der Macht eines *Naturtriebes* und von ihnen bezog er auch die geniale *Spannkraft* zur Bewältigung des Ganzen als einer Einheit. Wo findet sich aber in der bisherigen Theorie auch nur die Andeutung eines solchen Weges zur Einheit? Zwar predigt auch sie unermüdlich das *Organische*, aber nur mit billigen Worten als frommen Wunsch; sie kennt in Wahrheit das Wesen des *Musik-Organischen* noch nicht und kann deshalb auch die Mittel nicht angeben, die zum *Organischen* führen” (Schenker 1926, p. 46–47; 1996, p. 24).

A escuta da obra, assim como Schenker pretendeu demonstrar, consiste na percepção da sua unidade última, na compreensão da sua coerência, do seu caráter orgânico e, portanto, na observação de uma relação causal específica. Essa coerência é determinada pela relação das diferentes camadas de condução de vozes entre si e, em última instância, com o plano de fundo que constitui, desse modo, o critério orientador do processo interpretativo, da escuta musical. É a partir do plano de fundo, enquanto a causa primeira e última dos acontecimentos observáveis em um primeiro plano, que é possível pensar a relação entre cada uma das camadas de condução de vozes. De acordo com Schenker, o primeiro acontecimento musical em toda e qualquer peça é constituído pela elaboração composicional da nota primária da linha originária. É assim que a descrição do primeiro movimento da sonata de Haydn começa com a pergunta: qual nota inicia a linha originária? Qual nota constituiria a cabeça da linha?

De acordo com Schenker a peça inicia com a afirmação da nota Ré², o $\hat{5}$, na anacruse para o compasso 1, por meio de um movimento por nota vizinha (*Nebennotennwendungen*), nesse caso uma bordadura superior, Ré²–Mi²–Ré² (Ex. 7). Entretanto, o salto, de Ré para Sol, que se segue imediatamente coloca uma dúvida: “a nota primária [*Kopfton*] da linha originária [*Urlinie*] será o Ré² ou o Sol², $\hat{5}$ ou $\hat{8}$?”³² Schenker argumenta que os eventos que se seguem, a progressão linear de sexta (*Sexzug*) descendente, Ré²–Fá^{#1}, nos compassos 1 e 2, e também a repetição do movimento por nota vizinha (bordadura superior), Ré²–Mi²–Ré², na anacruse para o compasso 3, reforçam a hipótese da nota Ré como a nota primária da linha originária.

Comp.: [1] [3]

Exemplo 7: Início do primeiro movimento da sonata Hob. XVI: 44 de Haydn com indicações gráficas

Antes que essa hipótese se confirme, outro acontecimento a coloca em dúvida (Ex. 8): o aparecimento da nota Si² (c. 3). Segundo Schenker, tais eventos – notas

³² “wird d^2 oder g^2 Kopfton der Urlinie sein, $\hat{5}$ oder $\hat{8}$?” (Schenker 1926, p. 47; 1996, p. 24).

vizinhas, progressão linear de sexta, e a refração ou arpejo do acorde principal ($\text{Ré}^2\text{--Sol}^2\text{--Si}^2$) – contribuem para que, mesmo após a cadência no compasso 4, não seja possível estabelecer com certeza qual seria a nota primária da linha originária: “o primeiro arpejamento do baixo [*Baßbrechung*] se encerra e permanecemos ainda tateando no escuro”.³³

A descrição desses primeiros compassos levanta o problema do reconhecimento dos motivos musicais contidos na exposição dessa sonata. Surge, desse modo, uma oportunidade para que Schenker discuta algumas das consequências do conceito de *linha originária* em relação ao conceito de *motivo*.

Comp.: 3

refração ou arpejo do acorde de sol menor

Exemplo 8: Início da sonata Hob. XVI: 44 de Haydn com indicações gráficas: a questão da cabeça da linha originária

Conforme foi dito, a mudança de orientação no pensamento de Schenker, que institui o contraponto originário como a causa propriamente musical ao invés de uma explicação causal baseada no conceito de motivo, não invalida essa definição tal como se encontra no *Tratado de Harmonia*, embora acarrete alguma consequência. Uma dessas consequências está na noção que Schenker descreveu como uma diferença de ordem das diminuições-motivo (*Diminutionsmotive Ordnungen*), distinguindo entre motivos de ordens superiores (*Motive höchter Ordnung*) ou motivos de primeira ordem (*Motive erster Ordnung*), e motivos de ordens inferiores (*Motiven niederer Ordnung*) ou motivos de segunda (*Diminutionsmotive zweiter Ordnung*) e de terceira ordem (*Motive dritter Ordnung*). O reconhecimento dessas diminuições e dos motivos que elas apresentam é determinante para a distinção entre as diferentes camadas de condução de vozes. A ausência de maiores

³³ “schon ist die erste *Baßbrechung* zuende und man tappt noch immer im Dunkeln” (Schenker 1926, p. 47; 1996, p. 24).

esclarecimentos sobre a denominação diminuição-motivo leva à consideração de que o uso da expressão implica em obviedade e prescindir de justificativas.

Ao descrever os acontecimentos dos primeiros compassos da sonata de Haydn, Schenker reconhece e descreve motivos de diferentes ordens. Um deles, que Schenker concebe como um motivo de primeira ordem por conta da sua relevância na consolidação da unidade do primeiro movimento como um todo, é a refração ou arpejo do acorde principal: o arpejo Ré–Sol–Si \flat (Ex. 9). Esse arpejo, que tem lugar entre os compassos 1 e 3, é repetido, logo a seguir, uma oitava abaixo, entre os compassos 4 e 5. Embora realize uma função significativa – a de conectar duas seções formais distintas, primeira ideia e modulação – a repetição desse arpejo nos compassos 4 e 5 não exaure a sua relevância para a unidade da peça. Por se tratar de um motivo de primeira ordem, a repetição desse arpejo é especialmente comentada por Schenker em seu ensaio. O mesmo não acontece com as diminuições-motivo de ordens inferiores. Nesse sentido, indicaremos, sempre que possível, o lugar onde ocorre a repetição de cada conjunto de notas e que lhe confere propriamente sua condição de motivo.

Comp.: 1 refração ou arpejo do acorde principal 3 5 reiteração do arpejo

Exemplo 9: Início da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de primeira ordem:
a refração ou arpejo do acorde principal

De acordo com Schenker, na repetição desse arpejo (c. 4 e 5) “pode ser reconhecida, sem delongas, uma versão abreviada do caminho percorrido até aqui”.³⁴ Porém, por pertencer a uma camada de condução de vozes mais profunda, o caráter motivico desse arpejo tende a não ser reconhecido:

Tivesse a teoria conhecimento acerca dessas conexões, ela teria, acima de tudo, de qualificar os arpejos [*Brechungen*] como motivos da mais alta ordem [*Motive höchster Ordnung*] (Anuário I 64 ff.), apenas então ela teria de falar também sobre os motivos de ordem mais baixa [*Motiven niederer Ordnung*] entre os quais estão: a progressão linear de sexta [*Sextzug*] nos compassos 1 e 2, a progressão linear de terça [*Terzzug*] nos compassos 3 e 4, a progressão linear de sétima [*Septzug*] Ré \flat ³–

³⁴ “ohne weiteres eine abgekürzt Wiederholung des bisher zurückgelegten Weges erkennen läßt” (Schenker 1926, p. 47; 1996, p. 24).

mi² nos compassos 10 e 11, a progressão linear de sexta [*Sextzug*] ascendente com os movimentos 5–6 [*5–6-Auswechslungssatz*] nos compassos 14 a 17, etc.; a diminuição [*Diminutionswechsel*] nos compassos 5, 6 a 8 (aqui estão as progressões lineares de sobreposições [*Übergreifzüge*]), a 2^a ideia no compasso 12, etc. Ela o faz? Não, para ela, como, por exemplo, nos compassos 1 e 2:

são considerados motivos, no máximo, aquelas sucessões de notas que, mais cedo ou mais tarde, sofrem repetições exatas, desse modo, aqui, por exemplo, apenas a tercina no tempo fraco e a sucessão de colcheias [*Achtelfolge*] no primeiro e no segundo tempo do compasso 1. Por outro lado, ela não sabe por onde começar com os movimentos por nota vizinha [*Nebnotenwendungen*] nesses compassos, veja os colchetes na Fig. 3, entre os quais o do meio, por motivo de contraste, traz a nota vizinha inferior e mesmo o último, no próximo movimento por nota vizinha, oferece e, desse modo, vincula duas das menores partes da forma (Schenker 1926, p. 48).³⁵

Salienta-se que o comentário de Schenker a respeito de uma falta de conhecimento da teoria musical em relação a conexões mais profundas e, portanto, menos aparentes, parece fazer referência a um posicionamento defendido anteriormente pelo próprio Schenker. A acusação de que a teoria musical reconhece como motivo apenas “aquelas sucessões de notas que, mais cedo ou mais tarde, sofrem repetições exatas” (Schenker 1926, p. 48; 1996, p. 25) parece se dirigir a afirmações tal como aquela feita em seu *Tratado de Harmonia*, de que “Qualquer série de notas pode se tornar um motivo, entretanto, ele é reconhecido como tal apenas

³⁵ “Hätte die Theorie Kunde von diesen Zusammenhängen, sie müßte vor allem die Brechungen als Motive höchster Ordnung werten (Jhrb. I 64 ff.), nun erst hätte sie auch von den Motiven niedriger Ordnung zu sprechen, als da sind: der Sextzug in T. 1–2, der Terzzug in T. 3–4, der Septzug des 3–e2 in T. 10–11, der Sextzug aufwärts mit dem 5–6-Auswechslungssatz in T. 14–17 usw.; die Diminutionswechsel in T. 5, 6–8 (hier die Übergreifzüge), beim 2. Gedanken T. 12 ff. usw. Tut sie das? Nein, für sie kommen z. B. in T. 1–2: [Fig. 3] als Motive höchstens die Tonfolgen in Betracht, die früher oder später zu genauen Wiederholungen gelangen, hier also nur z. B. die Auftakt-Triole und die Achtelfolge im 1. und 2. Viertel des T. 1. Dagegen weiß sie nichts anzufangen mit den Nebnotenwendungen in diesen Takten, siehe die Klammern in Fig. 3, von denen die mittlere des Gegensatzes halber die tiefere Nebennote bringt und die letzte sogar in die nächste Nebnotenwendung hinüberreicht und so die beiden kleinsten Formteile bindet” (Schenker 1926, p. 48; 1996, p. 25).

quando a repetição se segue *imediatamente*” (Schenker 1906, p. 4; 1968, p. 4–5). Apesar da diferença entre as expressões “repetição exata” e “repetição imediata”, é possível reconhecer que ambas se referem ao condicionamento da identificação de um grupo de notas como motivo apenas àquelas repetições mais evidentes – cuja evidência pode ser descrita tanto pela exatidão quanto pela imediação da repetição. Schenker parece estar realizando, em grande medida, uma revisão crítica de sua própria obra, e não apenas formulando acusações à teoria musical indiscriminadamente.

Os exemplos a seguir detalham as diminuições-motivo indicadas por Schenker no trecho citado. A progressão linear de terça (*Terzzug*), Si_♭–Lá–Sol (c. 3 e 4), descrita por Schenker como um motivo de ordem inferior, constitui apenas a continuação de uma progressão linear de quinta (*Quintzug*), Ré–Dó–Si_♭–Lá–Sol, após a nota si_♭ sofrer uma transferência de registro (Ex. 10).

Comp.: 1 3

Exemplo 10: Início da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de ordem inferior: a progressão linear de terça Si_♭²–Sol²

A esse tipo específico de transferência de registro Schenker irá denominar *acoplamento* (*Koppelung*),³⁶ indicado no exemplo abaixo por meio de uma ligadura tracejada. O caráter motivico dessa progressão linear de terça, que implica a sua repetição, pode ser encontrado na forma de uma espécie de paralelismo, na sua correspondência em relação à progressão linear Ré–Dó–Si_♭ (c. 1 e 2).

A progressão linear de sétima (*Septzug*) (Ex. 11), que ocorre ao fim da modulação (c. 10 e 11), constitui uma diminuição-motivo de uma ordem inferior. Durante a modulação, acordes $V_4^6 - V^7$, do compasso 6 ao 8, preparam B_♭, enquanto nos compassos 9 e 10, os acordes $V_4^6 - V^7$ sugerem B_♭m. A modulação culmina com

³⁶ Schenker dá o nome de *acoplamento* (*Koppelung*) – no inglês, *Coupling*, no francês *Couplage* – a um tipo de transferência de registro que não acontece de forma direta e imediata, mas por meio de um trecho ou passagem musical. Diz-se, desse modo, que tal trecho ou passagem *acopla* duas ou mais oitavas. Sobre este conceito cf. §§152–154, e §§240–241 de *Der Freie Satz*, Schenker (1935, p. 88 e p. 138–139; 1977, p. 52 e p. 85–86; 1993, p. 61–62 e p. 92). Cf. também Barros; Gerling 2020, p. 4.

o acorde de sexta aumentada que se torna evidente apenas com o surgimento da nota $mi\flat$, ao fim da progressão linear de sétima (c. 11). A repetição que confere a essa progressão linear a sua condição de motivo pode ser observada no compasso 17 (Ex. 12).

Comp.: 8 10 12

6/4 7 6/4 7 6/4 b5 4/6

Exemplo 11: Compasso 8 a 11 da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de ordem inferior: a progressão linear de sétima Ré³-Mi²

Entre os compassos 14 e 17 (Ex. 12) encontra-se uma progressão linear de sexta (*Sextzug*), Fá-Sol-Lá-Si \flat -Dó-Ré, no soprano, que se combina a outras progressões lineares, no tenor e no baixo. Essas vozes realizam movimentos 5-6, usados para evitar o paralelismo de quintas, resultando em uma combinação de acordes interpolados.³⁷

Comp.: 15 17

5 - 6 5 - 6 5 - 6 5 - 6

Exemplo 12: Compassos 14 a 17 da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de ordem inferior: progressão linear de sexta com movimentos 5-6

O Ex. 13 mostra o início da *modulação*. Nela reencontramos o arpejo Ré-Sol-Si \flat (c. 5) que subjaz ao movimento dos compassos 1 e 2 (Ex. 9), arpejo que, conforme foi dito, consoma a relação entre a primeira ideia e a modulação. Aqui (c. 5), as notas desse arpejo são ornamentadas por uma diminuição característica denominada

³⁷ Sobre o problema relacionado ao paralelismo de quintas cf. os §§164 e 175 de *A Composição Livre*, Schenker (1935, p. 97-99 e 103-104; 1977, p. 58-60 e 63; 1993, p. 68-69 e 72).

sobreposição (Uebergreifen).³⁸ O termo *Uebergreifen* é usado por Schenker em referência ao movimento ascendente a partir de uma voz interna em direção à voz externa que ultrapassa ou que se sobrepõe à sua nota de chegada, retornando imediatamente a ela por meio de um movimento descendente por grau conjunto. É esse movimento descendente de retorno à nota de chegada, logo após a sua ultrapassagem, que caracteriza este conceito e que o diferencia de um outro, que funciona como seu par conceitual, ao qual Schenker denomina *Untergreifen*.³⁹ A *sobreposição (Uebergreifen)* frequentemente assume um caráter motívico ao sofrer repetição imediata. Nesses casos Schenker utiliza ainda o termo *Übergreifzüge, progressões lineares de sobreposição*, indicando que a reunião de tais movimentos dá margem à formação de progressões lineares (*Züge*). No Ex. 13 observa-se as progressões lineares de terça Sol–Lá–Si_b (c. 5) e Lá–Si_b–Dó (c. 6), que resultam da sucessão de sobreposições.

Exemplo 13: Compasso 5 a 8 da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de ordem inferior: *sobreposição*

De acordo com Schenker, a sequência de *sobreposições (Uebergreifen)* que permeia a repetição do arpejo Ré–Sol–Si_b (c. 5) leva, um pouco adiante, à nota Ré³, no compasso 8, que, por fim, é identificada como a nota primária desta linha originária:

³⁸ Sobre o conceito de *sobreposição (Uebergreifen)* cf. Schenker, §129–134 (1935, p. 81–82; 1977, p. 47–49; 1993, p. 58–59), e também §231–232 (1935, p. 134–135; 1977, p. 83; 1993, p. 89–90) de *A Composição Livre*. Cf. ainda Barros; Gerling 2020, p. 21–22.

³⁹ Mantendo a correspondência presente na terminologia alemã, Meeùs traduz *Uebergreifen* por *Surmarche* e *Untergreifen* por *Sous-marche*. Correspondência que a tradução inglesa não preserva ao traduzir *Uebergreifen* por *Reaching-over* e *Untergreifen* por *Motion from the Inner Voice*. Ambos os conceitos se referem ao movimento a partir de uma voz interna em direção à voz externa. A diferença entre eles seria a seguinte: no *Untergreifen* – que poderia ser lido como *justaposição* – a voz interna, em um movimento ascendente, encontra a voz externa, justapondo-se a ela, enquanto no *Uebergreifen (sobreposição)*, a voz interna não alcança simplesmente a voz externa, mas se sobrepõe a ela, retornando imediatamente em um movimento descendente. Sobre o conceito de *Untergreifen (justaposição)* cf. Schenker, *A Composição Livre (Der Freie Satz)*, §135–139 (1935, p. 83; 1977, p. 49–50; 1993, p. 59) e também §233 (1935, p. 135; 1977, p. 83; 1993, p. 90). Cf. também Barros; Gerling 2020, p. 32–33.

Progressões lineares de sobreposições [Übergreifzüge] se sucedem consecutivamente conduzindo até o Ré³ no compasso 8; esse Ré³, posteriormente, desce via Ré³, nos compassos 9 a 12, para o Dó³, no compasso 12, e, com o maior espanto, se reconhece finalmente aqui, embora o Dó³ nem sequer seja expressamente pronunciado, que todo o conteúdo desde o compasso 1 até o 12 constituía apenas uma transferência de registro ascendente [Höherlegung] Ré²–Ré³, a qual estabelece não o Sol², conforme se poderia pensar, mas o Ré², nomeadamente como $\hat{5}$, transferência de registro ascendente essa que, com suficiente clareza, envolve com seu grande arco todas aquelas seções formais que são designadas pela teoria como antecedente da primeira ideia, consequente e modulação! (Schenker 1926, p. 47).⁴⁰

Portanto, seria apenas no compasso 12, a partir do reconhecimento daquilo que Schenker designa pelo termo *Höherlegung*⁴¹ que seria possível afirmar com precisão que a nota Ré, portanto o $\hat{5}$, seria a nota primária, a nota da cabeça, como se encontra literalmente escrito no texto de Schenker. Confirmação que acontece apenas após a constatação de que distintas e sucessivas diminuições afirmam a nota Ré, e não a nota Sol (Ex. 14).

Dentro do caminho de afirmação da nota Ré percorrido nos primeiros compassos da sonata, o arpejo Ré-Sol-Si₁, assume um papel de destaque. Por meio desse arpejo, Haydn constrói não só a coerência entre *primeira ideia* e *modulação*, mas de toda a *exposição*. Ao se observar a *segunda ideia* (c. 13 a 30), que acontece em uma tonalidade contrastante, neste caso, o Si₁ maior, é possível reconhecer um arpejo análogo àquele que subjaz ao primeiro tema: o arpejo Fá-Si₁-Ré. Schenker reconhece nesse arpejo, que subjaz à melodia da segunda ideia, uma imitação em relação ao

⁴⁰ "Übergreifzüge schließen sich an, die bis zu d³ in T. 8 emporführen; dieses d³ senkt sich in der Folge über des³ in T. 9–12 zu c³ in T. 12, und zum größten Erstaunen erkennt man endlich hier, obwohl c³ nicht einmal ausdrücklich ausgesprochen wird, daß aller Inhalt von T. 1–12 nur die Höherlegung d²–d³ gewesen, die nicht g² meint, sondern d² in die Rechte einer 5 einsetzt, daß serner die eine Höherlegung ihren großen Bogen nun offenbar über alle Formenteil schlägt, die von der Theorie mit Vordersatz des 1. Gedankens, Nachsatz und Modulation bezeichnet sind!" (Schenker 1926, p. 47; 1996, p. 24).

⁴¹ O termo *Höherlegung* é formado pela reunião da palavra *höher* – superlativo do adjetivo *hoch*, *alto*, portanto, *mais alto* (Epple 2015, p. 940) – com o verbo *legen*, *pôr*, *colocar*, *lançar* (Epple 2015, p. 998). Literalmente, uma *colocação* em um patamar *mais alto*, o termo indica a *ascensão* ou *elevação* de uma nota da linha originária uma ou mais oitavas acima. *Höherlegung* foi vertido para o inglês como *Ascending Register Transfer* e, para o francês, *transfert de registre ascendant*, expressões que, conforme é possível perceber, constituem-se mais como uma explicação do que, propriamente, como uma tradução do termo alemão. O termo possui ainda um par conceitual, *Tieferlegung*, que foi traduzido para o inglês e para o francês como *Descending Register Transfer* e *transfert de registre descendant*, respectivamente. Barros e Gerling (2020, p. 36–37) alinham-se às traduções estadunidense e francesa, utilizando *transferência de registro ascendente* para *Höherlegung* e *transferência de registro descendente* para *Tieferlegung*. É contributivo notar que a tradução de *Höherlegung* por *ascensão* e *Tieferlegung* por *descensão* é mais próxima da terminologia original alemã.

primeiro arpejo, Ré–Sol–Si \flat). Essa imitação será designada por ele pela expressão *paralelismo motivico*.

O Ex. 15 mostra o arpejo Fá–Si \flat –Ré como movimento subjacente à segunda ideia da sonata de Haydn. É, portanto, o papel que o arpejo do acorde principal exerce como elemento unificador entre primeira ideia, modulação e segunda ideia que leva Schenker a concebê-lo como uma diminuição-motivo de primeira ordem.

O segundo arpejo [*Brechung*] coincide assim com a segunda ideia [2. *Gedanke*] da teoria. Mas será que a teoria já considerou quais serviços esse arpejo presta, como ele não apenas resguarda a segunda ideia como unidade, mas também, imitando o primeiro arpejo, assume e dá continuidade ao orgânico da primeira ideia precisamente através do paralelismo e da reconciliação da mesma altura (Ré 3)? Alguma vez ela teria dado uma indicação de uma tal forma para a segunda ideia [2. *Gedanke*], ou não teria ela, antes, exigido o contrário disso? Resulta daí que Haydn nunca poderia ter escrito a sonata como ele o fez se ele tivesse de adequar-se às nossas teorias que, supostamente, teriam sondado a essência da forma sonata (Schenker 1926, p. 47–48).⁴²

O paralelismo entre o primeiro (Ex. 9) e o segundo arpejo (Ex. 15) constitui um elemento essencial da unidade do primeiro movimento e para o entendimento do crescimento ou desenvolvimento mais próprio da composição através das diferentes camadas transformacionais desde o plano de fundo até a configuração encontrada em um primeiro plano. Do ponto de vista da coerência interna do pensamento de Schenker é preciso que se compreenda o paralelismo motivico não como uma técnica composicional, mas como a manifestação de um modo de pensar orgânico que o compositor expressa ao desenvolver a obra, em última instância, a partir da simplicidade da tríade enquanto a manifestação vertical da tônica.

⁴² “Die zweite *Brechung* fällt also mit dem 2. *Gedanke* der Theorie zusammen. Hat aber die Theorie je bedacht, welche Dienste eine solche *Brechung* leistet, wie sie nicht nur den 2. *Gedanke* als Einheit zusammenhält, sondern auch, der ersten *Brechung* nachahmend, durch eben den Parallelismus und durch Abstimmung der gleichen Höhe (d^3) das Organische des 1. *Gedankens* aufnimmt und weiterträgt? Hat sie je irgendwo einen Fingerzeig für eine solche Form des 2. *Gedankens* gegeben, oder fordert sie nicht vielmehr das Gegenteil davon? Es folgt daraus, daß Haydn niemals die Sonate so hätte schreiben können, wie er getan hat, wenn er sich nach unseren Theorien zu richten gehabt hätte, die angeblich das Wesen der Sonatenform ergründet haben” (Schenker 1926, p. 47–48; 1996, p. 24).

Exemplo 14: Representação gráfica dos primeiros 20 compassos da Sonata Hob.XVI: 44 de Haydn, Fig. 2 do ensaio *Sobre o Orgânico da Forma Sonata* (Schenker 1926, p. 43–54; 1996, p. 23–30)

Comp.: 13 15 17

Exemplo 15: Compassos 12 a 17 da Sonata Hob. XVI: 44 de Haydn, diminuição-motivo de ordem superior: o arpejo Fá-Si-Ré: paralelismo motivico (comparar com Ex. 9)

4. Conclusão

O termo *forma sonata* expressa uma generalização feita a partir de diversas sonatas particulares, ele constitui, portanto, um universal. Para Schenker, a descrição dessa universalidade não poderia se restringir a uma apresentação das seções formais que compõe uma sonata. Mas, “para expressar o universal mais adequadamente”, a sua definição teria de incluir uma descrição do modo como essas seções são criadas “a partir da unidade do som principal”.⁴³ Essa criação do particular a partir da unidade última, representada pela tríade, Schenker denomina improvisação. O conceito de *improvisação* se revela, desse modo, como uma espécie de *método*, o caminho da obra, o meio a partir do qual o universal na música, representado pelo contraponto originário, é conduzido à sua manifestação particular, isto é, a obra musical propriamente dita.

Conciliar o universal com o particular é uma das tarefas mais difíceis do conhecimento humano. A fim de se apropriar do mundo dos fenômenos com apenas poucos conceitos, o conhecimento deve buscar o universal. Ao mesmo tempo, deve examinar até a última profundidade dos segredos do particular, se quiser compreender corretamente o universal, do qual o particular é o portador. A tarefa é difícil porque o universal, como sempre foi observado, seduz facilmente as pessoas a se acomodar e se resguardar de todos os problemas adicionais em relação ao particular. Por meio da contínua desconsideração do particular, no entanto, o conhecimento do universal é, por assim dizer, desespirtualizado, ele não amadurece para a verdade, ele permanece preso a um esquema.

Assim, não poderia ser propriamente difícil para a teoria ler, a partir das diversas sonatas, as características comuns: ela acreditou então ter encontrado a universalidade última e entregou o conceito de forma assim deduzido para uso prático. Ela estava tão convicta acerca da correção da definição que renunciou de toda dúvida, mesmo quando as sonatas compostas no sentido dessa definição há muito haviam exposto o conceito de forma ao pior – não o seu conceito de forma, pensou a teoria, mas a forma sonata é que vinha sendo menosprezada. Ela se contentava demasiado cedo com uma conceitualização inadequada, mesmo antes que tivesse desenvolvido a habilidade de assimilar a particularidade da obra genial; o conhecimento dessa particularidade genial seguramente teria evitado a elaboração desse esquema e zelado por uma formulação mais correta do universal (Schenker 1926, p. 45).⁴⁴

⁴³ Schenker 1926, p. 46; 1996, p. 23.

⁴⁴ “Das Allgemeine mit dem Besonderen in Einklang zu bringen, ist eine der schwersten Aufgaben menschlicher Erkenntnis. Um mit nur wenigen Begriffen die Welt der Erscheinungen sich anzueignen, muß die Erkenntnis das Allgemeine suchen. Zugleich bis in die letzte Tiefe der Geheimnisse im Besonderen sehen, wenn sie das Allgemeine, dessen Träger ja dieses Besondere ist, richtig fassen will. Die Aufgabe ist schwierig, weil das Allgemeine, wie immer festgestellt, die Menschen leicht dazu verleitet, sich’s nun bequem zu machen und alle weitere Mühe um das

Não seria, portanto, o caso de afirmar que Schenker procura abolir os termos *exposição*, *desenvolvimento* e *reexposição*, no âmbito de uma definição da forma sonata, nem necessariamente aqueles títulos tal como *primeira ideia*, *modulação* e *segunda ideia*. Talvez tais títulos tenham mesmo de ser mantidos. De fato, Schenker não os abandona, mas os menciona repetidamente. Conforme foi dito, o problema da definição da forma sonata não está primordialmente no reconhecimento de certa quantidade de seções formais e nem nos nomes usados para designá-las, mas na incompreensão a respeito do princípio orgânico da forma, na sua unidade, que é descrita propriamente apenas enquanto a derivação da forma a partir das camadas de condução de vozes mais profundas. O que inclui o reconhecimento de uma relação causal própria, interna, que não pode ser satisfeita pelo conceito de motivo. Implica, portanto, a rejeição de uma compreensão da forma como um esquema a ser aplicado.

Fica, do mesmo modo, exposto que o princípio orgânico da forma, tal como descrito por Schenker, não se restringe à forma sonata nem a nenhum tipo particular de forma, mas diz respeito a todas elas. Conforme a discussão sobre o conceito de *interrupção* mostrou, os acontecimentos que determinam a divisão formal de uma peça, que conduzem o universal à sua manifestação particular, e que, portanto, diferenciam propriamente uma composição da outra – entre os quais foram indicados também a nota vizinha e a mistura – têm lugar no plano médio, e não no plano de fundo, o qual permanece sempre o mesmo enquanto a origem última e imutável do fenômeno musical.

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Besondere zu sparen. Durch fortgesetzte Mißachtung des Besonderen wird aber die Erkenntnis des Allgemeinen gleichsam entgeistigt, sie reift nicht zur Wahrheit, sie bleibt in einem Schema stecken.

So konnte es der Theorie wirklich nicht schwer fallen, von den vielen Sonatenwerken die gemeinsamen Merkmale abzulesen: nun glaubte sie das letzte Allgemeine gefunden zu haben und überließ den abgezogenen Formbegriff der praktischen Benutzung. Von der Richtigkeit der Begriffsbestimmung war sie so überzeugt, daß sie sich jedes Zweifels auch dann noch entschlug, als die in ihrem Sinne komponierten Sonaten den Formbegriff längst aufs ärgste bloßgestellt hatten – nicht ihr Formbegriff, meinte die Theorie, sondern die Form der Sonate sei abgetan. Sie hat sich eben zu früh mit einer unzulänglichen Begriffsbildung begnügt, noch ehe sie die Fähigkeit in sich ausgebildet hatte, das Besondere der Genie-Werke aufnehmen zu können; die Erkenntnis dieses Genie-Besonderen hätte sonst die Aufstellung jenes Schemas sicher verhindert und für eine richtigere Fassung des Allgemeinen gesorgt." (Schenker 1926, p. 45).

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Identificação computacional de recorrências em 155 Sonatas de Domenico Scarlatti

*Computational Identification of Recurrences in 155 Sonatas by Domenico
Scarlatti*

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Resumo: Este artigo apresenta sinteticamente o Programa para Identificação Exaustiva de Recorrências de Séries de Alturas em Música – PIERSAM (Gomes 2020; 2021) e alguns pontos de interesse nas Sonatas para teclado de Scarlatti identificados através deste. O programa foi desenvolvido tomando como campo empírico as Sonatas de Domenico Scarlatti e foi aplicado no escrutínio de 155 dentre as 556 Sonatas compostas, segundo o catálogo de Ralph Kirkpatrick (1983). Estas 155 Sonatas foram as que encontramos acessíveis na WEB em formato MusicXML ou passíveis de conversão para este. O programa toma para a detecção de recorrências de séries de alturas, além da igualdade entre as próprias alturas, as durações intrínsecas a cada altura e a posição métrica em que as séries ocorrem. Por meio das recorrências identificadas foi possível constatar padrões sequenciais muito similares na K. 1 e na K. 85. Também foi possível constatar que todas as recorrências compostas por sucessão numerosa de alturas acontecem somente duas vezes numa mesma sonata. A existência de duas ocorrências idênticas da mesma série de alturas numerosas a acontecer na mesma Sonata foi identificada na grande maioria das 155 Sonatas (noventa e oito Sonatas para as séries de trinta e duas ou mais alturas) submetidas ao escrutínio do programa PIERSAM. Os dados resultantes do programa são numerosos, tendo sido, ao todo, identificados 20.476 séries de alturas recorrentes, compostas estas por séries de duas a cento e trinta e duas alturas. O programa não faz a análise dos resultados, tendo sido uma porção deles checados manualmente pelo próprio autor-programador-analista. Por meio de variadas metodologias de análise e interpretação dos resultados fornecidos pelo programa PIERSAM, espera-se ser possível extrair dos dados obtidos diversas outras informações de interesse acerca do conjunto das 155 sonatas. Dentre as diversas possibilidades, o programa PIERSAM pode constituir para repertórios em que a organização das alturas é primordial, como é o caso com as Sonatas de Scarlatti.

Palavras-chave: Recorrência. Musicologia Computacional. Séries de Alturas. Music Information Retrieval. Domenico Scarlatti.



Abstract: This paper summarizes the Program for Exhaustive Identification of Recurrences of Series of Pitches in Music – PIERSAM (Gomes 2020; 2021) and some points of interest in Scarlatti's keyboard Sonatas identified through it. The program was developed taking as an empirical field the Sonatas of Domenico Scarlatti and was applied in 155 of the 556 Sonatas composed, according to Ralph Kirkpatrick's catalog (1983). These 155 Sonatas were all we could find available on the WEB in MusicXML format or convertible to it. The program takes, for the detection of recurrences, in addition to the equality of pitches between the series themselves, the durations intrinsic to each pitch and the metric position in which the series occur. Through the identified recurrences, it was possible to observe very similar sequential pattern in K. 1 and K. 85. It was also possible to observe that all recurrences composed by a numerous succession of pitches occur only twice in the same sonata. The existence of two identical occurrences of the same series of numerous pitches occurring in the same Sonata was identified in the vast majority of the 155 Sonatas (ninety-eight Sonatas for the series of thirty-two or more pitches) submitted to the scrutiny of the PIERSAM program. The data resulting from the program are numerous, having been, in all, identified 20.476 series of recurrent pitches, composed of series from two to one hundred and thirty-two pitches. The program does not analyze the results, having been some of it checked manually by the author-programmer-analyst himself. Through various methodologies of analysis and interpretation of the results provided by the PIERSAM program, is expected to be possible to extract from the data obtained various other information of interest about the set of 155 sonatas. Among the various possibilities, the PIERSAM program can be constituted, for repertoires in which the organization of pitches is essential, as is the case with Scarlatti's sonatas.

Keywords: Recurrence. Computer Musicology. Pitch Series. Music Information Retrieval. Domenico Scarlatti.

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1. Introdução

A ideia e motivação para o desenvolvimento de um programa para identificação de recorrências surgiu da experiência do trabalho ao piano com as Sonatas do compositor italiano Domenico Scarlatti (1685–1757). Este processo, de início, chamou a atenção para alguns trechos idênticos nas Sonatas e, eventualmente, vislumbrou-se a possibilidade de adquirir uma visão panorâmica integradora do repertório através da identificação de recorrências. Porém, notou-se a dificuldade do empreendimento dada a impressionante

quantidade de Sonatas compostas por Scarlatti, 556 pelo catálogo de Kirkpatrick¹ (1983, p. 442).

Diante do tamanho do corpus, do ponto de vista quantitativo e suas implicações qualitativas, é natural que viesse à mente recorrer à assistência do computador para o trabalho analítico. No aspecto específico e reiterativo, que envolve a comparação de grande quantidade de dados e faz necessária a análise sistemática (*parsing*) de cada altura do repertório composto por centenas de músicas, o computador terá um desempenho superior ao humano, como afirma Bent: “Não existe uma diferença essencial entre um humano fazendo essas operações à mão e um computador realizando-as eletronicamente, mas o computador tem a vantagem da velocidade, precisão e memória exata” (Bent 1987, p. 62).²

Tomando como princípios os fundamentos tonais das alturas³, durações e posição métrica, decidimos por desenvolver um algoritmo que faz escrutínio rigoroso, identificando, com precisão absoluta, todas as séries de alturas recorrentes, apontando com exatidão a posição métrica de sua ocorrência em cada música ou repertório investigado. As implicações analíticas são muitas e diversas, e os dados levantados podem servir a várias abordagens analíticas. A recorrência, foco do algoritmo, é um processo essencial na composição musical. Bent afirma que a recorrência, juntamente com o contraste e a variação, é fundamental para a construção da forma, podendo ser identificada a partir da comparação:

Comparação é comum a todos os tipos de análise musical - análise de características, análise formal, análise semiótica, análise de estilo e assim por diante: comparação de unidade com unidade, seja em uma única obra, ou entre duas obras, ou entre a obra e um modelo “abstrato” como a forma sonata ou um estilo notório. O ato analítico central é então o teste de identidade. Essas duas operações servem, juntas, para iluminar os três

¹ Não são 555, como a numeração sugere, porque existem as sonatas 204a e 204b, além do mais, existem discussões sobre a atribuição de autoria e ordenação das sonatas.

² There is no essential difference between a human doing these operations by hand and a computer carrying them out electronically, but a computer has the advantages of speed, accuracy and exact memory.

³ Alturas aqui definidas também por relações intervalares e por suas posições dentro de um sistema tonal (como graus escalares).

processos fundamentais de construção da forma: recorrência, contraste e variação (Bent 1987, p. 5).⁴

Uma análise musical pode envolver inúmeros aspectos do fenômeno complexo que é a música, até fatos bibliográficos, eventos históricos, condições sociais e outros elementos que compõem o seu ambiente. Neste sentido, as recorrências identificadas podem ser um recurso para investigar, principalmente, aspectos bastante específicos relacionados ao ordenamento de alturas e suas implicações.

A proposta de um algoritmo computacional para a identificação de recorrências lida com complexidades relacionadas à percepção auditiva, à representação musical, tanto no formato de partitura como em formatos digitais, também às conversões para e entre as várias representações e à disponibilidade destas na WEB, e, finalmente, à própria lógica do algoritmo para identificação de recorrências.

Em um período de cerca de dois anos, a proposta de identificar recorrências computacionalmente passou por várias abordagens. A identificação de forma manual suscitou as primeiras discussões, que giraram em torno de como as informações musicais sonoras são percebidas e representadas, também sobre qual representação e lógica algorítmica utilizar para garantir a melhor identificação das séries de alturas. Os rascunhos iniciais foram feitos em planilhas, lidando com a conversão de arquivos MIDI, momento em que a lógica do algoritmo estava sendo moldada.

A linguagem de programação *Python*TM foi escolhida e estudada especialmente com o propósito do desenvolvimento mais robusto do programa a partir dos testes e problematizações iniciais. Em *Python*TM existe uma versão descontinuada, que faz o escrutínio a partir de arquivos MIDI, e a versão atual do programa, que o faz a partir de arquivos MusicXML.

O *Programa para Identificação Exaustiva de Recorrências de Séries de Alturas em Música* – PIERSAM (Gomes; Github 2020), na versão atual, opera em três etapas sequenciais: a conversão dos arquivos MusicXML para um formato de

⁴ Comparison is common to all kinds of musical analysis – feature analysis, formal analysis, semiotic analysis, style analysis and so on: comparison of unit with unit, whether within a single work, or between two Works, or between the work and an abstract ‘model’ such as sonata form or a recognized style. The central analytical act is thus the test for identity. These two operations serve together to illuminate the three fundamental form-building processes: recurrence, contrast and variation.

representação musical interno; a identificação de recorrências pelo algoritmo, utilizando os arquivos convertidos; e a aplicação de filtros para extrair do total de dados das recorrências identificadas aqueles que podem ser relevantes para determinadas finalidades analíticas.

Dentre os trabalhos com que tivemos contato, o que mais se assemelha a este é o de Luis Fernando Muniz Cirne (2014). Neste trabalho, Cirne buscou reconhecer a presença da escrita de Scarlatti nas Sonatas de Beethoven através da identificação computacional de recorrências. O processo se deu através da identificação manual de 400 séries de intervalos cromáticos em 200 Sonatas de Scarlatti para, depois, buscar computacionalmente as mesmas séries nas 32 Sonatas de Beethoven, com tolerância de até 2 semitons, através da ferramenta computacional Music21.⁵ Este tipo de análise realizada através de PIERSAM dispensaria a identificação manual de quaisquer trechos, sendo o programa capaz de fazer a identificação das recorrências de forma exaustiva em ambos os repertórios. Em outras palavras, os dados almejados para a análise da similaridade entre os repertórios dos dois compositores seriam fornecidos de forma mais exaustiva por PIERSAM.

Outro trabalho que, apesar de não diretamente relacionado com a identificação de recorrências, se assemelha à nossa proposta pela intenção da análise computacional exaustiva de grande quantidade de música é o de Pedro Kröger *et al.* (2008). Neste trabalho, foram verificados os âmbitos das vozes, movimentos de quintas e oitavas consecutivas, resoluções de intervalos de sétimas e cadências finais em 366 dos 371 corais de Bach.

Num primeiro momento, antes de discutir os resultados, apresentaremos resumidamente o funcionamento do programa, possibilitando que o leitor musicista abstraia a lógica do algoritmo para identificação de recorrências, prescindindo do conhecimento de programação. Em seguida será apresentada uma pequena seleção manual de interesse, dentre o massivo número de recorrências identificadas por PIERSAM, buscando uma avaliação abrangente do resultado, inclusive dos pontos a melhorar. Fazem parte das considerações finais algumas especulações sobre o uso deste tipo de resultado para questões analíticas

⁵ *Music21* (s.d.) é uma biblioteca para Python com vários objetos voltados para importar arquivos simbólicos, manipular e analisar suas bases de informações de forma musical. *The Humdrum Toolkit* (s.d.) é outra famosa ferramenta para análise computacional de músicas, que, diferente do *Music21*, utiliza um formato de representação e código próprio.

relacionadas ao ordenamento de alturas e suas implicações, como: identificar padrões que permitam desvelar um método composicional; averiguar a ideação e reaproveitamento de materiais; fundamentar análises comparativas no interior do mesmo ou entre diferentes repertórios; fazer inferências estilísticas, constituir um índice de similaridade; e demais especulações e abordagens que possam ser expandidas para outros repertórios.

2. Funcionamento do PIERSAM – conversão de MusicXMLs, interpretação e representação da partitura

Na sua primeira etapa, o PIERSAM extrai e interpreta informações básicas dos arquivos MusicXML, construindo uma representação (“partitura”) específica, e organizando-as em conjuntos de parâmetros relacionados às alturas, durações e posições métricas, que serão os elementos de referência para a identificação das recorrências de séries de alturas na segunda etapa de processamento. As representações específicas construídas a partir dos arquivos MusicXML são salvas em arquivos a serem utilizados pelo PIERSAM na identificação das recorrências.

No livro, *Fundamentals of Music Programming* (2015), Meinard Müller define alguns termos-chave para a programação na área de música que serão úteis para este estudo. Para ele, *partituras (sheet music)* são “representações visuais de uma dada música em forma impressa ou em forma de imagens digitais”⁶ (2015, p. 1). Müller utiliza também o termo *representação simbólica (symbolic representation)* para se referir a “qualquer formato de dados legível por computador que representa explicitamente entidades musicais”⁷ (*ibid.*, p. 1) e o termo *representação de áudio (audio representation)* para se referir a arquivos que “codificam ondas acústicas, que são geradas quando uma fonte (e.g., instrumento) cria um som que viaja para o ouvido humano como oscilações de pressão no ar”⁸ (*ibid.*). Partituras, representações simbólicas e áudios são registros

⁶ Visual representations of a given score in printed form or in the form of digitized images (tradução nossa). O autor dá significados diferentes aos termos *sheet music* e *score*, de difícil tradução para o português, algo como *partitura* e *grade*.

⁷ any machine-readable data format that explicitly represents musical entities (tradução nossa).

⁸ encode acoustic waves, which are generated when a source (e.g., an instrument) creates a sound that travels to the human ear as air pressure oscillations (tradução nossa).

distintos de um mesmo fenômeno, que é a música. A “partitura” da qual o PIERSAM extrai as informações não é, portanto, a partitura impressa convencional, não é uma imagem. O programa utiliza a “partitura” existente no formato de *representação simbólica* denominado *MusicXML score-partwise*⁹.

No formato MusicXML as informações visuais da partitura convencional são armazenadas em caracteres de texto estruturados de acordo com uma interpretação desta. A partir dos caracteres do MusicXML, os programas de notação musical são capazes de reconstruir a partitura em seu formato visual, como imagem. O MusicXML “foi projetado desde o início para compartilhar arquivos de partituras entre aplicações e para armazenar arquivos de partitura para uso no futuro”¹⁰ (MakeMusic, s.d.).

Para a construção da representação simbólica específica do PIERSAM são extraídas dos arquivos MusicXML as informações de: *armadura, fórmula de compasso, andamento e alturas*¹¹. Estas últimas são organizadas pelo programa como sequências de eventos¹² de uma ou várias alturas simultâneas agrupadas como um acorde (ou simultaneidade)¹³.

É especialmente importante na representação de PIERSAM a quais vozes da textura musical pertencem os eventos. O conceito de voz, uma das “linhas” (camadas) dentro de uma textura musical, é fundamental para o entendimento do modo operacional do PIERSAM. O programa faz o escrutínio em busca de recorrências, considerando cada voz como uma série de eventos de alturas ou acordes, gerando todas as séries de alturas possíveis em cada voz e comparando-as com o restante das séries geradas para todas as vozes do repertório.

⁹ Existem vários outros formatos de representação simbólica de música: ABC, Humdrum, MEL, Midi, MuseData, para citar alguns. O MusicXML é adotado por todos os grandes programas de edição de partitura.

¹⁰ was designed from the ground up for sharing sheet music files between applications, and for archiving sheet music files for use in the future (tradução nossa)

¹¹ São *tags* no MusicXML: *key, time, direction-type, note*.

¹² Consideramos evento a unidade de altura ou acorde composta pelos parâmetros listados na Fig. 2.

¹³ O termo acorde é tomado exclusivamente no sentido de alturas simultâneas.

É idealizado no MusicXML um contador interno ao qual são somados e subtraídos valores para avançar e retroceder na partitura¹⁴, assim é possível para o PIERSAM registrar o momento em que os eventos acontecem. Por exemplo, soma-se as durações de cada nota em uma voz ao registrar os eventos de um compasso e depois subtrai-se suas durações para voltar ao início do compasso e, assim, escrever os eventos de outra voz. Tal contador interno não existe de fato no MusicXML, mas é inferido a partir dos eventos que somam ou subtraem seu valor. No MusicXML, as informações da partitura são organizadas de forma que as músicas contenham *partes*, que, por sua vez, contêm *compassos*. Nos *compassos* estão contidas as informações extraídas pelo PIERSAM: *armadura*, *fórmula de compasso*, *andamento* e *alturas*, de forma que, relevante para a finalidade do escrutínio pelo programa¹⁵, a organização da partitura pelo MusicXML pode ser entendida como o mostra a Fig. 1 abaixo.

Além de apresentar a organização das informações, a Fig. 1 também oferece uma breve noção de como as informações de *armadura*, *fórmula de compasso*, *andamento* e *alturas* estão armazenadas nos caracteres de texto no MusicXML. Por exemplo, dentro de *armadura*, o número em *quintas* representa o número de acidentes, variando de -7, para sete bemóis, até +7, para sete sustenidos. Para *alturas*, o valor em *alteração*, quando existente, é um número positivo, representando a quantidade de sustenidos, ou um número negativo, representando a quantidade de bemóis. Podem existir também marcadores se existirem pausas, se as alturas fizerem parte de um acorde ou se contiverem um início/fim de ligadura, entre outros. Algumas informações da música que o PIERSAM registra na sua forma específica de representação não são explícitas no MusicXML, mas são deduzidas a partir de uma análise destas informações fundamentais.

A organização das informações musicais feita pelo PIERSAM difere do MusicXML. No PIERSAM, as músicas são organizadas em *partes*, que contêm

¹⁴ A unidade do contador varia de acordo com a complexidade rítmica de cada parte. Esta unidade é uma fração de semínima definida no início da parte, por exemplo 1/4 ou 1/6 de semínima.

¹⁵ Para mais informações sobre o MusicXML, é possível consultar o tutorial no site oficial: MAKEMUSIC. MusicXML Tutorial. Disponível em: <<https://www.musicxml.com/tutorial/>>. Acesso em: 27 jul. 2020.

vozes compostas por *alturas* ou *acordes*. Para cada evento de altura ou acorde em uma determinada voz, existem 14 parâmetros, listados na Fig. 2, desde o *nome*, passando pela *duração*, até a *tonalidade*.

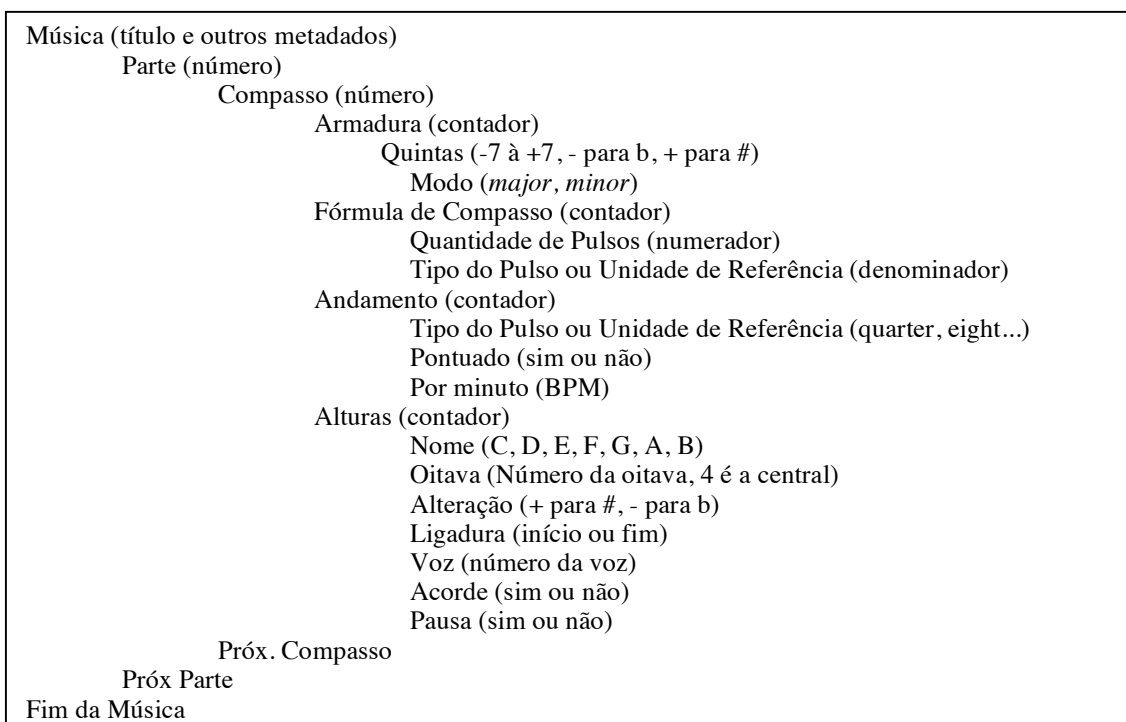


Figura 1: Organização das informações musicais no MusicXML

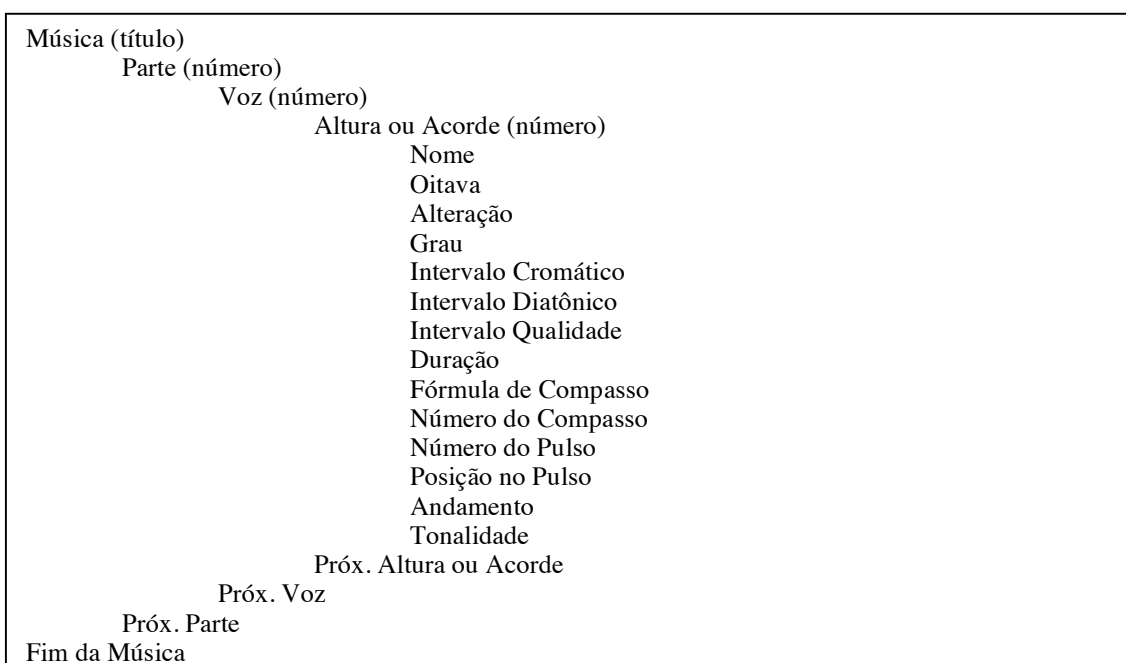


Figura 2: Organização das informações musicais no PIERSAM

Descrevemos a seguir como o PIERSAM interpreta as informações de *armadura*, *fórmula de compasso*, *andamento* e *alturas* extraídas do MusicXML para organizá-las em conformidade com os 14 parâmetros apresentados na Fig. 2: *nome*, *oitava*, *alteração*, etc.

A *armadura* no MusicXML contém as informações de tipo e quantidade de acidentes, e também de modo (*major* ou *minor*). O nome da tonalidade não aparece explícito no MusicXML, mas a partir do modo, tipo e quantidade de acidentes é possível deduzi-la. A *armadura* também é utilizada, juntamente com os *nomes* das alturas, para identificar o grau escalar de cada nota (de I a VII). Ressalta-se que não existe nenhuma análise contextual para atribuir tonalidade, modo e grau, sendo estas informações deduzidas somente a partir da *armadura* e do *nome* das alturas.

Na *fórmula de compasso* do MusicXML, existe a quantidade de pulsos (numerador) e o tipo de pulso ou unidade de referência (denominador). A partir destes, o PIERSAM calcula o *número do pulso* (NPuls), *posição no pulso* (PPuls) e *duração* (Dur). Desta forma, é possível interpretar o *número do pulso* (NPuls), *posição no pulso* (PPuls) e *duração* (Dur) dos eventos com relação à unidade de referência de qualquer compasso, tornando possível a comparação e a identificação de recorrências de séries de alturas com as mesmas durações e posições métricas, relativizadas a partir da interpretação das fórmulas de compassos. Por exemplo, em um compasso 4/4 uma semínima dura um tempo (1.0) e uma mínima dura dois tempos (2.0), já em um 2/2 uma semínima dura meio tempo (0.5) e uma mínima dura um tempo (1.0), e em um 3/8 a colcheia dura um terço de tempo (0.33).

A única forma de representar o andamento com precisão no MusicXML é com a notação de metrônomo, por ex. ♩ = 66.6, ♩ = 80. Essa notação gera no arquivo a informação de tipo de pulso ou unidade de referência e pulsos por minuto (bpm). Muitos arquivos, entretanto, têm somente os termos convencionais de andamento (*Allegro*, *Adagio*, etc.) ou simplesmente não têm indicação. Os andamentos com notação de metrônomo, quando existentes, são convertidos pelo PIERSAM de acordo com a unidade de referência indicada. Andamentos são de difícil apropriação, pois estão mais próximos de um metadado da música, como o seu título, do que de um elemento constituinte, como a *altura*.

Todas as *relações intervalares entre as alturas* são calculadas a partir das informações iniciais de *altura, alteração, oitava e número MIDI* – esta última não existente no MusicXML, mas acrescentada pelo PIERSAM. Os intervalos são calculados de três formas diferentes: *intervalo cromático* (IntCro), *intervalo diatônico* (IntDia) e *qualidade do intervalo* (IntQua). O *intervalo cromático* (IntCro) representa a quantidade de semitons entre as alturas, o *intervalo diatônico* (IntDia) representa a quantidade de graus da escala entre as notas, a *qualidade do intervalo* (IntQua) informa se é maior, menor, aumentado ou diminuto. Por exemplo, em Intervalos Diatônicos (IntDia), 3^aM e 3^am são equivalentes, assim como quaisquer intervalos com o mesmo número, já 4^aA e 5^aD são considerados diferentes em Intervalos Diatônicos (IntDia), mas iguais em Intervalos Cromáticos (IntCro). As alturas simultâneas são agrupadas em um único evento de acorde, neste caso os intervalos (IntCro, IntDia, IntQua) entre as alturas do acorde são calculados de baixo para cima, o último valor sendo a relação da altura mais grave do acorde no evento atual com a altura mais grave do evento seguinte, caso seja ele também um acorde, ou a simples altura do evento seguinte.

A apropriação que o PIERSAM faz das informações dos arquivos em MusicXML para a construção da sua representação específica, para a posterior detecção de recorrências de séries de alturas foi testada em 155 Sonatas de Scarlatti, aquelas encontradas na WEB.

3. Funcionamento do PIERSAM – algoritmo para identificação de recorrências e filtro de séries contidas e intercaladas por conjuntos

O PIERSAM faz o escrutínio nos arquivos já convertidos para a sua representação específica, construída a partir das informações em MusicXML. Nas 155 Sonatas de Scarlatti submetidas a escrutínio, a textura musical apresenta de 2 a 4 vozes, possuindo cada uma destas de 1 a 1.289 eventos¹⁶. Assim, foram analisadas ao todo 548 vozes, com um total de 137.403 eventos.

A lógica do PIERSAM possibilita a verificação de todas as séries de alturas possíveis em cada voz. O algoritmo é capaz de gerar e comparar todas as séries de alturas em uma combinação de parâmetros especificada. São geradas todas as

¹⁶ Cada altura ou acorde, como apresentado na Fig. 2, é considerado um evento.

séries de tamanho $t=1$ para cada voz do repertório. Em seguida, é verificado se existem recorrências entre séries deste tamanho. Se existirem, o resultado é mantido e então são geradas séries do próximo tamanho $t+1$. Esse processo é reiterado até que em um determinado tamanho não existam séries recorrentes. Ao considerar todas as séries de alturas possíveis para uma dada combinação de parâmetros, com absoluta segurança o algoritmo identifica todas as recorrências. Essa abordagem supera a busca ao modo “força bruta”, estabelecendo como limite para a geração o tamanho que não possui séries recorrentes. Quando o algoritmo identifica um tamanho sem séries recorrentes a operação de busca é interrompida e concluída, pois, é certo, não existirão recorrências em séries de tamanho igual ou maior.

Os dados de recorrências gerados no escrutínio das 155 Sonatas são expressivamente numerosos: foi identificada a recorrência de 446.020 séries de alturas. Através da inserção de *filtros*, é possível fazer recortes nos dados de recorrências em função de finalidades analíticas específicas. Submetemos as 155 Sonatas de Scarlatti a um filtro que exclui séries de alturas contidas e intercaladas¹⁷ da totalidade das recorrências, resultando nas já mencionadas 20.476 distintas séries recorrentes de alturas. Neste caso, fez-se a escolha por manter o registro da recorrência das séries de alturas mais numerosas, desconsiderando as séries de alturas contidas e intercaladas que se iniciam em posição mais avançada na música. Essa decisão foi decorrente da percepção de que as séries de alturas recorrentes mais numerosas são mais relevantes para afirmar similaridades no repertório, e que, no caso da recorrência de séries de alturas intercaladas de mesmo tamanho, a recorrência primeira tem precedência temporal, está em processo de escuta quando se inicia a recorrência subsequente.

O PIERSAM separa as séries de alturas recorrentes pelos conjuntos de músicas em que ocorrem e as séries contidas e intercaladas são filtradas em seus respectivos conjuntos, sendo reclassificadas para outros conjuntos de músicas enquanto estão sendo filtradas, caso necessário. Dessa forma, não existem, no mesmo conjunto de músicas, eventos contabilizados mais de uma vez em séries

¹⁷ É considerada *contida* a série de altura recorrente abarcada por uma série de altura recorrente de tamanho maior. É considerada *intercalada* a série de alturas recorrente parcialmente abarcada por uma série de alturas recorrente de tamanho igual ou maior. Entre séries *intercaladas* de mesmo tamanho o filtro prioriza aquelas que começam antes.

distintas. Já em conjuntos diferentes de músicas do repertório, podem existir diferentes séries de alturas que são intercaladas ou contidas, ou seja, compartilham alguns eventos. Neste caso, as séries são mantidas por identificar relações de recorrência entre diferentes conjuntos de músicas do repertório.

Para a análise que se segue foram tomados como parâmetros para a identificação de recorrências os intervalos diatônicos (IntDia), as durações (Dur), e a posição no pulso (PPuls) do evento inicial, ou seja, são consideradas recorrentes, neste caso, somente as séries de alturas que tem os mesmos valores nestes três parâmetros.

As séries são apresentadas de duas formas diferentes: 1) pelos conjuntos de Sonatas em que ocorrem e 2) pelo tamanho das séries – do maior para o menor, independentemente dos conjuntos¹⁸. Das séries organizadas por conjuntos, serão discutidas séries identificadas na K. 1, levantando pontos de interesse sobre sua similaridade com outras Sonatas do repertório. Das séries organizadas por tamanho, são oferecidos exemplos de uma série de tamanho grande, com numerosa sucessão de alturas, uma série de tamanho intermediário e uma série de tamanho pequeno, discutindo sua utilidade para identificar a estrutura binária nas Sonatas e analisar suas construções motívicas.

A validação do resultado do escrutínio foi feita através da verificação manual das séries de alturas recorrentes identificadas na Sonata K. 1, para, em seguida, utilizar o PIERSAM para a identificação das séries de alturas recorrentes em todas as 155 Sonatas encontradas na WEB.

O resultado que nos dá PIERSAM são arquivos .txt, que relacionam as séries de alturas recorrentes identificadas e as suas correspondentes localizações nas Sonatas em que ocorrem, a indicar *música, parte, voz, compasso e tempo de início e fim* para cada série de altura recorrente identificada. Os resultados são apresentados em dois grupos de arquivos: um primeiro se refere às séries de alturas recorrentes exclusivas dos determinados conjuntos de músicas. Num segundo grupo de arquivos, as séries de alturas recorrentes são organizadas pela quantidade de eventos e quantidade de músicas em que ocorrem, independentemente dos conjuntos de músicas. A Fig. 3 apresenta um quadro

¹⁸ As séries de alturas recorrentes são as mesmas nos dois casos, com o mesmo filtro, apenas a organização do resultado é diferente.

esquemático do resultado por conjunto de Sonatas como apresentado pelo programa.

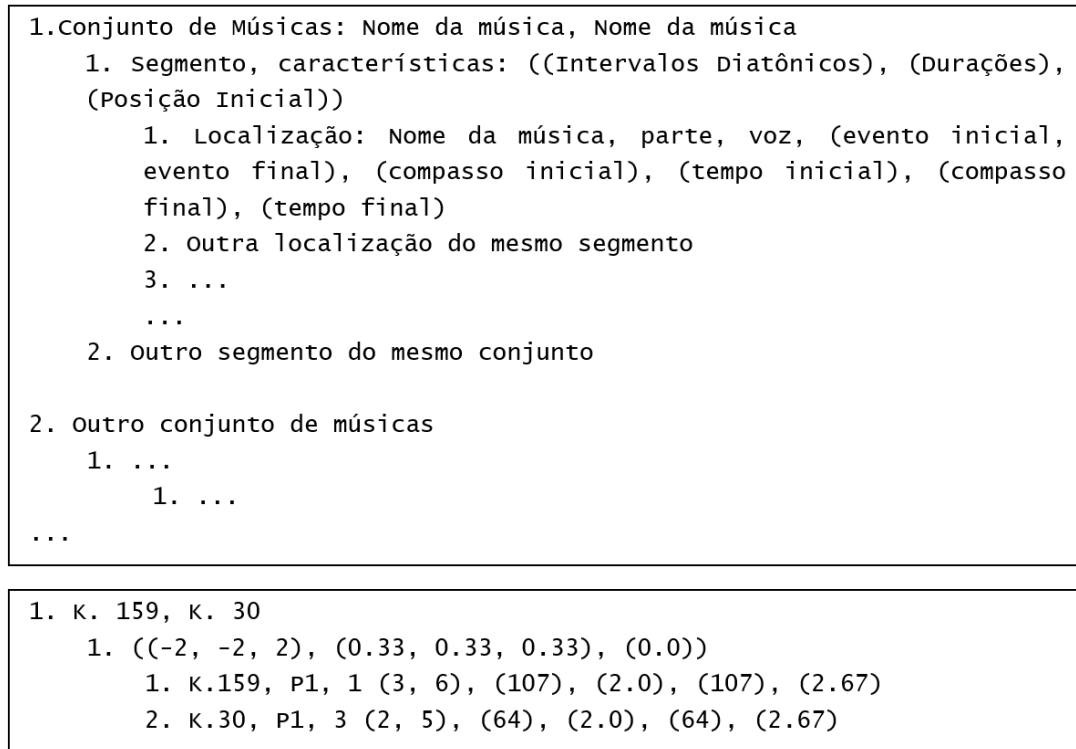


Figura 3: Exemplo de resultado do PIERSAM

4. Conjuntos de séries de alturas recorrentes das 155 Sonatas que contêm a Sonata K. 1

Analisando o resultado entregue por PIERSAM pelos conjuntos de Sonatas em que as séries de alturas recorrentes são identificadas, é possível observar relações de recorrência entre uma Sonata ou conjunto de Sonatas com outras Sonatas ou conjuntos de Sonatas. Serão comentadas algumas séries de alturas recorrentes de um arquivo que contém todos os conjuntos de Sonatas em que figura a Sonata K. 1. Ao todo, o arquivo contém 427 conjuntos de Sonatas, nos quais identificam-se recorrências também ocorrentes na Sonata K. 1. A Fig. 4 apresenta um quadro com alguns destes conjuntos. As séries de alturas recorrentes do conjunto 2, por exemplo, acontecem nas Sonatas K. 1 e K. 470, as séries de alturas recorrentes do conjunto 3 acontecem nas Sonatas K. 1, K. 258 e K. 470, assim por diante.

1. (('K.1 Musicalion',))
2. (('K.1 Musicalion',), ('K.470 KernScores',))
3. (('K.1 Musicalion',), ('K.258 kernScores',), ('K.470 kernScores',))
4. (('K.1 Musicalion',), ('K.22 Musicalion',), ('K.258 kernScores',), ('K.470 KernScores',))
5. (('K.1 Musicalion',), ('K.470 KernScores',), ('K.51 Musescore',))
6. (('K.1 Musicalion',), ('K.258 kernScores',), ('K.470 kernScores',), ('K.51 Musescore',))
7. (('K.1 Musicalion',), ('K.512 kernScores',))
- (...)
11. (('K.1 Musicalion',), ('K.11 Musicalion',))
- (...)
22. (('K.1 Musicalion',), ('K.517 Musescore',), ('K.85 kernScores',))
- (...)
29. (('K.1 Musicalion',), ('K.113 kernScores',), ('K.19 Musicalion',), ('K.191 Musescore',), ('K.20 Musicalion',), ('K.200 kernScores',), ('K.22 Musicalion',), ('K.227 kernScores',), ('K.23 Musicalion',), ('K.239 Musescore',), ('K.25 Musicalion',), ('K.258 kernScores',), ('K.29 Musicalion',), ('K.318 Musescore',), ('K.320 kernScores',), ('K.335 Musescore',), ('K.348 Corrigida por mim',), ('K.377 Musescore',), ('K.380 Musescore',), ('K.517 Musescore',), ('K.73 Musicalion',), ('K.85 kernScores',))
- (...)
167. (('K.1 Musicalion',), ('K.11 Musicalion',), ('K.160 Musescore',), ('K.165 kernScores',), ('K.166 kernScores',), ('K.191 Musescore',), ('K.205 kernScores',), ('K.25 Musicalion',), ('K.257 Musicalion',), ('K.258 kernScores',), ('K.27 Musicalion',), ('K.289 Musicalion',), ('K.293 Musicalion',), ('K.3 Musicalion',), ('K.306 Musescore',), ('K.318 Musescore',), ('K.320 kernScores',), ('K.335 Musescore',), ('K.345 Musescore',), ('K.35 Musicalion',), ('K.360 kernScores',), ('K.4 Musicalion',), ('K.408 kernScores',), ('K.434 kernScores',), ('K.450 kernScores',), ('K.455 Musescore',), ('K.466 Musescore',), ('K.470 kernScores',), ('K.478 kernScores',), ('K.51 Musescore',), ('K.512 kernScores',), ('K.52 kernScores',), ('K.534 kernScores',), ('K.58 Musescore',), ('K.60 kernScores',), ('K.63 Musescore',), ('K.87 Musescore',))
- (...)
171. (('K.1 Musicalion',), ('K.11 Musicalion',), ('K.16 Musicalion',), ('K.191 Musescore',), ('K.205 kernScores',), ('K.24 Musicalion',), ('K.258 kernScores',), ('K.335 Musescore',), ('K.347 Corrigida por mim',), ('K.377 Musescore',), ('K.434 kernScores',), ('K.455 Musescore',), ('K.470 kernScores',), ('K.512 kernScores',), ('K.52 kernScores',), ('K.58 Musescore',), ('K.81 Musicalion',), ('K.85 kernScores',), ('K.87 Musescore',), ('K.90 Musicalion',), ('K.93 kernScores',))
- (...)

Figura 4: Alguns conjuntos de Sonatas que contêm a Sonata K. 1, onde está identificada a recorrência de séries de alturas.

O primeiro conjunto contém somente a própria Sonata K. 1, ou seja, todas as séries de alturas recorrentes presentes neste primeiro conjunto são as

identificadas exclusivamente na Sonata K. 1. Nos demais conjuntos, a Sonata K. 1 participa juntamente com outras Sonatas, mostrando relações de recorrência desta com diferentes combinações de Sonatas do repertório investigado.

O Ex. 1 identifica na partitura todas as séries de alturas recorrentes do primeiro conjunto, que contém somente a Sonata K. 1. As séries de alturas recorrentes de outros conjuntos, também ocorrentes em outras Sonatas, podem estar contidas ou intercaladas com estas deste primeiro conjunto, mas esta é uma identificação de recorrências exclusiva da Sonata K. 1.

Esserciso 1

Domenico SCARLATTI
(1685-1757)

Allegro

The musical score for Domenico Scarlatti's Sonata K. 1, 'Esserciso 1', is presented in a single system with a treble and bass clef. The tempo is marked 'Allegro'. The score consists of 21 measures. Blue lines highlight specific pitch series across the melody and bass line. The series are labeled with numbers: 11, 10, 1, 3, 12, 6, 18, 2, 9, 3, 8, 12, 4, and 19. Trills are indicated by 'tr' above notes in measures 1, 3, 6, 9, 12, and 19. The score concludes with a double bar line and repeat dots.

Exemplo 1: Séries de alturas recorrentes exclusivamente na Sonata K. 1

The image displays six systems of musical notation for a piano sonata. Each system consists of a grand staff with a treble and bass clef. Blue lines are drawn across the notes in both staves of each system, tracing the pitch contours of the music. Various annotations are present: measure numbers (14, 15, 17, 20, 23, 26, 29), fingerings (e.g., 15, 7, 3, 15, 2, 6, 5, 13, 13, 14, 14, 14, 8, 8, 9, 9, 20, 18, 4, 19), and trills (tr). The notation includes various note values, rests, and accidentals.

Exemplo 1: Séries de alturas recorrentes exclusivamente na Sonata K. 1 (cont.)

O Ex. 2 apresenta as séries de alturas recorrentes de alguns dos outros conjuntos de que participa a Sonata K. 1. Neste caso, a numeração se refere aos conjuntos de Sonatas, não às séries de alturas recorrentes. A série de alturas recorrente numerada como 29, por exemplo, acontece no conjunto de Sonatas 29, conforme a Fig. 4. Cada uma destas séries de alturas mostra uma relação de recorrência em conjuntos distintos de Sonatas.

Dentre estas séries de alturas recorrentes, destaca-se a de número 22, ocorrente no conjunto de Sonatas K. 1, K. 85 e K. 517. Nas duas primeiras sonatas, K. 1 e K. 85, essa série de alturas de número 22 é utilizada para construir um modelo sequencial muito similar. O Ex. 3a–b apresenta as instâncias desta série de alturas identificadas nas Sonatas K. 1 e K. 85, respectivamente, sendo possível observar sua recorrência no contexto das duas sonatas. O Ex. 4 apresenta de forma condensada a série de alturas recorrentes identificada, o modelo sequencial construído por Scarlatti a partir dela e a sua ornamentação nas Sonatas K. 1 e K. 85.

Esserciso 1

[(' IntDia' , ' eief'), (' Dur' , ' eief'), (' PTemp' , ' ei')]
conjuntos

Domenico SCARLATTI
(1685-1757)

Allegro *tr* 22

167

29 *tr* 22 29 *tr* 22 29 *tr* 22

29 7 167 167 167 *tr*

9 *tr* *tr* 167 172 167 167 11.1

12 *tr* 4 8, 9, 12, 13, 15... *tr*

Exemplo 2: Séries de alturas recorrentes em conjuntos de Sonatas que contêm a Sonata K. 1

([' IntDia' , ' eief'), (' Dur' , ' eief'), (' PTemp' , ' ei')]
conjuntos

The musical score consists of six systems of two staves each. The first system (measures 14-16) shows a treble staff with a melodic line and a bass staff with a rhythmic accompaniment. Blue highlights are placed under specific notes in both staves. The second system (measures 17-18) continues the melodic line in the treble staff, with trills (tr) marked above notes. The third system (measures 19-20) shows a more complex melodic line in the treble staff. The fourth system (measures 21-22) features a dense texture with many notes in the treble staff. The fifth system (measures 23-24) shows a similar dense texture. The sixth system (measures 25-26) continues the melodic line. The seventh system (measures 27-28) shows a final melodic phrase. The eighth system (measures 29-31) concludes the passage with a final chord and a trill. Blue highlights are used throughout to track specific pitch classes across the different systems.

Exemplo 2: Séries de alturas recorrentes em conjuntos de Sonatas que contêm a Sonata K. 1 (cont.)

Chamamos a atenção para as séries de alturas identificadas na Sonata K. 1, compassos 30 e 31 (Ex. 2), de recorrência significativa. Estas são frequentes nos resultados. Cada uma das séries de alturas identificadas estabelece relações de recorrências com conjuntos diferentes de Sonatas. A constituição geral destas séries de alturas, apresentada na Fig. 5, comumente denominada de terças quebradas, com cada altura a possuir a duração de um quarto de tempo (Dur:

0.25), é comum nas Sonatas, iniciando em diversas posições métricas (PPuls: 0.0, 0.25, 0.5, 0.75).

The image displays six systems of musical notation for piano sonatas by Domenico Scarlatti. Each system consists of a grand staff (treble and bass clefs). The first system is labeled 'Allegro K.1' and features a trill marked '1 tr' in the right hand. The second system, also 'K.1', shows four trills marked '2 tr', '3 tr', and '4 tr' in the right hand. The third system, 'K.1', has a trill marked 'tr' in the right hand. The fourth system, 'K.1', has a trill marked '5 tr' in the right hand. The fifth system, 'K.1', has two trills marked '6 tr' and '7 tr' in the right hand. The sixth system, 'K.517', has a trill marked '8' in the right hand. In all systems, the trills are highlighted with a blue shaded area.

Exemplo 3a: Todas as localizações da série de altura do conjunto de Sonatas 22

23 K.85

25 K.85 9 10

27 K.85 11

35 K.85

37 K.85 12 13

39 K.85

Exemplo 3b: Todas as localizações da série de altura do conjunto de Sonatas 22

Estas são algumas séries de alturas recorrentes identificados na Sonata K. 1 que, em uma verificação manual dos dados, chamaram a atenção e foram úteis para evidenciar sua relação com o restante do repertório investigado. Os dados de recorrências produzidos pelo PIERSAM contemplam a totalidade dos conjuntos de recorrências possíveis com as 155 Sonatas de Scarlatti encontradas na WEB. A metodologia utilizada para ilustrar o modo como opera o PIERSAM,

tomando como referência as recorrências identificadas na Sonata K. 1, pode ser aplicada de modo similar a qualquer Sonata ou conjunto de Sonatas, mais ainda a qualquer repertório em que os parâmetros altura, duração e posição métrica são relevantes na sintaxe musical.

Foram identificados ao todo 13.203 conjuntos distintos de Sonatas, distinguidos por compartilhar séries de alturas recorrentes específicas. A Sonata K. 1 está contida em quatrocentos e vinte e sete destes conjuntos de Sonatas, que, lembremos, formam-se a partir das 155 Sonatas de Scarlatti encontradas na WEB. Para cada conjunto de Sonatas, as respectivas séries de alturas ocorrem somente naquelas Sonatas contidas no conjunto. Esta disposição possibilita estudar relações de recorrências entre conjuntos específicos de Sonatas e permite analisar graus de similaridade no repertório como um todo.

Conjunto 22 Segmento 1

Exemplo 4: Sequências elaboradas a partir da série de alturas de número 22, ocorrentes nas Sonatas K. 1 e K. 85.

<p>Séries de alturas dos conjuntos 2 a 6 e similares</p> <p>IntDia, Dur: ((-3, 2, ..., -4, ...), (0.25, 0.25, ...))</p> <p>IntDia, Dur: ((2, -3, 2, ..., -4, ...), (0.25, 0.25, ...))</p> <p>IntDia, Dur: ((-3, 2, ...), (0.25, 0.25, ...))</p> <p>IntDia, Dur: ((-3, 2, ...), (0.25, 0.25, ...))</p>

Figura 5: A constituição das séries de alturas ocorrentes nos compassos 30 e 31 da Sonata K. 1 é similar e frequente em diversos conjuntos de Sonatas.

5. Séries de alturas recorrentes organizadas por tamanho nas 155 Sonatas

Organizar as séries de alturas somente por seu tamanho, independente dos conjuntos de Sonatas em que ocorrem, mostra que as séries de alturas recorrentes de maior tamanho acontecem no interior de uma mesma Sonata – uma vez na primeira e outra vez na segunda parte¹⁹. Este aspecto atua na constituição, ao mesmo tempo que é inerente, da estrutura binária-das Sonatas. É, também, índice de singularidade, uma vez que cada Sonata tem as relações de recorrências estabelecidas primariamente entre os seus constituintes formais. Podemos afirmar que estas Sonatas são “mais parecidas” com elas mesmas do que com qualquer outra Sonata do repertório analisado. Este é o caso das 227 séries de alturas de maior tamanho, do total de 20.476 séries de alturas recorrentes identificadas. Exemplificamos com a série de alturas numerada 3, Ex. 5, que ocorre uma vez na primeira e outra vez na segunda parte da Sonata K. 470.

Cresce o número de Sonatas em que as séries de alturas são ocorrentes à medida que o tamanho das séries diminui. Detectamos várias séries de alturas de tamanho intermediário que podem auxiliar na análise sobre a construção motivica das frases. É possível, também, analisar os diversos contextos em que a mesma série de alturas ocorre, com quais materiais combina-se vertical e horizontalmente. O Ex. 6a–d apresenta algumas das localizações da série de alturas numerada 5.339, constituída por um movimento de baixo característico. No Ex. 6d, evidenciamos algumas ocorrências não identificadas da série 5.339, não reconhecida em razão da organização das vozes no arquivo MusicXML. Nestes casos, a série 5.339 é “quebrada” (indicada com as setas em vermelho) em mais de uma voz. O PIERSAM faz o escrutínio voz por voz, analisando exhaustivamente a recorrência de todas as séries de alturas possíveis, porém esse escrutínio é feito sem considerar as possíveis “quebras” de séries de alturas em mais de uma voz no arquivo MusicXML.

¹⁹ “Parte” se refere à seção que antecede a barra dupla e àquela que a sucede nas Sonatas. Não confundir com a tag *parte* no MusicXML, que pode se referir à *parte* da M.E. e *parte* da M.D. a depender da construção dos arquivos.

33

39

44 ('K.470 KernScores', 'P2', 1, (77, 196), (37.), (1.0.), (62), (1.0.))

49

54

59

63

Exemplo 5: Série de altura 3 na K. 470

Exemplo 5: Série de altura 3 na K. 470 (cont.)

As séries de alturas recorrentes mais frequentes entre Sonatas distintas são de apenas um ou dois eventos. Este tamanho faz-nos questionar se o

reconhecimento de séries de alturas de tamanho tão pequeno tem utilidade para a discussão da natureza de motivos e frases nas Sonatas de Scarlatti. Talvez a identificação destas recorrências possa ser útil em conjunto com análises estatísticas dos dados como um todo. O Ex. 7a–b apresentam algumas localizações da série de alturas que acontece no maior número dentre as 155 Sonatas investigadas: ocorre em cento e vinte e duas Sonatas. Esta série é constituída por um intervalo de primeira diatônica (IntDia: 1), com a duração de um tempo (Dur: 1).²⁰

Allegro ♩ = 120

58
cresc.
(‘K.107 Musicalion’, ‘P1’, 3, (173, 178), (60,), (1.0.), (61,), (2.0,))

62
(‘K.107 Musicalion’, ‘P1’, 3, (179, 184), (62,), (1.0.), (63), (2.0,))
(‘K.107 Musicalion’, ‘P1’, 3, (185, 190), (64,), (1.0.), (65,), (2.0,))

129
cresc.
(‘K.107 Musicalion’, ‘P1’, 3, (375, 380), (131,), (1.0.), (132,), (2.0,))

133
(‘K.107 Musicalion’, ‘P1’, 3, (381, 386), (133,), (1.0.), (134,), (2.0,))
(‘K.107 Musicalion’, ‘P1’, 3, (387, 392), (135,), (1.0.), (136,), (2.0,))

Exemplo 6a: Algumas localizações da série de altura 5.339

²⁰ Como identificado pelo programa, a primeira diatônica existe também entre notas de mesmo nome com alterações diferentes, como no caso da K. 14 c. 9 (Ex. 7b). Sol e Sol sustenido são considerados primeira diatônica, igualmente ao uníssono, uma vez que o intervalo cromático (IntCro), que diferenciaria este tipo de movimento do uníssono, não foi levado em conta nesta análise.

5
f
(K.114 KernScores', 'P2', 1, (23, 28), (7.), (1.0.), (8.), (2.0.))

14
f
(K.114 KernScores', 'P2', 1, (53, 58), (16.), (1.0.), (17.), (2.0.))

84
f
(K.114 KernScores', 'P2', 1, (290, 295), (86.), (1.0.), (87.), (2.0.)) (K.114 KernScores', 'P2', 1, (296, 301), (88.), (1.0.), (89.), (2.0.))

171
(K.114 KernScores', 'P2', 1, (597, 602), (173.), (1.0.), (174.), (2.0.))

Exemplo 6b: Algumas localizações da série de altura 5.339

55
f p
(K.122 KernScores', 'P2', 1, (147, 152), (59.), (1.0.), (60.), (2.0.))

119
f
(K.122 KernScores', 'P2', 1, (315, 320), (123.), (1.0.), (124.), (2.0.))

125
(K.122 KernScores', 'P2', 1, (329, 334), (129.), (1.0.), (130.), (2.0.))

Exemplo 6c: Algumas localizações da série de altura 5.339

4
 ("K.138 Musescore', 'P1', 2, (10, 15), (6), (1.0), (7), (2.0))

8
 ("K.138 Musescore', 'P1', 3, (7, 12), (8), (1.0), (9), (2.0))
 vozes diferentes no musicXML

49
 ("K.138 Musescore', 'P1', 3, (64, 69), (56), (1.0), (57), (2.0))
 vozes diferentes no musicXML

54

104
 ("K.138 Musescore', 'P1', 2, (197, 202), (105), (1.0), (106), (2.0))

109
 ("K.138 Musescore', 'P1', 2, (221, 226), (113), (1.0), (114), (2.0))

114
 ("K.138 Musescore', 'P1', 2, (232, 237), (117), (1.0), (118), (2.0))

119
 ("K.138 Musescore', 'P1', 3, (175, 180), (121), (1.0), (122), (2.0))

Exemplo 6d: Algumas localizações da série de altura 5.339 (cont.) e ocorrências não identificadas, em vermelho, em razão da disposição das vozes no MusicXML.

The image shows two musical excerpts. The first is labeled '35 K.10 Presto' with a tempo marking of quarter note = 108. It features a treble and bass clef in 3/8 time. A specific pitch series is highlighted in blue in the bass clef, with a '1' above it. The second excerpt is labeled '43 K.107 Allegro' with a tempo marking of quarter note = 120. It also features a treble and bass clef in 3/8 time. A similar pitch series is highlighted in blue in the treble clef, with a '2' above it.

Exemplo 7a: Série de alturas recorrente mais frequente no repertório das 155 Sonatas de Scarlatti encontradas na WEB

The image shows three musical excerpts from Scarlatti's sonatas, all in 3/8 time. The first excerpt is labeled '8 K.14' and '16 K.14'. It features a treble and bass clef. A pitch series is highlighted in blue in the bass clef, with a '5' below it and a '3' above it. The second excerpt is labeled '33 K.14' and '40 K.14'. It features a treble and bass clef. A pitch series is highlighted in blue in the bass clef, with a '6' below it and a '4' above it. The third excerpt is labeled '31 K.141'. It features a treble and bass clef. A pitch series is highlighted in blue in the bass clef, with '7', '8', '9', and '10' below it.

Exemplo 7b: Série de alturas recorrente mais frequente no repertório das 155 Sonatas de Scarlatti encontradas na WEB

6. Considerações Finais

Algumas das questões centrais que motivaram o desenvolvimento do PIERSAM foram: Até que ponto vão e é possível identificar as similaridades em uma grande quantidade de músicas? Como chegar a uma visão panorâmica de

um grande repertório, onde seja possível contextualizar o conteúdo de cada música no repertório como um todo? Como chegar a conclusões sobre grandes repertórios que não sejam induções vulgares a partir de exemplos selecionados, mas sim que levem em conta, ao mesmo tempo, todo o repertório e o conteúdo específico de cada música contida nele? Em resposta a estas questões, desenvolvemos o PIERSAM dedicado à identificação exaustiva de recorrências de séries de alturas. Os dados obtidos constituem-se num conjunto exaustivo e confiável quanto a recorrências em uma grande quantidade de músicas, permitindo uma análise que leve em conta a totalidade das recorrências identificadas, de acordo com critérios pré-estabelecidos, dispensando procedimentos indutivos.

As maiores complexidades enfrentadas para a realização plena de tal abordagem não foram, em primeiro momento, computacionais, mas relacionados à subjetividade da percepção de voz e frase. Não existem ainda definições computacionalmente satisfatórias destes conceitos e, por consequência, também não existem formatos de arquivos simbólicos que registrem esses conceitos de forma satisfatória e padronizada. Por conta disto, especialmente a falta de padronização da representação simbólica, os resultados de recorrências identificados por PIERSAM ainda nos parecem incipientes. Há recorrências não identificadas e recorrências que, apesar de corretamente identificadas, não são coincidentes com motivos ou frases musicais.

Outra dificuldade está na disponibilidade e qualidade das partituras em formatos de arquivos simbólicos atuais. A pesquisa minuciosa levantou apenas 155 arquivos das Sonatas de Scarlatti disponíveis na WEB em formato MusicXML ou passíveis de conversão para este, dos quais muitos tem qualidade duvidosa, como erros na definição das vozes mesmo em contextos simples e claramente não ambíguos²¹.

Os resultados obtidos e as possibilidades de aplicação dos dados evidenciam algumas fragilidades, pontos a melhorar no PIERSAM.²² O código funciona, mas, já o vislumbramos, pode ser mais claro e conciso. O PIERSAM foi

²¹ Esta também é a razão para a falta de padronização nos exemplos musicais apresentados, eles são dos próprios arquivos analisados.

²² O processo de desenvolvimento do programa foi enfrentado, de início, com pouco conhecimento técnico de programação.

desenvolvido com foco exclusivo nas Sonatas de Scarlatti e não foi testado em outros repertórios, porém parece-nos evidente que a identificação exaustiva de recorrências de séries de alturas pode ser útil na análise de outros repertórios, especialmente em grande quantidade de músicas, onde a organização das alturas, suas durações e posições métricas são parâmetros relevantes.

A análise dos resultados deu-se de forma manual. Há um grande potencial a ser explorado na utilização dos dados por meio de formas mais sofisticadas de análise, como análises estatísticas direcionadas a finalidades de análise musical específicas. Métodos de análise mais coerentes com a proposta primária de gerar um volume de dados que permita afirmações seguras e confiáveis sobre o repertório investigado, não importa o quão numeroso, inibindo as análises indutivas.

Tendo em vista a falta de padronização nas definições de vozes nos arquivos MusicXML e os parâmetros selecionados para a identificação das recorrências, o ponto positivo, dos mais relevantes, de PIERSAM é que sua lógica garante a identificação da totalidade das recorrências de séries de alturas em cada voz. O resultado obtido permite alcançar conclusões embasadas sobre o repertório das 155 Sonatas de Scarlatti analisadas a partir de uma visão panorâmica do seu conteúdo em contraposição com a análise manual de cada Sonata.

A diferença crucial é que, no modelo aplicado em PIERSAM, por meio do reconhecimento de recorrências, cada série de altura identificada está invariavelmente situada no contexto das 155 sonatas. Muitas das séries de alturas recorrentes são exatamente o que esperávamos: coincidem com frases e seccionamentos motivicos coerentes. O PIERSAM identifica recorrências em grande quantidade de músicas que de forma manual tomariam tempo extraordinário para serem identificadas e contextualizadas na mesma quantidade e precisão.

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The Bruckner Problem and The Study of Musical Form: Reappraising Textual Multiplicity from a Two- Dimensional Dialogic Perspective

O “Bruckner problem” e o estudo da forma musical: reavaliando a multiplicidade textual a partir de uma perspectiva dialógica bidimensional

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Abstract: This study proposes an analytical methodology and theoretical framework that seeks to turn the textual multiplicity often associated with Bruckner’s large-scale works (a scholarly issue often referred to as the “Bruckner Problem”) into a Bruckner Potential. Because textual multiplicity does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his oeuvre. The present study circumvents this shortcoming by conceiving formal-expressive meaning in Bruckner’s symphonies as growing out of a two-dimensional dialogue comprising 1) an *outward dialogue*, characterized by the interplay between a given version of a Bruckner symphony and its implied genre (in this case, sonata form); and 2) an *inward dialogue*, characterized by the interplay among the various individualized realizations of a single Bruckner symphony. The analytical method is exemplified through a brief comparison of two renditions of the slow movement of Bruckner’s First Symphony, WAB 101 and a detailed consideration of each of the surviving realizations of the slow movement of his Third Symphony, WAB 103.

Keywords: Bruckner Problem. Musical Form. Dialogical Form. Bruckner’s Symphonies. Musical Text.



Part I. Methodology and Theoretical Framework

Cambia lo superficial,
cambia también lo profundo,
cambia el modo de pensar,
cambia todo en este mundo.

— Julio Numhauser, *Todo Cambia*

1.1 Introduction: The Thinking behind the Bruckner Problem is the Problem

The reception history of Anton Bruckner's music is arguably more complex and contentious than that of most other composers, often leading to strong disagreements and passionate disputes among scholars, performers, and audiences. Since Bruckner's lifetime, and to an extent unparalleled among other regularly performed 18th- and 19th- century composers, doubts have persistently been cast over both his competence as composer and the merits of his music. A salient feature in this regard is the controversy surrounding what English-speaking scholars refer to, after the influential British Bruckner apologist Deryck Cooke (1969), as the "Bruckner problem."¹ Two interrelated factors are central to this issue: First, although Bruckner's mature compositional output (from 1863 on)² comprises only a relatively small number of large-scale pieces, these works have survived—due to Bruckner's penchant for reworking his own oeuvre³—in

¹ Critical appraisals of Cooke's argument can be found in Horton 2004, p. 11–15; and Gault 2011, p. 243–248.

² My use of the term "mature compositional output" does not aim to advance the idea of a cohesive group of pieces in terms of style that contrasts, as such, with an earlier set of pieces. Instead, I attempt to foreground that portion of Bruckner's output that has received the greatest attention from performers, scholars, and audiences. This period corresponds to Bruckner's compositional production after finishing his formal music instruction, a time that, as Paul Hawkshaw explains, the composer himself identified as "the beginning of his career as a professional composer" (2001, p. 25).

³ To be sure, Bruckner was neither the first nor the last composer to rework his own oeuvre; like other composers, he often made minor adjustments to his scores (e.g., orchestration or other non-structural changes). However, his lifelong penchant for major compositional reshaping led to an unusual proliferation of distinct realizations of a large number of works. The many variants that Bruckner produced of his symphonies are, indeed, the best evidence of his penchant for compositional reworking. However, he approached many of his smaller and early (non-symphonic) works with this same critical compositional attitude. See, for example, the *Kronstorfer Messe*, WAB 146 (1843–1844; sometimes known as the "Messe ohne Gloria und Credo"), and the "Messe ohne Kyrie und Gloria für den Gründonnerstag," WAB 9 (1844; also known as [Missa brevis] *Christus factus est*). These make use of different realizations of the same Sanctus. *Am Grabe*,

a variety of realizations. Second, throughout Bruckner's life and up to the advent of the *Neue Bruckner-Gesamtausgabe* (henceforth NGA)⁴ in the 1950s, Bruckner's music was regularly performed and published⁵ in retouched, heavily edited, or sometimes even recomposed renditions that his pupils and advocates felt compelled to bring about.⁶ These two factors—Bruckner's revamping attitude towards composition, and an exceptionally interventionist editorial practice—have combined to produce a *sui generis* textual corpus from which Bruckner symphonies have emerged as boundaryless, multidimensional works that question the very concept of the self-contained composition, conspicuously

WAB 2 (1861) is a later variant of the earlier *Vor Arneths Grab*, WAB 53 (1854). Other early works existing in two or more renditions include the *Pange lingua*, WAB 31 (1835 and 1891; the first is Bruckner's earliest extant piece); *An dem Feste*, WAB 59 (1843 and 1893; the second in this case being the *Tafellied*, WAB 86 [WAB 59c in the new revised catalogue]); the five *Tantum ergo* settings, WAB 41 and 42 (1846 and 1888; WAB 41,1 and 41,2 and WAB 42,1 and 42,2, respectively, in the new revised catalogue); and *Iam lucis orto sidere*, WAB 18 (also known as *In Sanctum Angelum custodem*; two realizations from 1868, and a third from 1886).

NB: WAB numbers refer to Renate Grasberger's systematic catalogue of Bruckner's works (see Grasberger 1977). An updated version of this catalogue was prepared by Dominique Ehrenbaum and was included in Hinrichsen 2010. A thorough revision of Grasberger's catalogue was begun by the Austrian musicologist Erich Wolfgang Partsch; following his death in 2014, arrangements were made by the Musicology Department of the Austrian Academy of Sciences for its completion and publication. This new revised version of the catalogue was completed in 2020 under the leadership of Robert Klugseder and is available at the Web portal *Bruckner-online* (<<http://www.bruckner-online.at>>).

⁴ See Nowak et al., 1951ff.

⁵ Since the 1950s the prevalent practice has been to publish only authorial renditions of Bruckner's symphonies. (According to the text-critical practice of the NGA, a textual source attains authorial status when material evidence—e.g., extant music manuscripts and letters—proves beyond a doubt that it was *produced or approved* by the composer himself.) Regarding performing practices, we can notice a trend rather than an accepted custom: although most conductors since the 1950s have turned to the NGA's scores, a good number of earlier conductors (those already well established by the 1950s) continued to perform late-19th and early 20th-century editions of Bruckner's works (which in many cases deviate considerably from those of the NGA) well into the 1990s (and even to some extent today).

⁶ See, e.g., the following versions: Franz Schalk's WAB 105, Ferdinand Löwe's WAB 109, and Robert Haas's WAB 102 and 108. See, also, those by Gustav Mahler of WAB 104 and Wilhelm Furtwängler of WAB 108, which have not yet been published in score format but have been recorded (useful information on these and many other recordings is available at Bruckner-collector John F. Berky's website <abruckner.com>).

failing to conform to traditional ideas about the construction and ontological status of musical works.⁷

This important aspect of his oeuvre does not sit comfortably with conventional ways of thinking about the “classical” canon, which, by and large, still tend to be grounded in overtly romantic and modernist aesthetic perspectives. For example, the idea that musical geniuses craft perfect, self-contained works as part of a singlehanded creative endeavor continue to hold sway in the world of classical music. Since it follows from such an idea that truly great artworks should not exist in various versions, contain variants or result from a collective endeavor involving multiple creative agents, it became all too easy within the comfort zone of institutionalized knowledge, to approach textual multiplicity in Bruckner’s works with a stance of implicit condescension towards the composer. In this climate, it is unsurprising that many Bruckner scholars devoted themselves to the task of distancing Bruckner’s works from any perceived anomaly within the prevailing ideology.⁸ It is also no surprise, that performers, musicologists, and analysts tend to disagree widely on the philological and editorial practices that should guide research into Bruckner’s symphonies.⁹ As Benjamin Korstvedt notes, “textual matters loom large with Bruckner. Not only have they been considered and reconsidered by generations of Bruckner scholars, but anyone [...] approaching this repertory soon runs into the ‘Bruckner problem.’” (2004, p. 121).

Today, however, our greater knowledge of the complex circumstances surrounding the texts of Bruckner’s works prohibits shortcuts or simplistic solutions like some proposed in the past.¹⁰ Moreover, the textual modifications (by both Bruckner and others) are too extensive and significant (both compositionally and historically) to be dismissed or downplayed in any critical

⁷ Valuable lists of different realizations of Bruckner’s symphonies are found in Carragan 2017 and 2020; Gault 2011, p. 253–257; and the websites maintained by David Griegel and José Oscar Marquez (see the list of references). A comprehensive list of published scores of Bruckner’s symphonies is found in Walker; Howie 2005, p. 25–31.

⁸ In this connection, think, for example, in Robert Haas’ editorial intervention of Bruckner’s Second Symphony, which he describes as “the restoration of textual intention according to Bruckner’s true meaning.” (1938, p. 1*; quoted [and translated] in Gault 2011, p. 219).

⁹ On contemporary and historical trends on this matter, see Gault 2011, p. 212–228 and 236–252; Horton 2004, p. 11–16; Korstvedt 2004, p. 121–137; Wagner 1981, p. 15.

¹⁰ A classic example is Cooke 1969.

assessment.¹¹ To be sure, multiple editions of the same numbered symphony, often with significant textual differences, certainly pose a logistical challenge for performers (especially conductors), who are forced to choose among the available alternatives. But textual multiplicity need not be assessed pejoratively: performers may, for example, take textual diversity as an opportunity to counteract the loss of spontaneity that playing the same works season after season brings about. Similarly, Bruckner's penchant for compositional reworking provides an excellent opportunity for musicologists and analysts to enliven their engagement with music, forcing them to confront the dynamic and collective processes that music making involves.

That being the case, the issue under inquiry should be less how to come up with a "solution" to an anomaly in Bruckner's music (i.e., the "Bruckner problem"), and more how to embrace his oeuvre's challenge (i.e., the "Bruckner challenge") to notions about music (e.g., musical "authenticity," "authorship," and "genius") that have been pivotal in shaping the discourses and practices from which textual multiplicity has been tackled.¹² This opens a space for a new approach to textual multiplicity in Bruckner's and others' music, one that moves away from the traditional argumentative boundaries, reconfiguring the epistemological frame of inquiry, towards the ultimate goal of advancing an alternative interpretation in which the "Bruckner problem" becomes the "Bruckner potential."

An appropriate response to the challenges posed by the textual characteristics of Bruckner's symphonies requires a great deal of conceptual rethinking. Both favorable and negative trends in the historic reception of a composer's music are inseparable from the analytical and aesthetic premises on which they build. Therefore, articulating a coherent, critical alternative to the ongoing tendency (even among Bruckner advocates) to construe his oeuvre as "problematic" in a pejorative sense entails breaking from its concomitant premises. Moved by a shared conviction with Julian Horton, who states that "critical difficulties are best addressed as part of a general nexus of analytical, textual, philosophical, historical and social matters," (2004, p. ix) I posit the

¹¹ Along these lines, see the critical reappraisal in Korstvedt 2004, p. 132–137, of the often criticized early published editions of Bruckner's symphonies. See also Aldeborgh 1996, p. 1–12.

¹² See Venegas 2017, p. 75–76.

foundational feature of my enterprise: the inextricable interpretative bond between my analytical apparatus and my critical assessment of the “Bruckner Problem.” Despite my frequent focus on music-theoretical details throughout the article’s second part (and also the last section of the first), my purpose is to address issues that go beyond the strictly theoretical and that infuse the entire field of Bruckner studies. Moreover, given that the intellectual framework underlying past engagements with the “Bruckner Problem” have, to a great extent, a bearing on any other composer’s music, my larger aim is to articulate a new way of thinking about composers’ artistic endeavors.¹³

1.2.1 Text-Critical Issues: The Work as Process (*Umarbeitungen*)

El concepto de *texto definitivo* no corresponde sino a la religión o al cansancio.

—Jorge Luis Borges, *Las versiones homéricas*

For any meaningful discussion of Bruckner’s symphonies to take place, it is essential to clarify in advance which written texts are being referred to.¹⁴

¹³ It is worth noting that the epistemological framework underlying the “Bruckner Problem” was germane to the intellectual climate of 19th-century Europe and, most importantly, the agenda of the nascent academic discipline of modern musicology. Thus, the articulatory role that it has played in the reception history of Bruckner’s and other’s music is paramount: it is part of the epistemic core from which institutionalized European music has disciplined hearing and thinking habits, as well as secured its hegemony, for about two centuries.

¹⁴ If, as Richard Taruskin (2009, p. I: xiv) argues, dissemination “primarily through the medium of writing” is what gives a coherent, complete shape to Western classical music, then the written text is central to its critical study, including the music-theoretical questions on which this article builds, along with their associated analytical tools. Therefore, throughout this article, I will deal by and large with musical works in their philological sense, that is, as recorded through musical notation in written texts. In doing so, I will pursue an analytical perspective that intersects significantly with textual criticism and hermeneutics, so establishing a theoretical discourse continuous with music philology (for a thorough discussion on music philology, see Feder 2011).

My emphasis on the written text does not mean that I am not interested in music’s aurality. Ultimately, any hypothesis about a written text involving musical notation must be tested and judged against that text’s implicit aurality. It is also important to keep in mind that there is a distinction between work and text. As James Grier (2001) points out, “a written text is not self-sufficient; text and work are not synonymous. For most of the Western art tradition, the act of creating a musical work consists of two stages, composing (usually synonymous with the inscription of the score) and performance. These two steps create a distinction between the work, which depends equally on the score and performance for its existence, and the text, either written (a score) or sounding (a performance) that defines a particular state of the work.”

Defining what constitutes the written text(s) of a musical work is a challenging and risky task, though. Any claim about what qualifies as a work's written text is implicitly dependent on a prior conceptualization of that work.¹⁵ In proposing a reorientation to the way textual multiplicity in Bruckner's music is approached, I have chosen to refrain from looking at the Bruckner work as reducible to a pure and static, "authentic" state.¹⁶ I include, then, as written texts of a single musical work "by" Bruckner (e.g., one of "his" symphonies), the composer's finished manuscript score(s) (i.e., manuscript scores indicated by the composer as finished), as well as any other written state of the same musical work, whether authored by Bruckner or someone else (either single- or co-authored). This means that to the written texts concomitant to any past or present conceptions of an official version (*Fassung*) of a work by Bruckner, I add, others: for example, those found in texts deemed as "variants" or "corrections," (Cohrs 2009) as well as those represented by sketches, drafts, copies, *Stichvorlagen* (i.e., models used during the engraving process), and printed editions (brought about with or without Bruckner's consent). Two aspects of this work's all-inclusive textual corpus are crucial to my approach: 1) none of the textual corpus' constituent elements (individual texts) can claim priority as the work's defining text: since all texts concomitant to a work's composition- and editorial-history are part of that work's formative process, then none of the above-mentioned textual states is identical to (or gives as full account of) the work's shaping process; and 2) the work (as the sum of its individual states) is, then, indistinguishable from its shaping process.

In proposing this extended textual corpus as an object of study, I am seeking to accomplish two goals: 1) an unpacking, via an archeology of form, of the formal meanings residing in the various layers comprising the work's

¹⁵ This means, for example, that the premise "*Urtext* edition = *the work's text*" on which a good number of performers still operate today, is valid only within the ideological framework of an implicit conception of the work that substantiates it. For a critical view of what an *Urtext* edition is, see Feder 2011, p. 154–155.

¹⁶ Along similar lines, Julian Horton (2004), for example, commenting on the first printed edition's added dynamic, tempo, and expression markings, points out, that "at least for the Second, Third, Fourth, Seventh, and Eight Symphonies, all of which were published during Bruckner's lifetime and involved varying levels of collaboration or interventions, any concept of a single authoritative text must be abandoned, and we become committed to an irreducible pluralism" (p. 13).

compositional process, as conveyed in its written states; and 2) from an analytical perspective, an approach to the aesthetic dimension of the work as a historically unfolding entity—an aspect of musical works that I believe is all too often disregarded in the music theory/analysis literature.

Envisioned as a potentially boundless, historically and collectively shaped endeavor, the work encompasses everything that is considered to be it (or part of it) by those who participate in its ongoing formation. This perspective raises a methodological question: If the work is conceptualized as a potentially never-ending formative process, how can one meaningfully study its textual mass without getting caught in the impractical vastness, and inapprehensible plurality of its details? Or if the work is pictured as an expanding network of nodes representing the various states of the work (e.g., genre-contextualized extemporizations, written texts, performances, and all sorts of interpretations), how can one, as analyst, navigate that network without losing a minimal sense of direction?

In this regard, rather than attempting a transcendent account of the work, I propose to approach the matter from the subjective experience of an individual who takes part in the work-shaping process (i.e., a transformative agent). Along those lines, when inquiring into what the work's written states mean *en masse*, the core question is which states will comprise the subjective experience. Building on the answer to this question, the analyst can establish a much narrower network, one functioning as a subjective epistemic context that makes meaningful (and hopefully appealing) the aesthetic experience of the work as a process. In this article's second part, for example, I am mainly interested in issues of large-scale form (i.e., the larger-scale coordination of the work's tonal, thematic, and rhetorical layouts) and its expressive and dramatic import. Therefore, I will limit the scope to those states to which we can ascribe the attribute of large-scale form. This means I will not deal with sketches or drafts containing states in which the larger context of the work's formal sections is not yet explicit. Therefore, the epistemic grid in my analyses will be that of an ideal listener who is only familiar with states in which large-scale form already is an ostensible attribute of the work. I will further limit my object of study to two kinds of text that the ideal listener ought to be familiar with: manuscripts closely related to Bruckner's agency, and published and unpublished editions that have

played a significant role in the reception history of his music.¹⁷ This limitation seems reasonable given my interest in compositional processes and reception history.¹⁸

1.2.2 Text-Critical Issues: Organizing and Labeling System¹⁹

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

In accordance with the proposed scope of textual sources, two text-state types are discerned on the basis of the text-critical distinction between source and edition: textual states found in 1) the various kinds of manuscripts prepared by Bruckner, his copyists, and other collaborators; and 2) the editions (published and unpublished) based on these manuscripts.²⁰ A textual state belonging to the first type (i.e., manuscripts) will be identified through the name prefix and call number given by the institution that, at present, owns the physical document containing the textual state. For example, the textual state found in the 1866 autograph score that Bruckner left incomplete when working on the Adagio of WAB 101 (today preserved at the Österreichische Nationalbibliothek in Vienna), is identified as Mus. Hs. 40.4000/5, folios 109r–118v.

¹⁷ One exception to this criterion is adaptations and transcriptions (*Bearbeitungen*) for instruments other than those indicated by Bruckner himself (e.g., the two- and four-hand piano reductions by which Bruckner's contemporaries often got to know the symphonies). Nevertheless, the distinction of such arrangements from orchestral scores normally has no relevance to large-scale form.

¹⁸ The sounding texts produced during a work's actual performances are indeed central in shaping (through live concerts and recordings) the listener's idea of it. The inclusion of these texts here, however, would unnecessarily complicate (and thus obscure) the presentation of the method. If desired, the scope of the proposed textual corpus can be expanded or reduced to accommodate individual cases (i.e., texts familiar to a given listener) without changing the underlying analytical method.

¹⁹ This organizing and labelling system is an abridged version of that found in Venegas 2017, p. 80–82, here adapted to account only for the textual characteristics displayed by the examples used in the article's second part.

²⁰ Since these are not facsimile editions of the source documents, type 2 textual states cannot be equated with the type 1 textual states on which they are based.

Since it is not unusual to find two or more type 1 texts prepared around the same time and containing essentially the same reading (e.g., a composition score, its authorial fair copy, and yet another copy prepared by a copyist), it seems both intuitive and practical to group them under a single category. I will use the German word *Zustand* to designate such a textual-state grouping category. For convenience, its initial ("Z") will follow the year in which texts comprising the *Zustand* were prepared (e.g., 1872Z). When two or more *Zustände* are identified with the same year number, lower case letters in alphabetical order denoting the chronology of the *Zustände* are used to distinguish them (e.g., 1872aZ, and 1872bZ).

Textual states belonging to the second type (i.e., editions) are identified by the last name of the editor (placed within square brackets) following the information that specifies the edition's *Zustand* source: e.g., 1872aZ[Haas].²¹

I now put aside textual matters for a moment, and turn to addressing formal-theoretical issues in detail before moving on into the analytical portion of this article.

1.3.1 Formal-Theoretical Backdrop: Hepokoski and Darcy's Dialogical Approach and the Theory of Deformation

My perspective on matters of musical form builds primarily on the dialogical approach of James Hepokoski and Warren Darcy.²² It also draws on William Caplin's form-functional perspective,²³ especially when dealing with small- and medium-scale formal units. Since the theoretical systems developed by these authors have become *lingua franca* for theorist and analysts of tonal music, I will presuppose that the reader is familiar with their theoretical

²¹ When the editor has based an entire edition on a single manuscript (i.e., a single type 1 textual state), I will adhere to my method of indicating the edition's sources through the involved *Zustand* in order to avoid indicating the edition's source by way of the name prefix and call number of the manuscript. This means that, in these cases, the textual state is undistinguishable from the *Zustand* to which it belongs.

²² See Hepokoski; Darcy 2006.

²³ See Caplin 1998 and Caplin 2009, p. 21–40. Caplin's form-functional perspective builds on the concept of formal function first advanced by Arnold Schoenberg and further developed by his pupil Erwin Ratz (see Schoenberg 1967 and Ratz 1973).

apparatuses and the technical vocabulary they deploy. Before moving forward, though, a word on methodological issues and key concepts related to their work is needed.

To be sure, the fact that Hepokoski and Darcy's, and Caplin's treatises on form are exclusively concerned with the repertoire of high Classicism²⁴ may raise methodological concerns when it comes to applying their ideas to the analysis of Bruckner's music (or any other post-Beethovenian repertoire). Nevertheless, it is a fact too that Bruckner's music (and also a great portion of the mid- and late-Romantic repertoire) displays, at least at the technical level, a number of formal traits continuous with those of Classical music.²⁵ Moreover, the issue at stake has not passed unnoticed to the scholarly community: In the last ten years, many thorough reflections have come to light on the pertinence of using Hepokoski and Darcy's, and Caplin's analytical systems as 1) the foundation for analyzing post-Beethovenian repertoires (within and outside the Austro-Germanic sphere of influence) or 2) stepping-stones in building a full-blown theory of romantic form.²⁶ As a result, we have deepened our understanding of the strengths, limitations and potential of these author's work for analyzing the highly individualized forms of late Romanticism. Consequentially, and as proved by the quality and quantity of studies devoted to nineteenth-century music that draw on Hepokoski and Darcy's, and Caplin's work,²⁷ we have developed an acute and informed judgment for making decisions about what is useful and what is not, as well as what needs to be adapted or nuanced, when applying their ideas to post-classical repertoires. Thus, absent a theory of romantic form and despite

²⁴ In Hepokoski; Darcy 2006, the authors do engage with post-Beethoven repertory (e.g., Schubert's, Mendelssohn's, and Brahms's music); however, their discussions of that repertoire are mostly confined to footnotes.

²⁵ For example: 1) a conspicuous deployment of conventional small- and medium-scale syntactical arrangements (e.g., sentential and small-ternary structures) either as actual compositional realizations of conventional formal types or as norm-defining springboards for variants and deviations, 2) a marked reliance on a limited repertoire of large-scale formal plans (e.g., sonata form), and 3) the articulation of these through tonal means (e.g., cadences).

²⁶ See, e.g., Horton 2005, 2011 and 2004, p. 95–96 and 152–156. See also Wingfield 2008, Vande Moortele 2013, Neuwirth 2011, and Horton; Wingfield 2012. For a critical summary of these authors' critique to Hepokoski and Darcy's approach and a response focused on Bruckner's music, see Venegas 2017, p. 85–106.

²⁷ See, e.g., Monahan 2015, Davis 2017, Vande Moortele, 2017, Horton 2017, Pomeroy 2011, Schmalfeldt 2011, Darcy 1997, and Hepokoski 2012 and 2021, p. 233–265.

one's individual stance as to what extent late-18th-century hearing habits play a role in mid-to-late 19th-century music, it seems methodologically reasonable and analytically compelling to build upon the premise that, if handled with caution, the ideas of Hepokoski, Darcy, and Caplin, as different as they are, can effectively complement each other and together constitute powerful tools in interpreting Bruckner's music.

As mentioned above, my perspective on musical matters builds primarily on Hepokoski and Darcy's *dialogic* conception of musical form.²⁸ Central to these author's perspective is the premise that the work's meaning resides in two simultaneous (and potentially interactive) dimensions. On the one hand, the features that are specific to a given work alone (its idiosyncrasies) are the source of its *immanent meaning*. On the other hand, the features that a work shares with other works give rise to its *relational meaning*.²⁹ It is crucial to note here that immanent and relational meanings work hand in hand: Only through comparing a work's similarities and dissimilarities to other works can one grasp what is unique about a given work (i.e., its particular realization within broader regulating practices) and make sense of it within a larger communicative musical system.

If, as Hepokoski Darcy propose, the work's meaning extends beyond the constrains of its acoustic structure, "for the purpose of structural analysis [...] [music] exists most substantially in the ongoing dialogue that it may be understood to pursue with its stated or implied [formal] genre," (2006, p. 605) and thus, "perceptions of form are as much a collaborative enterprise of the listener or analyst as they are of the composer" (Hepokoski 2009b, p. 71). Along these lines, to approach a work as if it were "a monadic entity to be considered only in terms of its own internal events is," as Hepokoski argues, "methodologically naïve" (2009a, p. 181).³⁰ Thus, the concept of *dialogical form*

²⁸ On the dialogic approach and its intellectual background, see Hepokoski; Darcy 2006, p. 603–610.

²⁹ On immanent and relational meaning, see Hepokoski 2012, p. 221; and 2009a, p. 182.

³⁰ When it comes to the assessment of the multiple (even contradictory) strata of meanings to be drawn from a musical work, analytical approaches concerned only with a work's immanent meaning are valid to the extent that musical works are capable of producing answers to virtually any question. Nonetheless, as Hepokoski and Darcy state, "shallow questions call for shallow answers" (2006, p. 608), and thus, such approaches all too often produce analytical commentary flawed by questionable assumptions, "stopping short of addressing more complete and

(i.e., “interpreting a work as participating in a dialogue with established traditions” [Hepokoski 2012, p. 220]) should be understood first as the conceptual bridge between generative and conformational approaches³¹; and second, as a critical reaction to previous modes of analytical inquiry—a reaction that seeks to propose a new standpoint from which “more informed, more text-adequate, more historically relevant, and more appropriate questions” can be posed (Hepokoski 2009c, p. 106).³²

It might be thought that the dialogical approach is ultimately a sophisticated conformational approach. However, conceiving a work’s form *as a dialogue* between that work and the norms of the implied formal genre at hand (e.g., sonata form) precludes by definition the idea that the work’s form needs to conform to an ideal model.³³ In the process of making choices (the compositional process), a composer can decide, for example, to “override all of the default options entirely, thus refusing to follow any of the options that were socially provided” (Hepokoski; Darcy 2006, p. 609). In fact, as Hepokoski and Darcy point out,

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

productive questions of form, including such matters as [...] the relation between historically produced musical structures and a responsible, critical hermeneutics” (Hepokoski 2009c, p. 106).

³¹ On the distinction between generative and conformational approaches, see Bonds 1991, p. 1–14.

³² Worth pointing out is that Hepokoski and Darcy’s concept of dialogical form is not entirely new to music-theoretical discussions: as Janet Schmalfeldt points out, the idea of dialogical form might be seen “as an attractive new expansion of an old idea, one that Adorno in particular developed dialectically through his notion of mediation (*Vermittlung*)” (2011, p. 16)—on Adorno’s notion of mediation, see *ibid.*, p. 30–31. It is, nonetheless, thanks to the more systematic formulation of Hepokoski and Darcy that the dialogical approach has made a significant impact on the mainstream music-theoretical discourse (though more so in North America than in Europe and Latin America).

³³ On the distinction between dialogic and conformational approaches, see Hepokoski; Darcy 2016, p. 10–11 and 615–616; and Hepokoski, 2009b, p. 72. See also the discussion on conformational approaches to form and Sonata Theory in Straus 2006, p. 126–136, especially 128–129 n39.

personality, memorability, appeal, interest, [and] expressive power (ibid., p. 617).

Thus, an important aspect of generic expectation is the assumption that the exemplars from which a formal genre is reconstructed do not need to correspond at every moment to the genre's norms. Consequently, as paradoxical as this might be, instances of the counter-generic are not only relatively frequent occurrences but even desirable effects within generic exemplars.³⁴ In Hepokoski and Darcy's dialogic approach, when such instances occur, the composer is said to have chosen to produce a deformation: the "stretching or distortion of a norm beyond its understood limits" (2006, p. 11).³⁵ In their work's strictly analytical-hermeneutic context, the term deformation carries no evaluatively negative connotations. Instead, it identifies a compositional device meant to produce an intentional expressive effect, one that "lies in the tension between the limits of a competent listener's field of generic expectations and what is made to occur—or not to occur—in actual sound" (ibid., p. 614).³⁶

Genres change over time, and so do the aesthetic concerns that frame them. The relation between norm and exception, and the structural importance allotted to deformational procedures within genres, are both contingent upon their historical context. Therefore, hearing Bruckner's sonata-form movements dialogically and as genre exemplars means situating them in their contemporaneous aesthetic context. Along these lines, Hepokoski suggests three factors as fundamental to understanding the mid- and late-nineteenth-century symphonic genre: 1) "the emergence of the academic recognition and honouring" of the Austro-German sonata construct; 2) a marked preoccupation with the idea of tradition—"or, more to the point, the struggle over the presumed ownership of that tradition"; and 3) a compositional practice characterized by "*ad hoc* designs" and "individualized shapes" (2002, p. 424–425 and 447). Developing this characterization of symphonic practice in the second half of the 19th century, Hepokoski has advanced a theory of *sonata deformation*, which allows for a more

³⁴ Along similar lines, Kofi Agawu states that "the postulation of a summary Classic style [...] must yield in actual execution to the prospect of a dialectical interplay between norm and realization" (1991, p. 127).

³⁵ On deformation, see Hepokoski; Darcy, p. 614–621.

³⁶ On connotations of the term deformation that Sonata Theory avoids using, see ibid., p. 11 n22.

nanced and historically informed understanding of 19th-century formal procedures:

A sonata deformation is an individual work in dialogue primarily with sonata norms even though certain central features of the sonata-concept have been reshaped, exaggerated, marginalized or overridden altogether. What is presented on the musical surface of a composition (what one hears) may not be a sonata in any ‘textbook’ sense, and yet the work may still encourage, even demand, the application of one’s knowledge of traditional sonata procedures as a rule for analysis and interpretation (Hepokoski 2002, p. 447).

At the core of sonata-deformation theory’s hermeneutic framework is an emphasis on the play between tradition as a regulative principle and individuality as the trademark of compositional practice. Given the necessary presence of generic markers to set the sonata dialogue in motion, the matter is less about whether the piece “is” a sonata or not—in a conformational sense—than about following its ongoing dialogue with sonata-generic expectations. According to this view, 19th-century sonatas—as opposed to classical ones—are the result of a characteristic “disassociation of style and form” (Horton; Wingfield 2012, p. 83): a compulsive, centrifugal striving for individuality dialectically coupled with a self-conscious, centripetal sense of belonging.

1.3.2 A Two-Dimensional Dialogic Approach: Outward vs Inward Dialogue

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

Along these lines, I propose conceiving formal-expressive meaning in Bruckner’s symphonies as growing out of a *two-dimensional* dialogic synergy involving two kinds of dialogic interlocutors for each version of a given work:

On the one hand is the dialogic principle of Hepokoski and Darcy, in which each individual *Zustand* interacts with its implied formal genre. I characterize this kind of dialogue as fundamentally *public* insofar as it arises from the interplay between the individual exemplar and its collective counterpart, a larger established repertoire (the exemplar's otherness, so to speak). Consequently, I designate this dialogic dimension as the *outward dialogue*. On the other hand, I suggest considering a second kind of dialogue; one among the various *Zustände* adding up to the shaping process of a single Bruckner symphony. I characterize this second dialogic dimension as fundamentally *private* insofar as its capacity to produce meaning is not contingent on the interaction of the individual exemplar with outside *others* (i.e., other generic exemplars) but instead with its many *selves* (its alter egos, so to speak). Accordingly, I designate this dialogic dimension as the *inward dialogue*. In accordance with the view advanced in section 1.2.1, the movement's inward space is thus composed-out by multiple creative agents. Working hand-in-hand, the movement's multiple creative agents then bring about the network of *Zustände* that comprise the movement's evolving *Anlage*: a collectively-composed meta-text that both enables and constrains (regulates) interpretations of the movement's immanent meaning.

From a hermeneutic standpoint, the compound dialogic approach that I am describing has the advantage of both accounting for Bruckner's formal idiosyncrasies (outward dialogue) and turning the "Bruckner Problem" into a Bruckner Potential (inward dialogue): by establishing a conceptual frame that both arises from and substantiates a much-needed distancing from the Bruckner Problem, my two-dimensional dialogic approach provides an analytical tool that clears the way for a more nuanced and sympathetic understanding of Bruckner's symphonic forms and their textual characteristics.

Part II. The Analyses

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

—Noam Chomsky, *Human Nature: Justice vs. Power*

2.1 An Introductory Example: WAB 101/II-1866aZ&1866bZ

Before discussing in detail the article's central example (WAB 103/II), I will introduce my two-dimensional dialogic approach with reference to a simpler example, WAB 101/II with its two earliest *Zustände*. This will provide a concise demonstration of the interpretative potential of my approach.

Over the years, Bruckner wrote many *Zustände* of the slow movement of his first Symphony (WAB 101/II).³⁷ The earliest two were both finished on 1866, thus, I identified them as WAB 101/II-1866aZ and 1866bZ.³⁸ As shown in Figs. 1 and 2, there is one major difference between the overall form of the two *Zustände*: the excision of the developmental space in WAB 101/II-1866bZ, a change that entails a shift from a Type 3 to a Type 1 sonata.³⁹

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

Figure 1: WAB 101/II-1866aZ: Form⁴⁰

³⁷ On WAB 101, see Grandjean1991, Howie 2002, p. 1: 129–130 and 194–197, Harten 1996, p. 412–414, and Steinbeck 2010.

³⁸ For a thorough description of the textual sources corresponding to WAB 101/II-1866aZ and 1866bZ and their compositional chronology, see Venegas 2017, p. 132–135.

³⁹ For a detailed discussion on the formal organization of WAB 101/II-1866aZ and 1886bZ, see *Ibid.*, 136–142.

⁴⁰ In both Figs. 1 and 2, the abbreviation TA stands for “Tonic Arrival” (see list of abbreviations on p. 237).

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

Figure 2: WAB 101/II-1866bZ: Form

This, however, is not the only significant difference. Whereas in 1866aZ a strongly articulated EEC establishes a clear boundary between the end of the exposition and the beginning of an episode, this strong formal articulation is bypassed in 1866bZ. Here, the presumptive EEC's cadential dominant is interrupted by the entrance of a large module (S^{1.2}, in an expanded small ternary form) comprising a thematic trope of material from the episode of 1866aZ and newly composed material. As shown by the double arrow in Fig. 3, this process results from the relocation, within the piece's temporal grid, of material (X) from the episode. This revising technique, which I characterize as form-functional transformation via temporal relocation,⁴¹ here comprises a move from developmental (post-EEC) space to expositional (pre-EEC) space.

⁴¹ This technique is related to, though distinct from, the phenomenon Janet Schmalfeldt and William Caplin (among others) refer to as "formal reinterpretation." As Caplin explains, in some cases "a given group can at first be understood as expressing a particular function but then be reinterpreted as another function" (1998, p. 4). One classic example of this situation is when a perceived continuation function retrospectively becomes cadential function. Such *formal reinterpretation* is defined by Schmalfeldt as "the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context" (2011, p. 9).

Perhaps only implied in the latter quote, but central to Schmalfeldt's conception, is that, at the moment of form-functional transformation (when one function becomes another one), the confirmation (or full realization) of the initial form-functional perception is still nothing but a prospection. This means that the two formal functions involved in the reinterpretation cannot be thought of as self-sufficient, fully realized sound events. As Schmalfeldt rightly points out, "at the moment when one grasps that becoming has united a concept and its opposite [i.e., the two formal functions] [...] then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And what has become is a new moment—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical determinations, in the sense that the one cannot be thought, or posited, outside the context of the other" (ibid., 10). This certainly does not extend to the instances of form-functional transformation often found in the inward space of Bruckner's works. On the one hand, the instances to which Schmalfeldt refers occur within a linear, one-dimensional space, and thus entail a *diachronic* experience of the form-functional transformation. On the other, the form-

From the perspective of the movement’s outward dialogue, one immediate expressive consequence of failing to attain EEC in 1866bZ is the dramatization of the ESC. The dialogical synergy of the movement’s inward and outward dialogues further heightens this dramatic trajectory: From a rotational perspective, the episode in 1866aZ may be characterized as a pararotational space, that is, an action zone comprised of thematic material neither present in the referential rotation nor substituting for (writing over) any component of that rotation. The transference of material from episode to exposition in WAB 1866bZ may then be expressively construed as a rotational disruption: in the movement’s inward space, the impression is that material from outside the movement’s rotational limits managed to break the expositional bounds before S was able to secure the EEC, which ultimately produces a failed exposition. Within such a dramatic scenario, completion of a successful sonata trajectory (attainment of ESC) would require the removal of the pararotational element from the recapitulation. And indeed, the recapitulatory S space becomes the site of high drama: as if having called for backups, it is reinforced by a marching troop of brasses (m. 151). Thus it builds momentum to overcome the intrusive “other,” and achieve a hard-won ESC.

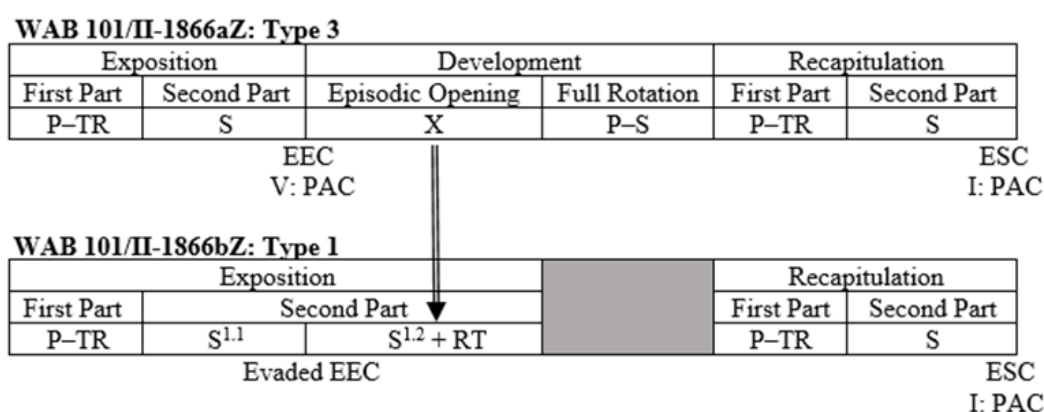


Figure 3: WAB 101/II: Form-Functional Transformation via Temporal Relocation

functional transformation shown in Fig. 3 occurs within a multidimensional space (the work’s evolving *Anlage*) that comprises competing form-functional perceptions fully realized in actual sound, and thus entails a *synchronic* experience of two paradigmatically related modules.

2.2 Symphony in D minor, WAB 103/II

I move now to this article's central piece, the slow movement of Bruckner's Third Symphony (WAB 103/II). This movement is one of the most extreme examples of textual multiplicity in Bruckner's symphonic movements. No other slow movement exhibits such drastic differences between its first and last *Zustände*. Let us then begin by defining the textual corpus we are dealing with.

2.2.1 The Textual Corpus: *Zustände* and Formal Stages

Between 1872 and 1889 Bruckner produced six manuscript *Zustände* of this movement: WAB 103/II-1873Z, 1874Z, 1876Z, 1877Z, 1878Z, and 1889Z.⁴² Additionally, two editions of WAB 103 were published during Bruckner's lifetime: the first one (Bruckner's first published symphony) was based on 1878Z; the second on 1889Z, but including changes made (possibly) by Joseph Schalk.⁴³ In total, then, eight *Zustände* came about before Bruckner's death.

During the course of the 20th Century, five editions of WAB 103 were published as part of the AGA (i.e., *Alte Bruckner-Gesamtausgabe*) and NGA series: four of them (based on 1873Z, 1876Z, 1877Z, and 1889Z, respectively) were edited by Leopold Nowak,⁴⁴ and the remaining one (based on 1878Z) by Fritz Oeser.⁴⁵ Finally, William Carragan has prepared an edition based on 1874Z—the only manuscript *Zustand* that remained unedited—which has not yet been published,

⁴² On the textual states comprising each of these six *Zustände*, see Thomas Röder's voluminous critical report on WAB 103 (Röder 1997, *passim*; especially the summary in p. 18–19).

⁴³ Rättig; Bruckner 1879—henceforth WAB 103-1878Z[Rättig]; and Schalk 1890—henceforth WAB 103-1889Z[Schalk].

⁴⁴ These are: Nowak 1977—henceforth WAB 103-1873Z[Nowak]; Nowak 1980—henceforth WAB 103-1876Z[Nowak]; Nowak 1981—henceforth WAB 103-1877Z[Nowak]; and Nowak 1959—henceforth WAB 103-1889Z[Nowak].

⁴⁵ Oeser 1950—henceforth WAB 103-1878Z[Oeser]. In 1944, Robert Haas prepared an edition of WAB 103 for the AGA based on a manuscript belonging to 1873Z (II Co 2 [Bayreuth, Nationalarchiv der Richard-Wagner-Stiftung; henceforth B-NRWS). Haas's edition was performed on December 1, 1946 by the Orchester der Bühnen der Landhauptstadt Dresden under the baton of Joseph Keilberth. That performance represented both the premiere of 1873Z and the first and last performance of Haas's edition. Haas's edition was never published, and, aside from an extant uncorrected set of proofs, all of its material (including the engravings) were lost during the Second World War.

but was recorded in 2011 and 2014.⁴⁶ In sum, for the purposes of this article, the textual corpus of WAB 103/II comprises no less than fourteen *Zustände*.⁴⁷

Zustand	Sonata Type	Stage
WAB 103/II-1873Z[Nowak] ^A	Type 3 with <i>Vollendung</i>	Early
WAB 103/II-1874Z[Carragan] ^C		
WAB 103/II-1876Z[Nowak] ^D		
WAB 103/II-1877Z[Nowak] ^E		
WAB 103/II-1878Z[Oeser] ^F	Type 2 with <i>Vollendung</i>	Middle
WAB 103/II-1889Z[Nowak] ^G	<i>Outward dialogue</i> : Type 3 (truncated recapitulation) with coda and/or <i>Inward dialogue</i> : aborted Type 3 (no recapitulation) with <i>Vollendung</i>	Late
WAB 103/II-1889Z[Schalk] ^H		

^A Edition based on the 1874 signed score copy that Bruckner presented as a gift to Richard Wagner (II Co 2 [B-NRWS])

^C Edition based on the 1874 score copy that Bruckner kept to himself, which contains autograph additions (Mus. Hs. 6033 [V-ÖN])

^D Bruckner detached several pages from the extant autograph score comprising 1876Z (A 173 [V-GM]) and used them as part of an autograph score belonging to 1877Z (Mus. Hs. 19.475 [V-ÖN]). While preparing WAB 103/II-1876Z[Nowak], the editor identified the exported pages and restored the original form of A 173 (V-ÖN).

^E Edition based on the final form of the 1873–1878 autograph score (Mus. Hs. 19.475 [V-ÖN]).

^F Edition based on the *Stichvorlage* prepared by Bruckner and an unknown copyist (Mus. Hs. 34.611 [V-ÖN]) for the first published edition (WAB 103/II-1878Z[Röttig]).

^G Edition based on the *Stichvorlage* (Mus. Hs. 6081 [V-ÖN]) prepared by Bruckner for the second published edition (WAB 103/II-1889Z[Schalk]).

^H Edition based on the same *Stichvorlage* than WAB 103/II-1889Z[Nowak], but including various changes made (possibly by Joseph Schalk) before the final printing.

Table 1: Textual Sources of WAB 103/II

But there is no need here to consider all fourteen *Zustände* in detail: all manuscript *Zustände* of WAB 103/II have served at some point as the basis of an edition, and with one exception (WAB 103/II-1889Z[Schalk]) the textual readings of these editions faithfully follow the manuscript sources. We can therefore make the textual corpus at hand more manageable by confining our study to the edited

⁴⁶ See Gerd Schaller and the Philharmonie Festiva (Profil, CD PH 12022 [2011]) and Warren Cohen and the MusicaNova Orchestra (MusicaNova CD). On Carragan’s edition (henceforth WAB 103-1874Z[Carragan]), see Carragan 2013.

⁴⁷ Even this number could be greatly expanded if one were to add the many reprints published since 1903 by publishing houses other than the Musikwissenschaftlicher Verlag. A comprehensive list of the scores of WAB 103 published after Bruckner’s death can be found in Röder 1997, p. 346–362.

scores. This will suffice for the specific analytical focus of this section, which is on the synergy between large-scale form and textual multiplicity. We can narrow the textual scope further by setting aside one of the two editions based on 1878Z (Rättig and Oeser), since, as Gault states, “Oeser’s edition is [...] a reissue of the 1879 Rättig printing with errors corrected” (2011, p. 239). Oeser also has the advantage of being more easily accessible as both score and recording.⁴⁸

Proceeding in this way, we can trim the textual corpus of WAB 103/II to seven distinct *Zustände*, which function here as the movement’s evolving *Anlage*. Using formal type as a criterion, I have organized the seven under the three broader formal stages shown in Table 1: 1) an early stage comprising WAB 103/II-1873z[Nowak], 1874Z[Carragan], and 1876Z[Nowak]; 2) an intermediate stage containing WAB 103/II-1877Z[Nowak] and 1878z[Oeser]; and 3) a late stage comprising WAB 103/II-1889Z[Nowak]&[Schalk].

2.2.2 Late Stage (WAB 103/II-1889Z[Nowak]&[Schalk]): Outward Form

Among the different *Zustände*, those of the last formal stage are especially interesting in terms of their formal organization (see Figs. 4 and 5). From the perspective of the movement’s *outward dialogue*, WAB 103/II-1889Z[Nowak]&[Schalk] may be parsed into four large-scale formal spaces: 1) a four-key (!) two-part exposition; 2) an S-based development (half rotation); 3) a truncated recapitulation (aborted before moving beyond the P-theme space);⁴⁹ and 4) a 23-measure coda.

From a structural-expressive viewpoint, the truncated recapitulation constitutes an unexpected turn in the movement’s dramatic trajectory: the absence of recapitulatory S- and C-spaces thwarts the attainment of ESC, thus producing a *sonata failure*. Interestingly, the lack of the recapitulatory second part in 1889Z rules out not only *attaining* ESC but even *the very possibility of attempting* it. This compositional strategy conveys a distinctive dramatic effect: the movement’s implicit *persona* (the sonata itself),⁵⁰ so to speak, prematurely

⁴⁸ There are no recordings based on WAB 103-1878Z[Rättig].

⁴⁹ On recapitulations with suppressed S/C space, see Hepokoski; Darcy 2006, p. 247–249, and Caplin 1998, p. 216.

⁵⁰ On the work/movement-persona, see Monahan 2013, especially p. 328–329.

concedes either the inability to deliver or lack of interest in accomplishing a successful sonata trajectory, and thus decides to pursue a different path (one entailing a structural deformation). To distinguish this specific dramatic trajectory (no recapitulatory S-space) from milder instances of sonata failure, I characterize it as an instance of *premature failure*. Inasmuch as the conditions of sonata failure can be said to have been prematurely accepted or foreshadowed, this entails, both expressively and structurally, a trajectory of *collapse*.

Part I
1 17 23 29
P TR
(I-^bVI-IV^b-I) V: HC
Tonic MC'
Plagal Prolongation

Part II
41 73 86
S^{1.1} S^{1.2} C
II[#]: PAC
EEC

I V ^bIII II[#] = (V/V)

Figure 4: WAB 103/II-1889Z[Nowak]&[Schalk]: Exposition

Exposition (mm. 1–96)		Development (mm. 96–153)	Truncated Recapitulation (mm. 154–199)	Coda (mm. 200–222)
First Part (P/TR) (mm. 1–40)	Second Part (S/C) (mm. 41–96) II:PAC EEC	Half Rotation (S/C)	First Part (P) No S = No ESC (Premature Sonata Failure)	(P)

Figure 5: WAB 103/II-1889Z[Nowak]&[Schalk]: Overall Outward Form

The form displayed in the outward dimension of 1889Z is indeed striking. The excision of S/C-space, and the unsettlingly developmental character when P material returns in mm. 154ff raise more questions than answers. Because WAB 103/II-1889Z constitutes just one slice of the movement's inward identity, a consideration of all its previous *Zustände* may help us find some clues as to the broader formal meaning of this truncated structure. Before further discussion of the outward form of 1889Z, I will explore an alternative interpretation that shifts the focus from the outwardness of the specific *Zustand* to the inwardness of the movement's multiple versions.

2.2.3 WAB 103/II: Inward Space

2.2.3.1 Early Stage: 1873Z[Nowak]

As shown in Fig. 6, the earliest *Zustand* of the movement (1873Z[Nowak]) is in dialogue with the Type 3 sonata. Here, however, a peculiar formal twist problematizes (deforms) an otherwise straightforward form: following the end of the recapitulation, an appended formal space encompasses an extended iteration of the P-theme followed by a coda. As this appendage appears in nearly all of Bruckner's slow movements from WAB 102 on,⁵¹ a brief digression to consider its characteristic features and formal function is in order.

Exposition (mm. 1–88)		Development (mm. 89–128)	Recapitulation (mm. 129–224)		Vollendung (mm. 225–278)	
First Part (P/TR) (mm. 1–32)	Second Part (S/C) (mm. 33–88)	Half Rotation (S/C)	Frist Part (P/TR) (mm. 129–160)	Second Part (S) (mm. 161–224)	P ^{voll} (P) (mm. 225–256)	Coda (P) (mm. 257–278)

Figure 6: WAB 103/II-1873Z[Nowak]: Overall Form

----(*A Momentary Lapse of Reason: The Vollendung as an Illusory State of Fulfillment*)----

At its most characteristic, this formal idiom comprises a two-stage process. The first stage is the above-mentioned third and final extended presentation of the P-theme. This P-based zone is distinguished from those in the exposition and recapitulation by its steady process of goal-directed textural, dynamic, and harmonic intensification (*Steigerung*).⁵²

Dramatically speaking, the P-based insertion as a whole, and its climax or apex in particular, are central to Bruckner's mature slow-movement formal conception. In WAB 103/II-1873Z, for example, the recapitulation, despite engaging S modules, is unable to secure the tonic, let alone attain ESC.⁵³ The

⁵¹ The main exception is the Sixth Symphony, whose recapitulatory P-theme nonetheless draws on rhetorical aspects characteristic of this post-recapitulatory thematic iteration.

⁵² The only exception is WAB 102/II, which exhibits the process in an early, incompletely realized variant. Here the two P-modules are treated separately (P^{1.1}, mm. 150ff; P^{1.2}, mm. 170ff); moreover, neither module gathers momentum towards a climactic apotheosis as the Adagios from WAB 103 onwards do.

⁵³ Note that the recapitulatory S^{1.1} "plugs into" the home-key tonic at m. 177. Attainment of this tonal level nonetheless fails to secure a corresponding authentic cadence. See also mm. 213–224

resulting nonresolving recapitulation (“failed sonata”) then places the burden of restoring and securing the tonic on the next available formal space: the P-based *Steigerung*, lying beyond the boundary of the sonata process. As Warren Darcy writes in connection with the Bruckner's outer movements, once sonata failure has occurred, “the coda is the music’s final chance to attain the redemption that traditional sonata methods have been unable to secure [...]. It is a ‘do or die’ situation: somehow the music must draw strength from outside the sonata form proper and, in a sense, transcend that form in order to achieve a breakthrough from darkness into light” (1997, p. 275–276). Similarly, in the context of 1873Z, the recapitulation’s generic failure triggers a new rotation and a renewed opportunity to achieve structural completion. As it turns out, though, this proves incapable of accomplishing its task, and in the end only succeeds in sealing the movement’s tragic fate.

The P-based *Steigerung*, however, leaves a strong mark on the movement’s unfolding drama: In attempting to deliver generic completion, it gradually builds momentum towards a dramatic apex (see mm. 233–240), which rescues the movement’s trajectory from the lost path of the preceding failed recapitulation. In the midst of a triumphant tutti *fortissimo*, the immediate impression created is that of finally having attained the movement’s long-delayed dramatic completion; a moment of revelation, in which the sonorous splendor of the redemptive brass choir leads the orchestral body’s sublime breakthrough into the light.⁵⁴

Dramatic fulfillment, however, is a delusion. As became Bruckner's custom in these P-based *Steigerungen*, the climax in 1873Z is supported by a 6/4 chord in C major.⁵⁵ Since both key and chordal inversion are harmonically irrational in this context, I construe the *Steigerung*'s dramatic apex as a

(S^{1,2}), and compare with mm. 65ff (their expositional equivalent), which eventually do succeed in articulating EEC (PAC at m. 78).

⁵⁴ The deployment of this post-recapitulatory P-based *Steigerung* infuses Bruckner’s Adagios with a broader ritualistic narrative characterized by the emergence of gradually intensified rebeginnings. Here, each return to the P-theme is a structural pillar within a sonata-formal dramatic trajectory in which a process of gradual revelation fuels the large-scale teleological drive underlying Bruckner’s Adagios from WAB 102 onwards.

⁵⁵ See, the C-major 6/4s in WAB 104, 105, and 107. In WAB 108 (1887Z), the C-major chord appears in first inversion.

momentary “lapse of reason”: a temporary, illusory state of fulfillment, or vision of an ideal world yet to come.⁵⁶

Following the P-based *Steigerung* comes the second stage of the movement’s conclusion, the coda proper, a shorter segment of recessive character that compensates for the monumental, energy-gaining profile of the first stage. It is at the end of this section that the movement finally restores the home-key tonic. Cadential confirmation (mm. 271–273) brings no sense of overcoming, though; instead, an atmosphere of benediction or peaceful resignation.⁵⁷

Although locally the P-based *Steigerung* and coda are distinct units, at a higher level they combine to form a single formal section (equivalent to exposition, development, or recapitulation). I characterize this large-scale formal space as the *Vollendung* (completion). Furthermore, in order to differentiate the role of the P-theme in its first part from those in the exposition and recapitulation, I add a new term to Hepokoski and Darcy’s standard Sonata Theory terminology: P^{voll}, or the *Vollendungshauptthema*, to capture its effect of a climactic, cathartic version of the P-theme.⁵⁸

An important rhetorical aspect of the P^{voll} is its dialogical engagement with the large-scale architectural principle of rotation, which, as Hepokoski and Darcy explain, “underpins a generous diversity of forms that may be distinguished from one another on more surface-oriented levels” (2006, p. 612). It is precisely

⁵⁶ C major, the breakthrough key, is alien to the home key of the Adagios of WAB 103 (E-flat major), 107 (C-sharp minor), and 108 (D-flat major), the three clearest examples of the *Steigerung*/dramatic trajectory I am describing here. This suggests that a pitch-specific association of C major with the idea of transcendence, regardless of the surrounding context, is central to the formal content and expressive import of the P-based *Steigerung*.

⁵⁷ More to the point, as Constantin Floros notes, “towards the end of the Adagio, Bruckner quotes the sleep motif from Wagner’s *Walküre* [mm. 266–269], surely no coincidence: my sense is that the quotation refers to the memory of the deceased mother [i.e., Bruckner’s mother], conveying the concrete meaning of ‘Rest in peace.’” (2011, p. 116). Floros’s argument is compelling, all the more so considering that Bruckner explicitly associated the S-theme (S^{1.1}) of WAB 103/II with the memory of his mother: According to Josef Kluger (Bruckner’s late-in-life friend), Bruckner wrote the Andante theme (mm. 33–64) of the slow movement’s S-space on October 15, 1872, in memory of his mother—who had died almost 12 years before, on November 11, 1860 (see Howie 2002, p. 1: 272, and Göllicher; Auer 1922–1937, p. 4/1: 260ff). NB: October 15th is the feast day of St. Teresa of Avila in the Christian calendar of saints; accordingly, it was the name day of Bruckner’s mother, Theresia Helm.

⁵⁸ For a paradigmatic example of the Brucknerian *Vollendung*, see the slow movement of WAB 107 (P^{voll}, mm. 157–193; coda, mm. 193–219).

the presence of this phenomenon that explains the prevailing analytical tradition of associating Bruckner's slow movements with such circular-oriented forms as 5-part rondo, song form, and double variations. Although some such forms (e.g., Type 4 sonata-rondo hybrids) are indeed part of the dialogic environment of many Bruckner slow movements, I view the generic expectations of the Type 3 sonata as more fundamental for WAB 103/II.⁵⁹

2.2.3.2 Middle and Late Stages: 1877Z & 1879Z, and 1889Z

To resume tracing the movement's compositional history, we may bypass 1874Z[Carragan] and 1876Z[Nowak], and move directly to its middle stage. As Fig. 7 illustrates, the modifications found in 1874Z and 1876Z⁶⁰ do not fundamentally alter the overall plan of 1873Z. A completely different situation, however, is encountered in 1877Z[Nowak] and 1878Z[Oeser], where the modifications involve extensive formal reworking: Bruckner makes a huge cut from the beginning of the recapitulation (deleting the P-theme, the transition, and the beginning of the S-theme – mm.132–183 in 1876Z[Nowak]), the drastic result of which is to alter the sonata from Type 3 to Type 2.⁶¹ In light of these cuts, the modifications of the late stage (1889Z[Nowak]&[Schalk]) represent a further step along the same path. As shown at the bottom of Fig. 7, Bruckner essentially took apart what in 1877Z and 1878Z functions as the Type 2 sonata's Tonal

⁵⁹ WAB 103/II-1873Z[Nowak] presents three potential interpretative choices: 1) the first stage of the *Vollendung* might be interpreted as the fifth part of a 5-part song form (A-B-A'-B'-A'') with coda; 2) the *Vollendung*'s P-theme may be thought of as the final iteration of a Type 4 sonata-rondo refrain (P^{rf}); and 3) the P^{voll} may be thought of as a "parageneric space" that does not fundamentally challenge the movement's Type 3 status. The first interpretation (5-part song form) is unpersuasive, in the light of the movement's strong sonata-generic markers (among other features, the S-based developmental half-rotation, mm. 89–128). Between the second and third interpretations, the latter seems stronger, given the lack of a P-theme return immediately after the exposition, and the general absence of any rondo-like character.

⁶⁰ The changes are more extensive in 1876Z[Nowak], which is 11 measures longer than its predecessors and includes important textural modifications (see, e.g., the violins' descending pattern, mm. 230ff, recalling the overture to Wagner's *Tannhäuser*).

⁶¹ On the Type 2 sonata, see Hepokoski; Darcy 2006, p. 353–387. This sonata type, although rare by this time, is found in at least one other movement by Bruckner, the finale of the Seventh Symphony.

Resolution.⁶² As a result, in the inward form of 1889Z, the end of the development connects directly to the *Vollendung*, completely bypassing the recapitulatory space and thus consummating a carefully scaffolded process of recapitulatory disintegration.

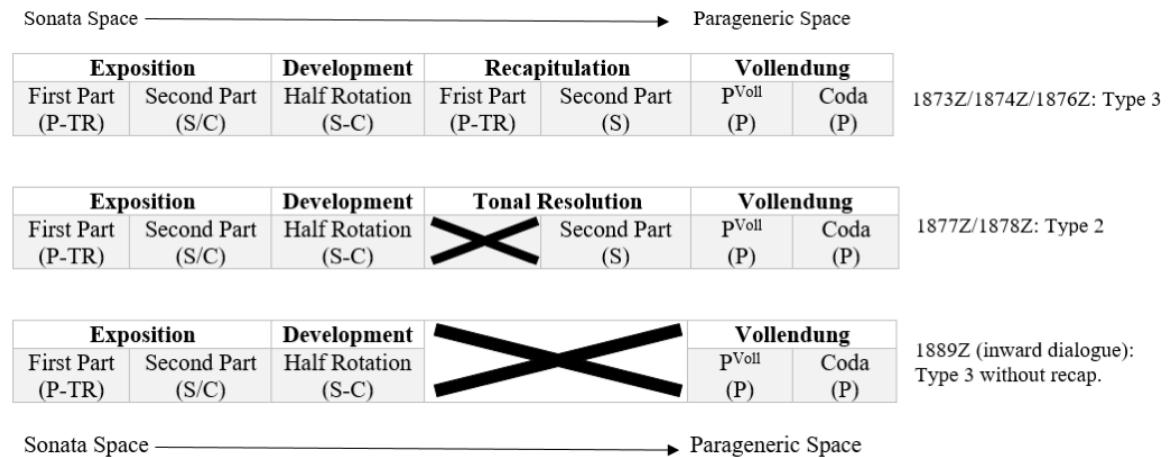


Figure 7: Recapitulatory Disintegration in WAB 103/II

2.2.4 The Region of Dialogical Play: Synergies in 1889Z[Nowak]&[Schalk]

In the early and middle stages of the movement's compositional history, the non-resolving recapitulation transfers the burden of resolution to the *Vollendung*. In its late stage (inward space), the absence of recapitulatory space does nothing to change that: just as in 1873Z, the *Vollendung* in 1889Z fails to provide a parageneric solution to the sonata-formal crisis, thus sealing the movement's fate. The absent recapitulation entails a modification of the movement's expressive narrative, though; a twist, whose expressive import is best captured by a comparison of inward and outward forms in the movement's late stage.

As shown in Fig. 8, interpretation of formal functionality in 1889Z[Nowak]&[Schalk] depends upon which dialogic dimension is in play. While the sonata-formal crisis in the *outward dialogue* takes shape only *after* the recapitulation begins, in the *inward dialogue* this crisis is triggered by suppressing the recapitulation altogether. Thus, although both dialogic dimensions produce

⁶² On tonal resolution, see *ibid.*, 353–355 and 380. To be more precise, Bruckner deleted mm. 136–143 and 166–181, and recomposed mm. 144–165 in 1878Z[Oeser].

a “prematurely failed” sonata process, in the inward dialogue the entire sonata (as opposed to only the recapitulation) is aborted. As a result, inward and outward dialogic perspectives each carry their own interpretative implications.

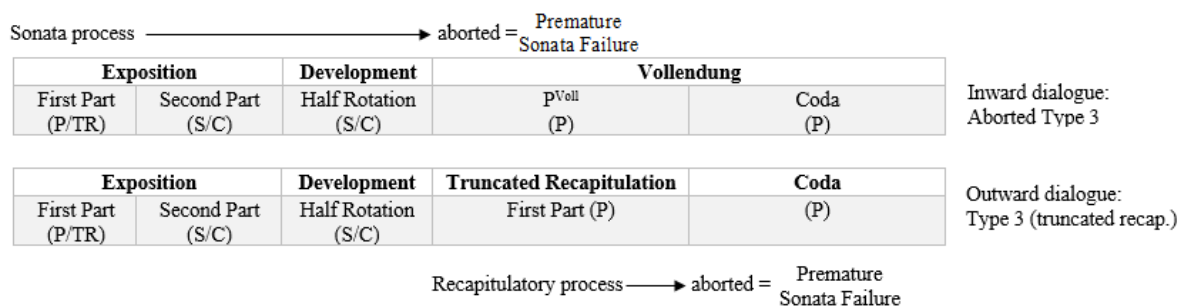


Figure 8: WAB 103/II-1889Z[Nowak]&[Schalk]: Processes of Sonata Failure

It does not seem too far-fetched to suppose that, for a particular listener with knowledge of both sonata-generic expectations (the outward regulative principle) and the movement’s compositional history (the evolving *Anlage* or inward regulative principle), the experience of 1889Z[Nowak]&[Schalk] will subsume both dialogical dimensions. If so, the resulting two-dimensional dialogue would inhabit a conceptual space between the two kinds of dialogue, a zone of interaction that I characterize as a *region of dialogical play*.⁶³

This space of interpretative confluence is of special interest when the overlapping interpretations are not the same, thus yielding a compound, richer interpretation. In the case of 1889Z, the two intersecting interpretations—truncated recapitulation and truncated sonata—reinforce a dramatic trajectory characterized by the exacerbation of sonata-failure conditions. As Hepokoski and Darcy explain, “the demonstration of ‘sonata failure’ became an increasingly attractive option in the hands of nineteenth-century composers who, for one reason or another, wished to suggest the inadequacy of the Enlightenment-grounded solutions provided by generic sonata practice” (2006, p. 254). From a broader interpretative perspective, then, sonata failure is far from signifying a lack of strength or self-assurance, even though it is construed within the music’s drama as the movement’s inability to attain generic completion. Following this

⁶³ My concept adapts Kofi Agawu’s *region of play*, in his semiotic theory of Classical-period music, where it characterizes the zone of interaction between structural (harmonic) and expressive (topical) dimensions. Agawu (after Roman Jakobson) refers to these respectively as *introversive* and *extroversive* semiosis (see Agawu 1991, p. 23–25 and 127–134). In my adaptation, these translate to inward and outward formal dialogues.

logic, in WAB 103/II the connection between the exacerbation of sonata-failure conditions, compositional reworking and textual multiplicity takes on a larger significance for the assessment of Bruckner's oeuvre: Since the gradually reinforced sonata-failure trajectory of WAB 103/II is contingent upon compositional reworking, we may as well take Bruckner's penchant for revision (often casted in a negative light as his "weakness") and construe it as one of his foremost acts of self-determination.

2.3 Closing Remarks

As noted in the introduction (section 1.1), the textual idiosyncrasies of Bruckner's symphonies loom large in his music's reception history. Because the textual multiplicity often associated with his works does not sit comfortably with traditional notions of authenticity and authorship, Bruckner scholarship has operated under philological, text-critical, and aesthetic premises that fail to acknowledge textual multiplicity as a basic trait of his's oeuvre. By adopting a broader outlook on the actors and processes involved in the formation of musical works, I laid in this article's first part the conceptual groundwork for a radical break from the traditional framing of the "Bruckner Problem," which, implicitly or explicitly, construe Bruckner's music as somewhat defective. It is my conviction that textual multiplicity represents an excellent opportunity for musical analysts to engage with the endeavors of composers and editors, both in terms of processes and outcomes. Building on that credo, and my two-dimensional dialogic approach to formal matters, I have shown in this article's second part that it is possible to account for both 1) the dialogic synergies between different *Zustände* of a single Bruckner movement and a larger established repertoire, and 2) the formal/expressive trajectory (the evolving *Anlage*) created by the multiple *Zustände* of one individual movement.

In the present study, I have focused solely in two Bruckner's slow movements for practical reasons (WAB 101/II and WAB 103/II). The ideas here presented, however, could just as well be applied to any of his (or other composer's) works, a much-needed task that will hopefully lead us to a better grasp of Bruckner's compositional world, and thus, to a more nuanced and sympathetic understanding of his symphonic forms, their textual characteristics and the dynamic and collective processes that music making involves.

List of Abbreviations

AGA = Alte Bruckner-Gesamtausgabe	PAC = perfect authentic cadence
B-NRWS = Bayreuth, Nationalarchiv der Richard-Wagner-Stiftung	P ^{voll} = <i>Vollendung's P-based Steigerung</i>
C = Closing theme	RT = Retransition
EEC = Essential Expository Closure	S = Secondary theme
ESC = Essential Structural Closure	TA = tonic arrival
MC = Medial Caesura	TR = Transition
NGA = Neue Bruckner-Gesamtausgabe	V-GM = Vienna, Gesellschaft der Musikfreunde
ÖAW = Österreichische Akademie der Wissenschaften	V-ÖN = Vienna, Österreichische Nationalbibliothek
P = Primary theme	WAB = Werkverzeichnis Anton Bruckner
	Z = <i>Zustan</i>

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The Role of the Medial Caesura in Schubert's Overdetermined Transitions

*O papel da cesura média nas transições tonalmente “sobredeterminadas” de
Schubert*

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Abstract: Schubert challenged the high Classical style's implied boundaries by gradually incorporating non-normative procedures into his sonata-form practice and, more specifically, into his treatment of transitional spaces. Among these non-normative procedures are his *tonally overdetermined transitions*: transitions that struggle to leave the tonic area, often introducing formal and expressive complications to the work's unfolding. This paper examines the impact of tonally overdetermined TRs on the MC in Schubert's sonata forms, demonstrating how TR's penchant for the tonic area may ultimately define the MC's formal and expressive roles. It adopts Hepokoski and Darcy's Sonata Theory as a theoretical framework and is organized in three categories that are defined by the position, function, and strength of the I:PACs articulated (or proposed only) within pre-MC space. The first category involves transitions that fail to leave the tonic, ending in a I:PAC MC. In the second, a I:PAC is followed by a “defective” passage that can only be retrospectively reinterpreted as TR after the articulation of the MC. The third category considers transitions that begin with an extended tonic prolongation and end with a quick and abrupt modulation. The conclusion shows that the formal and expressive effects released by Schubert's tonally overdetermined TRs extend well beyond their realization and, in most cases, involve the MC as protagonist.

Keywords: Medial Caesura. Tonal overdetermination. Sonata form. Schubert's instrumental music.



1. Schubert's Transitions

1.1 Classical and Non-Classical Transitional Strategies

Many of Schubert's transitions conform to the norms and conventions prevalent in the late eighteenth century. As Susan Wollenberg has pointed out, "as early as 1813, in various instrumental works, Schubert showed himself fully conversant with a range of 'Classical' transitional gestures" (2011, p. 61).¹ The first movement of the First and Fifth Symphonies, D. 82 and D. 485, respectively, are great examples of Schubert's Classical handling of crucial stylistic elements such as rhetoric, texture, form, cadential punctuation, and tonal structure.

Such a fluency in the late eighteenth-century sonata-form *lingua franca* allowed Schubert not only to write works that adhered to Classical conventions but also to eventually challenge the style's tacit boundaries by gradually incorporating non-normative procedures into his sonata-form practice and, more specifically, into his treatment of transitional spaces. For instance, he explored the potential of short and abrupt transitional gestures, avoiding a more discursive motion between the primary and secondary thematic zones; and he developed a preference for articulating the end of the exposition's first part with a cadence in a non-conventional key that, in some instances, would not match the key of the secondary theme. Among the many non-Classical strategies explored by Schubert are his *tonally overdetermined transitions*; i.e., transitions that overemphasize the tonic area, often introducing formal and expressive complications to the work's unfolding.

1.2 Tonally Overdetermined Transitions

Schubert's penchant for transitions (TRs) that struggle to leave the tonic area is well documented in the literature. James Webster points out that "Schubert hates to leave the tonic in the classical manner [...] indeed his first group may close with a full cadence in the tonic" (1978, p. 24). Wollenberg regards such reluctance to leave the tonic "not in the sense of an inability to launch into the necessary processes of modulation, but rather as showing a poetic impulse, endowing the departure from the tonic with emotional properties"

¹ An overview of Schubert's Classical transitions is offered in Wollenberg 1998, p. 37–45.

(2011, p. 50). But why should one be concerned with transitions that overstate the tonic, or that demonstrate difficulty in leaving the tonic area?

According to William Caplin, “[the transition] serves to destabilize the home key so that the subordinate key can emerge as a competing tonality in the exposition” (1998, p. 125). By the same token, James Hepokoski and Warren Darcy include in their list of common TR tactics increased harmonic activity, and “sequential activity, accumulative rhetorical energy, a drive toward a structural dominant, and perhaps a concern for modulation” (2006, p. 94). Thus, despite the non-necessity of modulation, transitions are expected to be harmonically active. A transition that overemphasizes the home key, or more precisely, its tonic, should be conceived as “deformational,” a conscious departure from an internalized tradition, and consequently be subjected to interpretation.²

Hepokoski and Darcy affirm that “[the appearance of one or more I:PACs within TR] suggests an interpretation whereby TR is understood to begin with the decision to reaffirm or overdetermine the tonic key” (ibid., p. 114). In such cases, the analyst must consider the formal and rhetorical reasons for, as well as consequences of, TR's penchant for the tonic area, a search for the “poetic impulse” and the resultant “emotional properties” (Wollenberg 2011, p. 50) of such determination.³ Punctuating the end of TR, the medial caesura (MC) arises, in this context, as the final statement of a tonally “deficient” module and, consequently, serves as a reference point for interpretation, incorporating an expressive role in the narrative of a sonata form.⁴

² In its colloquial use, the term *deformation* may carry negative connotations, implying imperfection, ugliness, or bodily disfigurements. However, within the realm of Sonata Theory, “deformation” is a technical term referring to “the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether in order to produce an expressive effect” (Hepokoski; Darcy 2006, p. 614). For more on the concept of deformation, see Hepokoski; Darcy 2006, p. 614–621.

³ On the role of the tonic key and tonal overdetermination within P-space, see Hepokoski; Darcy 2006, p. 73–77.

⁴ In normative situations, the MC may be generically interpreted as “an emphatic pause for breath before launching the exposition's second part,” as proposed by Hepokoski; Darcy (1997, p. 123). Each MC default level may project specific impressions and expectations. For Hepokoski and Darcy, “the first, V:HC MC, is a more decisive gesture: it announces the intention to open part 2 more solidly, with its new key already in hand. The second, I:HC, is weaker, usually occurs early on, predicts a briefer or less ambitious sonata, and sometimes purposefully generates problems in what follows” (2006, p. 26).

As proposed by Hepokoski and Darcy, the MC is a mid-expositional break that punctuates the end of the first part of the exposition, setting up the entrance of the S-theme. The procedure is associated with a sequence of events that defines its rhetorical strength, harmonic quality, and, ultimately, its formal role.⁵ Many studies devoted to Schubert's transitions regard all tonal, rhetorical, and formal deformations surrounding the MC articulation as transitional complications. Indeed, a glance at the literature reveals that topics such as TR's shortness or abruptness, TR's reluctance to leave the tonic area, "wrong-key" and *non sequitur* MCs, and modulatory CFs are all conceived as transitional in function.⁶ Following Sonata Theory, I favor an approach that attempts to more clearly distinguish among pre-cadential, cadential, and post-cadential procedures, interpreting the TR–MC complex as comprising four stages: 1) TR's energy-gaining process, 2) the cadential articulation (and subsequent dominant prolongation), 3) the MC gap itself (and CF), and 4) the appearance of an appropriate S-theme.⁷

Through the lens of Sonata Theory, this paper examines three cases of tonal overdetermination within the exposition's first part in Schubert's sonata forms, demonstrating how the procedure may relate formally and expressively to the MC.⁸ The three cases studied here are defined by the position and strength

⁵ On the medial caesura, see Hepokoski; Darcy 2006, p. 23–50.

⁶ See Tovey 1949, 118–27; Hascher 1996, p. 10; Webster 1978, p. 22–26; Wollenberg 1998, p. 16–61; and *ibid.* 2011, p. 47–98. I should note that the studies mentioned here, most of them previous to Sonata Theory, do not interpret the cadence that punctuates the end of the transition as a medial caesura, as proposed by Hepokoski and Darcy.

⁷ Similarly, Mark Richards understands the MC as a three-stage procedure, comprising "a harmonic preparation, a textural gap, and an acceptance by S" (2013, p. 168).

⁸ Although devised to deal with the high Classical repertoire primarily, Hepokoski and Darcy's dialogical approach to sonata form has proven to be theoretically pertinent and analytically fruitful when carefully applied to 19th-century works (see, e.g., Darcy 1997, Pomeroy 2011, Schmalfeldt 2011, Monahan 2015, and Hepokoski 2021, p. 178–197 and p. 233–265). This perspective, however, is not unanimously accepted in the field. The romantic "emancipation of deformation" or its statistical predominance in that period has led some authors to "call into question the applicability of a model which distinguishes between an ideal type and a deviation in practice" (Wingfield; Horton 2012, p. 107). For critiques of the adequacy of Hepokoski and Darcy's dialogical approach as a theoretical backdrop for analyzing nineteenth-century sonata forms, see, e.g., Horton 2005; 2011; Wingfield; Horton 2012; and Vande Moortele 2013. For a discussion of how Sonata Theory's approach along with its proposed set of norms and

of the articulated (or proposed only) I:PACs within pre-MC space (see Table 1). The first involves transitions that fail to leave the tonic, ending in a I:PAC MC. In the second, a I:PAC closing the P-theme or TR¹ is followed by a “defective”, functionally unclear passage that can only be retrospectively interpreted as TR after the articulation of the MC. The third category does not necessarily involve the articulation of a PAC in the home key. Instead tonic harmony is contrapuntally prolonged until the last possible moment, and then followed by a quick modulation. As demonstrated below, each category results in a specific MC type.⁹

Tonally Overdetermined Pre-MC Spaces	MC Type
TR → I:PAC MC	I:PAC MC
P or TR ¹ → I:PAC; Defective module → MC	Clarifying MC
TR ^[tonic prolongation + quick modulation] → MC	Liberating MC

Table 1: Tonally overdetermined pre-MC spaces and their respective MC types

2. The I:PAC MC

Schubert's use of a I:PAC to articulate the end of TR has been extensively discussed in the literature. Webster has pointed out that, in the first movements of Symphonies Nos. 8 and 9, the shift from the primary to the secondary key is accomplished by a common-tone modulation following a full cadence in the tonic (1978, p. 23–24). In a later study, Suzannah Clark has provided a complete analysis of the complications springing from the “full cadence[s] in the tonic” in both movements, using her findings to justify what she terms “the repositioning of the fifth-space,” (2011, p. 228) a structural relocation of the traditional tonic-dominant axis.¹⁰ Wollenberg has labeled the TR areas of the two symphonies as

conventions may be flexibly used to productively interpret Schubert's often-unorthodox handling of sonata form, see Hepokoski 2021, p. 178–197.

⁹ Parts of this paper, including early versions of the analyses of the Eighth Symphony and the Quartetsatz, have appeared in two conference proceedings. See Navia 2014a and 2014b.

¹⁰ Clark interprets the tonic as a tonal point around which third-related keys may form a fifth-space. In a sonata-form work, opposing third-related secondary keys in the exposition and recapitulation (e.g., mediant and submediant) would be one way to generate a spatial relocation of the traditional tonic-dominant fifth-space. See Clark 2011, p. 228–246.

“magical transitions,” or transitions that, after reaching a I:PAC, release their poetic effect through a “quick transition pared down to essentials” (2011, p. 62). Indeed, I:PAC MCs may introduce structural and rhetorical complications to the course of a work, releasing a “poetic effect” that can be detected well past the MC articulation. As Wollenberg has noted, “the poetic resonances of these transitional moments extend far beyond their immediate impact” (ibid., p. 67). For Hepokoski and Darcy, the I:PAC MC implicates “a ‘failed’ (or gesturally weak? or obstinate?) TR that, still in the grip of the grounding tonal principle of the P-zone, dwells on an unusually static tonic” (2006, p. 29). They then go on to say that “this emphasis, in turn, demands analytical and hermeneutical interpretation” (ibid.).

Thus, attempting to understand the procedure’s potential “poetic outcomes,” I examine five additional characteristics that often accompany the I:PAC MC: 1) a complete or apparent absence of TR; 2) an overemphasized MC articulation; 3) a “transitional” CF; 4) formal, rhetorical, and tonal complications in the course of S; and 5) a recapitulatory compensation.

2.1 The Complete or Apparent Absence of TR

The use of a I:PAC MC might create the impression that TR is altogether missing, influencing the interpretation of the cadential articulation. In general terms, if the passage preceding the MC demonstrates an intensified rhythmic verve and some harmonic activity (i.e., typical TR-rhetoric), then the arrival at a I:PAC will produce an effect of “estrangement,” but a subsequent S-theme will still be expected. Conversely, if the module preceding the MC does not express any transitional rhetoric, the arrival at a I:PAC will be heard as articulating P’s closure, implying the onset of TR. The immediate appearance of an S-theme would then be regarded as highly deformational, inducing the listener to retrospectively reinterpret the just-heard cadential articulation as a I:PAC MC.

2.2 Overemphasized MC Articulation

The apparent absence of TR and the non-normative I:PAC MC are often counterbalanced by an overemphasized cadential articulation. The rhetorical gesture is expressed either by a highly dramatized dominant chord or a sustained

tonic chord that expands the "MC area,"¹¹ progressively dissipating the energy accumulated through the course of TR (or $P \Rightarrow TR$).

2.3 "Transitional" CF

The I:PAC MC is often followed by an active caesura-fill that "takes the burden" of TR and incorporates the hitherto missing transitional function. Many authors have interpreted the procedure as an instance of Schubert's penchant for abrupt transitions (Webster 1978, p. 23; Wollenberg 1998, p. 22; and 2011, p. 56 and 62). Despite accomplishing the final modulation, the active CF does not substitute for TR from a formal perspective; instead it fills the MC gap, joining the end of TR and the onset of S.

2.4 Complications within the Secondary Zone

The inability to leave the tonic in the first part of the exposition often introduces formal, rhetorical, and tonal complications to the course of S: the S-theme may appear in a non-normative key, as if attempting to escape the tonic's initial "oppression" at any cost; it may take the form of a trimodular block, in which case TM²'s transitional activity and the newly articulated MC incorporate a "corrective" function,¹² allowing for the introduction of a normative theme as TM³; or, the EEC may be delayed, often implying a formal collapse at the moment of closure. These formal complications within S-space are quite common in Schubert's late works and, in some cases, might not be related to the I:PAC MC. The analyst must consider the probable causes for each formal anomaly, judging whether it is pertinent to associate the complications as arising from cause and effect.

¹¹ I use the term MC area to refer to the space between the MC cadential articulation and the entrance of the S-theme; i.e., stages 2–4 of the TR–MC complex, as described above.

¹² In general terms, a corrective function will be assigned to the materialization of an omitted element, process, or procedure when both stages (omission and materialization) take place within the same action-space (i.e., exposition, development, or recapitulation).

2.5 Recapitulatory Compensation

Normatively, part of the recapitulatory transition is recomposed in order to properly prepare the arrival of S at the tonic level. The I:PAC MC would allow a much simpler procedure, only requiring a verbatim restatement of P and TR. However, as Wollenberg has noted, “in numerous cases where exact parallelism was a possibility, Schubert in fact modified the transition in the recapitulation” (1998, p. 50). In works involving an expositional I:PAC MC, the recapitulatory TR is often highly expanded, dramatizing the tonal importance of the new MC and consequently projecting an “illusory sense of hope” into S (specially in minor-mode works). Indeed, the virtually nonexistent expositional TR seems to be compensated by a rhetorically active passage that attempts at all costs to avoid repeating “what went wrong” in the first time.¹³

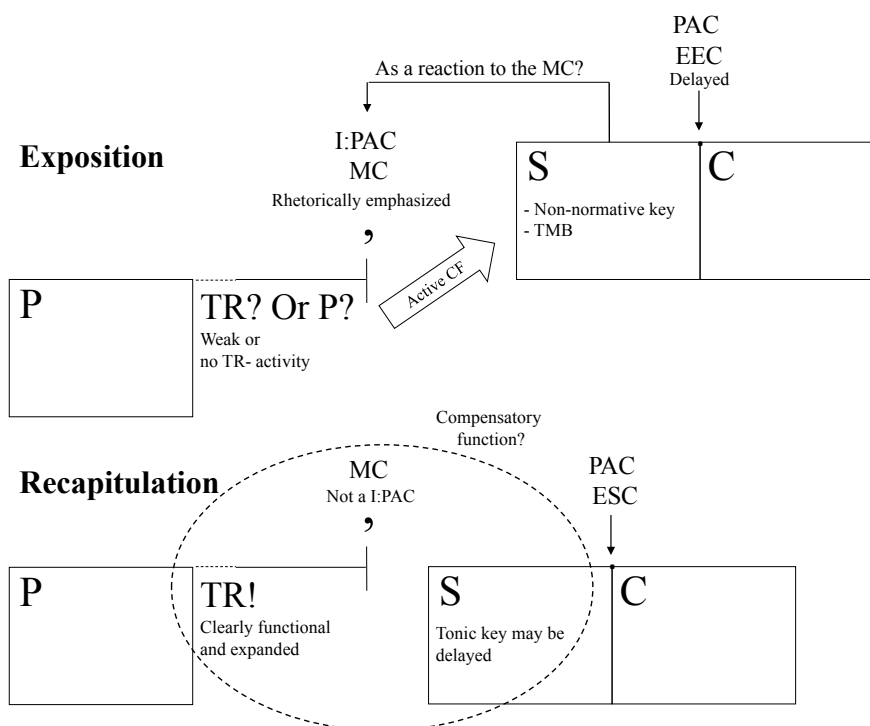


Figure 1: The I:PAC MC and its related events

¹³ Schubert’s penchant for the subdominant recapitulation provides here an analogous instance. As observed by Boyd Pomeroy, “although parallel sonata form could be (mis-)used as a mechanical formula (or in Rosen’s words, a ‘lazy mannerism’) to minimize or eliminate the need for re-composition in the recapitulation, Schubert’s wide-ranging experimentation with different possibilities seems to indicate a concern more with its compositional challenges than with any potential as a labor-saving device” (Pomeroy 2008, p. 20). See also Boyd 1968, p. 12–21.

Fig. 1 summarizes the most common formal and rhetorical complications associated with the I:PAC MC, which will be illustrated below through the analysis of three movements: Symphony No. 8/i, Symphony No. 9/i, and String Quintet in C/iv.

2.6 Symphony No. 8 in B Minor, D. 759/i

The beginning of the “Unfinished” Symphony (1822) is marked by a “gloomy” opening motto (P^0 , mm. 1–8) that introduces highly pessimistic expectations as to the work’s expressive narrative. P^0 is followed by an agitated rhythmic stream ($P^{1.0}$, mm. 9–12) that sets the stage for the main theme ($P^{1.1}$, mm. 13–20), a meditative melody that seems to impatiently reflect on its fate. After prolonging the key of B minor, $P^{1.1}$ prematurely moves to the mediant, coming to a III:PAC in measure 20. The early appearance of the mediant might imply a desperate attempt to escape the tonic key. However, III never materializes as a new key; instead, it is almost instantly revoked by a sudden shift to the home dominant and the subsequent return of the main theme.

The following phrase begins as a normative consequent, but the increased harmonic activity and dynamic level introduced from measure 26 onward propose a retrospective reinterpretation of the passage as TR (mm. 22–38), one of the dissolving consequent type. Despite its perceptible transitional character, however, TR fails to free itself from B minor, ending in a fatalistic i:PAC MC (m. 38). At this point, one might wonder if the just-sounded module was indeed P ’s consequent phrase, which would then imply the onset of TR. Nevertheless, the thin texture and tranquil rhetoric projected by the following music (an active caesura fill) and the introduction of a new, self-contained theme retrospectively confirm the MC status as well as the transitional function of the previous module. In addition, the overemphasized cadential articulation, a typical feature of the I:PAC MC option, suggests that this cadence occupies a privileged position in the structural and expressive unfolding of the work (see Fig. 2).

The S-theme ($S^{1.1}$, mm. 44 ff., preceded by two measures of $S^{1.0}$) emerges as a moment of relief. Richard Taruskin has described it as “an island of repose, a fair and fleeting *Augenblick* magnified into what philosophers call a ‘specious present’—a considerable duration that nevertheless represents instantaneousness” (2010, p. 110). For David Damschroder, “the simple yet

perfect melody that opens the G major region is timeless, seemingly stemming from a distant past and extending through eternity” (2010, p. 162). Similarly, Clark has noted its “non-teleological status” (2011, p. 240). I would add that the theme’s naïve harmonic and melodic quality associated with its dance-like character suggests a pastoral topic, implying connotations such as lost happiness, lost innocence, and the recollection of childhood.¹⁴ In addition, the key of G major seems to contribute to this interpretation, implying a distant metaphorical place in the sonata’s trajectory. Thus, it could be argued that the overdetermined P–TR complex conditions the expressive character of S, which arises as a timeless recollection of a happy and innocent past, postponing the work’s “unavoidable fate.”

Prior to securing the expected PAC in measure 62, a dramatic halt brings the theme to a formal collapse that motivates the return of P’s tormented character, disturbing S^{1.1}’s peaceful atmosphere and suggesting a “threat” to the work’s tonal trajectory. But S^{1.2} (mm. 63–93) manages to withstand the pressure, finally achieving the EEC in measure 93. Following the cadence, an S-based closing theme suppresses any negative implications that could perhaps arise from the return of a P-based motive.¹⁵

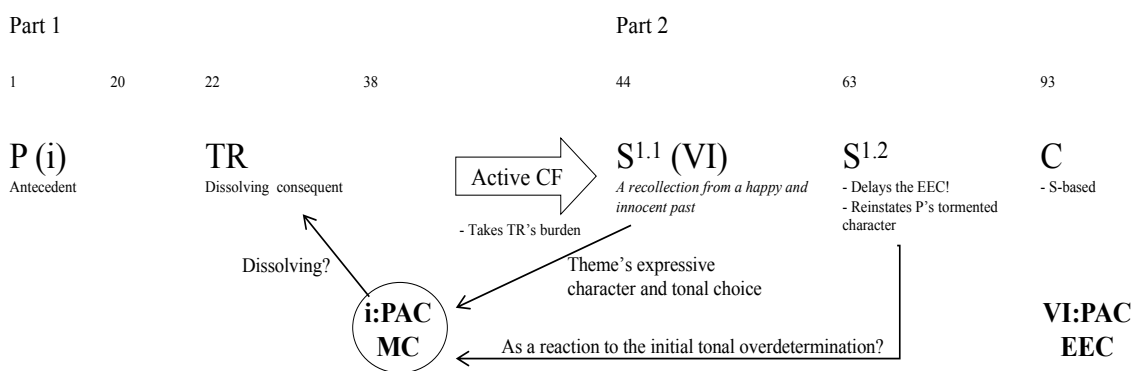


Figure 2: The role of the *i:PAC MC* in the exposition of Symphony No. 8, D. 759/i

The complications introduced in the exposition are brought to a new light in the recapitulation (see Fig. 3). As if compensating for its “handicapped” condition in the exposition, TR is now expanded: after an initial evaded motion towards the submediant, it heads to V_N , eventually coming to a dramatized

¹⁴ For more on the pastoral topic, see Hatten 2004, p. 53–67; and for more on the S-theme’s dance-like character, see Schubert 1971, p. 80–82, and Taruskin 2010, p. 110–112.

¹⁵ A fascinating reading of the S–C complex can be found in Hepokoski; Darcy 2006, p. 183.

v:PAC MC. Had this occurred in the exposition, the sounded MC would have been interpreted as a more normative choice; however, its unorthodox appearance in the recapitulation raises questions as to the work's harmonic course. One could argue that it compensates for TR's expositional harmonic overdetermination, allowing S to "breathe fresh air" before the unavoidable return of the tonic key. From a transformational perspective, the recapitulatory MC could be explained as the most efficient choice to set up the key of D major (III)—S's starting key—mirroring its expositional counterpart, the submediant.¹⁶ Regardless of our final interpretation, the new key does delay the arrival of the home key, compensating for the overdetermined expositional P and TR.

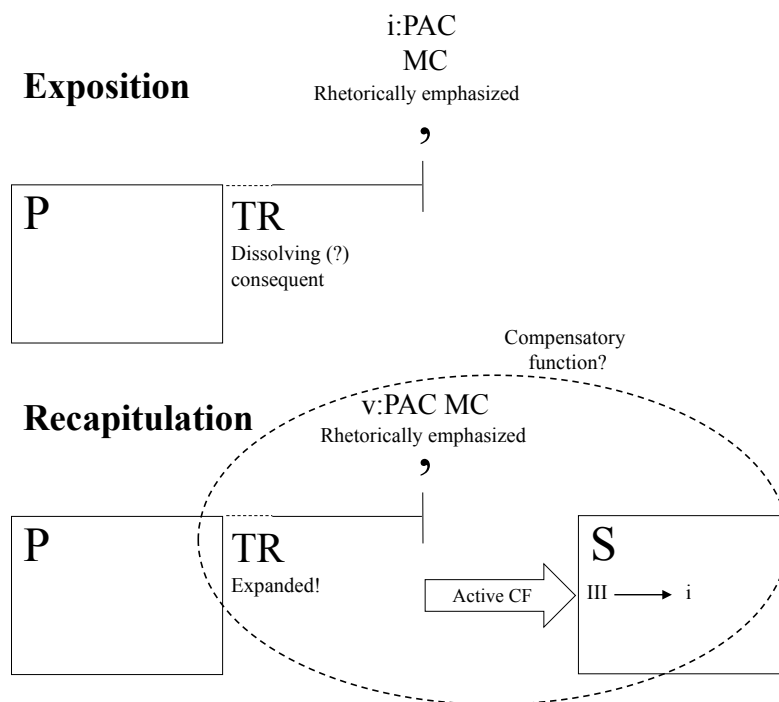


Figure 3: The recapitulation's compensatory function in Symphony No. 8, D. 759/i

The tonal and formal complications featured in the "Unfinished" seem to spring from the expressive interaction between the minor and major modes as well as the character and function assigned to each of the chosen keys. Needless to say, the i:PAC MC plays a pivotal role in the plot: it confirms the tonic's initial

¹⁶ As mentioned above, for Clark, the choice of third-related keys for both expositional and recapitulatory S-spaces implicates the relocation of the traditional fifth-space defined by the distance between tonic and dominant. See Clark 2011, p. 228–246.

hegemony, then becoming an interpretative point of reference for the remainder of the work.

2.7 Symphony No. 9 in C, D. 944/i

Another example of the I:PAC MC is found in the first movement of the “Great” C-Major Symphony (1825–26). Here, following a lengthy introduction, the P-theme (mm. 78 ff.) arises confidently, projecting an assertive military character. It comes to a I:PAC in measure 94 and is followed by a brief cadential appendage that seems to confirm the tonic key (Fig. 4). However, the increased harmonic activity introduced in measure 103 suggests instead a reinterpretation of the just-sounded module as part of TR, one of the “dissolving P-codetta” type.¹⁷ The proposed TR attempts to settle on the subdominant but fails, ending in a I:PAC in measure 122. The reassertion of the tonic raises questions as to the module’s formal status: should it be conceived as an overdetermined TR? Or should it rather be interpreted as a second module within the Primary Zone? The subsequent music first restates what was initially heard as P’s cadential appendage, but, instead of dissolving into transitional activity, extends the tonic chord in an affirmative rhetorical gesture, suggesting a I:PAC MC (mm. 130–132).

Part 1

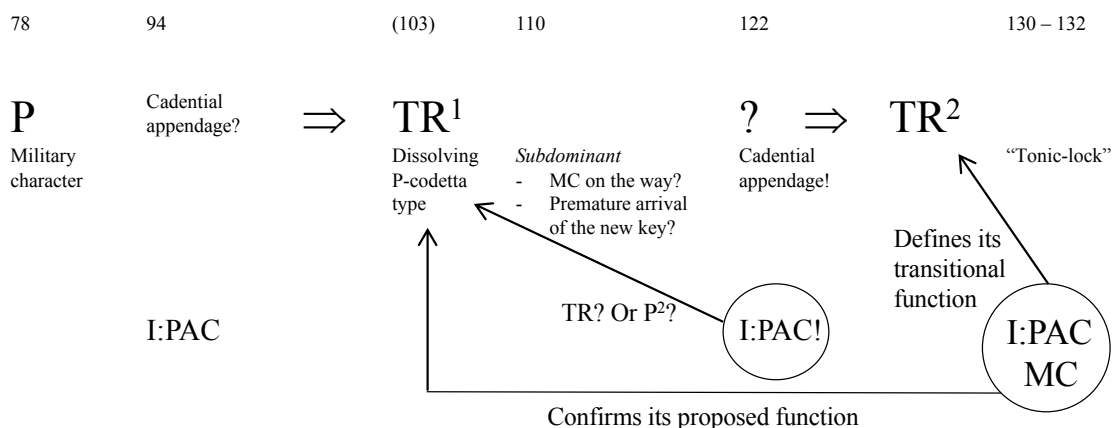


Figure 4: The role of the I:PAC MC in the exposition of Symphony No. 9, D. 944/i (mm. 78–132)

¹⁷ The term “dissolving P-codetta” was devised by Hepokoski and Darcy to explain transitions that initially impress the listener as a codetta to P, but eventually dissolve into real transitional activity (2006, p. 102–105).

Thus, since measures 122–132 do not introduce any harmonic activity merely extending tonic harmony, I argue that the beginning of TR must be moved back to measure 94. In this context, the increased harmonic activity as well as the motion to the subdominant could perhaps be interpreted as a failed attempt to escape the tonic area. Accordingly, measures 122–132 end up functioning as TR², a transitional appendage that confirms the sounded I:PAC, finally securing the MC, emphasized by an affirmative “tonic-lock.”¹⁸ As in the Eighth Symphony, the MC is followed by a short active CF that here leads into the non-normative key of E minor (iii).

S-space promptly projects TR's overdetermination, taking the form of a trimodular block (Fig. 5): TM¹ (mm. 134–150) proves unable to achieve the EEC, eventually dissolving into TM² (mm. 150–174), an area of renewed transitional activity that seems to correct TR's failed function. After briefly implying a potential return of the tonic (mm. 156–158), TM² finally leads into the key of G major (V), securing a V:PAC MC (m. 174) and triggering TM³ (mm. 174–240). The newly articulated MC confirms TM²'s “corrective” function, counterbalancing the restrictive I:PAC MC that punctuated the end of the exposition's first part. In addition, as a common procedure in Schubert's late three-key trimodular blocks, TM³ is built as a varied restatement of TM¹. As Graham Hunt has noted, “this invokes the rhetoric of ‘correcting’ the key of a theme, particularly when the second key is deformational and the third key is normative” (2009, p. 93).¹⁹ This interpretation reinforces our reading of the V:PAC MC as a “corrective” device and indirectly confirms the impact of the authoritarian-sounding I:PAC MC on the second part of the exposition.

Prior to achieving the EEC, TM³ takes a harmonic detour that delays closure and slowly reinstates the exposition's initial military character. The E \flat -major episode (mm. 190–228) ultimately functions as a neighbor to the structural dominant, prolonging \flat VI, eventually transformed into a Ger \flat_5^6 . The increased use of brass scoring as well as the reappearance of “cavalry” rhythms in the trumpets from measure 228 onward emphasizes the arrival of the structural dominant,

¹⁸ The term “tonic-lock” draws a direct parallel between the conventional dominant prolongation that often accompanies half-cadential MCs (dominant-lock) and the tonic prolongation that may follow the I:PAC MC.

¹⁹ For more on trimodular blocks in Schubert's late works, see Hunt 2009, p. 92–102.

which seems to festively “proclaim” the final expositional “victory” over the tonally static beginning.

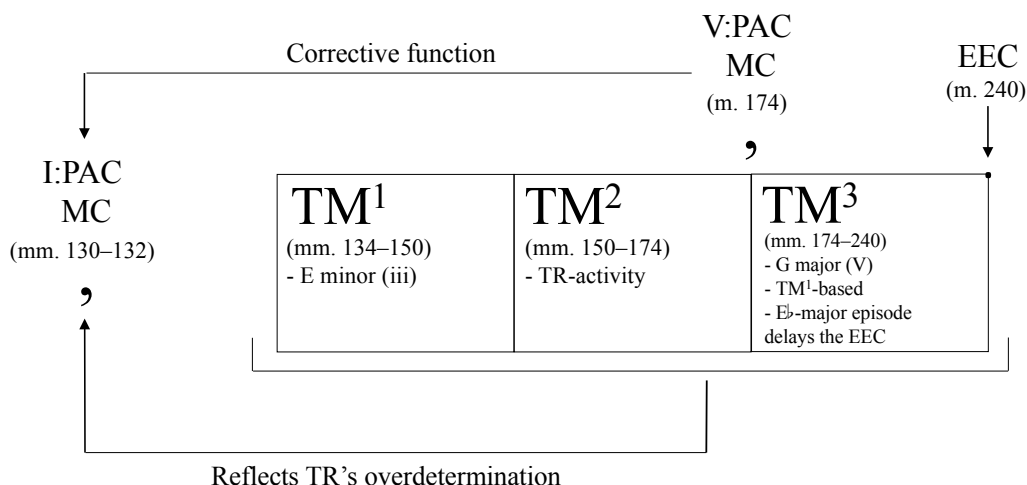


Figure 5: Corrective function of the exposition’s second part in Symphony No. 9 in C, D. 944/i

In the recapitulation, P is restated completely, coming to a I:PAC in measure 372. As in the exposition, TR (mm. 372–436) begins as a cadential appendage, dissolving into transitional activity; however, the descending-fifths sequence that led us to the subdominant in the exposition continues past its previous point of arrival, moving this time to the major mediant (mm. 392 ff.). After being prolonged for 13 measures, the E-major harmony gives way to a contrapuntal ascending-seconds sequence that eventually takes us to ii^o in C minor (m. 416). The pre-dominant function is then extended by a filled-in bass arpeggiation ($\hat{2}-\hat{4}-\hat{6}$) that leads ultimately into a i:HC (m. 424). An extensive dominant-lock confirms the just-sounded cadence and sustains the accumulated energy until the arrival of the MC, finally bringing the expected crux point (m. 436). Thus, it can be argued that the extended pre-crux alterations featured in the recapitulation both clarify TR’s transitional function and compensate for the module’s tonal over-determination in the exposition. This formal compensation is confirmed by a normative cadential articulation and the presence of an affirmative dominant-lock (Fig. 6).²⁰

²⁰ Later nineteenth-century composers also made much use of tonal overdetermination, often introducing formal and expressive complications to the work’s narrative. An example is found in Tchaikovsky’s Symphony No. 4 (1877–78), op. 36/i, in which a massive tripartite P–TR complex fails to move away from the tonic, ending eventually with a fatalistic “tonic-lock” (mm. 100–3).

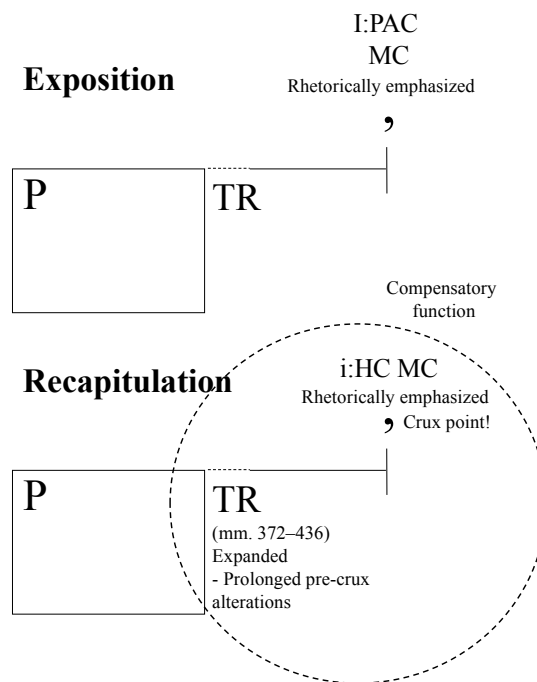


Figure 6: Recapitulation's compensatory function in Symphony No. 9, D. 944/i

2.8 String Quintet in C, D. 956/iv

Our third example, the finale of the C-major String Quintet, D. 956, was completed in 1828, only two months before Schubert's death. As a whole, this is an expanded Type 1 sonata with a P-based discursive coda.²¹

The movement begins with an agitated, fandango-like P-theme²² that unfolds over a dominant pedal, initially suggesting the key of C minor through modally inflected neighbor motions ($\flat_4 - \flat_5$). After a sudden shift to \flat VII in measure

A highly expanded active CF (mm. 104–16) ultimately releases the accumulated energy and takes the burden of TR, accomplishing the modulation to the secondary zone. Additionally, the movement includes other tonal and formal complications that could be interpreted as consequences of TR's overdetermination. For example, both S^1 and S^2 are placed in non-normative keys, $A\flat$ minor (iii) and B major (a tritone away from the initial tonic), respectively.

²¹ Also known as sonata form without development (or sonatina form), the Type 1 sonata comprises only two structural rotations: exposition and recapitulation. In the expanded Type 1, the recapitulatory P–TR complex is expanded, sometimes giving the impression of an implanted “development” section. For more on Type 1 sonatas, see Hepokoski; Darcy 2006, p. 343–352.

²² In a similar fashion, David Beach characterizes the Finale of the C-major Quintet as “a boisterous gypsy rondo that [...] conjures up images of musicians sitting around a fire, playing while their comrades dance in a circle” (2017, p. 185).

13 (as a supposed V of Eb), the now fragmented theme rises chromatically to C major (I). The tonic chord brings harmonic stability and, more importantly, introduces the hitherto withheld major mode, transforming the initial gesture into a more elegant one.²³ After briefly tonicizing the submediant, the tonally solid P-theme articulates a I:IAC in measure 38, repeated four measures later and confirmed by insistent reiterations of the tonic chord.²⁴

The cadence seems to mark the end of P, implying an imminent TR; nevertheless, the emergence instead of a song-like theme contradicts the proposed expectations, requiring a retrospective reinterpretation of the just-sounded cadential punctuation as a I:IAC MC. This reading is confirmed by the rhetorically emphasized cadential gesture that follows the IAC (which closely resembles the extended “tonic-lock” that marks the I:PAC MC of the “Great” Symphony, see Ex. 1a–b). Interpreting this cadence as an MC would imply the existence of a transitional area; however, the absence of any transitional activity contradicts this premise, giving the impression that TR has been completely suppressed by P. This formal anomaly may be interpreted as a reaction to the theme’s unstable start, as if the hard-won major tonic, fearing the return of the minor mode and its conspicuous tonal instability, decided to suppress any transitional rhetoric and move directly into S-space.²⁵

²³ The impression at this point is that a much nobler character replaces the haughtiness and disdain evoked by the Spanish fandango allusion.

²⁴ It has been suggested to me by an anonymous reader of an earlier version of this paper that mm. 35–42 comprise a presentation phrase and, therefore, labeling mm. 38 and 42 as IACs would be potentially problematic. Although agreeing that different readings of this P-theme are valid, I prefer interpreting this passage as two identical IV-I-V-I cadential phrases that emphasize the folk-like atmosphere that characterizes this module. It is worth noting that this is exactly the same closing gesture that Schubert uses in *Die Forelle*, D. 550 (see mm. 13–20).

²⁵ Hepokoski and Darcy offer a brief discussion of situations in which P ends with a I:PAC or I:IAC (MC?) and S follows directly. According to them, “the situation occurs infrequently and is mostly confined to brief or small-scale movements” (which is not the case in the quintet). They relate the procedure to the rare fourth-level default I:PAC MC and advise that such occurrences “should not be invoked casually in any analysis” (2006, p. 116).

124

"Tonic-lock"

I:PAC
MC

Example 1a: I:PAC MC and its "standing on the tonic" in Symphony No. 9, D. 944/i

"Tonic-lock"

I:IAC
MC

Example 1b: I:IAC MC and its "standing on the tonic" in the Finale of the String Quintet in C, D. 956

In contrast to the two previous examples, the arrival of the new key, G major (V), is not prepared by CF. In the Quintet, the C-major chord that closes the first part of the exposition directly pivots as IV after the appearance of F# in measure 46, allowing the new key to emerge.²⁶

The S-zone (mm. 46 ff.) comprises two complete statements of a highly expanded compound sentence followed by a cadential phrase (m. 107) that finally introduces a sense of closure. The first two attempts to attain the EEC (mm. 107–110 and 111–114) result in deceptive cadences. These are followed by an abbreviated final attempt that once again fails to secure the EEC, dissolving into closing material (mm. 127 ff.) and allowing for the return of the minor mode.²⁷ For Hepokoski and Darcy, “S exists to drive to a secured PAC. Were that PAC/EEC left unaccomplished—as a fully intended expressive strategy on the part of the composer—the exposition would be an illustration of frustration, nonattainment, or failure” (2006, p. 177).²⁸ Accordingly, it can be argued that the Finale of the C-major Quintet features an extreme case of formal deformation, perhaps as a result of the movement’s initial overdetermination, in which, in contrast to the two previous examples, the EEC is not only delayed but altogether missing, resulting in a “failed exposition” (Fig. 7).

The recapitulation begins with a verbatim restatement of P, this time ending in a I:PAC (m. 212). Prior to securing the MC, the initial melodic idea is reintroduced, triggering an extensive elaboration of the P–TR complex that takes the form of an implanted “development” section (Type 1^{exp} sonata). The expanded module seems to move towards a I:PAC MC in measure 267, as in an attempt to reaffirm the expositional overdetermination—a non-normative procedure even by Schubert’s standards. However, the cadential gesture is interrupted by the premature appearance of the S-theme, resulting in an evaded MC articulation. Despite the absence of the final tonic chord, the long gap that

²⁶ As has been pointed out to me by the same anonymous reader mentioned above (who I greatly thank for the careful review of this paper), this is a very unusual way to start an S-theme, i.e., off-tonic with what Gjerdingen calls the Prinner schema (creatively deployed here).

²⁷ Despite its marked closing-rhetoric, the module introduced in measure 127 is better conceived as an S^c theme; i.e., an apparent C-module in the absence of an EEC. According to Hepokoski and Darcy, the label S^c “suggests the presence of a theme literally in precadential, S-space that in other respects sounds as though it is more characteristically a closing theme” (2006, p. 191). For more on S^c themes, see *ibid.*, p. 190–191.

²⁸ For more on the concept of failed expositions, see Hepokoski; Darcy 2006, p. 177–178.

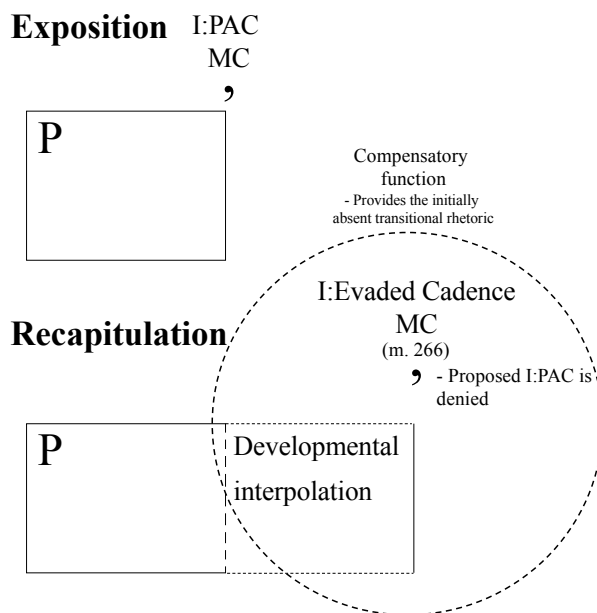


Figure 8: Recapitulation's compensatory function in the Finale of the String Quintet in C, D. 956

3. The Clarifying MC

3.1 Where Is the Transition?

This category features a much more localized procedure. While the examination of the I:PAC MC relied upon the broad apprehension of structural and expressive events across the entire movement, the study of this deformation focuses exclusively on the TR–S formal complex. Here, TR's function is only retrospectively clarified by the articulation of the MC as well as the subsequent appearance of a convincing S-candidate. In some situations, P ends with a I:PAC and is then followed by a module that does not manifest any transitional rhetoric but that eventually manages to secure the MC, retrospectively elucidating the passage's transitional role (Fig. 9).³⁰ In some instances, this formal reinterpretation will only be possible after the arrival of S.

³⁰ For studies that examine Schubert's formal complications from a phenomenological perspective, see selectively: Schmalfeldt 2011, 113–58; Lee 2010; Martin and Moortele 2014, 130–155; and Venegas 2020).

Exposition

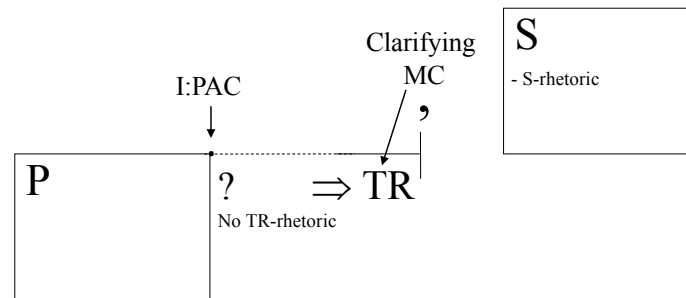


Figure 9: The Clarifying MC (type 1)

3.1.1 Caesura-Fill \Rightarrow TR in the Piano Sonata in B, D. 575/iv

In the Piano Sonata in B major, D. 575/iv, P is structured as a small ternary, in which a periodic A (mm. 3–12) is followed by a compact contrasting middle (B, mm. 13–28) that prolongs the tonic through an arpeggiation to the flat mediant (D major). Following a short retransition, A is restated in its entirety, coming to a I:PAC in measure 38 (Ex. 2). The cadence is then confirmed by two varied reiterations of its final cadential gesture, marking the end of P. At this point, the listener would expect the onset of TR; however, a *forte* CF-like descending scale seems to “take control of the passage,” brusquely articulating a premature V:HC MC (m. 50), confirmed by the subsequent *piano* and *dolce* S-theme.

Even after the MC articulation, the function of the brief module introduced in measures 47–50 is not clear: should it be conceived as TR? Or should one take into account its CF-like character, perhaps describing it as an initially perceived CF that retrospectively becomes TR after the articulation of the MC? The second reading seems to better represent the listening process; however, given that CF is expected to fill in the space between the MC and the onset of S, the interpretation of measures 47–50 as CF would imply a previously secured MC, in this case a I:PAC MC (mm. 38–46).

23 A' Antecedent

Retrans. $V_4^6 - \frac{5}{3}$ HC

35 Consequent

cadential reiteration cadential reiteration

ii V_4^6-7 I Zone of cadential affirmation

I:PAC (MC?)

47 Caesura-fill? TR? Or CF \Rightarrow TR? S

p

V:HC MC
Defines the passage's transitional function

Example 2: The Clarifying MC in the Finale of the Piano Sonata in B, D. 575 (mm. 23–58)

As shown above, Schubert’s I:PAC MCs often follow a “defective,” rhetorically weak TR that, in extreme cases, might not feature any transitional activity—as in the C-major Quintet. In addition, the I:PAC MC is always rhetorically emphasized, as is the case in the B-major Piano Sonata. I therefore propose a third reading that attempts to explain the process of formal reinterpretation featured in this passage: 1) a I:PAC marks the end of P, raising expectations as to the onset of TR. However, 2) the appearance of CF-like material retrospectively alters the perception of the sounded cadence, then reinterpreted

as a deformational I:PAC MC. Ultimately, 3) CF articulates a new cadence that replaces the first MC candidate for a more normative choice, a V:HC MC.³¹

3.1.2 P-Codetta ⇒ TR in the Piano Sonata in E \flat , D. 568/iv

In the E \flat -major Piano Sonata, D. 568/iv, P's contrasting middle (mm. 5–14) comes to a I:HC in measure 12 followed by a short dominant-lock that leads into a clear interruption in measure 14 (Ex. 3a).³² After a full restatement of the initial hybrid theme (c.b.i. + consequent), A' articulates a I:PAC (m. 18), which is directly confirmed by a P-codetta module. The passage comprises two statements of a compact sentential structure punctuated by an IAC (m. 20) and a PAC (m. 22) in the tonic. Instead of moving on to new material, a short chromatic link leads to reiterations of the just-sounded cadential gestures, this time in the dominant. Despite the absence of any transitional rhetoric as well as the abruptness of the modulation, the two cadences in the dominant suggest a premature, underprepared articulation of the MC, which in turn impels the listener to reinterpret measures 19–24 as TR, one of the “dissolving P-codetta” type. Nevertheless, the increased rhythmic activity and the collapse to B \flat minor (v) in measure 25 seem to overturn the proposed MC, marking the onset of the real TR. Once again contradicting our expectations, the new section does not dissolve into transitional activity. In fact, its tight-knit initial organization and tonal stability propose instead S rhetoric.

³¹ Another instance of the clarifying MC is found in the Piano Sonata in a, D. 784/i. In this case, what is retrospectively reinterpreted as TR is initially heard as a preparatory module (TR⁰, mm. 47–61).

³² A similar interpretation of D. 568/iv (first part of the exposition) is offered in Venegas 2013, 49–50.

Dominant lock

A' c.b.i.

HC

Consequent

P-codetta => TR

retrospectively defined by the MC

I:PAC

I:IAC

Chromatic link

cresc.

I:PAC

V:IAC

V:PAC MC Premature and underprepared!

TR again? No → S

b.i.

f:pp

i

Example 3a: The Clarifying MC in the Finale of the Piano Sonata in Eb, D. 568 (mm. 11–28)

Thus, the V:PAC MC (m. 24) ultimately clarifies the transitional status of what was initially heard as P-codetta. This conclusion is only confirmed after realizing that the B \flat -minor module is indeed the S-theme and not TR. Interestingly, this complex situation is straightened out in the recapitulation (Ex.

3b) where the cadential appendage dissolves into real transitional activity, coming to a rhetorically emphasized i:HC MC (m. 160).

146

TR

"Dissolving P-codetta"

cresc.

I:PAC

150

f

cresc.

Different from exposition

154

ff

fz

Dissolves into real transitional activity

158

CF

fz

p

i:HC ---Dominant lock---

i:HC MC

162

S

fz

fz

Example 3b: Piano Sonata in Eb, D. 568/iv, recapitulation (mm. 146–166)

3.2 Clarifying and Correcting

In some cases, the Clarifying MC incorporates an additional corrective function, combining elements of both categories examined so far. In such instances, a convincing TR fails to move away from the tonic, articulating a I:PAC. The cadence, which might initially impress the listener as the MC, triggers a second transitional attempt (TR²) that, despite featuring a “deficient” character, eventually attains the real MC. The final punctuation clarifies the transitional function of its immediate preceding passage and corrects TR¹’s overdetermined cadential articulation (Fig. 10).

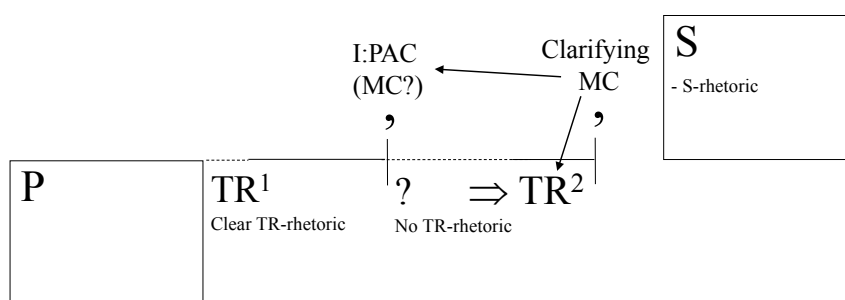


Figure 10: The Clarifying MC (type 2)

3.2.1 String Quartet No. 15 in G, D. 887/i

The first movement of the G-major String Quartet, D. 887, begins with an introductory module that instantly reveals the major-minor opposition that defines the harmonic content of the work.³³ Following the dramatic introduction, P arises as a relief: a meditative melody supported by the “modally corrupted” descending tetrachord (G–F–E^b–D), elaborated by a chromatic 5–6 sequence.³⁴ The theme is organized as a slightly expanded sentence and comprises two varied statements of the same melodic and harmonic structure, ending with a I:PAC in measure 33.

³³ Measures 1–15 may alternatively be read as P¹ or P^{1.0}, integrated to the Primary Zone. Although the module’s declamatory rhetoric suggests an introductory character, its return at the beginning of the recapitulation as well as its harmonic and thematic content implies instead that the module belongs to the sonata proper. See Dahlhaus 1996, p. 1–12.

³⁴ A detailed harmonic analysis of the G-major Quartet from a Schenkerian viewpoint is offered in Beach, 1998, p. 87–99.

TR¹

30

G

F

I (---D2---

I:PAC

40

bVI V_{5/IV} V₄ ii₅

i:HC MC on the way? No!

TR² Defined by emphasis accorded the MC

49

IV V₄ (inverted) I (---A2---

G A B le.

I:PAC **S**

59

B: V ---Dominant lock--- D: V₃

III:HC gap

III:HC MC

Rhetorically emphasized

- forte dynamics
- Dominant lock
- Clear MC gap
- Hammer-blows
- Dotted rhythms

Corrects TR¹'s overdetermined cadential articulation

Example 4: The Clarifying MC in the String Quartet No. 15 in G, D. 887/i (mm. 30–67)

TR¹ begins in measure 33 as a dissolving restatement, introducing the typical increased rhythmic activity and melodic fragmentation (Ex. 4). After reworking the first three steps of P's descending tetrachord, TR¹ comes to a $V_{\frac{6}{5}}^{\frac{6}{4}}$, perhaps suggesting the imminent articulation of a i:HC MC. However, the chromatically altered chord proves unable to secure the dominant, collapsing into its diatonic counterpart, and leading eventually into a rhetorically stressed I:PAC.³⁵ At this point, one might argue that this example closely resembles the I:PAC MC option featured in the "Unfinished," in which TR, a "defective" dissolving consequent, articulates a I:PAC MC, marked by an emphasized dominant chord. In the quartet, however, the cadence is followed by a quiet sequential passage that articulates a III:HC (m. 59) followed by dominant-lock and MC punctuation (m. 63).

Example 5: Reconstruction of mm. 51–66 of the String Quartet No. 15 in G, D. 887/i

³⁵ As proposed by David Beach, mm. 15–54 could alternatively be regarded as a trimodular P-theme, comprising a thematic statement followed by two variations (see Beach 2017, p. 15–18).

By comparing both TR-modules, one may notice that the short and quiet TR² is only able to succeed thanks to the great emphasis accorded the MC. Interestingly, had it maintained the same two-bar sequential model, moving directly into the S-zone (here an expanded TMB structure), TR² would have sounded as a caesura-fill, linking the I:PAC MC to the second part of the exposition (see reconstruction in Ex. 5). Thus, as pointed out above, the affirmative rhetoric projected by the extended MC area incorporates a two-fold role, clarifying TR²'s transitional function and correcting TR¹'s I:PAC MC.

3.2.2 String Quartet No. 13 in A Minor, D. 804/iv

In the Finale of the A-minor String Quartet, D. 804, the P-theme (structured as a small binary) is followed by a codetta that seems to simply confirm the key of A major. At the moment of resolution, however, the expected I:PAC is evaded by a sudden harmonic and melodic halt (m. 36), impeding the final affirmation of an already overdetermined P (Ex. 6). Following the gap, the use of melodic fragmentation, *fugato* style, and the "lights-out" effect indicates that TR is underway. Nevertheless, despite its conspicuous TR-rhetoric, the module fails to articulate a normative MC: after a brief modulation to \flat III, the music is pulled back to the home key, coming to a *forte* I:PAC in measure 53. The cadence elides with the return of the P-codetta module, retrospectively defining the structure of this elaborated cadential appendage as a small ternary (A B A'). A' eventually dissolves into transitional activity, attaining a V:PAC MC in measure 67 followed by an extended CF and a "defective," but convincing S-theme.

It seems clear that this MC also plays a double role: 1) it corrects the overdetermined I:PAC that ended the first potential TR-module and 2) clarifies the transitional function of A' as a dissolving reprise of a tripartite P-codetta.

In addition, one could argue that the MC's corrective role is confirmed by a highly expanded "MC area" in which an initial V:PAC is followed by several cadential reiterations that confirm the MC articulation and dissipate the energy accumulated in the course of TR. The de-energizing process ends with an elaborated CF that sets apart the first and second parts of the exposition, preparing the arrival of S.

30

TR¹ ⇒ Contrasting middle

Fugatto style
Lights-out effect

ii⁶ V EC!

40

cresc. *fp* decr. *pp* cresc. *fp* decr.
cresc. *fp* decr. *pp* cresc. *fp* decr.
cresc. *fp* decr. *pp* cresc. *fp* decr.

III

50

P-codetta! ⇒ TR² Melodic fragmentation

V I

I:PAC!

A2 sequence

59

MC area

E: ii V I⁶ ii⁶ V I

V:PAC MC

Confirms TR's transitional function

Corrects TR¹'s overdetermined cadential punctuation

The image shows a musical score for the Finale of the String Quartet No. 13, D. 804. The score is in 3/4 time and features a key signature of one sharp (F#). It consists of four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The score begins at measure 67. A box labeled 'CF' (Clarifying Medial Caesura) is placed over the first staff in measure 70. A box labeled 'S' (Secondary Medial Caesura) is placed over the first staff in measure 74. The score includes dynamic markings of *pp* (pianissimo) and various musical notations such as slurs, ties, and articulation marks.

Example 6: The Clarifying MC in the Finale of the String Quartet No. 13, D. 804 (mm. 30–74)

4. The Liberating MC

In this category, TR begins as a tonally overdetermined module and ends with a quick and abrupt modulation to the secondary key. The brusque harmonic motion is often “paired down to essentials,” barely preparing the articulation of the MC that, despite its sudden arrival, manages to “liberate” the exposition from the tonic’s “oppression” (Fig. 11). Interestingly, perhaps for its rhetorical strength, the Liberating MC is always secured by an authentic cadence, in most cases a PAC.

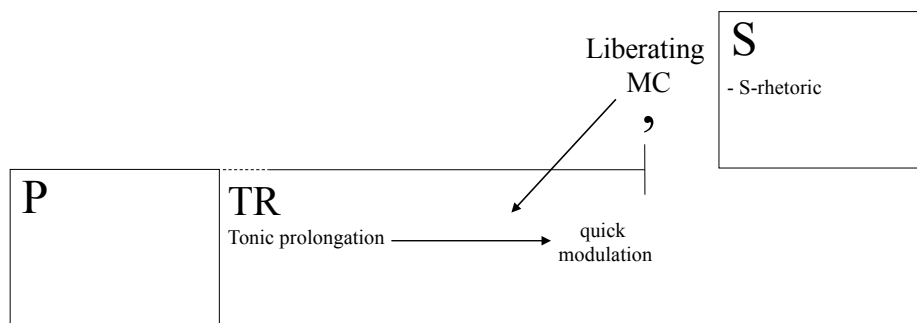


Figure 11: The Liberating MC

In contrast to the three categories discussed above, TR’s overdetermination is not necessarily expressed here by the articulation of one or more I:PACs within its course; in fact, in most instances, tonic harmony is prolonged by localized contrapuntal motions or failed cadential attempts. The abrupt modulation that leads to a successful PAC MC in the secondary key, closing such two-stage TRs, is often achieved through a highly compact one-more-time technique that reworks a failed cadential attempt in the tonic. Brian

Black (2015) has labeled this Schubertian modulatory procedure as the “deflected-cadence strategy.” According to him, this strategy involves

two successive cadential progressions. The first, which occurs in the home key, may either achieve closure or be thwarted by an evaded or deceptive cadence. It is followed immediately by the second cadence, which begins the same way, only to be diverted at the last moment into a perfect authentic cadence (PAC) in the subordinate key. The modulation is thus accomplished exclusively by the second cadence, which both ends the transition and ushers in the subordinate-key region (Black 2015, p. 165).³⁶

In early works, a clear, rhetorically active TR extends the home key until the arrival of the MC. Conversely, in late works, TR expresses no transitional rhetoric; indeed, it often comprises a slightly intensified reprise of P, prolonging the tonic through mere repetition. The absence of any transitional activity within TR often introduces formal and expressive complications to the course of the exposition, affecting the MC and consequently the organization of the S-theme (or the exposition’s second part as a whole).³⁷

4.1 String Quartet No. 5 in B♭, D. 68/ii

The earliest clear example of the Liberating MC is found in the String Quartet in B♭, D. 68, second movement (1813). Here, a rhetorically active TR (mm. 50–107) seems to struggle to free itself from the tonic in a series of proposed but

³⁶ For more on Schubert’s handling of the “deflected-cadence” strategy, see Black 2015, p. 165–197.

³⁷ The combination of an extended emphasis on the tonic and a final brief modulation has led many commentators to characterize the transitions featured in this category as short and abrupt (see Hascher 1996, 10; Tovey 1949, 118–27; Webster 1978, 22–6; Wollenberg 1998, 16–61; and *ibid.* 2011, 47–98). Contrary to this view, I interpret them as comprising a long and two-stage single module that begins by overstating the tonic and ends with a quick and underprepared modulation. Current research on musical form has generally favored a cadence-oriented approach in which cadences act as formal articulators, determining the boundaries of themes and formal zones (Caplin 2004, p. 56; Hepokoski; Darcy 2006, p. 12–13). Accordingly, when discussing the issue of pin-pointing TR’s onset, Hepokoski and Darcy “discourage the practice of conferring TR-status in the middle of an ongoing phrase, even though the texture and musical process begin to alter at that moment. [...] Once we perceive the appearance of clear TR-activity (mid-phrase), we return to the opening of the phrase, however thematically contoured it might be, and assign the TR-label to that spot” (2006, p. 95). Adopting this criterion, the transitions featured in this category will not be conceived as short and abrupt but, as pointed out above, discursive tonally overdetermined modules that eventually manage to secure the MC.

evaded I:PACs (see mm. 78 and 90). Finally, following an unexpected motion to \flat VI (m. 97), a delicate ascending 5–6 sequence destabilizes the home key, leading into a Liberating V:PAC MC. The cadence releases the exposition from the tonic's domination and allows the S-theme to unfold in a proper manner (Ex. 7).

The musical score for Example 7 is presented in two staves (treble and bass clef) in B-flat major. The score is annotated with various musical symbols and boxes. At the top, a box labeled 'TR' spans measures 50 to 66. Above the staff, measure numbers 50, 66, 76, 86, 97, and 107 are marked. A box labeled 'S' is positioned above measure 107. Below the staff, Roman numerals are placed under specific measures: I (m. 50), V (m. 54), vi (m. 66), V (m. 70), vi (m. 82), V (m. 86), F: bII (m. 97), bVI (m. 101), V (m. 103), and I (m. 107). A box labeled 'V:PAC MC' is located below the staff, spanning measures 103 to 107. The score includes a 3/2 time signature at the beginning and a 10-measure rest in the bass line between measures 66 and 76. The notation includes various rhythmic values, accidentals, and phrasing slurs.

Example 7: The Liberating MC in the String Quartet No. 5 in $B\flat$, D. 68/ii (mm. 50–107)

4.2 String Quartet No. 8 in $B\flat$, D. 112/i

Another example of the Liberating MC is found in the String Quartet No. 8, D. 112 (1814), first movement, also in $B\flat$ major (Ex. 8). Here, P ends unequivocally in $B\flat$ major and is followed by a short, recitative-like passage, a sort of TR^0 that modulates to the key of G minor (vi), triggering real transitional activity (TR^1). Perhaps in an attempt to escape from the minor mode, TR returns to the home key in measure 73, articulating a PAC—attenuated by thematic elision and a continuous rhythmic motion. The theme, initially presented in G minor, is now restated over a solid $B\flat$ -tonic pedal that seems to confirm the tonic's rhetorical relevance over vi. The reappearance of the dominant of G minor in measure 93 raises questions as to the transition's tonal and expressive trajectory; however, a sudden sequential shift to F major finally leads into a Liberating V:PAC MC (m. 103), freeing the exposition not only from the tonic, but also from the "pessimistic" minor submediant. The impression of release is highlighted by the decreased rhythmic activity following the MC. As Black has observed, "the F-major cadence seems to relax all of the previous tensions by

dissolving the unsettling eighth-note triplet motion and sudden interruptions that preceded it into its steady whole-note rhythm and hushed dynamics.”³⁸

Example 8: The Liberating MC in the String Quartet No. 8 in B \flat , D. 112/i (mm. 1–103)

4.3 String Quartet No. 9 in G Minor, D. 173/i

Another early instance of the Liberating MC is found in the String Quartet in G minor, D. 173 (1815) (Ex. 9). In this example, TR, a dissolving consequent, prolongs the tonic for 18 of its 21 measures. After failing to secure a proposed I:PAC in measure 43, the final cadential gesture is repeated in B \flat major, allowing for the articulation of a III:PAC MC (m. 45) that liberates the exposition from the tonic. S begins in B \flat major, harmonically and thematically stable, but soon dissolves into renewed transitional activity, moving eventually into the key of D minor (v). One might interpret S’s “troubled” condition as a result of the MC’s lack of preparation, as if the underprepared key of B \flat major could not stand the pressure, collapsing into the “doggedly negative” key of D minor.³⁹

³⁸ See Black (2015, p. 177–180) for detailed analyses of the first movements of Schubert’s string quartets in B \flat major, D. 112, and in G minor, D. 173, both briefly discussed here as examples of the Liberating MC.

³⁹ Susan Wollenberg also explores TR’s expressive effects in Schubert’s G-minor quartet, D. 112. For her, “the influence of the transition here reaches back beyond the accomplishment of the move to the new key, and forward into the second theme itself. Built into this extended perspective are such properties as a reluctance to leave the tonic; prevision of the new key that lies ahead; and nostalgia for the tonic following the departure from it, all of which correspond to some of the nuances of poetry” (2011, p. 47–52).

Example 9: The Liberating MC in the String Quartet No. 9 in g, D. 173/i (mm. 1–50)

4.4 String Quartet No. 12 in C Minor, D. 703

Schubert returns to the Liberating MC in 1920 with his String Quartet in C minor, D. 703 (*Quartettsatz*).⁴⁰ Here, the impact of the MC extends beyond the more localized effect seen in the previous examples; warranting a more complete analysis of the exposition.⁴¹

In the *Quartettsatz*, P comes to a PAC in measure 13, eliding with the onset of TR (m. 13–27) as a dissolving restatement. Generic TR-activity never materializes, however, and the section projects little if any sense of transitional function.⁴² In this case, one could speak of a transition that is formally present but rhetorically absent. Because of its continued tonic prolongation, TR might alternatively be regarded as an expansion of P-space. Nevertheless, it does fulfill

For more on the expressive meaning of the minor dominant as a secondary key in minor-mode sonata form works, see Hepokoski; Darcy 2006, p. 314–317.

⁴⁰ For alternative readings of Schubert's *Quartettsatz*, see (selectively) Hunt 2009, p. 91–92; Wollenberg 2011, p. 52–57; Fieldman 2002, p. 99–146; Mak 2008, p. 145–153; and Pomeroy 2011, p. 59–103.

⁴¹ For other late works that feature the Liberating MC, see the Piano Sonata in B \flat , D. 960/I (mm. 1–48) and the Piano Sonata in G/I, D. 894 (mm. 1–24). In both works, the first part of the exposition is structured as a small ternary with dissolving reprise (A B A' \Rightarrow TR), resulting in an extended prolongation of the tonic.

⁴² Hepokoski and Darcy offer a handful of examples in which TR-rhetoric is lacking (2006, p. 114–116).

its vital role of leading us into S-space through a concise modulation: $\flat\text{II}^6$ in C minor (mm. 23–24) pivots as IV^6 in $\text{A}\flat$ major, setting up a (partially) Liberating VI:PAC MC (m. 27).

The major mode's effect is one of relief, as if suddenly released by the MC from the highly oppressive minor mode. However, the lack of preparation by generic transition activity render the new theme unstable and fragile, susceptible to a collapse at any moment. At this point, one could perhaps argue that, instead of opening S-space, the key of $\text{A}\flat$ major extends a "failed" TR, giving it a second opportunity to succeed. This reading would nullify the MC status of the VI:PAC, perhaps a reasonable interpretation in view of its prematurity and tonal level.⁴³ On the other hand, the lyrical "S-ness" of the theme introduced in measure 27 retrospectively confirms the proposed MC. As shown below, our interpretation of the $\text{A}\flat$ -major section will also depend upon our apprehension of its role in the larger context, a trimodular block.

TM¹ (mm. 27–61) is structured as a large period whose consequent phrase (mm. 39–61) restates the whole antecedent, expanding its cadential appendage in order to end with a PAC. The expected cadence is evaded in measure 54 by the return of the cadential appendage. This cadential delay perhaps expresses a "fear" of the imminent return of the minor mode, as if the composer was enjoying his moment of joy and did not want it to end. But the major mode cannot withstand the pressure and finally collapses to minor (vi:PAC, m. 61).

The minor mode brings with it a return to a dark, stormy character, and belatedly supplies the hitherto missing TR-rhetoric. The following P-based section (TM², mm. 61–93) destabilizes the key of $\text{A}\flat$ major, leading through a series of sequences to a half cadence back in the home tonic (m. 77), which readily suggests a new MC effect. One could perhaps argue that, as in an attempt to fix the "defective" VI:PAC MC, the new MC effect belatedly realizes a more traditional cadential option, i:HC MC. However, the cadential articulation is followed by active caesura-fill, which, after briefly confirming the cadential arrival, takes control of the passage, declining the proposed MC.⁴⁴ The caesura-

⁴³ Additionally, the use of a PAC to articulate the MC and the resulting overlapping between the end of TR and the onset of S may contribute to the level of obscurity of this proposed MC. See Richards 2013 for more on the concept of obscured medial caesuras.

⁴⁴ For a detailed study of declined-MC situations in Schubert's music, see Navia 2019.

fill has the effect of correcting the harmonic course of the exposition towards the more normative key of G minor. However, subtle chromatic alterations transform the expected minor-dominant key to its parallel major, an unorthodox secondary key for a minor-mode sonata.⁴⁵ The arrival of the major dominant is strongly articulated by a V:PAC MC, finally releasing the major mode from its “defeatist” counterpart. TM³ (mm. 93–125)—structured as a compound sentence—achieves the EEC in measure 125, a V:PAC that finally brings S-space to an end.

The *Quartettsatz* features the deployment of two Liberating MCs that are directly tied to two prominent expressive elements: the minor mode's negative implications and TR's rhetorical inactivity. The first MC attempts to liberate the exposition from the minor tonic; however, due to its lack of preparation as well as its tonal choice, the task is only partially accomplished. It manages to suppress the tonic key, but fails to suppress the dominance of the minor mode, which returns in TM². In turn, the second MC incorporates a “corrective” role, finally releasing the exposition from the minor mode. This interpretation is not only supported by the fact that the latter MC introduces a more normative cadential option, but also by the rhetorical emphasis that prepares and marks its articulation: First, unlike the earlier “defective” transition, the new one (TM²) is characterized by generic energy-gaining processes; secondly, despite its elision with the onset of TM³, the V:PAC MC is preceded by modulating caesura-fill that expands the “MC area,” better preparing the final cadential articulation. A summary of the whole process is offered in Fig. 12.

⁴⁵ The use of the major dominant as a key in a minor-mode sonata has been the focus of discussion. According to Boyd Pomeroy, “in the nineteenth century, the major mode as a key area emerged as another option, albeit a highly unorthodox (even deformational) one” (2011, p. 60). Hepokoski and Darcy interpret the key of the major dominant as “a delusion, a denial, a false major – pathetically seeking to overturn the negative implications of the initial tonic” (2006, p. 315). In *Quartettsatz* the key of G major emerges as a temporary illusion, constantly under threat from incursions of the minor mode.

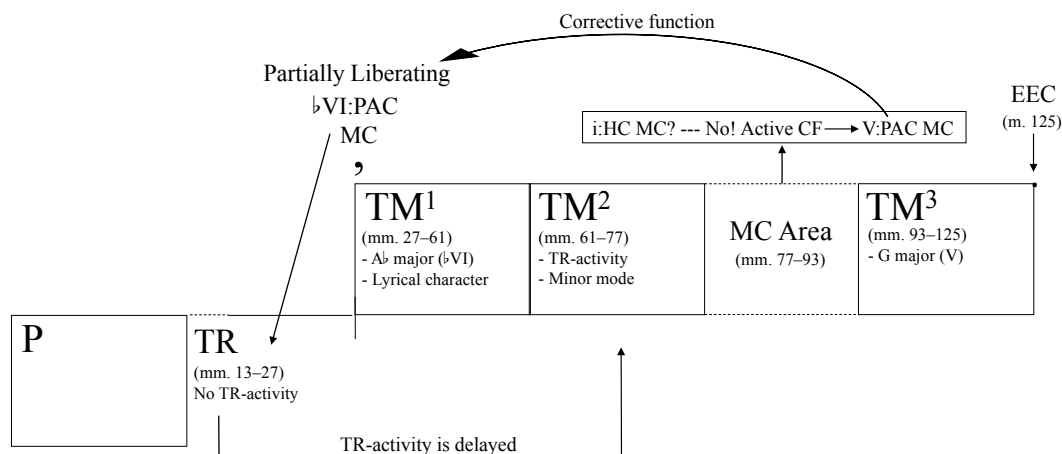


Figure 12: The role of the Liberating MC in the exposition of Schubert's *Quartettsatz*, D. 703

5. Final Thoughts

In conclusion, the “poetic resonances” released by Schubert’s tonally over-determined TRs indeed extend well beyond their realization and, in most cases, involve the MC as protagonist: 1) The MC may arise as reacting against a tonally over-determined module, liberating the remainder of the exposition from the tonic’s control, or retrospectively “correcting” a tonally and/or formally “defective” passage. 2) Conversely, the MC may be regarded as accepting TR’s expressive choices, releasing “poetic” properties with broad formal and rhetorical consequences. 3) Lastly, the MC may serve to clarify a formally ambiguous passage, often obscured by the non-traditional arrangement of tonal, textural, formal, and rhetorical elements. In most cases, the blurring of boundaries and functions of the MC’s adjacent formal zones implicates a complex process of formal reinterpretation.

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Schumann's Fantasy Op. 17 and the Strange Case of the Supertonic Sonata: The Missing Tonic and Its Consequences

*A Fantasia Op. 17 de Schumann e o estranho caso da sonata supertônica:
a tônica ausente e suas consequências*

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Abstract: This paper explores some fresh angles (Schenkerian and sonata-formal) on one of Schumann's most famously intractable works. In the process it draws some larger conclusions regarding Schumann's paradoxical relationship to sonata form and Schenkerian approaches to unusual sonata forms. Form in the first movement has been much debated as variously sonata-based (though with considerable differences as to its parsing), rondo-based, a Romantic Fragment writ large, or *sui generis*, unclassifiable. Analytical challenges include: 1) rondo-like recurrences of a main theme that prolongs a dominant seventh (or ninth) throughout, resolving only at the very end of the movement; 2) an exposition with an extraordinarily unconventional tonal scheme; 3) a long, static central episode, tonally closed in the tonic minor; and 4) a teleological thematic process gradually converging on a climactic quotation of another composer (Beethoven). Although the subdominant has usually been considered the exposition's principal secondary key, I will instead make the case for the supertonic, projecting a new kind of expositional tonal relation based not on *key* but rather on *chord*, preserving the essentially Classical (fifth-based) expositional tonal motion, but projected in a radically novel way (V–II). Schumann's relationship to sonata form was paradoxical, constantly pulling in opposite directions of, on the one hand, fantasy and improvisatory spirit, and on the other, a tendency to elaborate artifice. From the former perspective the Fantasy is perhaps the most audacious and original sonata form he ever wrote. The flexible yet rigorous Schenkerian approach pursued here proves remarkably responsive to its highly unconventional tonal structure, suggesting exciting potential for new paths into 19th-century sonata form.

Keywords: Schumann. Schenker. Sonata form.



This article explores some fresh angles, Schenkerian and sonata-formal, on one of Schumann's most famously challenging movements. In the process it draws some larger conclusions regarding 1) Schumann's paradoxical angle to sonata form, and 2) the potential for new Schenkerian approaches to unusual 19th-century sonata forms.

1. Schumann and Sonata Form

Schumann's relationship to sonata form had a certain bipolar aspect to it, constantly pulling in opposite directions of, on the one hand, fantasy and improvisatory spirit (in the thematic material itself and expositional narratives) and on the other, a tendency to predictable playing out of a pre-ordained script, in the unfolding of developments and (especially) recapitulations: long stretches of transposed repetition that can invite the suspicion of auto-pilot. This dichotomy is characteristic of his approach to the form throughout his career, from early (piano sonatas, with a notable penchant for "parallel" forms),¹ through middle (symphonies, larger chamber works),² to late (concert and dramatic overtures, chamber duo sonatas).³

Even by Schumann's own standards, the Fantasy is a particularly vivid embodiment of this paradoxical quality: While the first movement certainly has its share of (over-?) reliance on transposed repetition, from the perspective of improvisatory spirit of thematic material and tonal structure it is a good candidate for the most audacious and original sonata form he ever wrote.

2. Form in the First Movement

The first movement's (*Durchaus phantastisch und leidenschaftlich vorzutragen*) form has been much analyzed and debated, as:

- 1) Sonata-based, in its clear thematic/tonal duality, projected through a well-articulated if unorthodox exposition, and tonic-resolving

¹ Daverio 1993, pp. 21–4; Lester 1995; Roesner 1991; Rosen 1988, pp. 368–93.

² Burnham 2007; Hedges Brown 2000; Lester *ibid.*; Longyear 1978; Roesner 1990; Roesner 1997; Roesner 2007.

³ Burnham *ibid.*; Roesner 2007; Smith 2009.

recapitulation (Daverio, Newcomb, Roesner, Rosen, and Schmalfeldt, though with considerable disagreement as to the sonata's formal parsing).⁴

2) Rondo-based, in the cyclic recurrence of a main theme alternating with contrasting material (Morgan).⁵

3) Ternary, in the presence of a large contrasting, self-contained middle section (Rosen).⁶

4) A Romantic Fragment writ large, in the perpetual tonal open-endedness of its recurrent main idea, and un-classical nature of its secondary tonal relationships (Rosen).⁷

5) *Sui generis*, unclassifiable (Lester, Marston, Ponce).⁸

Such formal elusiveness is consistent with the work's complex compositional genesis and evolving generic conception, beginning life as a Sonata before turning into a Fantasy.⁹

The first movement's analytical challenges include:

1) Rondo-like recurrences of a main theme that prolongs an unresolved dominant seventh (more precisely, ninth) throughout, resolving only at the very end of the movement.

2) An exposition with an extraordinarily unconventional tonal scheme: First, although the key of C is unambiguous, the tonic chord is completely absent from its opening statement, the tonic key represented by its dominant chord only. Second, the subordinate key/tonal goal of the exposition is open to different interpretations: while the thematic process and character of the material at first seem to point to the subdominant, F

⁴ Daverio 1987; Daverio 1993, ch. 2; Newcomb 1987, p. 170; Roesner 1991, pp. 273–6; Rosen 1997, pp. 513–15 ("the monument that commemorates the death of the classical style"); Schmalfeldt 2011, p. 252. More on these disagreements below.

⁵ Morgan 2016, pp. 6–9.

⁶ Rosen (1997, p. 515), who compares it to a baroque da capo aria.

⁷ Rosen 1995, pp. 100–10.

⁸ Lester 1995, p. 209; Marston 1992, ch. 4; Ponce 2014.

⁹ Marston *ibid.*, ch. 1.

(which would be a highly deformational choice, counter-generic, even implausible), from a tonal perspective the IV-chord is enclosed within a prolongation of II (d). While just as unusual in terms of rarity (indeed even more so), and possessing little obvious logic considered as a tonal relation with the tonic, when viewed in another light—of a P-theme that prolongs not the tonic chord but its dominant—it actually emerges as a logical, natural outgrowth, as will be shown.

3) A development-substitute in the form of a contrasting central episode, tonally closed in the tonic minor.

4) A teleological thematic process that gradually converges on the climactic quotation of another composer (Beethoven). The Fantasy's compositional genesis in connection with raising funds for the Bonn Beethoven monument project of 1845 (with the first movement's original programmatic idea of "Ruins") has been well covered elsewhere,¹⁰ as has the evolution of Schumann's conception, in the course of which it became intertwined with significance for his relationship with Clara (a "deep lament" for her); the climactic quotation from Beethoven's *An die ferne Geliebte* (No. 6, "Nimm sie hin denn, diese Lieder," mm. 9–10) has been much discussed in the literature,¹¹ and indeed its continued inspiration beyond the present work, famously in the finale of his Second Symphony.¹²

Table 1 gives an overview of the complete form of the movement.

¹⁰ Daverio 1993, pp. 19–21; Daverio 1997, pp. 151–4; Marston *ibid.*, ch. 2; Marston 1993.

¹¹ Hoeckner 1997, pp. 109–31; Marston 1992, ch. 3; Marston 1993, pp. 238–9; Newcomb 1990, pp. 295–6; Rosen 1995, pp. 103–12; Schmalfeldt 2011, pp. 251–4; Todd 1994, pp. 91–4.

¹² Daverio 1997, pp. 315–22; Newcomb 1984; Roesner 1990.

m.	Thematic Rotation	Large Formal Sections			Comments	Tonal Structure	Cadences	
(3)	1	Exposition	P	Antecedent	motives: a (scalar)	V_7^9		
15					b (Beethoven quot.: anticipation in G)			
19					(reinterpreted HC)		V: IAC = I: HC	
20				Consequent	high C! (V^{11})	V_7^9		
29				TR	Pt. 1	as dissolving restatement motive a: modal inflection (A–A \flat)	$II^{\circ} \frac{6}{5} - V_7 / \flat III$	
33			Pt. 2		E \flat : 5–6 exchange–ascending fifths (c–g–d); no MC!	$\flat III$		
41				S	TM1	or TR, Pt. 3?	II d: I–V	
42			motives: a (scalar)					
49			b (Beethoven quot.: anticipation in d)					
53					TM2	dissolution to renewed TR	d: $\flat II-$	
61			MC (only one in exp.)			V/IV	IV: HC MC	
62					TM3	TMB: lyrical Telos motives: a (scalar)	IV	
69			b (Beethoven quot.: anticipation in F)					
74			cadential prog.	dec. res. to:				
82				C		descending fifths	$II^{\#}$	
98	2	Recapitulation (Type 1)	P	(Cons. version)		V_7^9		
106				A				
				B	motive a: frag.			

119			(Cons. version) A'		V $\frac{9}{7}$ (tonic pedal as anticipation)– V $\frac{b9}{7}$ ("entrance chord")	
129	<i>Im Legendenton</i> (expanded Type 1 insertion: development substitute)		Entrance (minor V)	from TR, Pt. 2 reversal of 5ths-motion: asc. (G–D)–desc. (D–G) arp.–3rd-prog.	V \flat	
133			Theme (tonic statement)	1) arp. 2) parallel 6ths 3) cadential (5th-) prog.	I \flat (res. of V7 from recap.)	
139						I \flat : PAC
141			Variation 1: Entrance	5ths-motion: asc. (C–G–D)–desc. (D–G)		
149			Theme	abbrev.: arp.–parallel 6ths only		
155			Interlude 1	from TM2 (cf. mm. 53 ff.)	\flat VI	
157				from TM3 motive b (Beethoven quot. at original pitch E \flat)		
165			RT1		V ()	I \flat : HC
174			Variation 2: Theme	complete, to dec. cadence	I \flat – \flat VI	
181			Interlude 2	from TM1	\flat II	
183				motive a (scalar)		
195			RT2	overshoots tonic, to	V–I–	
204			Variation 3: Entrance	subdominant 5ths-motion: asc. (F–C)–desc. (C–F) $\flat\hat{6}$ (= A \flat): octave-prog.	IV \flat	

212					cover tone left hanging	$V^{\flat 9}_7$ ("exit chord")		
216				Theme/ Closing Section	arp.-cadential (3rd-) prog. $\flat\hat{6}$: still hanging!	I^{\flat}	I^{\flat} : PAC	
225		Type 1 Recapitulation, cont.	TR	Pt. 1	as dissolving restatement $\flat\hat{6}$: as choral 7th ...	$II^{\circ} \overset{6}{\text{S}} - V^{\flat 7}/\flat III$		
				Pt. 2	res. to G recomp. (abbrev.) to:	$\flat III$		
233					MC1 (as new MC in recap.)	V	I^{\flat} : HC MC	
(233)				S	TM1	or TR, Pt. 3?	I^{\flat} c: $I^{\flat} - V$	
234						motives: a (scalar)		
241						b (Beethoven quot.: anticipation in c)		
245					TM2	dissolution to renewed TR	c: $\flat II -$	
253						MC2	$V/\flat III$	$\flat III$: HC MC
254					TM3	TMB: lyrical Telos motives: a (scalar)	$\flat III$	
261						b (Beethoven quot. at original pitch $E\flat$)		
							dec. res. to:	
274					C	descending fifths	I	
287	3		Coda	P	(Cons./Ant. comb.)	dissolves to:	$V^{\flat 9}_7$	
296						Beethoven quot. in C	I	
297								(foreground) I: IAC
299								I: PAC
300						Closing Section		

Table 1: Formal Overview

3. Exposition

The exposition (Exs. 1 and 2) outlines the ascending fifth V–II, the latter enclosing its own motion to its mediant and back: (d:) I–III–I[#]; against this, the upper-voice counterpoint traverses the falling fifth A–D ($\hat{2}$) from above. Since the tonic (C-) chord is completely absent from the scheme, the *Urlinie* can be appropriately conceived as coming into focus *in media res*; if the reader finds it preferable to supply the missing $\hat{1}$ in implied parentheses, there is no harm in that, but to me, the idea of the movement floating into view (earshot) directly on $\hat{2}$, unmoored by any tonic, real or imaginary, is more to the point. Further, the middleground $\hat{2}$ is itself delayed until the end of the exposition, as the goal of the fifth-progression from above.

(P)

ant. a (P5) → B (m. 11)

Durchaus phantastisch und leidenschaftlich vorzutragen. M.M. $\text{♩} = 80$.

sf *ff*

V₇ *Pedal.*

4

8

→ C (m. 23)

G: "I" V₇

12

°7 6 5

(p) II

The image displays a musical score for piano with guitar accompaniment, consisting of seven systems of staves. The score includes various musical notations and annotations:

- System 1 (Measures 15-18):** Features a piano part with a complex rhythmic pattern and a guitar part with chords. Annotations include *ritard.* above the piano staff and Roman numerals V, (VI), II, and V below the guitar staff.
- System 2 (Measures 19-21):** Includes a *Pedal.* instruction for the piano part and *cons. p* above the guitar part. A harmonic analysis $G: I (=V: IAC) \Rightarrow I: HC$ is provided below the guitar staff.
- System 3 (Measures 22-24):** Shows a *V7* chord in the guitar part and a $(B, m.10)$ annotation with an arrow pointing to a specific measure.
- System 4 (Measures 25-27):** Features a *ritard.* instruction above the piano staff.
- System 5 (Measures 28-30):** Includes a *TR* (trill) annotation above the piano staff, *pt.1* above the guitar staff, and *a (°5)* above the piano staff. Roman numerals II_5^b and (V^7) are present below the guitar staff.
- System 6 (Measures 31-33):** Shows *pt.2* above the guitar staff and $bIII$ below the guitar staff.
- System 7 (Measures 34-36):** Features Roman numerals I^b and V^b below the guitar staff.

4 (104) TM1 S/TR, pt.3?

38

42

45

48

52

56

pp * *p* *f* *P ritard.*

d: I II V#

TM2

IV F: II

The musical score for Example 2: Exposition is presented in two staves. The upper staff is in treble clef and the lower staff is in bass clef. Above the treble staff, a sequence of circled numbers indicates fingerings: 29, 33, 41, 50, 61, 74, and 82. Above the bass staff, a sequence of circled numbers indicates fingerings: 7, 10, 10, 10, 8, 7, 8, 7, 10, and 8. A large slur encompasses the first two staves. Below the bass staff, harmonic analysis is provided: V_7^9 is indicated under the first measure; $d: I$ and II^{\flat} are indicated under the second measure; $F: III^{\sharp}$ is indicated under the third measure; V is indicated under the fourth measure; I and III are indicated under the fifth measure; and N and I^{\sharp} are indicated under the sixth measure. A 5^{th} label is placed above the treble staff between measures 41 and 50.

Example 2: Exposition

3.1. P

The main theme (Ex. 3) displays an unconventional period construction, projecting the home key through its dominant chord only.

Antecedent

The basic ingredients of the theme's (and movement's) characteristic dominant sonority announce themselves immediately (Ex. 1): bass ($\hat{5}$) and inner/upper voices (a II-triad), adding up to V_7^9 . Against this ambient background—a swirling "Aeolian harp"—the upper-voice melody fills in this II-triad with the falling fifth A–D, in a foreground parallel of the middleground for the entire exposition. To this the inner voice adds C, for a complete II⁷ chord above the bass G. The result is a *harmonic fusion* of two chords (V^9/II^7). Remember this! It will be highly significant in view of the exposition's tonal journey.

Secondly, within the prolonged V^7 chord of the home key (C), the dominant (G) is briefly stabilized as a *key*, in a kind of "reverse tonicization": a reversal of the normal sequence of events whereby an established dominant key is then destabilized by the V^7 chord, preparing the return to the tonic (Schenker's

"securing of the seventh," as V^{8-7} or $5-7$).¹³ In reverse tonicization the V^7 chord comes first, the tonicized dominant key second—hence the seventh is first secured before being lost (abandoned) again. The result can be thought of as an "illogical" or "unearned" tonicization of (or within) the unresolved V^7 .¹⁴

ant. 11 (m.24) IN 3rd (p)

G: $\hat{8} - \hat{5} - \hat{4} - \hat{3}$

a) 5 - 7 $\circ 7$ 5

(G: "I" V7 II V I)

cons. 20 24 TR 29

($\hat{2}$) (p) 3rd

5 - 7

V7

¹³ Schenker 1979, p. 132.

¹⁴ For some other examples, see Brahms Symphony No. 4 (ii), mm. 56 (secured seventh), 58–9 (reverse tonicization); Chopin Nocturne in B \flat minor, Op. 9/1, mm. 51 (secured seventh), 61 (reverse tonicization); Rachmaninov Prelude in g, Op. 23/5, mm. 35/42 (secured seventh), 50 (reverse tonicization). The unresolved V need not contain the dissonant seventh; the collapse of a consonant major dominant chord to minor will suffice—see Bach *St Matthew Passion*, opening chorus, m. 10; Beethoven Symphony No. 5 (iii), mm. 44–5. The phenomenon comes in many different forms and refinements and merits further study.

ant. cons.

b) $\hat{2}$ IN $\hat{2}$

(I II V I)

V

Example 3: Exposition, P

Here, V^7 of the home key stands in for the initial tonic of a cadential progression in the key of the dominant (see Exs. 1, 3a); the tonicized V : IAC (m. 19) is an example of what Caplin calls the "reinterpreted half cadence": in its larger context, understood as a I: HC.¹⁵

The theme's melodic content establishes an ordered two-part process, a wellspring that will become a guiding unifying principle across the exposition (see Ex. 1), in the form of motives a (m. 2), the descending scalar fifth; and b (m. 15), an evolution of the melodic descent from fifth (scale) to sixth, as downward fourth-leap plus filled-in third: G: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ (Ex. 3a). This sets in motion a long-range teleological process: motive b's melodic shape will eventually mutate into the Beethoven quotation (look forward to Ex. 8a, m. 296).

Consequent

Unlike the antecedent, the consequent (m. 20) lacks any cadential articulation, merely extending the V^7 chord, leaving the P-theme open at both ends.¹⁶ This raises the question of the consequent as initiating a transition of the "dissolving consequent" type. But any such impression would then be decisively countered by the subsequent onset of the real TR of the "dissolving restatement" type (m. 29; Table 1).¹⁷

¹⁵ See also Schmalfeldt 2011, p. 252. On the reinterpreted half cadence, see Caplin 1998, p. 57.

¹⁶ For Roesner (1991, p. 274), this feature disqualifies it as a P-theme!; instead, it becomes a "false start"/introduction, postponing the sonata allegro proper to m. 29 (see also note 20).

¹⁷ On the "dissolving" TR types, see Hepokoski & Darcy 2006, pp. 101–11.

Despite the harmonic open-endedness, Schumann does, in fact, impart a satisfyingly culminatory sweep over the whole theme, the two phrases bound together in a single span by a rising melodic descant (Exs. 1, 3a): from A (the dissonant chordal ninth at the outset) through leading tone B (m. 10, as the melodic high point of the antecedent), which continues (and very audibly resolves) to C as the high point of the consequent (m. 23). But the melodic culmination on this pitch is paradoxical, out of sync with its harmonic context: first, in its rhetorical emphasis as an unprepared chordal eleventh, piling a further third-dissonance on the original V^9 ; second, from a contrapuntal perspective, in its status as a displaced passing tone (Ex. 3a). It is a good example of what Frank Samarotto calls a "contra-structural melodic impulse":¹⁸ a goal-directed melodic shape/contour that takes on an independent existence at odds with its contrapuntal-structural context.

3.2. TR

Beginning as a dissolving restatement of P, TR (Table 1; Exs. 1, 2) consists of:

- 1) A flatward plunge into the tonic minor (m. 29), contraction of the original scalar fifth-species (motive a) from perfect to diminished prompting an irresistible magnetic pull into the relative major.¹⁹ Note especially the upper-voice modal inflection A–A \flat ; this downward-tugging chromaticism will loom large throughout the movement (especially in this particular register), in different harmonic contexts and at various levels of structure.
- 2) A new contrasting idea (m. 33), arising as a 5–6 exchange of the relative major (E \flat –c) and impulsively surging in ascending fifths to land in the supertonic, D minor.²⁰

¹⁸ Samarotto 2009.

¹⁹ Taking her cue from the recapitulation's resumption from this point after the central *Im Legendenton*, Roesner (1991, pp. 273–6) goes so far as to postpone the beginning of her (off-tonic, in E \flat) sonata form itself here (see also note 17).

²⁰ Daverio (1987, 156) has TR begin only in m. 33, viewing the first part (m. 29) as the end of a minor-third-related P-complex (C–E \flat), answered by another (d–F) minor-third S-complex.

3.3. S (Extended Zone)

Key 1 (D minor)

The first of the exposition's two secondary key-areas (Table 1; Exs. 1, 2) sets off projecting a form-functional ambiguity, or bivalence: TR, Part 3, or S-theme? On the one hand, the arrival in the supertonic (m. 41) makes a rather abrupt, premature-sounding impression; devoid of any MC preparation, it arises as another stage in the ascending-fifths sequence from TR, Part 2. At the same time, it does project the strong sense of a new thematic beginning, based on a new variation on the P-theme's two-part melodic process (Ex. 1): motives a (m. 42): descending scalar idea, as d: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$; and b (m. 49): descending fourth-leap (Beethoven anticipation as d: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$).

But the new beginning soon dissolves in reversion to a pronounced TR-character, with a harmonic turn to the Neapolitan (m. 53) and chromatic bass ascent, eventually settling on V-of-IV, projected as a strong cadential arrival (m. 61): a IV: HC MC (!)—by default, with no other MC-candidate in sight.

Key 2 (F major)

The second of the two keys, the subdominant F, thus arises as the upper third of the established supertonic. Once again the melodic content continues to evolve further transformations of the two-part process: motives a (m. 62, F: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$) and b (m. 69, F: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ as Beethoven-anticipation), in a new lyrical variant projecting a sense of goal-arrival, expositional *telos* (Ex. 1; the feeling of arrival reinforced rhythmically by the systematic deceleration from 16th-notes, m. 41, through triplet eighths, m. 51, to eighths, m. 61). The cadential progression, (F:) IV (5–6)–V (mm. 74 ff.), breaks off in a chromatic deceptive motion, attenuating to silence (m. 81)—an enigmatic evaporation to an unharmonized melodic F, signifying—what exactly? An implied resolution to an unsounded VI-chord here, or an anticipation of the real deceptive motion to D (major) in m. 82? Either way, the moment is invested with an extraordinarily concentrated expectancy:²¹

²¹ Downes (1999, pp. 277–9) hears the moment as a musical "kiss," the culmination of the F-major theme as a "duet between tenor and soprano (Robert and Clara?)."

3.4. C

... rudely broken by the return of D tonality and a jarringly false relation F# (m. 82; Exs. 1, 2): baroque organ-like syncopated counterpoint, at an assertive *ff*, in a downward-driving circle-of-fifths (as the mirror image of the upward-spiraling fifths of TR), before dissolving in a return of the home-key dominant and P-theme (m. 97).

Many analysts have interpreted m. 82 as beginning a (or *the*) "development."²² This is unconvincing, though: first, on account of its symmetrical return to the key of D, thus forging a connection back to an earlier stage of the exposition; second, in its thematic character of assertive strength and stability, and sentential syntax (presentation, m. 82–continuation, m. 87); third (as the development-proponents acknowledge), in its leading directly to an early return of the P-theme in the tonic, the cyclic "double" return to the opening suggesting a homecoming, unlikely (to say the least) so early in a development.

In my reading, the return of D instead places bookends around an extended expositional S/C zone, the supertonic D minor–major spanning a stable symmetrical arch, bridging the enclosed subdominant F as its own mediant enclave.

Let's step back and consider the large TR/S/C area (F enclosed by D-bookends) as a whole.

4. Expositional Secondary Area

4.1 Tonal Structure

The subdominant has usually been considered the main secondary tonal area.²³ There are certainly good arguments in favor of this: first, the thematic process—the F-major theme's lyrical character, and feeling of goal-arrival; second, its harmonic preparation by a strong MC effect. But the problem nevertheless remains of IV as a generically implausible expositional goal, on account of the flatward motion's inescapable property of a counter-generic

²² Daverio 1987, p. 158 ("false development"); Marston 1992, p. 48; Newcomb 1987, p. 170; Roesner 1991, p. 274; Schmalfeldt 2011, p. 254 (Ex. 9.11).

²³ Daverio *ibid.*, p. 158; Newcomb *ibid.*, p. 170; Roesner *ibid.*, p. 274; Rosen 1997, p. 452.

lowering of the tonal tension—indeed for Lester and Marston, this is grounds for disqualifying the movement as a sonata form.²⁴

(In this connection, Rosen speaks of Schumann "paradoxically employ(-ing) it [the subdominant area] with astonishing mastery to increase and prolong tension," on the grounds that the tonic C is never affirmed (before the very end) by its own root-position triad.²⁵ To this I would add another dimension to the "tension" of the subdominant, as inhering between generic form-functional expectation (the expressive character of an S-theme) and its very irreconcilability with the tonal structure's retreat into an interior world of subdominant stasis.)

I will instead make the case for the supertonic as the exposition's real secondary key.²⁶

Concerning II as a secondary-key choice in sonata form: On the face of it, of all scale-steps, it is the least likely candidate for a convincing goal of motion from the tonic (even less likely than its stepwise counterpart (flat-) VII, which arises naturally as either the upper third of the dominant or a stabilized step on

²⁴ Lester 1995, p. 209; Marston 1992, pp. 46–7. In this connection, it is instructive to consider a few other examples of IV arising in various expositional contexts:

1) Schubert and expositional trimodular blocks (TMBs), with IV in the role of a transitional way station, or expansionary detour en route to a normative secondary area of V, in the Symphonies Nos. 2 in B \flat (i) and 3 in D (iv) (see Pomeroy 2008, pp. 23–34). The singular Schubertian example of IV as the real secondary tonal area is the "Trout" Quintet (v); but the form here is better regarded as a large binary than a real sonata (both halves repeated, no development).

2) A few late Romantic examples of IV as the true expositional goal. All of them are minor-mode movements; and intriguingly, all are modally mismatched (minor I–major IV!): Bruckner's Symphony No. 7 in E (ii, in c \sharp) has an S-theme in F \sharp major of an inward, consoling character, in escapist relief from the grief-laden, weighed-down quality of the P-theme. Elgar's Symphony No. 2 in E \flat (ii, in c) exhibits a similar expressive correlation, though with a more assertive S-character (F major). In Saint-Saëns's Symphony No. 3 in c (i), an altogether eccentric movement that peters out prematurely mid-S in the recapitulation, the key choice (F major) is harder to explain, but again, the lowering of tension in relief from the relentless *Sturm und Drang* grind of the P-theme is palpable. Finally, Rachmaninov's Piano Concerto No. 3 in d (iii) features an elaborate artifice of parallelism with an off-tonic recapitulation: I–IV (exposition) comes back as VII–III (Pomeroy *ibid.*, pp. 51–5).

From an expressive standpoint, Schumann's move to F major does seem to share the escapist quality of some of these examples.

²⁵ Rosen 1995, pp. 108–9.

²⁶ See also Morgan (2016, p. 8 (Ex. 2)), though he does not speculate as to Schumann's rationale for the key choice.

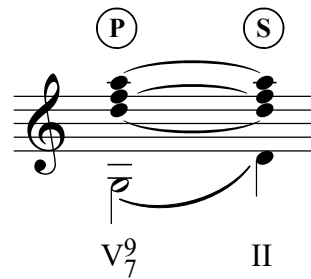
the way down from I to V). As a generic possibility, it could conceivably find a place in the exposition as a transitional step between I and V or I and III (we have an example by Schumann in the Sonata No. 1 in f#, Op. 11 (i), mm. 98 ff., where g# is tonicized en route to A). But other examples of II as the expositional harmonic goal are few and far between.²⁷

The reasons for this are not hard to find, in its incompatibility with the chord's established roles in common-practice tonal syntax: first, as an intermediate chord en route from tonic to dominant; second, as a contrapuntal derivation (5–6 exchange) of the subdominant. In any event, under normal circumstances it is difficult to imagine any convincing rationale for arrival in II as a goal of directed motion from the tonic.

In fact, the rationale here rather stems precisely from the tonic chord's absence: the P-theme's basis in *dominant* prolongation. This projects a new kind of expositional tonal relation based not on key but rather on chord: We're used to thinking of sonata expositions in terms of motion from the tonic *key* to another, but instead of tonal motion from the (non-existent) tonic triad, I propose the supertonic as originating in a composing out of the opening dominant (ninth) chord: the key of D minor emerges as an organic manifestation of its overtones—already present in the P-theme's characteristic harmonic and melodic complex, the upper triad of which now takes on an independent existence as its own key (Ex. 4).²⁸

²⁷ One notable exception can be found in Elgar's concert overture *In the South*, Op. 50, where it appears (R13) en route neither to the dominant nor mediant but the *subdominant* (R20), in the form of a "leaping passing tone" in the upper voice.

²⁸ Both Rosen (1995, p. 105) and Schmalfeldt (2011, p. 252) make the connection between the appearance of D minor at m. 41 and the same chord's presence in the upper voices of the opening V⁹ chord. Schmalfeldt stops short of drawing any larger conclusions regarding II's deep-middleground claims (vs. those of IV). Rosen, on the other hand, extends the idea of the opening V⁹ as source-chord to the exposition's eventual arrival in IV, which he does regard as the real secondary key. This is possible given the presence in the opening chord's upper voices, not just of the II-triad, but, from m. 3 onwards, the full II⁷ chord including C.



Example 4: Expositional Tonal Scheme: Overtone Derivation

In the process, notice that it preserves sonata form's essential basis in an ascending fifth-relation, projecting it in a radically novel way (V–II)—in this sense, it can be viewed to project a more plausibly classical tonal relationship than would the descending fifth tonic–subdominant.

The subdominant F is thus enclosed within a prolonged D, hence insulating that problematic (in a sonata-formal sense) scale-step from a direct relation with the tonic. The upper-voice counterpoint links the bookend Ds as the lower third of the covering fifth-progression (A–D) that spanning the entire exposition (Ex. 2).

4.2 Sonata Theory Perspective (Trimodular Block)

A Sonata Theory perspective yields new insights into the extended S-zone, whose organization is reminiscent of the classical trimodular block (TMB) technique (Table 1, Ex. 1):²⁹

TM1: A preliminary/provisional S-candidate in D minor, in a plausible thematic-rhetorical expression of S, but unprepared by any MC, instead arising in the course of a sequence.

TM2: A dissolution to renewed TR-activity, now working up to a real MC.

TM3: The arrival of another S-theme candidate in F major, as the goal of the TMB process; in characteristic TM3 fashion, projecting the sense of rectification or correction of the (retrospectively) provisional nature of TM1. Its character is inward in two senses: both literally, sandwiched between its surrounding bookends of D minor/major; and expressively, in Janet Schmalfeldt's sense.³⁰

²⁹ Hepokoski & Darcy 2006, pp. 170–7.

³⁰ Schmalfeldt 2011, ch. 6.

But it is not the goal of the *tonal* process, which awaits completion by a return to D (II) in the expositional closing section.

The real tension, then, inheres between the TMB organization (leading to IV as goal of the *thematic* process) and its larger tonal context (its nesting within the surrounding prolongation of II): in classical terms, inconceivable, but surely in keeping with the young Schumann's spirit of fantasy.

5. The Larger Form

Further pursuing the Sonata Theory perspective, the double (thematic/tonal) return immediately following the exposition implicates a Type 1 sonata.³¹ How plausible was this sonata type as the choice for a first-movement form (vs. its more common appearance in slow movements, finales, and overtures)?³² While undoubtedly counter-generic in this position, it is not unique (for another example, see Brahms's Piano Quartet No. 1 in g, Op. 25/i).³³ But it is the earliest example I am aware of, and its deployment here only enhances the extraordinary audacity of Schumann's conception.

Ex. 5 shows the complete movement.

³¹ Hepokoski & Darcy 2006, p. 345 ff. This feature (early apparent recapitulation, further complicated by being separated from its continuation (resumption) by an intervening episode) was the cause of no end of headaches for earlier analysts (e.g., Daverio 1987, Marston 1992, Newcomb 1987, and Roesner 1991), who had the benefit of no such explanatory model for such an apparent anomaly. Daverio (*ibid.*, p. 152) comes closest; his analysis of a recapitulation begun, then interrupted by the central *Im Legendenton*, is essentially an expanded Type 1 by another name.

³² And not to be confused with the more common "expositional-repeat feint" as a development-beginning strategy in a Type 3 sonata (as found in Haydn Sonata in D, Hob. 51 (i); Brahms Symphony No. 4 (i); Dvorak Symphony No. 8 (i) etc.). The difference resides in the presence or absence of another double return of the opening after the development. See Hepokoski & Darcy *ibid.*, pp. 350–1.

³³ See Pomeroy 2011, pp. 81–5.

(R1) exp. (R2) recap.: P (Im Legendenton) TR1 2

(82) (98) (225)

N 7th

a)

V₇⁹ I^b

(S:) TM1 2 3 C (R3) coda P (Beethoven)

(233) (274) (286) (297) (299)

(V bIII I) I

b)

V I

Example 5: Complete Movement

5.1 Type 1 Recapitulation, beginning

The P-theme's recapitulation is considerably transformed, the original period now replaced by a ternary form (Table 1)—at first seemingly foreshortened to the original consequent only (distinguished by its ascent to high C, m. 101, now in the role of a ternary A section), but then expanded through the addition of a new contrasting middle (B, m. 106, continuing the dominant prolongation), projecting much manic energy, fragmentary shards spinning off motive a (reduced to its last two notes as an *appoggiatura*-figure). The energy spills over into the reprise (A', m. 119), intensified by the sub-position of a booming tonic pedal in the bass.

This tonic pedal grounding is unique in the theme's returns throughout the movement, the new V/I fusion raising the question of its structural status. Some analysts (Marston, see Ex. 10 below; Rosen)³⁴ read a structural tonic here. Given the shortly forthcoming arrival of an unambiguous stable tonic in the *Im Legendenton*, I find it preferable to hear it as a bass anticipation of that tonic through the continuing dominant prolongation (see below, Ex. 6). An additional function of the tonic pedal is rhetorical, as a marker of formal significance, emphasizing the recapitulatory moment by conferring extra weight on the return of the tonic key (if not yet chord). Further, the topos of harmonic fusion in itself is a characteristic sonic signature of the movement (cf. the P-theme's fusion of V and II; Table 1).

5.2 (Development-) Episode: *Im Legendenton*

Overview

The central section of the movement functions as a development-episode inserted within the distributed elements of the Type 1 recapitulation (hence resulting in an “expanded Type 1” overall form).³⁵ Though such expansions are usually of a more obviously developmental nature, and episode-substitutes more

³⁴ Marston 1992, pp. 54–5 (Ex. 4.7); Rosen 1995, pp. 107–8.

³⁵ On this subtype, see Hepokoski & Darcy 2006, pp. 349–50.

common in the different context of Type 3 sonatas, there is no logical reason why one should not be employed in the service of a Type 1 expansion.³⁶

Expressively, we enter an interior world, far removed from the swirling turbulence of the surrounding sonata allegro, and tonally self-contained, closed off from its surroundings in a stable tonic minor. Its middleground voice leading prolongs the *Ursatz* $\hat{2}$ by upper N $\hat{3}$, also (E^{\flat}) resolving the P-theme's pervasive V^7 to a consonant tonic triad; hence its deep-middleground status is one of consonant embellishment prolonging a higher-level dissonance (Ex. 5a/b).

This island of tonal and formal stability in a larger context of prolonged dissonance effectively turns the form "inside out"; Daverio relates this to the Romantic literary idea of "Arabesque," one characteristic aspect of which is the formal inversion of structural vs. decorative features.³⁷

At the same time, the *Im Legendenton* does fulfill a real developmental function in relation to the exposition, by importing and transforming thematic elements from that part (TR; S/TMB).

The internal form is variation-based (see Table 1 for more detail).

Entrance–Theme

Entrance (V^7/C – G minor)

At the end of the returning P-theme, the chordal ninth contracts from major (A) to minor (A^{\flat} , m. 128) in an "entrance" chord $V^{\flat 9}$, here sinking to bass depths; this pungent sonority will return later, in the reversed role of "exit" chord at the other end of the central episode (mm. 212–15).

The theme in the tonic minor (m. 133) is accessed via an off-tonic anticipation of itself (the Entrance proper, m. 129, in the new slow tempo of the

³⁶ On episodic development-substitutes generally, see Hepokoski & Darcy *ibid.*, pp. 218–21.

³⁷ Daverio 1987; Daverio 1993, ch. 2. See also Marston's critique of Daverio (1993, pp. 228–9; pp. 239–41), in the context of tracing the *Im Legendenton*'s compositional genesis from Schumann's original conception as a *Romanza* (230 ff.). For another good example of such an "inside out" form, see Bruckner's Symphony No. 8 in c (ii), where the only stable tonic in the movement (aside from its fleeting glimpse in mm. 3–4—now you see it, now you don't—and blazing resolution at the very end) is in the middle of the B section (mm. 91 ff.). In the ensuing RT (mm. 115 ff.), the continuing *tonic* pedal (!) is transformed to V/IV , thus flipping inside out the traditional role of dominant preparation for A', where the tonic's fleeting return (mm. 137–8 = mm. 3–4) arises as a reverse tonicization of this pedal.

Im Legendenton), in a modal collapse of the V^7 chord to a minor V-triad (another instance of "reverse tonicization," observed above in the antecedent of the P-theme). The ascending fifths from TR, Part 1 return in dreamlike recall, unfolding the same downward bass diminished fifth—but with a crucial difference, the rising-fifths drift now checked by a reversal to descending fifths, in a cadential pulling back to the tonic C, bass diminished fifth G–C# now answered by perfect fifth D–G (Ex. 6).

The upper-voice melody plays out two components: (in minor V) the arpeggiated ascent $\hat{5}-\hat{1}-\hat{3}$, and the third-progression $\hat{3}-\hat{2}-\hat{1}$ (Ex. 6).

Example 6: *Im Legendenton*: Entrance–Theme

The tonic minor's access thus is paradoxical: the tonic stability of the middle section introduced by *minor*-dominant preparation, incongruously dropped into the surrounding sea of unresolved V^7 . From this perspective, it is instructive to compare what Schumann could easily have done (the direct tonic resolution of the P-theme's omnipresent tendency pull of V^7) to the incomparably greater imaginative stroke of what he actually did (the collapse first of the dissonant V^7 chord to the consonant minor V-triad). It creates a

syntactical disjunction, the effect of which is to render the arrival of the C-minor tonic chord paradoxically strange and new, heightening the other-worldly quality of *Legendenton*; in a metaphorical crossing over a threshold, via an antechamber or corridor.

Theme (C minor)

The tonic arrival resolves the (still left hanging!) V⁷ from the recapitulation (Ex. 6).

Melodically, the theme transposes the Entrance's dominant version to the tonic, creating a kind of subject–answer rhetoric (see the two components, arpeggiated ascent and third-progression, now doubled in parallel sixths). To this it adds a cadential (fifth-) progression, sealing off the theme in strong closure (Ex. 6)—the scalar-descent motive (a), finally grounded in the tonic (inside out, like the form itself), its new context of forthright diatonic simplicity redolent of the certainty of a simpler time/world (Once upon a time?), far removed from the ceaseless unrest of the present (sonata allegro):

Variations

... but a world not immune to encroachment from that present, in the form of contrasting interludes between variations,³⁸ engaging with the surrounding main form in an ongoing recall and evolution of TR/S (TMB) material.

Variation 1

Entrance–Theme

Here is a curiosity: Now that the theme has established the tonic C, return to the Entrance might seem redundant, but this is exactly what Schumann does (Table 1; Ex. 7). Its effect is to set up a slow rhythm of regular alternation/repetition within the recurrent thematic statements, a further

³⁸ Hence leading some analysts to hear the internal form of the *Im Legendenton* as a kind of rondo: Daverio (1987, p. 39); Marston (*ibid.*, p. 231). It is not hard to hear it this way, and its conspicuous feature of recurrent RTs could support this. But the progression of increasingly elaborate thematic returns is strongly suggestive of variation technique.

symptom of the *Im Legendenton's* other-worldly remoteness from the surrounding sonata form: alternation in the contrasting harmonic characters of Entrance and theme (ascending fifths and reversal, vs. diatonic progression); repetition in their identical melodic content (arpeggiated ascent–third–progression). Departure this time from the tonic c (i.e., one fifth back from its original dominant version) entails an extra stage in the ascending fifths' subject–answer rhetoric (C–G–D), and an expansion of the melodic third–progression (through the inner-voice fifth-motion D–G, mm. 143–8, Ex. 7).

Perhaps in compensation for such elaborate treatment of the Entrance, the theme itself (m. 149; Ex. 7) is abbreviated to arpeggiation–third–progression/parallel sixths only, dispensing with its cadential progression.

Var. 1:
Entrance

Theme

Interlude 1

RT1

Var.2: Theme (174) Interlude 2 (181)

5th (p)

6 6 6 10 5 10 5 10 6 7 6

5 5

I⁵- 6 dec.!

RT2 (195) Var. 3: Entrance (204) (212)

8ve

8 10 8 7 10 10 10 10

(p) IV (I)

9
8 - 7
6 - 5
4 - 4
V

Theme/Closing Section (216) Recap., cont.: TR, Pt.1 (220/224) (225) (229)

IN (p) 3rd etc.

I IV⁸⁻ 7 V[#] I (Eb: II) V I)

Example 7: *Im Legendenton*: Variations 1-3

Interlude 1

The first interlude (Table 1; Ex. 7) thematically recalls TMs 2 (compare mm. 155 ff. with 53 ff.) and 3, embedding a further anticipation of the Beethoven quotation (motive b, mm. 156–8), now gaining further specificity in its recollection, first, at Beethoven's original pitch-level ($E\flat$: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$, its context here a larger prolongation of $A\flat$, = c: VI); secondly, now adding Beethoven's original three-note prefix $\hat{6}-\hat{7}-\hat{8}$ (C–D– $E\flat$). The effect is one of an "accidental" hitting upon the original, in the course of the movement's kaleidoscopic succession of transpositions (cf. Table 1). At the same time, the intrusion into the *Im Legendenton* carries a special communicative immediacy—like a sudden breaking through of Beethoven's voice into Schumann's hermetically sealed interior world.

RT1

Return to the tonic is via a half cadence and interruption (m. 165) with ensuing dominant lock, in a larger middleground harmonic context (Variation 1–RT1) of I–VI (5–6)–V, supporting a rising third-progression in the upper voice ($E\flat$ –F–G) (Ex. 7).

Variation 2

Theme

Breaking the established precedent of the original theme and first variation, the second one dispenses with the Entrance—short-circuited by the tidal force of the retransitional dominant's discharge to the tonic (m. 174), Schumann's dramatic sense here overriding schematic predictability. The theme's cadential (fifth-) progression is restored, now sidestepping to a deceptive resolution (VI, m. 179) (Ex. 7):

Interlude 2

... from which returning vantage point thematic recall of the exposition continues with TM1, now forging deeper into flat territory: scalar motive a as $D\flat$: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$ (mm. 81 ff., Ex. 7)—in its larger context as Neapolitan of C, whence it is inexorably channeled, river-like, into a return to:

RT2

... V and its animated dominant lock. But this time the galloping momentum hurtles straight past the tonic, overshooting to land in:

Variation 3*Entrance*

... IV!, thus 1) creating a climactic symmetry/counterbalance to previous Entrances' emphasis on minor V; 2) harmonically, enabling use of the ascending-fifth motive to access the tonic from below, as F–C, before the descending-fifth reversal pulls it back to F; the tonic is now trapped within the surrounding subdominant (Ex. 7). The upper voice gains high $A\flat$ (= c: $\hat{6}$), from which commanding height plays out a descending octave-progression. The goal is the climactic V^9 chord (m. 212), the regained high $A\flat$ now as a pungent minor-ninth dissonance, recalling the same sonority from the other end of the central episode (cf. m. 128), where it played the opposite role of "entrance" chord. Repeated returns to this pitch ($A\flat_5$) take on a long-range talismanic/beacon-like effect, lighting the way through the darkness for the exit from the *Im Legendenton*.³⁹ Stepping back to view the middleground harmonic context, Variations 2 and 3 together play out a large-scale I–IV–V motion (Ex. 7).

Theme/Closing Section

Resolution of V^9 to I (m. 216) brings no closure yet, which awaits the last return of the theme itself—whose final statement takes a radically new melodic guise, not obviously related to earlier versions. The common structural basis is nevertheless recognizable in its components of arpeggiation–cadential progression (now compressed from fifth to third), which finally confers the seal of closure on the tonally contained world of *Im Legendenton*.

This last thematic statement also doubles as a closing section, which function is clearly suggested by its new melodic basis and recessive, even

³⁹ See also Marston *ibid.*, pp. 239–40 (Ex. 1).

valedictory, character (strongly projected despite the absence of any foregoing PAC).⁴⁰ The cadential closure, while both contextually implicit and generically mandatory, is clouded by much contrapuntal substitution, even more so by the continued presence of the A \flat "beacon" dissonance, which hangs through the cadence, breaking through to the turbulent waters of the resumed sonata allegro (Type 1 recapitulation, continued, m. 225), where it emerges as chordal seventh, finally resolving to G as the chordal third of E \flat (C: \flat III), m. 229 (Ex. 7).

5.3 Type 1 Sonata Resumed: Recapitulation, continued

In classic Type 1 fashion, the recapitulation continues from where it left off before the *Im Legendenton*: TR–S (TMB)–C (Ex. 5a, from m. 225). In a characteristically schematic transpositional parallel, the expositional key sequence D minor–F–D major returns as C minor–E \flat –C major (note that the tonic resolution of music previously in the supertonic, not the subdominant, confirms that interpretation of the exposition's tonal hierarchy).

In one significant piece of recomposition, the return to the tonic minor (TM1) is now prepared by an additional MC (\flat : HC, m. 233). The effect of this change is transformative, disproportionate to its modest technical means (by the simple expedient of nipping the ascending-fifths sequence in the bud: the G-minor chord, m. 37, becomes a G-major dominant, m. 233): preparation thus now confers a much stronger S-character on TM1's melodic idea, previously ambivalent precisely on grounds of its lack of preparatory MC (see Table 1: cf. the two MCs in the recapitulation vs. only one in the exposition).

Otherwise the recapitulation proceeds predictably, in parallel stepwise transposition of the exposition: motives a and b (Beethoven anticipation) now at c (TM1)–E \flat (TM3; thus the Beethoven quote once again "accidentally" hitting upon its original pitch-level, though still in the role of another way station en route to its ultimate goal in this movement, C).

⁴⁰ Schmalfeldt (2011, p. 252) puts it nicely: "the *Im Legendenton* reaches its stoic conclusion ('Yes, and this is the way the story ended')."

Example 8: Coda: P-Beethoven Quotation

The coda rotation's return of P (m. 287) combines the consequent version, with its ascent to high C, with the original antecedent's cadential motion, now turned towards the tonic. There is a profoundly moving sense of coming full circle, in the way the cadential progression (mm. 292 ff.) homes in on the Beethoven quotation via a revisiting of the deceptive turn from mm. 12–13. The final homecoming brings an extraordinary sense of release, as the prolonged dominant over the whole movement finally finds its goal.⁴¹ The last four measures recollect in tranquility the movement's characteristic sound of chordal fusion (I/V), reverberating in an overtone-series-like disposition.

6. Schenkerian Implications

From the Schenkerian perspective, the deep-level voice-leading is nothing less than a huge quasi-auxiliary cadence (V–I), resolving (via the Beethoven quotation) at the very end (Ex. 5a, m. 299)—though conceivable and idiomatic for a Romantic miniature, unprecedented for a first-movement sonata form on this scale. A quasi-auxiliary cadence (rather than a real one) because the upper voice lacks the *Urlinie* descent from $\hat{5}$, integral to Schenker's conception of this kind of auxiliary cadence.⁴²

⁴¹ The idea of homecoming is also pursued in Schmalfeldt *ibid.*, pp. 250–4.

⁴² Schenker 1979, pp. 88–9 (Fig. 110a, 1–3).

Here, the *Urlinie* (at least in my understanding) enters directly on $\hat{2}$, itself the goal of a covering descant-prefix through the fifth above that plays out through the exposition (see above). In the context of the whole movement, this in its turn is nested within a deep-middleground seventh-progression from beginning to coda, moving slowly down above the *Urlinie* $\hat{2}$ before finally sinking under it (B, m. 286), converging on $\hat{1}$ at the end (m. 299) (Ex. 5a).

Two other Schenkerian readings can be found in Marston 1992 and Morgan 2016.

Morgan (reproduced in Ex. 9; graph of mm. 1–41 only, though he discusses the whole movement in his surrounding commentary) reads the movement from a *Kopfton* of $\hat{5}$, sustained throughout until descent at the end very end of the coda. He clearly understands D minor, not F, as the exposition's real secondary key (though he hears the movement more as a rondo than sonata). The upper voice is rather conventional: *Kopfton* G arriving at m. 15, with oscillating upper N $\hat{6}$ in the opening V^9 and later motion to II; but it has the advantage of conforming more closely to Schenker's conception of the V–I auxiliary cadence, with its idiomatic *Urlinie* descent from $\hat{5}$.

m. 1 15 17 20 25 29 33 34 37 41

1st Thematic Statement 2nd Th. St. Transition 2nd Theme

(Antecedent) (Consequent)

a) UN $\hat{5}$ $\hat{5}$ UN

b) UN $\hat{5}$ $\hat{5}$ UN

V bIII ii

Example 9: Robert Morgan, Graph of mm. 1–41 (Morgan 2016, Ex. 2). Used with kind permission of Duke University Press.

Marston's (reproduced in Ex. 10) upper voice is closer to my own, but the reading lacks a clear explanation of the overarching tonal structure. His reading of the exposition (though, like Morgan, he does not regard the movement as a sonata form) radically de-emphasizes F, relegated to a $\frac{6}{4}$ over bass C, downplaying the root-position tonic and cadential motion in that key. But despite the favoring of D over F, no connection is made between the "bookend" Ds at mm. 41 and 82; instead, Marston privileges the root-position Cs at mm. 34 and 61 as real structural tonics, resolving the opening dominant. This is not entirely convincing, however: the first C (minor, m. 34) is a transient detail within the chromatic TR, initiating an ascending-fifths sequence to d, while the second one (major, m. 61) clearly functions as dominant of F (my IV: HC MC) within the motion from d to F.

The image shows a musical score with two systems. The first system spans measures 1 to 97. It features a treble staff with a melodic line and a bass staff with a harmonic line. Above the treble staff, there are section markers: 'A al-a2' above measures 1-29, 'B' above measures 33-61, and 'A a2' above measures 80-97. Below the bass staff, there are annotations: 'C: V' under measure 1 and 'I/c' under measure 61. The second system spans measures 98 to 119. It also has a treble and bass staff. Above the treble staff, there is a section marker 'a1' above measure 113. Below the bass staff, there are annotations: 'C: V' under measure 98 and 'I' under measure 119. The score includes various musical notations such as notes, rests, and accidentals.

Example 10: Nicholas Marston, Graph of mm. 1–128 (Marston 1992, Ex. 4.7). Used with kind permission of Cambridge University Press.

The flexible (regarding large-scale voice-leading models) yet in other ways rigorous Schenkerian approach pursued here has proved remarkably responsive to the work's highly original tonal structure, manifested in the following features:

- 1) Harmonic fusion of chords (V/II; I/V).

- 2) (related to 1) Separation of fused elements as harmonic strata.
- 3) (related to 2) The overtone series as the basis of unusual secondary key choices.
- 4) Reverse tonicization (backwards sequence of events, whereby V⁷ chord comes first, tonicized dominant key second).
- 5) Tonic projection by its prolonged dominant only, absent the tonic chord itself.
- 6) Reversed conditions of tonal-formal stability/instability: higher-level dissonance (V⁷) prolonged by lower-level consonance (I), thus turning the tonal form "inside out."
- 7) Prolonged dissonance (seventh-progression) on the largest formal scale.
- 8) The *Ursatz* as a quasi-auxiliary cadence.

All in all, there is surely much potential here for exploring new paths into 19th-century sonata form.

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Gabriel Venegas Carro (gabriel.venegascarro@ucr.ac.cr) é Doutor (PhD, 2017) e Mestre (MM, 2013) em Teoria Musical pela *University of Arizona*, além de Bacharel em Piano pela *Universidad de Costa Rica* (2006). Ele tem apresentado suas pesquisas em conferências profissionais nos Estados Unidos, América do Sul, Caribe e Europa. Professor e pesquisador em tempo integral da Universidade da Costa Rica, Gabriel também é membro do comitê editorial da revista acadêmica *Indiana Theory Review (Indiana University)*, fundador do coletivo latino-americano de teoria e análise musical *Saberes Armónicos* e tecladista da banda de rock da América Central *Flor de Doppler*. Nos últimos cinco anos, Gabriel liderou, como professor visitante, seminários de graduação e pós-graduação e cursos de educação continuada na Universidade Federal da Integração Latino-Americana (Brasil), a *Hochschule für Musik/Johannes Gutenberg-Universität Mainz* (Alemanha), *Universidad de la República del Uruguay* e *Universidad Tecnológica del Uruguay*. Seus interesses atuais abrangem o dualismo harmônico na teoria do século XIX, os adágios sinfônicos de Anton Bruckner e a teoria, análise e prática tonal na música popular, especialmente pop e rock latino-americano e anglo-saxão.

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TeMA (Rio de Janeiro, 2019) e a *44th SMT Conference* (EUA, 2021). Suas mais recentes publicações apareceram na revista *Musica Theorica* (2019; 2020), *The Sage International Encyclopedia of Music and Culture* (2019), *Revista Vórtex* (2020) e *The Routledge Companion to Music Theory Pedagogy* (2020). Desde 2014, Gabriel atua como professor de violão e disciplinas teóricas na Universidade Federal da Integração Latino-Americana (UNILA) e, desde 2020, é o editor-chefe da revista *Musica Theorica*, publicação da Associação Brasileira de Teoria e Análise Musical (TeMA).

Boyd Pomeroy (pomeroy@arizona.edu) é professor de teoria musical na *Fred Fox School of Music* da Universidade do Arizona e especialista em análise schenkeriana, estudos sobre a forma musical (especialmente a forma sonata) e a música de Debussy. Apresentador veterano em muitas conferências de teoria musical na América do Norte e na Europa, seu trabalho foi publicado em revistas como *Music Theory Spectrum*, *Journal of Schenkerian Studies*, *Music & Letters*, *19th-century Music Review* e *Min Ad (Israel Studies in Musicology)*, bem como capítulos de livros em *The Cambridge Companion to Debussy*, *Essays from the Fourth International Schenker Symposium*, *Johannes Brahms und Anton Bruckner im Spiegel der Musiktheorie*, *Debussy's Resonance*, *Bach to Brahms* e *Explorations in Schenkerian Analysis*. Pomeroy contribuiu com a bibliografia anotada *Schenkerian Analysis* do projeto *Oxford Bibliographies Online*, e atualmente está trabalhando em vários estudos schenkerianos/formais da tonalidade do século XX (em Sibelius, Nielsen e Elgar), bem como em um livro sobre a audição schenkeriana. De 2012 a 2018, foi professor convidado frequente de cursos especiais de verão na *Universidad Nacional de Costa Rica*, em San José.

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