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

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

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

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

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

Schubert's Recapitulation Scripts

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

INTRODUCTION

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

> The [fifteen-foot-long] picture concludes at the beginning of the recapitulation, which Schenker annotates as a mere "Wiederholung."[1]
>
> Most frustrating of all is the frequency with which Schenker dismisses the recapitulation altogether in his voice-leading sketches: his sketch of Beethoven's Sixth Symphony … is a good case in point. [His example] shows the background descent for the recapitulation at level (a), but the details of the interpretation are replaced by the phrase "*und so weiter*" at level (b). … Schenker's incomplete analyses have been tacitly accepted by generations of analysts, who seem to assume that we all know how the recapitulation works.[2]
>
> Lack of attention to the details of the recapitulation is symptomatic of the scholarly habit of considering recapitulations the "et cetera" of musical form, whose outcome is more or less formulaic.[3]

I.1. A General Introduction

What do the opening movements of Beethoven's "Pastoral" Piano Sonata, Op. 28 and Schubert's Grand Duo, D. 812 have in common? They are separated by some twenty-three years; they share no theme, program, or set of topics; affectively, they are worlds apart; and it seems clear that Schubert did not explicitly model his piece on Beethoven's.[4] One feature that the two movements share is a certain extreme approach to the deployment of their recapitulatory thematic alterations: the recapitulations of both

[1] Hyer (1996, 83 n. 8).

[2] Marvin (2012-2013, 224). See Schenker (1979, Figure 154/5).

[3] Clark (2011, 156).

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

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

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

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

[5] "Thematic alterations," "referential layout," and "rotation" (which I use below) are central terms in Hepokoski and Darcy's Sonata Theory, the reigning methodology in this dissertation. See Hepokoski and Darcy (2006, hereafter *Elements*, 12, 16-23, and 611-614).

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

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

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

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

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

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

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

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

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

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

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[7] *Elements* (241-242).

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

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

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

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

[9] *Elements* (16-18; 23-50).

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

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

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

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

[12] In 1814 the young Schubert bragged about his speed of composition when he penciled into the manuscript of the first movement of the String Quartet in B♭ Major, D. 112 "*In 4 ½ Stunden verfertigt*."

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

I.3. Trajectory, Benefits, and Goals

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

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

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

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

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

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

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

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

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

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

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

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

[16] For "crux," see *Elements* (239-241).

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

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

[19] For a compelling account of injunctions and perceiving-as, see Danto (1998, 83).

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

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

PART I:

CHANGES OF FOCUS

CHAPTER 1

RECAPITULATORY ALTERATIONS IN THEORY AND PRACTICE

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1.0. A Zero Module

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

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

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

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

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

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[1] Monahan (2011, 18).

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

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

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

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

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[3] It would be objectionable if it were describing thematic alterations in particular, since it points to the "bridge passage" as the place in which alterations happen, and thematic alterations can happen anywhere.

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

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

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

[4] "A full (or nearly full) revisiting of the expositional modules seems to have been part of the structural concept from the start" (231 n. 1).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

can be tonal *and/or* thematic; the crux can be tonal and/*or* thematic; and postrcrux alterations can be tonal *and/or* thematic.[10]

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

Precrux Alterations →	CRUX →	Postcrux Alterations
Tonal? Thematic?	**Tonal**	**Thematic**

SUGGESTED EMENDATION, for enhanced categorial clarity

Precrux Alterations →	CRUX →	Postcrux Alterations
Tonal and/or Thematic	Tonal and/or Thematic	Tonal and/or Thematic

Example 1.1. Terminological Difficulties and a Suggested Emendation

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

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

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

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

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

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

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

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

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

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

[13] Notice that even here there is a tendency to conflate the necessary tonal alterations with the "superfluous" thematic ones; for from a strictly thematic perspective there is no "TR-issue."

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

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

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

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

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

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

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

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

[15] Burnham (1995, xvii).

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

1.2. Alterations are Heard Against a Ground

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

1.2.0.

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

1.2.1. Goethe's "Erster Verlust"

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

[16] McLuhan (1962, 68). McLuhan also used the thought experiment in (1951, 56).

[17] The song was written the same day as two other Goethe texts, "Wandrers Nachtlied" and "Der Fischer."

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

so on.[19] Both the poem and Schubert's setting of it invite further analysis from the point of view of the current discussion.

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

Goethe's text reads:

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

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

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

[20] The translation, very slightly adapted, appears in Philip Lieson Miller (1990). I have rendered "holden" in lines 4 and 9 as "lovely," instead of Miller's "charming."

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

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

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

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

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

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

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

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

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

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

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

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

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

(1994, xxvii) has argued is a theme in his poetry, will ultimately be up to the individual interpreter.[27])

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

1.2.2 Schubert's "Erster Verlust"

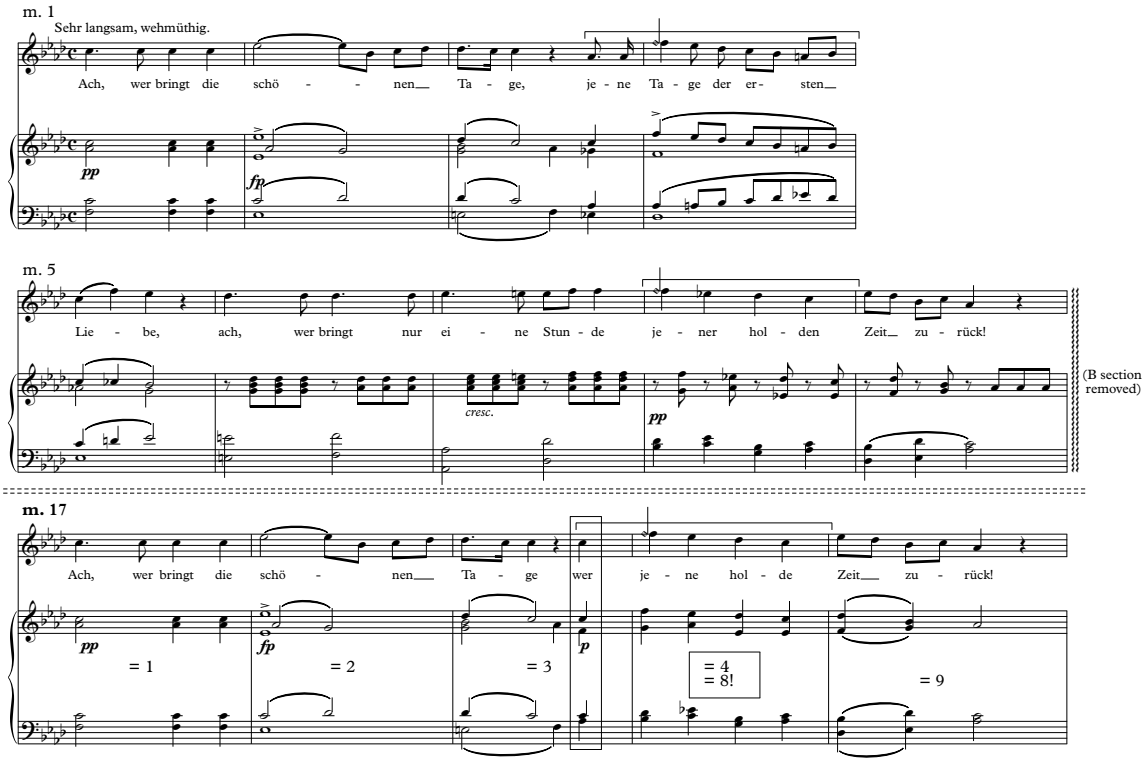
> In order, therefore, to compose a Lied that fully matches the poet's intention, it is necessary for the composer not only to grasp its deeper meaning but rather to become the poet himself. The spark that kindled the Lied within the poet must glow again with renewed vigour within the composer.[28]

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

[27] "One of the themes which Goethe modulates, largely or in miniatures, is the integration of opposites, the consorting of Yin and Yang."

[28] E. T. A. Hoffmann (1814), quoted in Suurpää (2014, 17).

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



Example 1.2. Schubert's "Erster Verlust," Excerpts with Light Overlay

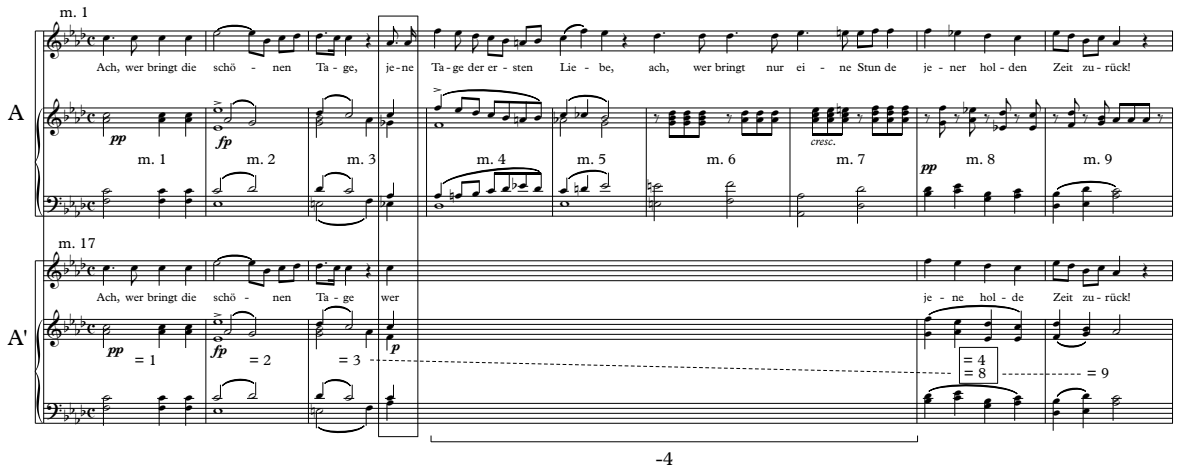
Both Goethe's accelerations are preserved: the progressive stanzaic shortening, from four to three to two lines is paralleled in the lengths of Schubert's three musical stanzas, which have, respectively, nine, seven, and five measures. But how to render, in music, an acceleration by deletion? The "problem,"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

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

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

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

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



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

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

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

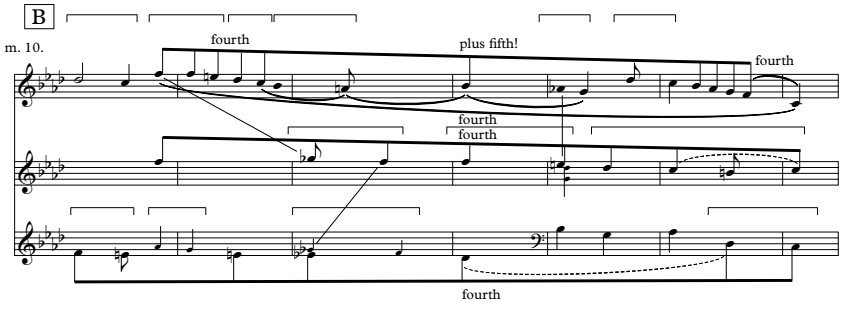
[32] For correspondence measures and referential measures, see *Elements* (241-242) and Section 3.6 of this dissertation.

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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

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

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

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

[38] A "monotonal" return to the original key and mode may be projected by a listener familiar with the classical style, but it is not, in Schubert's early Lieder, or in Lieder generally for that matter, a foregone conclusion; Schubert's protagonist is not "foredoomed."

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

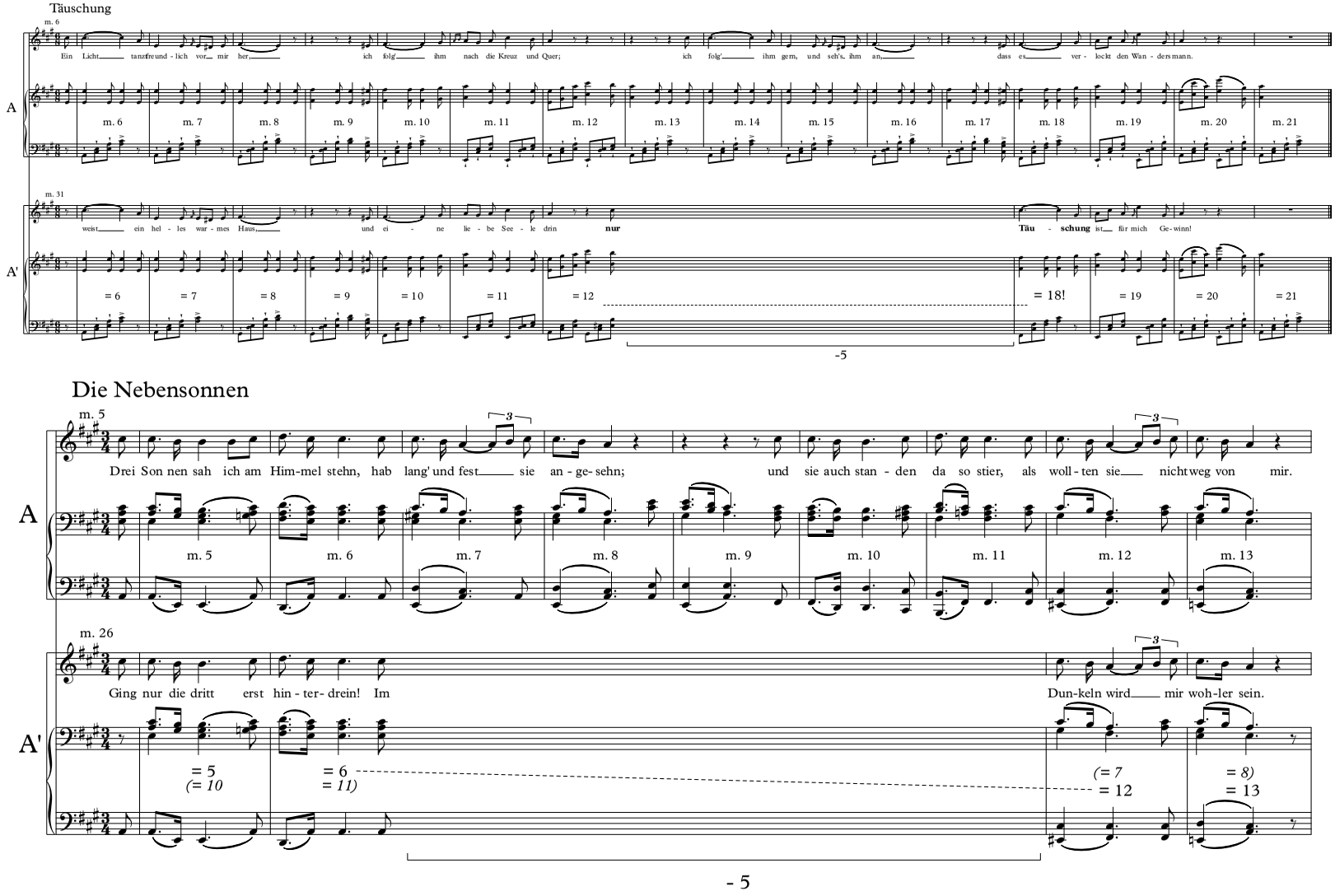
The next step on the way toward instrumental music, however, will be to show Schubert *introducing* the types of "time-transformations" just seen into two poems whose stanzaic forms do not already contain them. This ought to show that his "Erster Verlust" is not some unreflective or epigonal setting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

1.2.3. Youens, "Täuschung," and "Die Nebensonnen"

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

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

[39] From an 1829 review of *Winterreise*, quoted in Suurpää (2014, 18).



Example 1.4. Comparative Examples of "Täuschung" and "Die Nebensonnen"

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

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

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

[1] Ein Licht tanzt freundlich vor mir her,	A friendly light dances before me,
Ich folg' ihm nach die Kreuz und Quer;	I follow it this way and that;
Ich folg' ihm gern und seh's ihm an,	I follow it eagerly and watch its course
Daß es verlockt den Wandersmann.	As it lures the wanderer onward.
[5] Ach! wer wie ich so elend ist,	Ah! one that is wretched as I
Gibt gern sich hin der bunten List,	Yields himself gladly to such cunning,

[40] This obscuring of the visual layout of the poems seems to be precisely the reason that Goethe disliked Schubert's settings, but it is "just the thing," as Taruskin (151) puts it with regard to Schubert's "Erlkönig," "we post-romantics tend to value most highly in the song today." (There is a remarkably similar sentence in Sontag's essay on Simone Weil ([1963] 1966, 50): "What revolted the mature Goethe in the young Kleist … is just what we value today.")

Die hinter Eis und Nacht und Graus	That portrays, beyond ice, night, and horror,
Ihm weist ein helles, warmes Haus.	A bright warm house.
Und eine liebe Seele drin. —	And inside, a loving soul. —
Nur Täuschung ist für mich Gewinn!	Ah, my only victory is in delusion![41]

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

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

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

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

[42] Youens (267): "The wanderer follows another illusory light without caring where it leads him. … He knows its promises are only deception."

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

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

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

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

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

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

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

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

1.2.4. Nabokov, Kinbote, Shade, and Goethe

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

> Who rides so late in the night and the wind?
> It is the writer's grief. It is the wild
> March wind. It is the father with his child.[45]

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

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

[45] Nabokov (1962, 57; lines 662-664).

an original or referential example—we hear in Nabokov's poem an expansion, an interpolation, a deceleration, and so on.[46]

1.3. Recapitulations are Heard Against the Ground of Their Expositions

> For [Friedrich] Schlegel, music "has more affinity to philosophy than to poetry"; it is imbued with a "sensual logic" whose guiding principle is neither melody nor harmony, but rhythm: not rhythm on the small scale, but rhythm generated by large-scale symmetries, by "gigantic repetitions and refrains."[47]
>
> Musical form, as I conceive it, is basically rhythmic. It is not, as conventional analysis would have it, thematic, nor *pace* Schenker, harmonic. Both of these aspects are important, but rhythm is basic.[48]
>
> Everything is rhythm; the entire destiny of humans is a single celestial rhythm, just as the work of art is a unique rhythm.[49]
>
> "What each and every aesthetic object imposes upon us, in appropriate rhythms, is a unique and singular formula for the flow of our energy. … Every work of art embodies a principle of proceeding, of stopping, of scanning; an image of energy or relaxation, the imprint of a caressing or destroying hand which is [the artist's] alone." We can call this the physiognomy of the work, or its rhythm, or, as I would rather do, its style.[50]

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[46] Charles Kinbote, Nabokov's narrator and Shade's glossator, hears the interpolation, which he represents with a long ellipsis, in precisely this way (239):

662 Who rides so late in the night and the wind
663 . . . . . .
664 . . . . It is the father with his child

[47] Daverio (1993, 10). The quoted text is from Friedrich Schlegel (1799 and 1796-1806).

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

[49] Hölderlin, as reported by Bettina von Arnim; see Miller (1999, 1).

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

1.3.0.

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

1.3.1. Instrumental Music and Repeat Conventions

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

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

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

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

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

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

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

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

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

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

1.3.2. Rhythmos *and Rotation*

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

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

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

[56] Adorno ([1971] 1996, 88).

> all formal types that we regard as rotational. One metaphorical image that might be invoked here is that of a clock-hand sweeping through multiple hours. … Similarly, the regeneration of day upon day, calendar year upon calendar year, suggests how strongly this perception of circular recurrence has been impressed upon our experience.[57]
>
> The notion of rotation as 'an archetypal principle of musical structure' is asserted without any real explanation other than the drawing of unconvincing analogies with clocks, spirals, the daily and yearly cycles and suchlike. Signing up to the rotational way of thinking is thus essentially an act of quasi-religious faith, as implied by the authors' at times highly metaphysical rhetoric.[58]

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

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[57] *Elements* (611).

[58] Wingfield (2008, 149).

[59] "Within a sonata, tonality is irrelevant to the task of identifying the rotational principle" (612).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[65] See Warry (1962, 115) and Hawhee (148).

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

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

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

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[66] Benveniste (1971), cited in Miller (1999, 5).

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

[68] See, e.g., *Elements* (251-252): "A sonata is a linear journey … onto which might be mapped any number of concrete metaphors of human experience." See also Appendix 2.

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

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

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

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

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

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

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

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

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

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

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

[72] This will grow into a script below, as the last strategy of Category 1. For a literary example, see again Bishop's "One Art," cited in n. 52 above.

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

The converse situation would obtain in any recapitulation that made a *rhythmos*-alteration while preserving the ordered layout of its exposition's thematic material. Examples of this phenomenon are easily adduced, since many sonatas make thematic

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[73] In the exposition of this piece, TR is a dissolving restatement; it begins at m. 29 and moves to a dominant lock at m. 41. The I:HC MC is articulated, with hammer blows, at m. 48, and S enters, *piano*, at m. 49. In its recapitulation, the onset of TR at m. 141 = 25 is coupled with an intense *Sturm und Drang* passage. The tonicization of ♭III, made possible by the collapse to the minor mode, moves around a grotesque, chromatic circle of fifths, from E♭ to B♭ minor to F minor, to C minor, ultimately locking onto the global dominant at m. 157 = 41, *right on time.* Although the $\frac{6}{4}$ alterations made to the dominant after the lock are to C *minor*, nevertheless they track the expositional layout *thematically*, and the MC, with hammer blows, is articulated at m. 164 = 48; S enters in C major at m. 165= 49.

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

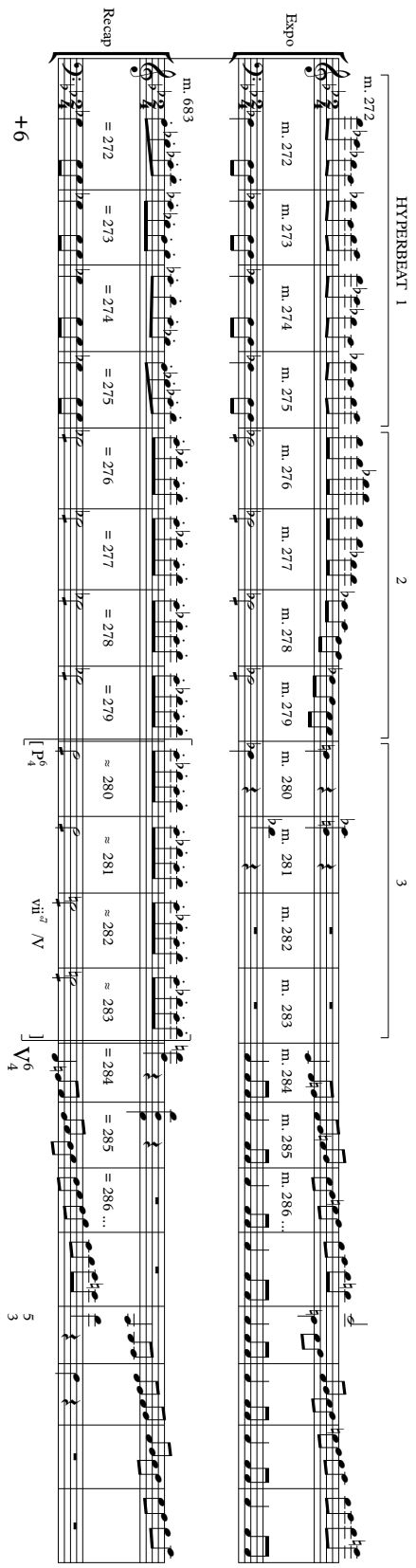
[75] It is possible to hear this movement as a Type 2 sonata, in which case the first half of the recapitulatory rotation would be under no obligation to track the measures of its referential exposition. However, it is just as possible that this is a Type 3 sonata with a short development and an off-tonic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

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

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

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

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



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

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

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

Harmonic and instrumentational changes are not the only ones that occur in this passage of *rhythmos*-preserving thematic alterations. Notice the differing contours of the expositional and recapitulatory melody: the exposition's inverted arch gets turned upside down for its recapitulatory statement. (This type of melodic difference is common, even in recapitulations that make no *rhythmos* alterations.) Another, subtler difference should not escape notice: the "punched" quarter notes that occur on the downbeats of mm. 280 and 281 in the exposition as part of the augmented-sixth chord occur, not as part of the music that is equivalent to mm. 280 and 281, but later, as members of the cadential $^{6}_{4}$ chord, at mm. 695-696 = 284-285. Although this change does not disrupt the deeper

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

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

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

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

[78] *Elements* tends to hear any "gratuitous" (my word; they use "superfluous") postcrux (thematic) alteration in terms of a script of *normalization*, a position I problematize in Part II.

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

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

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

1.3.4. "Hearing-Against," "Hearing-Through," and a Sample Analysis (Part II)

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

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

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

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

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

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

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

[81] Rothstein's book only considers expositions, for this reason.

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

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

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

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

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

[83] This is not surprising: hearing-through is the inverse action of Schenker's "retardation of the background progression through the voice leading transformations of the middleground and foreground" (§30) and his concept of *Inhaltsmehrung* (§297). See Rothstein (1981, 150).

[84] Emphasis added. The Rothstein he mentions is (1981, 150-180).

> logical relation. The G♭ expansion represents the element of disequilibrium, from the unmeasured world of free improvisation, the arena of performative action.[85]

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

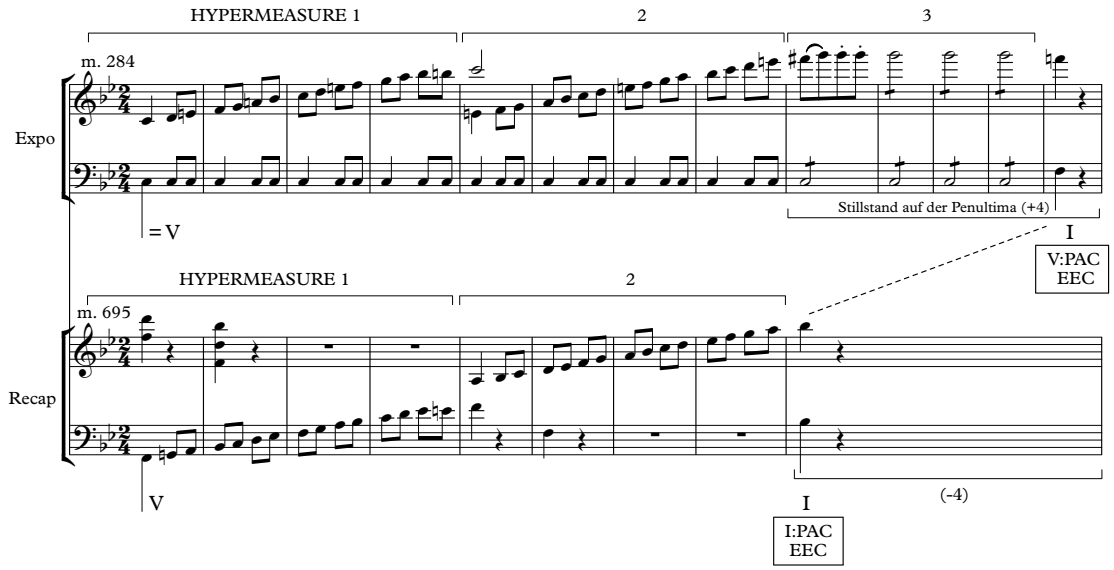
One way to define hearing-against, then, is negatively, in contradistinction to the notion of hearing-through. Framed in Schenkerian terms, hearing-against is quite simply hearing a passage of music against a foreground-, rather than a middleground- or background prototype. Attending the difference is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

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

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

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

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



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

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

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

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

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

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

[88] Rothstein (1989, 80) writes that such decelerations were "discussed in some form by almost all of our rhythmic theorists from Kirnberger on."

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

preferred script of recapitulation-as-normalization,[90] Schubert is "showing us" the prototype, the unexpanded phrase, in the later rotation, just as in the exposition he is showing us how to expand it through Riemann's (and others') concept of the *Stillstand*.

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

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

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

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

1.3.5. Rhythmos, *Meter, and Symmetry*

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

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

[91] E.g., London (2004), Krumhansl (2001), Huron (2006).

been used in similar ways.[92] David Smyth, for instance, reacting against a position taken by Dahlhaus, refers to what he calls "deep-level rhythms" in the following way:

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

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

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

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

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

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

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

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

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

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

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

1.4. Conclusions, Beginnings

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

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

PART II:

SCHUBERT'S RECAPITULATION SCRIPTS

CHAPTER 2

INTRODUCTION TO RECAPITULATION SCRIPTS

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

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

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

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

[1] *Elements* (238).

[2] Rosen (1988, 12).

[3] Sontag ([1964] 1966, 179 and 181).

2.0. A Zero Module

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

2.1. A General Introduction

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

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

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

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

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

CATEGORY 1 RECAPITULATIONS		CATEGORY 2 RECAPITULATIONS		CATEGORY 3 RECAPITULATIONS
TAKE NO TIME (surface changes (ornaments, contour changes, instrumentation, etc.) are always possible; referential measures may replace correspondence measures)		ADD	CUT	MORE INVOLVED SCRIPTS
Three *Transpositionsreprisen*: Same size, same shape		**SIZE**		
1. Subdominant Recapitulation (or equivalent) 2. Tonic Recapitulation; Alterations in Silence 3. Tonic Recapitulation; tonal alterations in Recapitulatory P or TR, but preserves **correspondence** or **referential** measures	a. bifocal close strategy	1. One alteration only, + *x* a. Minimally different, + 1	1. One alteration only, - *x* *a.* Minimally different, -1	1. *Compensation* (later thematic alterations reverse the effect of an initial alteration) a. **Two-alteration recapitulations:** one single response ((+, -), or (-, +)) b. **Three-or-more-alteration recapitulations:** a series of responses ((+, -, - …) or (-, +, + …)) i. restores symmetry perfectly, ((+*x*, -*x*), or (–*x*, +*x*)) ii. too-little-too-late ((+*x*, -(*x* – *n*), or (–*x*, +(*x* – *n*), where $x > n > 0$) iii. eclipses symmetry ((+*x*, - (*x* + *n*), or (–*x*, + (*x* + *n*), where $n > 0$)
Thematic Alterations: Same size, different shape		**STRATEGY**		
4. Thematically recomposed P or TR, but nevertheless tracks *temporally*—abandons **correspondence** and **referential** measures		1. by repetition (at the same pitch level) 2. by sequence (repetition at a different pitch level) a. by repetition of multiple referential measures, *en bloc* (backing up) b. by repetition of a single referential measure (stasis) 3. by composing new material	1. deletion of originally repeated material 2. deletion of non-repeated material	2. The mono-operational recapitulation (only + or only -)

Figure 2.1. Chart of Recapitulation Scripts.

These more involved "compensation-scripts" cast time-alterations as agents in a drive towards symmetry, giving new meaning to the trope of the "sonata as quest narrative."[5]

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

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

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

CRIs—as potential candidates for *rhythmos*-alterations.[6] Finally, I include a note on the logic governing my choice of repertory.

2.2. Recapitulatory TR: The Crucial Interface?

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

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

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[6] The term "parageneric" and the initialism "CRI" are from *Elements* (281 and 288-292).

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

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

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

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

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

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

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

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

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

2.3. A Narrative Emphasis

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[15] Clark (2011, 159) puts it axiomatically: "As we can see, analytical nomenclature is a potent force in hermeneutics."

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

2.4. Terminology: Scripts, Plots, and Mythoi

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

I use the term "recapitulation script" (or simply "script") to capture the number, type, size, and deployment sequence of a recapitulation's time-alterations.[18] Every

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

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

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

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

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

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

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figurative or nonfigurative." Keeping with Latour's language, Part II of this study consists of a series of *de-scriptions*, or a "retrieval of the scripts from the situation."

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

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

[21] See Almén (2008, 64; and 2003, 15).

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

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

2.5. Introduction to Part II

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

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

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

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

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

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

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

2.6. A Note on Parageneric Zones and "CRI"

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

[24] For sonata space and parageneric zones (or "spaces"), see *Elements* (281 ff.).

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

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

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

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

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

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

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

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

[28] Hepokoski (2002, 134); compare *Elements* (245): "merely to claim that all turns out well because a resolution is eventually secured in the coda is to miss the point."

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

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

2.7. A Note on the Repertory Chosen

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

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

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

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

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

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

A final reason concerns the range of applicability of my ideas of recapitulation script, both to music by composers other than Schubert as well as to earlier scholarship on musical form. The recapitulation-script concept implicates any composer who engages a musical form that features a built-in repeat (of any size). I thus hope to open a dialogue with musical-form theorists who do not specifically engage Schubert's music. That said, Part III focuses on Schubert alone. My short exploration of the expanded Type 1 sonata is a case study, expressly limited to Schubert's oeuvre and designed to show how he made that form his own. Before getting there, however, the next three chapters will engage in detail each of the three categories of recapitulation scripts.

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

CHAPTER 3

CATEGORY 1 RECAPITULATIONS

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

<table>
<tr><td colspan="3">TAKE NO TIME
(surface changes (ornaments, contour changes, instrumentation, etc.) are always possible; referential measures may replace correspondence measures)</td></tr>
<tr><td>Three Transpositionsreprisen:
Same size, same shape</td><td>1. Subdominant Recapitulation (or equivalent)
2. Tonic Recapitulation; Alterations in Silence
3. Tonic Recapitulation; tonal alterations in Recapitulatory P or TR, but preserves correspondence or referential measures</td><td>(a. bifocal close strategy)</td></tr>
<tr><td>Thematic Alterations:
Same size, different shape</td><td>4. Thematically recomposed P or TR, but nevertheless tracks temporally—abandons correspondence and referential measures</td><td></td></tr>
</table>

Figure 3. 1. Category 1 Strategies

> To end our discussion of Schubert's approach to the recapitulation, we come to the conclusion that on the whole his recapitulations displayed no drastic differences from their expositions.[1]
>
> The structures of most of Schubert's large forms are mechanical in a way that is absolutely foreign to his models.[2]
>
> Now there is a distinctly mechanical—or, if you will, inorganic—aspect to the kind of large-scale repetition we find in Schubert. Once we admit this, we see that there are similar mechanical/inorganic aspects at other levels of his music.… The markedly high level of mechanical repetition in this music helps gather and focus subjectivity: phatic repetition becomes the modality of self-communication…. Put in rather melodramatic terms, in Schubert's music there is a continuous interface of the mechanical, inorganic world of Death and the human, organic world of Life and Beauty.[3]
>
> Words can express the logic of this synchronization of tonal and textural parameters, but not the feelings of crystallization, of finely adjusted machinery clicking gently into place.[4]

3.1. Prelude: Resuscitation of Salzer's Transpositionsreprise

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

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[1] Salzer (1928, 124).

[2] Rosen (1998, 518).

[3] Burnham (1999, part 2, paragraph 9)

[4] Coren (1974, 582).

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

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

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

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

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

proper tonic pitch. For these uninspired—worse, "mechanistic"—recopyings are a monkey's work.[6]

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

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

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

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

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

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

indeed he means for it to capture the subdominant recapitulations Schubert was (and continues to be) so famous for (122)[8]:

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

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

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

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

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

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

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

[11] A musical example of the alterations in K. 545 is included in section 4.2, below.

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

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

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

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

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

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

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

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

[13] Compare the treatment of this movement in Boyd (1968, 16-17).

[14] It must be noted that the other piece, the first movement of Schubert's "Trout" Quintet, also undercuts Salzer in a different way—for this movement, which I will examine briefly below, features two large thematic deletions!

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

3.2.0. The Three Types of Transpositionsreprise

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

[15] Wittgenstein ([1977] 1980, 2e)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[20] For superscript numbers, which designate thematic modules, see *Elements* (71-72).

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

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

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

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

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

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

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

[23] Like Adorno's Mahler, perhaps the "non-spontaneous element" in Schubert "for its part mocks the reifications of the theory of form" (89).

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

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

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

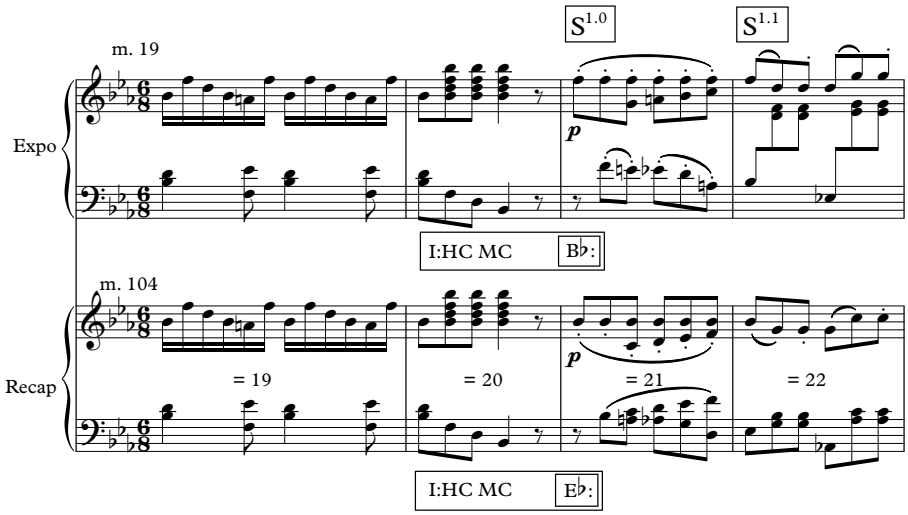
> Furthermore, it is also unusual that in the transition, the changes necessary (to preserve the tonal relationships) would often be completely trivial, in that only those changes crucial to the preservation of thematic and metrical structure would be undertaken.[25]

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

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

[25] Salzer (1928, 124).

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



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

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

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

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

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

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

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

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

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

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

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

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

[29] Against this backdrop we see the relevance of Adorno's ([1952] 2009, 79) mention of Schubert's "chthonic S themes" as early instances of the phantasmagoric in music.

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

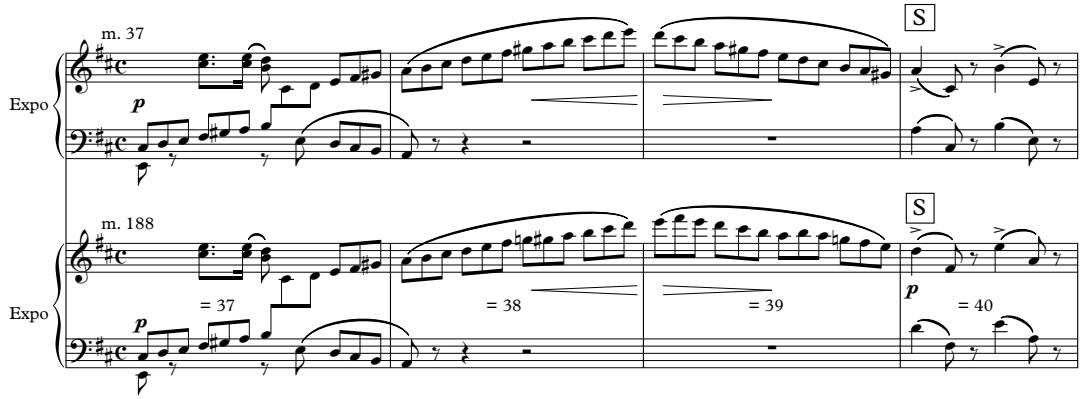
An example from Beethoven illustrates the types of interpretations that can attend the second *Transpositionsreprise*. The finale of his Piano Sonata in C Minor, Op. 10/1 holds strictly to this layout, since its recapitulatory tonal alterations (which make for a C-major S theme in place of the exposition's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

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

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

3.2.3. The Third Transpositionsreprise

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



Example 3. 2. "Audible" Tonal Alterations in the CF of Schubert's Piano Sonata in D Major, D. 850.

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

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

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

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

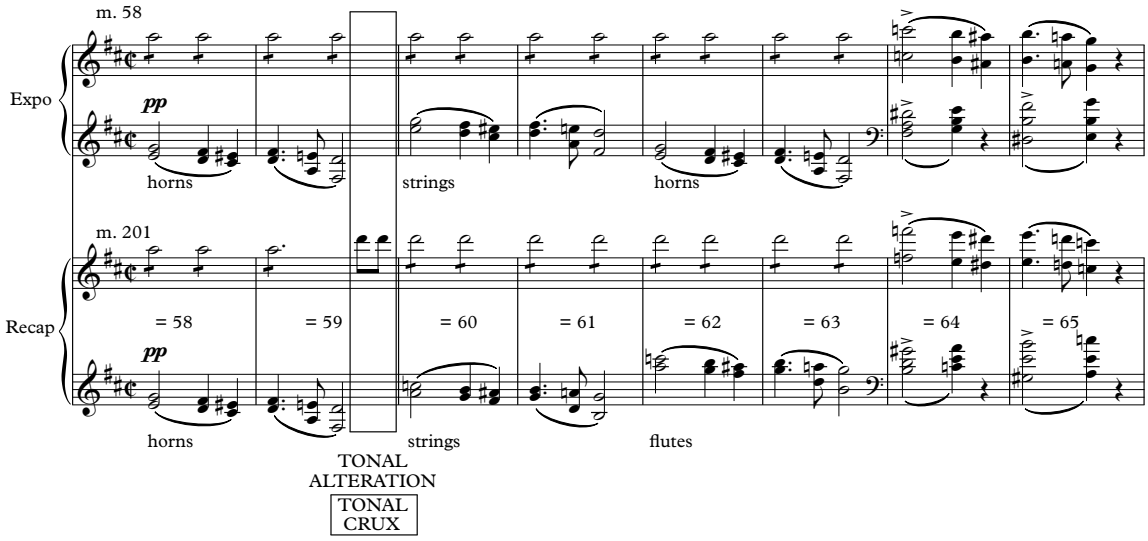
[32] A helpful comparandum is found in the (non-*Transpositionsreprise*) first movement of Schubert's First Symphony, D. 82, which also features a bifocal strategy with modulating fill in the exposition (mm. 73-77) and non-modulating fill in the recapitulation (mm. 411-415 = 73-77). See section 3.3.4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

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

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

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

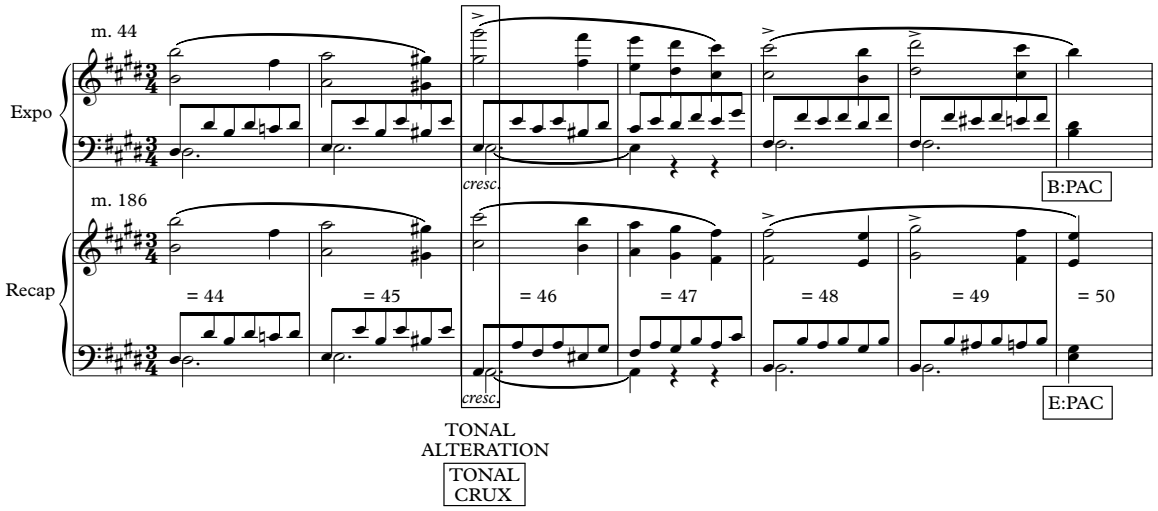
For an easy example of minimal, but audible, thematic alterations in service of the tonal adjustment in the context of a clear third *Transpositionsreprise*, consider Schubert's Overture in D Major, D. 556 (Example 3.3). The Overture makes its alterations immediately, as if the tonal wheel gets thrown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



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

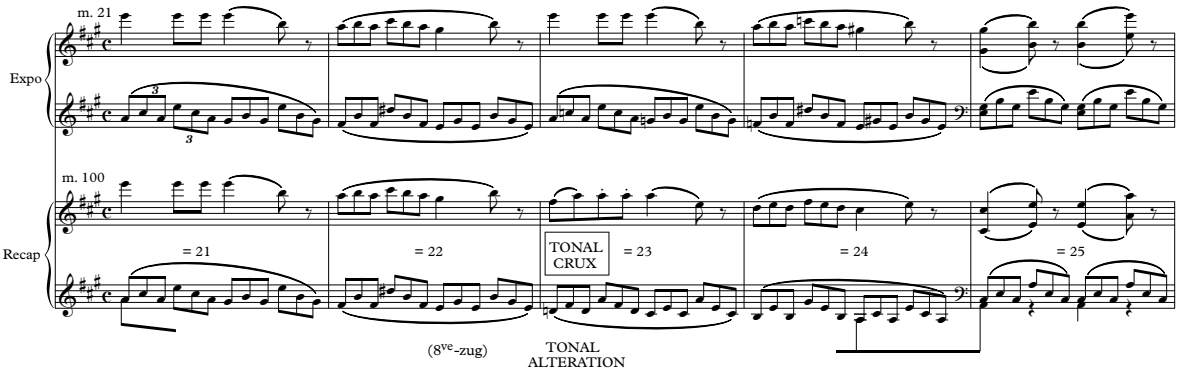
A similar example is found in the Scherzo from the *Fünf Klavierstücke*, D. 459 (Example 3.4). Again we have a recapitulatory rotation identical to its referential expositional one in all primary parameters save its single, "immediate" tonal adjustment. The tonal wheel

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



Example 3. 4. "Immediate" Tonal Alterations in the Scherzo of Schubert's *Fünf Klavierstücke*, D. 459.

Yet another instance is found in the tonal alterations made in the *Transpositionsreprise* of the first movement of the "Little" Piano Sonata in A Major, D. 664 (Example 3.5)[34]:



Example 3. 5. "Immediate" Tonal Alterations in the First Movement of Schubert's Piano Sonata D. 664.

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

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

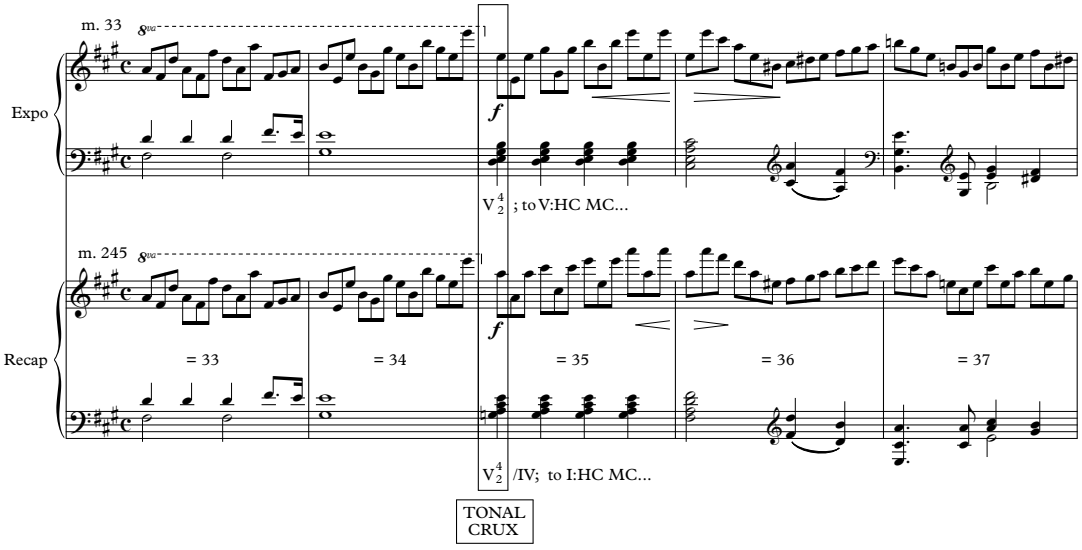
Transpositionsreprisen, running from absolutely no work necessary, to silent tonal alterations, to audible tonal alterations, one might be tempted to assert a corresponding *poietic* continuum, from absolute laziness, to the merely dilatory—the tricky save or composerly guile—to some more involved (=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

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

3.3.1-5 Interlude: A Study in Tonal-Alteration Types
3.3.1. Immediate Alterations

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

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



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

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

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

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

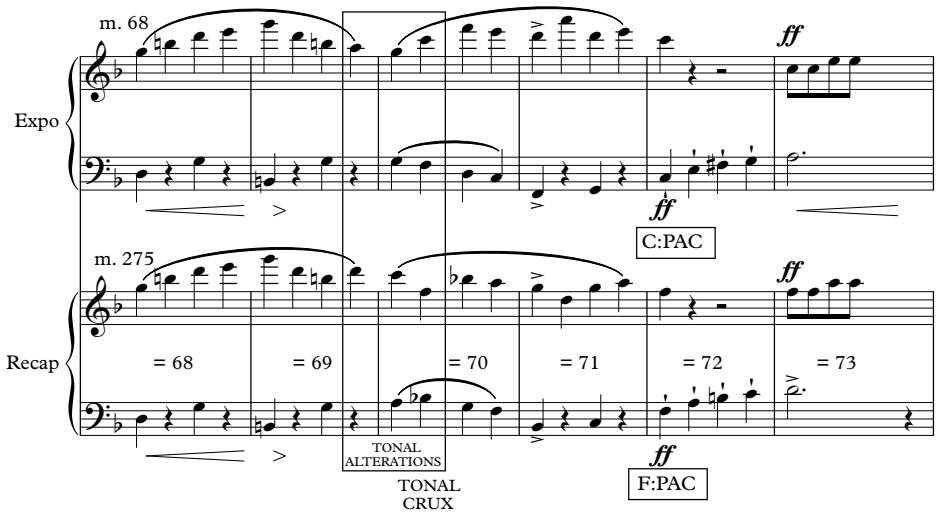
3.3.2. Two types of Thickness

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

[36] Note that in this case the downbeat of m. 247 is the *tonal* crux; the thematic crux happened at m. 237 = 25.

[37] Beat 3 of m. 277 = 70 is thus the tonal crux of the movement.

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



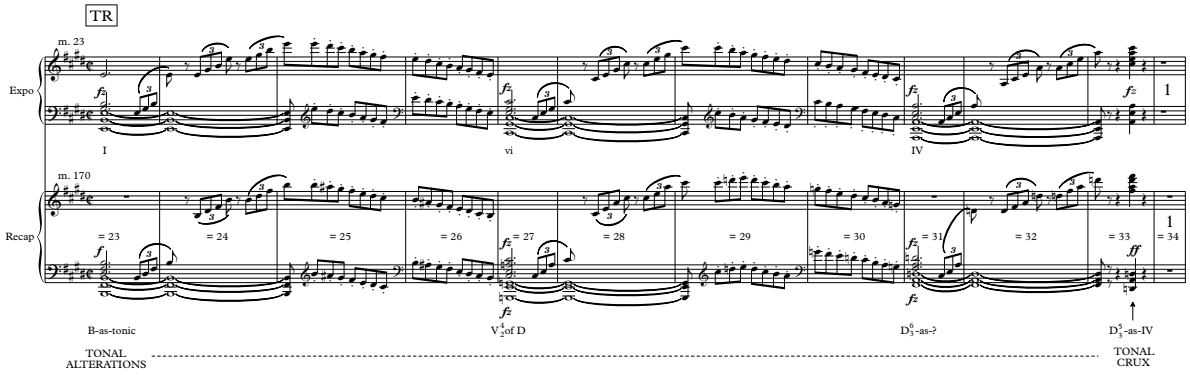
Example 3. 7. Tonal Alterations in the Finale of Schubert's Octet, D. 803.

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

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

[38] For a study of register in recapitulations see Cavett-Dunsby (1988).

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



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

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

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

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

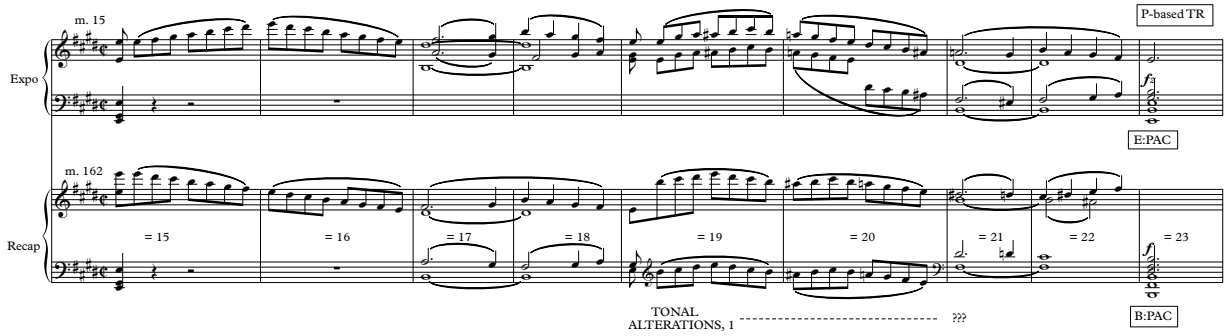
What is felicitous about D. 157 is that in addition to being an exemplar of this first type of thick tonal alterations, it can also teach us about the second type. This second type of thickness, corresponding to "multitude" (discontinuity), seems to have gone unremarked upon in the discourse on sonata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

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

[40] My use of this term has nothing in common with "gratuitous," as used to denote themes or keys that seem *superfluous* or *extra*, from some higher aesthetic perspective.

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

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



Example 3. 9. An Early Tonal Alteration in the First Movement of D. 157.

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

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

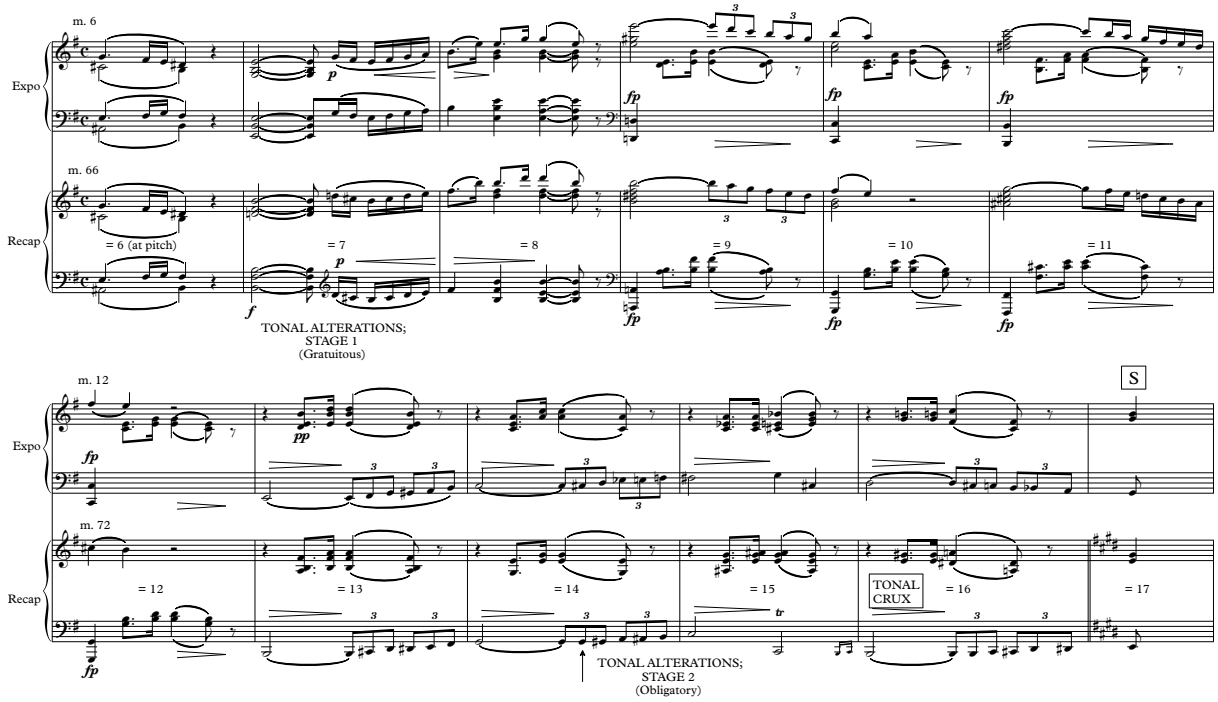
I have reckoned this passage by considering its two sets of tonal alterations as separate (discrete, several, discontinuous), and *paired*. On this reading the first happens immediately (rashly, impetuously), and the second—which responds to this improper treatment—takes time, or effort, to fix it. It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

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

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

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

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



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

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

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

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

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

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

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exposition, the C♯$^{\circ 7}$ chord (vii$^{\circ 7}$/V in G major) at m. 15 is properly spelled with B♭, although the inclusion of a cadential $\frac{6}{4}$ chord frustrates this tonal will by making the B♭ momentarily go up to B, before falling (conceptually) to the dominant-flavored A. The A is not present, literally, in the exposition, at all (unless it be taken to occur on the last triplet eighth note in the bass). In the parallel bars in the recapitulation (mm. 75 ff.), the same pitch, now spelled as A♯, is supported by a German augmented sixth in the global tonic; but the intense upwards-resolving desire of A♯ is similarly not achieved on the musical surface, unless that resolution be taken to occur in the bass. (This seems even less likely than in the expositional transference since the augmented-sixth chord has a double-resolution onto its dominant.) Does the A♯ in the German augmented-sixth chord, which resolves to an A, unmediated through B♭, resolve the B♭ of the exposition? Conversely, does the expositional B♭, which moves directly to B, resolve the A♯ of the recapitulation?

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

3.3.3. A Common Strategy Necessitating Thick Tonal Alterations

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

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

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

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

3.3.4. Impotent and Self-Effacing Tonal Alterations

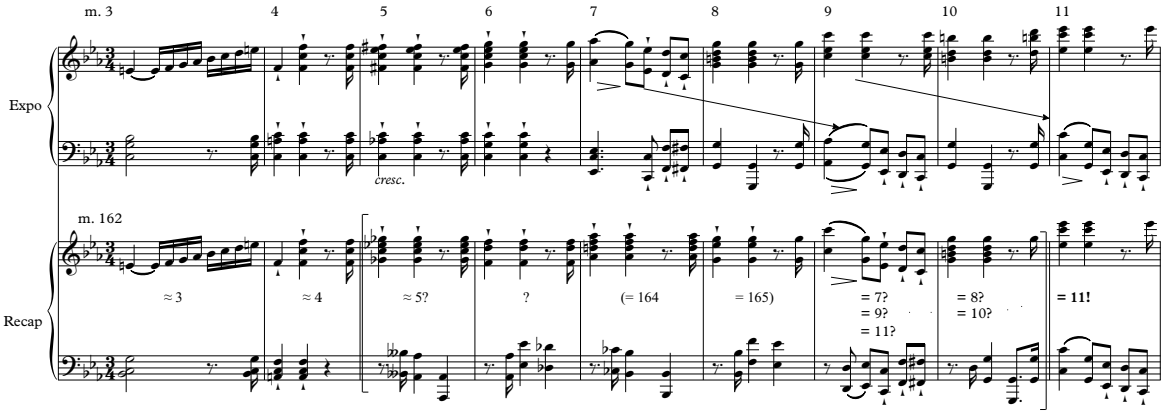
Tonal alterations—whether they work alone or in pairs—are not always as effective as the ones we have seen thus far, especially in Schubert. It is useful, therefore, to note two other tonal-alteration strategies—which again hinge on the difference between the two types of thickness theorized above—and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

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

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

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

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



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

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

The surface differences, which hinge on moving part of the descending tetrachord figure that occurs in an inner voice in the exposition to the bass, are clear: first, a V^7/IV (m. 3) is converted into a V^4_2/IV (m. 162). The inverted dominant discharges onto a IV^6 chord at m. 163 instead of a "IV^6_4" chord over a tonic pedal as at m. 4. The (inverted) augmented-sixth chord "built on" A♭ (m. 5) is in the recapitulation moved to root-position, spelled with G♭, and made to function as an A♭ dominant-seventh chord (m. 164), discharging onto a root-position D♭ at m. 165. The tonal alterations then continue for two more measures, forming a tonal sequence by rising whole tone that answers the

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

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

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

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

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

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

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

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

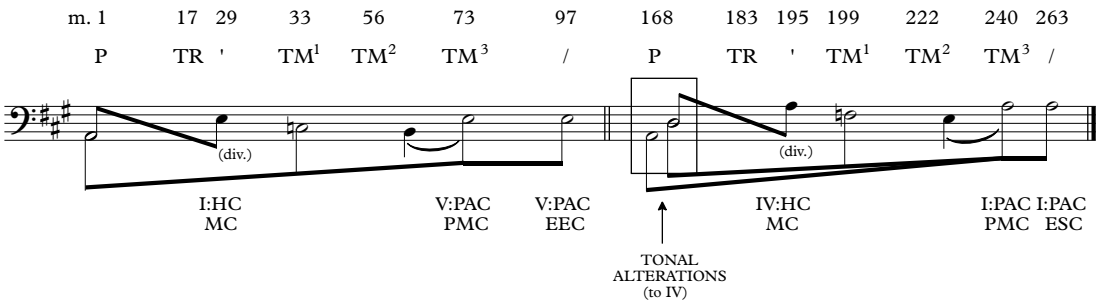
A quick summary of this interlude will solidify these concepts. In sonatas and other modulating two-reprise forms, it often happens that tonal alterations are not carried out efficiently or economically. (This is no less a symptom of bad composition than it is a sign of compositional adroitness.) Tonal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

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

alterations that have thickness in the first sense described (magnitude) but cannot bring about any tonal alteration at all, I reserve the term "impotent."

3.3.5. Tonal Alterations in the Three-Key *Transpositionsreprise*

The final stop on this tonal excursion is to consider the deployment strategies of tonal alterations in the three-key *Transpositionsreprise*. Three-key expositions do not conceptually challenge the category *Transpositionsreprise*, since tonal alterations do not by definition impact the thematic identity of a recapitulation. The number of *necessary* tonal alterations in the three-key exposition hinges upon where, in the sonata form, the tonic is to be regained, and which of the three keys of the exposition will get tonic treatment in the recapitulation.[46] (In situations with two keys, we can take as axiomatic the fact that the modulation in the exposition gets cancelled in the recapitulation, meaning that S is generally recapitulated in the tonic.)



Example 3. 12. Bass Line Sketch of the Finale of Schubert's Violin Sonata in A major, D. 574.

Tonic-recapitulating three-key *Transpositionsreprisen*, if they have but one set of tonal alterations, will arrive back at tonic only for the last thematic statement. This is the case

[46] For a précis of the different compositional solutions to the three-key exposition, see Webster (1978, 33 ff). Gordon Sly (2001) characterizes Schubert's three-key tonal strategy as a "propensity for preserving in the recapitulation the broad modulation of the exposition, such that the tonic serves as the goal, rather than the source, of the tonal motion." Compare the quotation by Boyd given in n. 28 above.

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

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

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

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

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

definition a lazy solution. (If it were, we should assume that the subdominant recapitulation would only happen in pieces that modulated to their dominants.[49]) Second—which falls out of our observations above—the on-tonic recapitulation does not in any way limit the number or size of tonal alterations that will happen therein.[50]

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

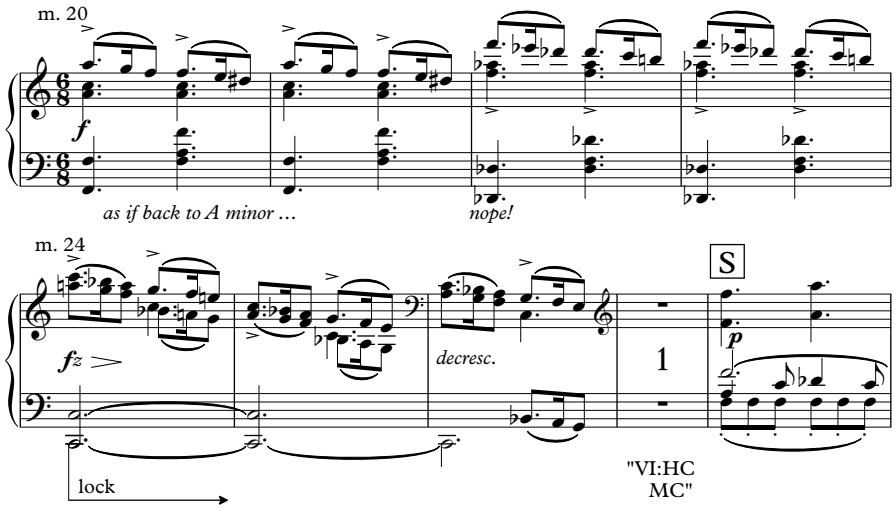
A close analysis of the first movement of Schubert's Piano Sonata in A Minor, D. 537 shows how much tonal freedom, play, and narrative richness are possible in the *Transpositionsreprise*, which to so many earlier commentators has seemed mechanical, a degenerate recopying. In addition to showing the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

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

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

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

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

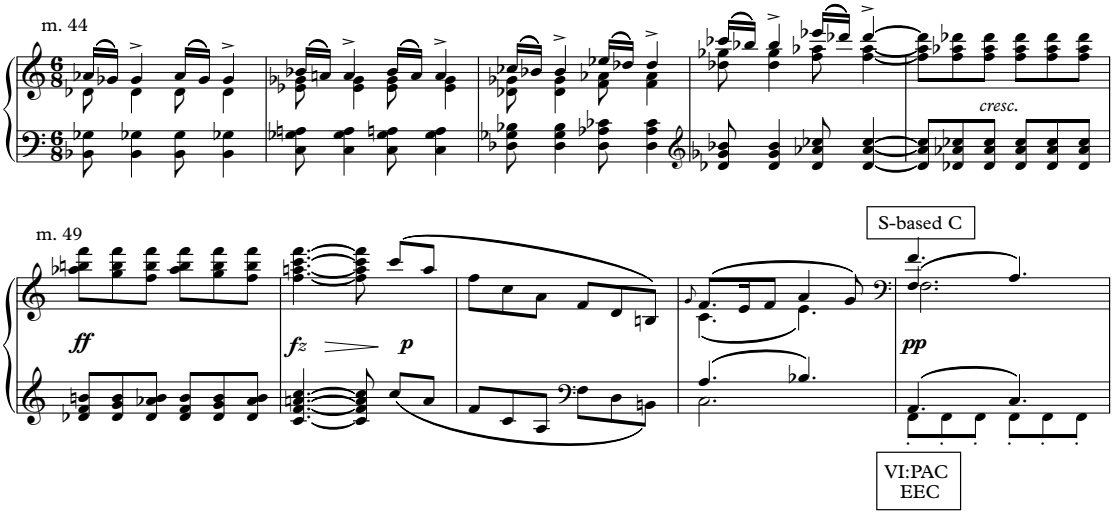


Example 3. 13. A Curious Tonal Behavior during MC Preparation in the First Movement of Schubert's D. 537.

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

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

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

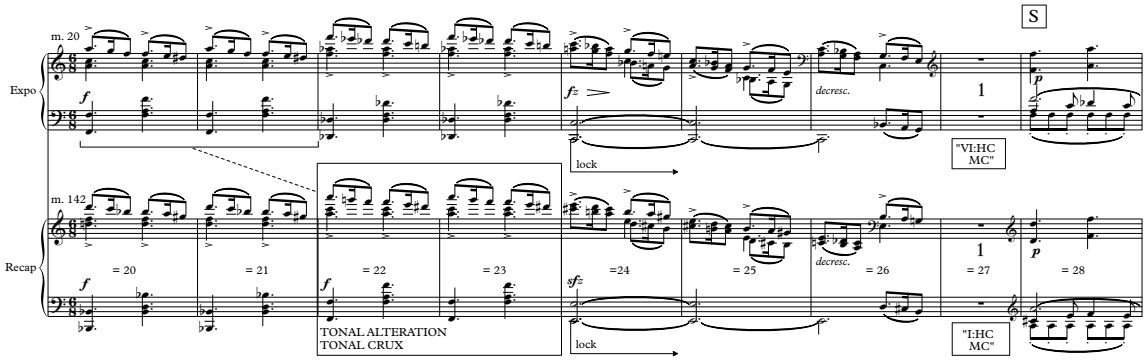


Example 3. 14. A Tonal Reminiscence in S^{rep} in D. 537.

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

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

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



Example 3. 15. Tonal Alterations in the First Movement of D. 537.

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

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

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

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

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

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

3.5. Tonal Crux, Thematic Crux

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

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

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

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

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

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

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

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

3.6. Referential Measures and the Transpositionsreprise

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

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

[54] Adorno ([1971] 1996, 87), emphasis added.

rhythmically) equivalent recapitulations mean that we are dealing with "correspondence measures," even where tonal alterations are made.[55] What is crucial to note before leaving the *Transpositionsreprise* is that "referential measures"—"recapitulatory measures that are compositionally freer than are correspondence measures and yet retain their bar-for-bar mapping capability onto the exposition" (241)—are also possible. These "da capo" or improvisatory flourishes, best captured by near equivalences (≈), not exact ones (=), technically change the thematic layout of the exposition but typically preserve its tonal plan and the time it takes (thus a one-to-one mapping of measures).[56] "Referential measures" are, as *Elements* puts it, are "variations," of a sort: "m. 95 = m. 24 *varied*; m. 96 = m. 25 *varied*; and so on" (241, my emphasis).

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

[55] "The term correspondence measures identifies those recapitulatory bars that are more or less identical (with only small variants) to those in the exposition," *Elements* (241).

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

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

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

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

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

3.7. The Rhythmos-*preserving Non*-Transpositionsreprise

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

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

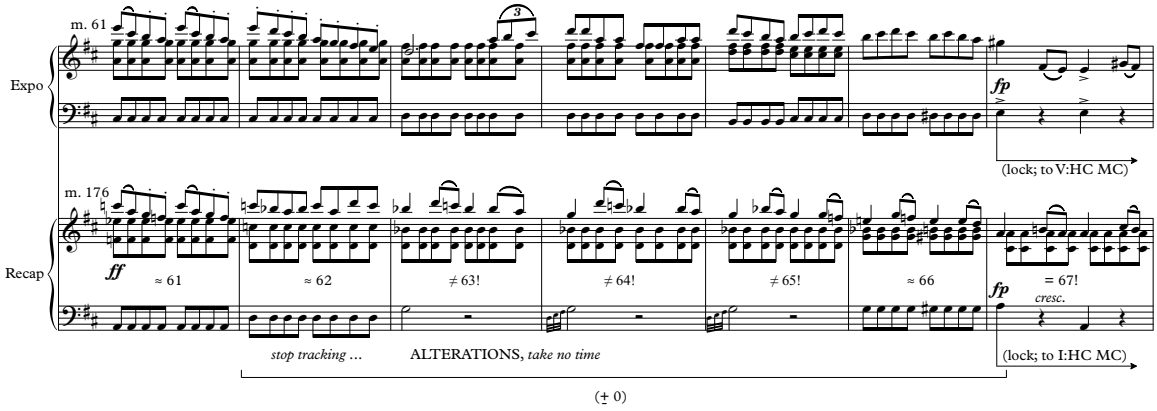
[59] Again, this movement is not a Category 1 recapitulation; here we focus on its first set of *rhythmos*-preserving alterations. (Its time-transformation occurs between m. 178 =19 and m. 183 = 34, the thematic crux of the movement.) Compare the recompositions in the A' and B' sections of the Andante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

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

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

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

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

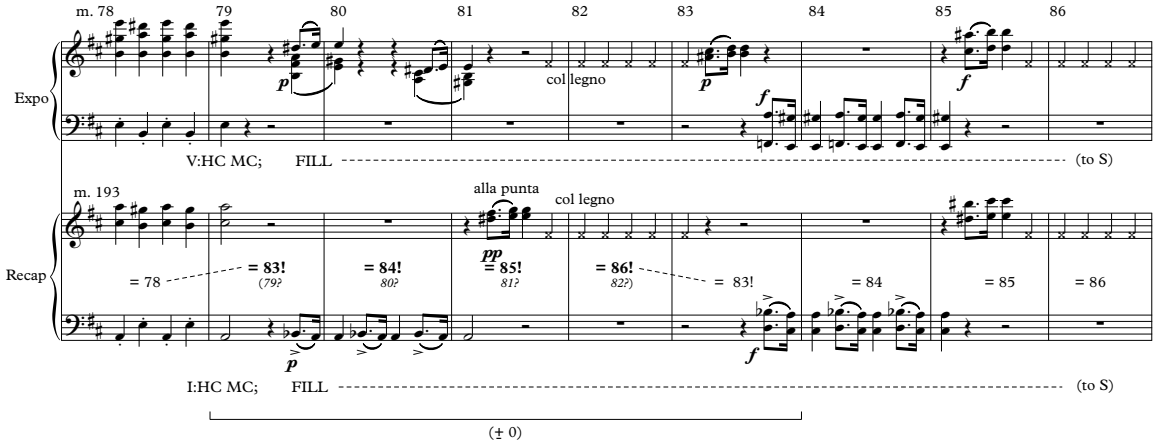


Example 3. 16. Non-Correspondence in Rossini's Overture to *Il Signor Bruschino*.

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

[61] Compare Samarotto's (1999) concept of "shadow meter."

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

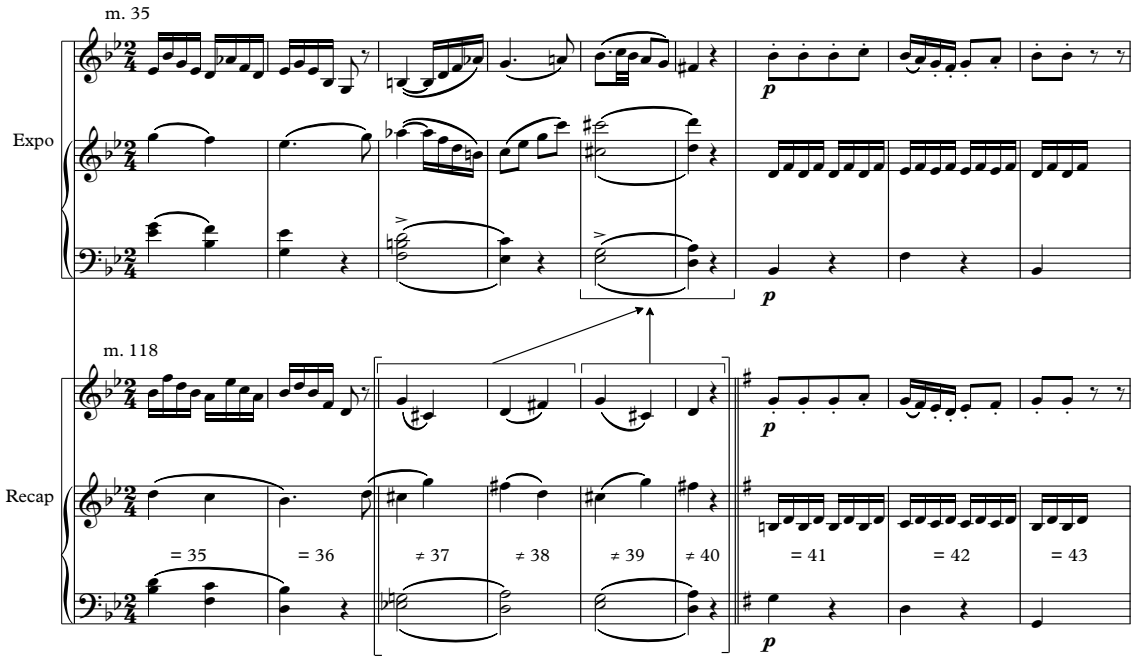


Example 3. 17. Shadow Correspondence in Rossini's Overture to *Il Signor Bruschino*.

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

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

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



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

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

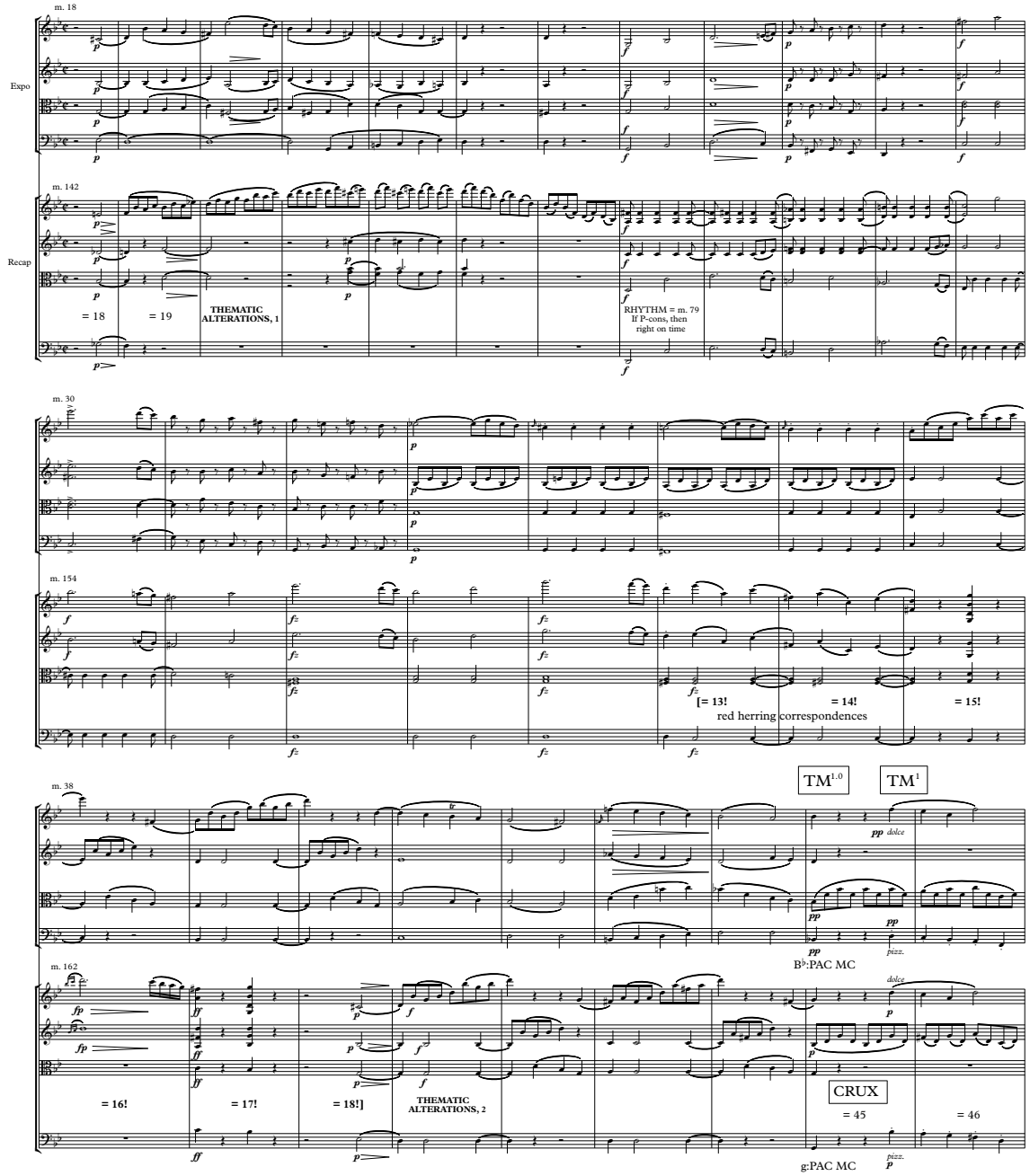
major (!) in the recapitulation). In the example above I have again chosen to use ≠ symbols to show the equivalent time taken up with non-equivalent thematic material (≠ 37, ≠ 38). (It is of course possible, appealing to referential measures, to make mm. 122 and 123 equal to mm. 39 and 40, moving the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

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

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

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

snippets of earlier material, seems around every turn to confuse the listener. "Oh, we're *here*; no we're *here!*"



Example 3. 19. "Red Herring" Correspondence Measures in the First Movement of D. 173.

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

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

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

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

[64] "Red-herring" correspondence measures, which pepper thick sets of thematic-tonal alterations with thematic material from elsewhere in the form, are common enough, and can suggest all sorts of disorientations.

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

3.8. Postlude: Conclusions

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

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

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

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

Might Category 1 recapitulations also be indicative of broader historical currents? Above, in reference to the strategy of enacting the tonal adjustment in silence, I mentioned the possibility of concealing the means of production, a conceit tied up with neo-Marxist historical claims regarding alienation and reification. Mention of those two terms also connects to and brings to light a great deal of criticism of Schubert—that composer-*mechanicus par excellence*. Perhaps we should understand the *Transpositionsreprise*, nearly coeval with the industrial revolution, as a reification—as a turning of the sonata process (and thus its virtual narrative or protagonist) into a *thing*.[66] The narrative certainly resonates with (organicist) allegations of the mechanical, so often leveled against these recapitulation types by Salzer and others and echoed in claims like Adorno's, that (94) "in the recapitulation, music, as a ritual of bourgeois freedom, remained, like the society in which it is and which is in it, enslaved to mythical unfreedom." Recopying, on this view, is *Verdinglichung*, and the *Transpositionsreprise*, which "lacks the driving force of the improvisatory element" (Salzer, 99), begins to resonate with theories of art in the age of mechanical reproduction.

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

[66] For one such claim see (Adorno [1976] 1991, 32): "… since the industrial revolution, the objective social process both of reification and of the disintegration of natural residues has been aesthetically reflected…"

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

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