CHAPTER 4

CATEGORY 2 RECAPITULATIONS

	ADD	CUT
SIZE	1. One alteration only, + *x* a. Minimally different, + 1	1. One alteration only, - *x* a. Minimally different, -1
STRATEGY	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

Figure 4.1. Category 2 Strategies.

> The ways in which thematic and harmonic gestures reappear go well beyond what can be captured by the standard notions of return or recapitulation.[1]
>
> Like virtually all Western music, the music of the common-practice period is characterized by formal correspondences of various kinds. Such correspondences usually do not form exact symmetries, however, even at the phrase level. This stems partly, no doubt, from distaste for too much repetition and regularity—for predictability, that is, the negative side of the symmetrical coin.[2]
>
> At this very early date, Riepel could scarcely be expected to realize what he was observing; later, of course, asymmetry would set in on a much greater scale.[3]
>
> If one does not perceive how a work repeats itself, the work is, almost literally, not perceptible and therefore, at the same time, not intelligible. It is the perception of repetitions that makes a work of art intelligible.[4]

4.1. Introduction

Our discussion of Category 1 recapitulations has shown, among other things, that any "time-altering" thematic transformations are quite unnecessary. This, in turn, gives weight to those recapitulations that do feature one or more time-transformations. If Schubert tends to compose recapitulations mechanistically (so the story goes), then this ought to push the focus onto any *rhythmos*-altering thematic changes that occur; their accompanying ifs, whens, and hows; and the effects they have on the ongoing sonata narrative. This chapter examines Category 2 recapitulations—those that make a single set of thematic alterations that result in a temporal gain or loss (of any size). After

[1] Frisch (2000, 582).

[2] Morgan (1998, 2)

[3] Monelle (2006, 104).

[4] Sontag ([1965] 1966, 35).

dispensing with their single time-alteration, Category 2 recapitulations rejoin the thematic track of their referential expositions and continue to track them until the end.

Category 2 recapitulations may seem curious in light of the emphasis on symmetry we associate with the classical style. For the *composite rhythmos* (the exposition-recapitulation symmetry) of any piece whose recapitulation makes one single time-altering transformation is necessarily "skewed" or "lopsided." Category 2 recapitulations contain, in Samarotto's (1999, 238) suggestive language, a "*rhythmic* wrinkle," where "rhythmic" has been italicized to make it an adjectival form of our noun *rhythmos*. Category 2 behaviors characterized the songs we saw in Chapter 1, in which the virtual protagonist—the wanderer traversing a musical landscape—experienced macropsia or *foreshortening* when virtual objects (cadences, themes, will-o-the-wisps) were staged as *too close*, *too soon*, or *too large*, and so on. (Events can of course also be staged as *too late*, *too far away*, etc.)

The songs we analyzed in Chapter 1 had texts that corroborated the effects of their time-distortions. Here, although we will have to use other musical cues to help generate interpretive readings, the mechanics are essentially the same: expansions tend to suggest—depending on the total musical context—delay, apprehension, work, struggle, ambivalence, inability, or reveling in a dreamlike or pastoral landscape. Contractions can suggest excitement, festivity, haste or goal-directedness, jubilation, and so on.[5] Both may suggest, in combination with the score-as-landscape metaphor, visual or temporal or topographic distortions and auditory hallucinations. Whether from a poietic or aesthesic perspective, whether we focus on our perceptions of recapitulations or their perception by

[5] I emphasize "tend to," and "can"; these time-terms cannot be applied algorithmically, nor would such application be desirable. Alterations gain meaning from their context.

a virtual protagonist, it is in these contexts—the distortion of abstract symmetry, the staging of excitement or delay, the staging of topographic illusions or altered temporality—that we hear recapitulations that make a single *rhythmos*-alteration.

4.2. Mozart, Monahan, and the Crux.

It will be instructive to begin our discussion of the Category 2 recapitulation by bouncing off some observations made recently about the first movement of Mozart's String Quartet in B♭ Major, K. 458 ("The Hunt") by Seth Monahan (Example 4.1).[6] The recapitulation's four-bar expansion "by model-sequence," heard-against the exposition's referential frame, is the only alteration in the movement. Thus in the recapitulation, the music that had occurred in mm. 27-30 happens twice, once in the original key, and then again in the subdominant, with altered instrumentation. The thematic stylus, as it were, skips back four bars, recapitulating four of the exposition's measures twice before tracking correspondence measures until the end of the movement.[7]

Although he says little about its thematic alterations, still we may examine the basics of the Category 2 recapitulation in light of his analysis. The first step is to understand the role of the 16th-note figure first heard in the first violin at m. 42 in articulating the movement's thematic alterations. For Monahan, this motive, which he dubs "motive *x,*" seems to "overtake the texture" around every corner.

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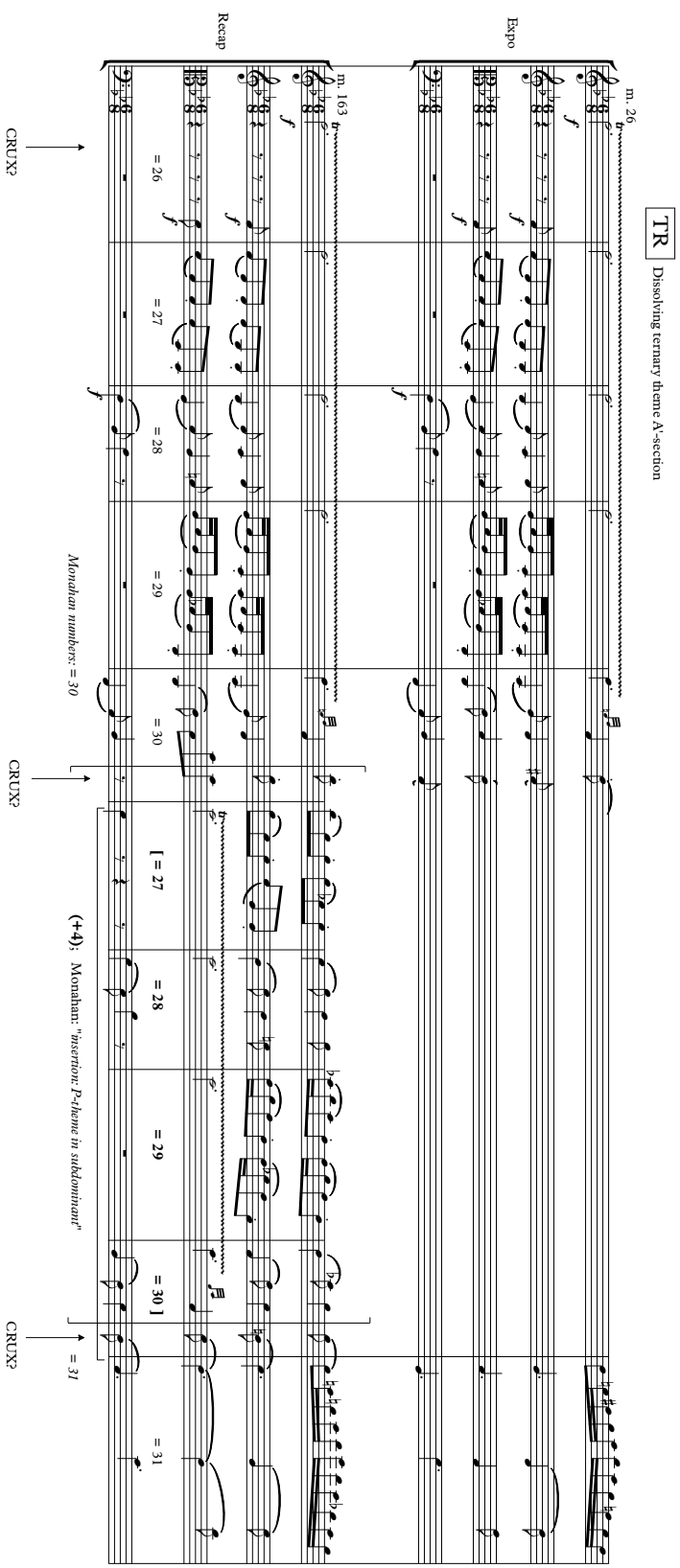
[6] Note that the original Breitkopf und Härtel edition, on which the modern Dover edition is based, omits Mozart's m. 155 entirely; Example 4.1 in the main text shows corrected measure numbers, which will appear to be one off after m. 154 in the Dover/Breitkopf editions.

[7] As the first example of the Category 2 recapitulation, it is instructive to compare the Hunt's alterations to those made in the *Transpositionsreprise* first movement of Schubert's D. 664 (Example 3.5). Like the alterations in the "Hunt" Quartet, those in D. 664 are sequential and move from tonic to subdominant. But because the thematic repetition in D. 664 was already built in to the exposition (in the exposition it was a repetition at the same pitch level), there the alterations *take no time*. D. 664 features a *tonal adjustment* with no change of *rhythmos*; K. 458 features both.



Example 4. 1. Thematic-tonal Alterations in the First Movement of Mozart's "Hunt" Quartet, K. 458.

It is responsible for the lack of a convincing S theme, which it "nudges out"; it "causes a short-circuit in the unfolding exposition"; it "proliferates like so many brooms from *The Sorcerer's Apprentice*." Perhaps, then, the reason mm. 27-30—and not four other bars—are repeated at the crucial recapitulatory juncture hinges on the fact that the trill (in the first violin, and then in the viola) is like an apotheosizing of that motive. This interpretation also gives support to Monahan's observation that each action zone of the piece ends with motive *x*, since TR doubles as the last module of a ternary P theme.

Consider the delay the piece's thematic alterations cause in its ongoing narrative—the deceleration by four bars and the subsequent "pushing-back" of each remaining cadential way station. Perhaps this behavior is tied up with the piece's continuing response, as Monahan hears it, to its inability to make a convincing medial caesura and its lack of an S theme.[8] It would seem, then, that however we wish to interpret them, the recapitulatory thematic alterations, too, are embroiled "in tangles of the mischievous motive *x*." Thus one more aspect of motive *x* to consider is the way it seems to play not within the temporal bounds of the sonata recapitulation, as given by the exposition, but *with* those bounds. It pushes the recapitulation outwards, distorting its immanent (or if not "immanent," then its *would-be*) symmetry. This time-transformation, we may argue, coupled with the music's *vivace* $\frac{6}{8}$, major-mode, jaunty sound world, contributes to what Monahan identifies as the movement's "deliberately Haydnesque

[8] Monahan (6): "It is easy to hear the fallout of this staged medial caesura mishap echoing throughout the movement in fascinating ways.… [Sonata Theory] helped us to establish a more nuanced link between those motivic processes and the formal processes at large; that is to say, it helped us to [relate] them to the staged mishap of the bungled MC."

wit." As we have seen, it also works quite nicely within his proposed "dramatic musical plot."[9]

Notwithstanding the straightforwardness of this example, there is reason to muddy the waters, briefly, in a discussion of ontology. As Monahan's annotated score makes clear, he hears mm. 168-171 as an interpolation into the ongoing recapitulation; underneath those measures he writes "insertion: P theme in subdominant."[10] (Monahan could have been more specific here, since P unfolds as a ternary theme: if instead of simply P he had written P^{A}, or even $P^{A'}$, he would have called attention to the fact that this is a repetition of *precisely the music we've just heard*, at a different pitch level. Not only is this a recapitulatory trope—Caplin's "model sequence technique"—but it is precisely the reason the motivic repetition moves so easily to the succeeding music.) But after identifying the interpolation, Monahan, in a Rothsteinian approach, connects the music that equals m. 30 to the music that equals m. 31 "across the gulf," thereby in effect excising the interpolated bars. (See the italicized correspondence measures beneath Example 4.1.) He *hears through* the interpolation to its essence, as it were. In what follows I do not want to critique Monahan for this; there is merit in hearing-through the thematic alterations to their "basic length," as Rothstein would call it. But I do want to ask the question: if mm. 168-171 are an interpolation, then where is the crux?[11]

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[9] Compare the opening movement of the Piano Sonata K. 280, which features an interpolation—in S (!)—of 6 bars. This interpolated descending fifths sequence, hardly interpretable as a negative gesture, seems so jubilant as if to overflow with music.

[10] Accessible at: http://dl.dropboxusercontent.com/u/5686390/JMTP_K.458.pdf?%3F%3F=

[11] The thematic and tonal cruxes are coincident in this movement; here and elsewhere where there is no reason to dissociate them, I will go on using "the crux" to designate the

The easy answer is that the crux occurs at m. 168, or perhaps the pickup to that measure. On this reading, mm. 168-171 simply equal (a repeat of) mm. 164-167 (= 27-30), not at the original pitch level, but at the proper pitch level to bring about the tonal resolution. The recapitulatory TR begins, then, as Monahan says, at m. 163, and tracks through the music that = mm. 27-30 at the expositional pitch level. The onset of the tonal(-thematic) alterations at the pickup to m. 168—also an articulation of the thematic material of mm. 27-30—coincides with the crux. The reasoning is not overtly problematic. But it does not seem, either, to be exactly what Monahan means: the bracket under his annotated score example does indeed "bracket"—this time in the phenomenological/ontological sense—mm. 168-171 as an "insertion." And how could the crux occur in a de-ontologized zone?

Perhaps, then, we are justified in labeling the crux at the resumption of correspondence measures after the insertion, at m. 172 = 31. On this reading, the repeated subdominant inflection truly is a parenthesis, to be discarded somehow, and m. 167 truly is to be connected up with m. 172, across the abyss. But this reading neglects the change in recapitulatory temporality, choosing instead to bracket it out, to normalize it—not to mention that its identification of the "crux" does not at all identify the point at which "writing the remainder of the recapitulation can become, by and large, a simple matter of transposition" (*Elements*, 240). For if identifying the crux were as simple as identifying that moment, then it would certainly be at m. 168, which equals (the real?) m. 27, at the level that will bring about a tonic ESC.

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simultaneous regaining of both tonal and thematic correspondences. We will see instances of Category 2 recapitulations which uncouple the two cruxes presently.

What is at stake here, in the identification of the crux point, is our perception of staged temporality in the piece. If mm. 168-171 are interpolated, then the crux happens at m. 172 = 31. If those bars can so easily be de-ontologized, though, one wonders why mm. 168-171 can't simply be the "real" music, making mm. 164-167 the interpolated bars! However, if they are merely repetitions of mm. 27-30, at the altered, but now proper, pitch level, then the pickup to m. 168 is the crux.

Our analytical choice here bears on our hearing: if mm. 168-171 are bracketed out of perception, then we simply put time on pause, choosing to hear-through the recapitulation to the expositional pattern. M. 167 moves directly to m. 172, across the abyss. If, on the other hand, we choose to address these measures as an insertion, with all the implications of backing up, bloating, the distortion of symmetry, and the delaying of the ESC (not to mention pleonasm, repetition, and so on), then we must characterize them as a thematic backing-up, a time-altering transformation strategy (+4) that occurs concomitantly with—or is brought about by—the tonal alterations of the piece.

The preceding discussion, which identifies a real problem with crux identification in Category 2 recapitulations, might seem overly abstract.[12] And yet we cannot lose sight of the fact that our interpretations *supervene on* our analytical assertions; they are attendant upon them. It is interpretively rewarding to be sensitive to the rub here, just as it is rewarding to understand the thematic backing-up (whether conventional or not) as a

[12] I say "real problem" because the only problem identified in *Elements* (242) regarding locating the crux hinges upon the sorites and thus does not engage its most pressing definitional issue: "In such cases [in which referential measures shade into correspondence measures] it can be difficult to determine where the crux occurs, and the precision of the term, eminently serviceable when correspondence measures are involved, breaks down. Is the first referential measure the crux? Or is it the first clear correspondence measure, several bars further onward?"

problem spot in the piece, a moment Lawrence Kramer (1990, 5-10; 1998, x and 13) would seize upon as a "hermeneutic window."[13]

Another well-known recapitulation by Mozart will help synthesize this discussion with concepts introduced earlier in the dissertation (the bifocal close, the dissociation of thematic and tonal cruxes, alterations in silence). The Category 2 recapitulation of the first movement of the Piano Sonata K. 545 begins in the subdominant (Example 4.2). Where is the crux in this movement? It could, at least in theory, have been at m. 42 = 1, although Mozart does not choose this solution, perhaps to avoid the IV:HC MC that it would entail.[14] The next possibility, then, is that the crux happens at the skip in the groove, at m. 50 = 5, this time at pitch. This crux-point identification is given support by the fact that from this point forward Mozart's recapitulation tracks the thematic layout of its exposition bar-for-bar. But what if these four measures—repeats "by model-sequence"—are to be taken as *interpolated* into the ongoing discourse? Does this push the crux back to m. 54 = 9, which would connect m. 49 to m. 54 "across the abyss"? Whichever solution we choose, the same problems are attendant on this crux as were attendant on the crux in K. 458.

Because of its subdominant recapitulation, however, an additional issue bedevils the recapitulation of K. 545. By m. 50 a set of tonal alterations has moved the recapitulation back to the tonal level of the exposition, meaning that something else will have to change if this piece is to close in the tonic C major.

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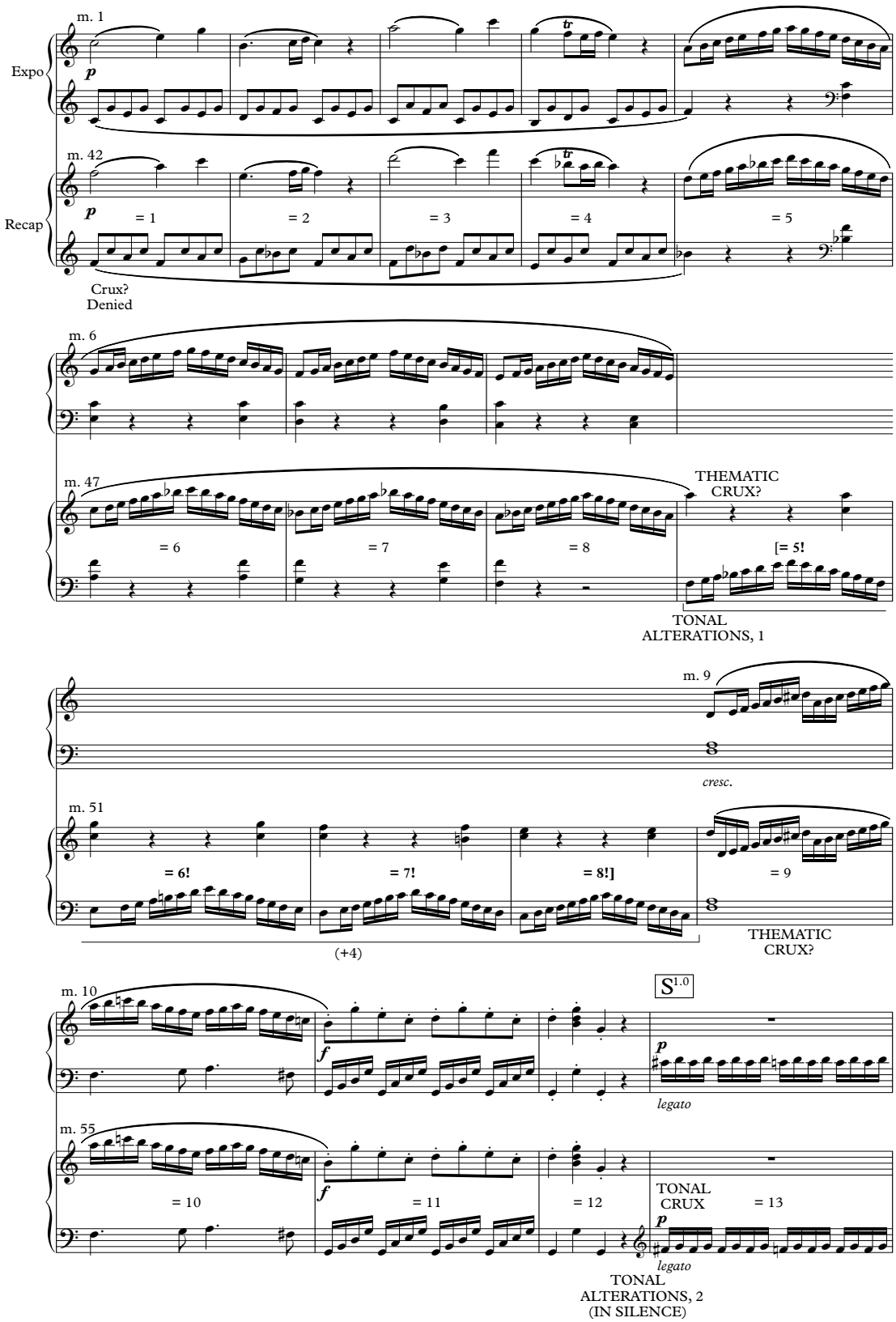
[13] Compare Daverio (1993, introduction).

[14] Remember that this is the detail that makes the movement sufficiently "improvisatory" (artistic, admissible) for Salzer: unlike Schubert's recapitulations, which (the story goes) recapitulate their thematic material exactly, this one preserves the Spirit of the Form through the Improvisatory Impulse. Compare again *Elements* (264-265).



Example 4. 2. Thematic-tonal Alterations and Crux Issues in the First Movement of Mozart, K. 545.

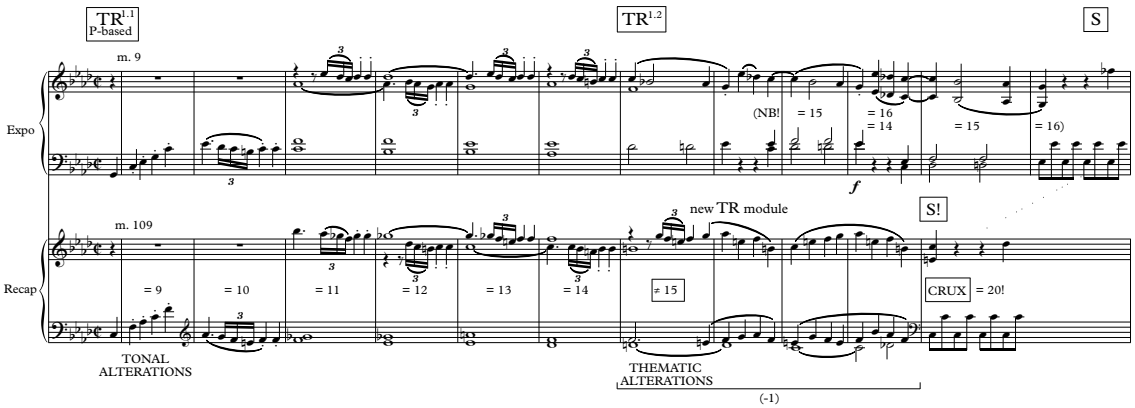
Thus m. 50, one candidate for the thematic crux—from this point forward the recapitulation tracks its expositional thematic pattern measure-for-measure—cannot also be the tonal crux, for if it were we would arrive back at G major for the recapitulatory S theme. Another set of tonal alterations is necessary, meaning that this movement dissociates its thematic and tonal cruxes in the manner of so many of the *Transpositionsreprisen* we saw in the previous chapter. The second set of tonal alterations happens in the silence of the MC-gap, and the tonal crux occurs when $S^{1.0}$ enters in C major at m. 58 = 13.

4.3. Beethoven and the Minimally Recomposed Category 2

An example from the first movement of Beethoven's first piano sonata is similarly instructive, for in addition to dissociating thematic from tonal alterations, its recapitulation also "corrects" an expositional issue. As shown in Example 4.3, in this piece the tonal alterations begin in m. 109, at the onset of $TR^{1,1}$. In the recapitulation, however, the expositional $TR^{1.2}$—so concerned with circularly retracing its steps toward the new dominant—is omitted in favor of a different—perhaps more streamlined—motion toward the global dominant lock.[15]

Beethoven's tonal alterations begin immediately at the onset of $TR^{1.1}$ and have "multitude" thickness. (The move to an F-minor opening of $TR^{1.1}$ would not make for an F-minor S theme, if all else were preserved, so this tonal alteration introduces the need for more tonal alterations down the line; they begin at m. 111.) But Beethoven saves his *thematic* changes for $TR^{1.2}$ (or what was so-labeled in the exposition): m. 115 no longer equals the projected m. 15 but rather composes a new, more directed dominant arrival.

[15] These expositional retracings are shown in Example 4.3 by *expositional* equivalences; as we saw in our discussion of the first movement of D. 537 in the last chapter, being sensitive to intra-rotational correspondences also yields interpretive payoff.



Example 4. 3. Recapitulatory Alterations in the First Movement of Beethoven, Op. 2 No. 1.

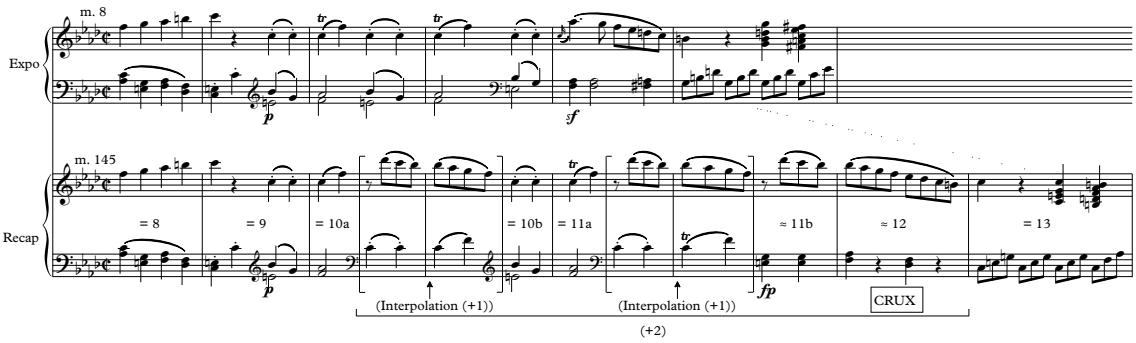
The thematic "correction" of what was a circular or repetitive transition in this case also has an effect on the ongoing *rhythmos*, for it results in an acceleration of one measure; both behaviors are in this piece symbolic of a more directed drive to the ESC.[16]

No matter how much music they rewrite, Category 2 recapitulations that result in net gains or losses of one single measure ((+1) or (-1)) can be extremely suggestive, and deserve to be put in a subclass of Category 2 behaviors. These minimally lopsided, ever so slightly asymmetrical recapitulations can suggest, in addition to their minimal delay or acceleration, a keen attention to detail, as if the rarefied machinery were being finely tuned, or as if they were supposed to be heard as *almost* but not quite achieving their symmetry—as minimally perturbed. The near-symmetry in these cases can suggest near-perfection, near-achievement, or a finely calculated correction (or distortion) of the exposition. The reader can readily find other examples of this subclass (for instance in the second movement of Schubert's "Trout" Quintet, D. 667 and the astonishing and

[16] This recapitulation thus serves as an example of "the devising of a new strategy … to generic structural issues that had cropped up on the exposition, with the aim of moving the recap in the direction of an enhanced normativity, improvement, or clarification," *Elements* (238).

difficult first movement of his B♭ Piano Trio, D. 898[17]). "The bigger the better" does not characterize the Category 2 recapitulation; the slightest *rhythmic* tweak is meaningful.

The finale of Beethoven's sonata serves as an apt foil to its first movement's deployment of a "(-1) script," for these alterations, which come in the form of interpolated motivic expansions, result in a gain of 2 measures. See Example 4.4.



Example 4. 4. Recapitulatory Alterations in the Finale of Beethoven, Op. 2 No. 1.

[17] The extreme recapitulatory recomposition in the first movement of D. 898 nevertheless results in a near-identical recapitulatory *rhythmos* (to within one measure). The recapitulation begins at m. 187, in the key of G♭ (♭VI). After tracking the thematic layout of the exposition for some eight to ten measures while changing all other parameters—instrumentation, dynamics, key, affect—the music begins to make more substantial tonal and thematic alterations. These begin by writing over the exposition's first feint at TR (mm. 12 ff.)—a TR that in the exposition was ultimately erased in favor of more P music (m. 26). Instead, at mm. 198 they give a modified repeat of the first 11 bars of the recapitulatory P, this time in D♭ major, as if groping toward a proper pitch level. Two things are of note: first, that neither of these first two statements of P is precisely equivalent to its first statement in the exposition, even though it shares its thematic material. And second, that during the D♭-major repeat of these recapitulatory P motives we have long since given up correspondence measures.

Of particular interest are mm. 208 and 209, which are, strictly speaking, a repeat of mm. 206 and 207 (= 195 and 196, and perhaps also 9 and 10). These two bars, which in repeating the previous two bars mark for consciousness the time it takes to turn B♭ minor into B♭ major, function as a deceleration by repeat. When they terminate at m. 210 the music rejoins the thematic path of the first eleven bars of the recapitulation at precisely the point at which it left off: m. 210 is equivalent to m. 197 (at a distance of two bars!). In the following measure, m. 211, the music latches onto m. 26 (= m. 12, = m. 1!), the thematic crux of the movement.

This is quite a radical recomposition, and results in some profound large-scale formal differences, such as that the movement might be read as a three-part-to-two-part conversion. But for present purposes what is notable is that the crux of the movement occurs precisely one bar before it would have, had the recapitulation tracked the thematic path of the exposition entirely. In other words, the radically recomposed recapitulation, which rewrites all the music from m. 1-25, is twenty-*four* measures long. One wonders in specific about the addition of the two-bar expansion by repeat within the longer set of tonal-thematic alterations: was it put there to make the recapitulatory *rhythmos* closer to that of the exposition?

It is certainly possible to understand the second half of m. 147 and the first half of m. 148 as interpolated, or parenthetical, as shown by my vertical brackets and labeling of correspondence measures. (M. 10a would be the first half of m. 10; 10b would be the second half.) The same is true for the second half of m. 150 and the first half of m. 151. This reading hears through to the rotational layout of the exposition almost exactly, and calls attention to the decelerations by repetition of the transitional motive in the left hand.

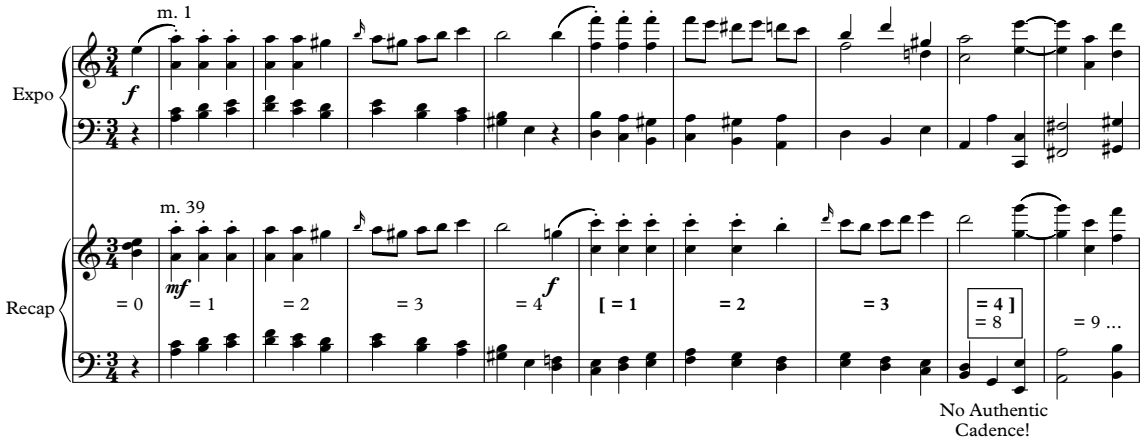
But the current alignment encourages a sensitivity to surface time-distortions: the motivic play in this passage, because it adds bars, seems to suggest dawdling or stasis in addition to "labor," both compositional and narrative. For though the thematic/motivic repetitions "need time," the tonal alterations themselves are not complicated, and could easily have happened in the time allotted to them: the piece stays in F minor until the downbeat of m. 151 = 12, and then simply substitutes a D♭$^{+6}$-to-C-as-dominant in place of an F♯$^{\circ 7}$-to-G-as-dominant—a harmonic pathway already plotted in the motion of the opening sentence to its dominant, see mm. 8-9 and 145-146).

The question that arises is: why would this recapitulation deal with such repetitious cycling back if its "obligatory" tonal alterations could have been dispatched with so easily? Since my topic is Schubert, I do not wish to dwell on proposing interpretations for these examples by Mozart and Beethoven. But I will point out that it is at least possible to understand these repetitions as harking back to the repetitions that characterized the exposition of the first movement; and we might even understand this expanded treatment of the recapitulatory TR as a compensation—indeed an overcompensation or eclipsing—of the time that was cut out of the first movement's streamlined recapitulation. We may not choose to go that far—there may be no reason to

understand the outer movements of (at least) this sonata as related. Whether we grant the intermovement drama, the recapitulation of this finale stands as a paragon of expansion by repetition. It results in a recapitulation two measures longer than its exposition.

4.4. Beethoven and Schubert: Labor and Grace

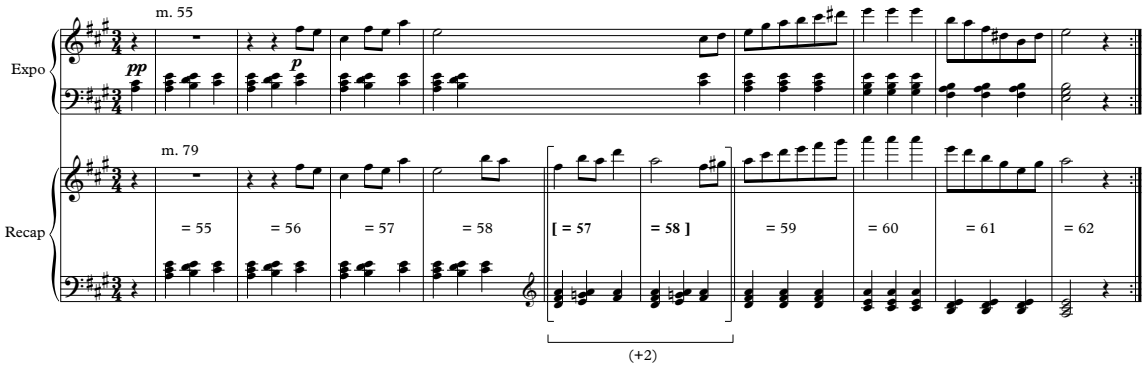
With Schubert, we might begin with the Minuet and Trio from the early Piano Sonata in C Major, D. 279. This pair of pieces helpfully provides us with a recapitulation, if I may, of the principles of Category 1, in comparison to the single alterations that characterize Category 2. For the Minuet offers a Category 1 recapitulation while the Trio offers a Category 2 recapitulation (it features a paradigmatic two-bar expansion by sequence).



Example 4. 5. Alterations in the Minuet of Schubert, D. 279.

The recapitulatory alterations in the Minuet, shown in Example 4.5, are drastic: by changing the exposition's phrase type and cadences, they (thereby) radically transform its formal functions. Its initial "parallel continuous period," to use Laitz's terminology, is converted, in the recapitulation, into a 16-bar sentence. Because of this, the exposition's i:PAC at m. 8 is avoided entirely—pushed back to later in the minuet. The expositional mm. 9 ff. are thus post-cadential, but mm. 47 ff., (= 9 ff.) are charged with the task of making a tonic cadence; they become necessary for closure.

In converting the period into a sentence, however, Schubert manages to alter the cadential structure of the reprise without altering the time it takes. This hinges on the time-equivalence between the exposition's consequent phrase and the second basic idea of the sentential presentation phrase, both of which are four bars long. This recapitulation, then, though it drastically reconceives the cadential goals of the exposition, qualifies as the last type of Category 1 recapitulation, as theorized in the last chapter, the *rhythmos*-preserving non-*Transpositionsreprise*. Two seams are made smooth through thematic equivalences: m. 43 is equal to both m. 5 *and* m. 1, and m. 46 is equal to both m. 8, and (trivially) m. 4.



Example 4. 6. Alterations in the Trio of Schubert, D. 279.

The tonal alterations of the Trio of D. 279, on the other hand, take time, which makes it a Category 2 recapitulation (Example 4.6). The throwing of the tonal wheel, so to speak, is coincident with a thematic backing-up, such that the last two sounding measures in the tonic are sounded again, this time with all voices a fourth higher. This recapitulation rehashes all the issues we broached involving Monahan and the "Hunt" Quartet, for these alterations are equivalent (save that they take two, not four bars) to the ones in Mozart's first movement. This is a two-bar expansion by sequential repetition.[18]

[18] The exact same behavior is present in a much larger piece in the opening movement of the E♭ Trio, D. 929 (see mm. 395, 396, 397, and 398, which = mm. 11 and 12 in the tonic, and

We are used to asserting that reprises that move to a subdominant early are flawed to the extent that they refuse to reconceive the rotation. We should remember, when we have such an inclination, that the backing-up to repeat two bars is not necessary for making a tonal adjustment. (We should also remember that even a quick subdominant (or equivalent) turn in the recapitulation does not preclude significant rethinking in other domains in recapitulations, so common in Schubert and others.) The thematic repetition that characterizes, for instance, Mozart's "Hunt" and the Trio from Schubert's D. 279—far from being considered part of the "mundane dictates of tonal machinery" (Kessler 1996, 122)—can thus suggest, in addition to a certain stuckness, deceleration, apprehension, and so on, an amount of work or exertion.

Since the notion of work—spiritual, physical, emotional, military—seems to be associated with adding measures, many Category 2 recapitulations seem to reward an approach that asks what "task" or "struggle" is being demanded of a protagonist and what is being achieved (or in certain extreme cases, what is not being achieved). A clear case of the sort of work suggested by a (+) operation may be found in the first movement of Beethoven's *Eroica* Symphony, a movement that has always been associated with the struggle of a protagonist in battle. A short score is provided in Example 4.7.

The first thing to notice about the *Eroica* is that its recapitulatory alterations are not just a simple backing-up—they substantially rewrite a major portion of the exposition.

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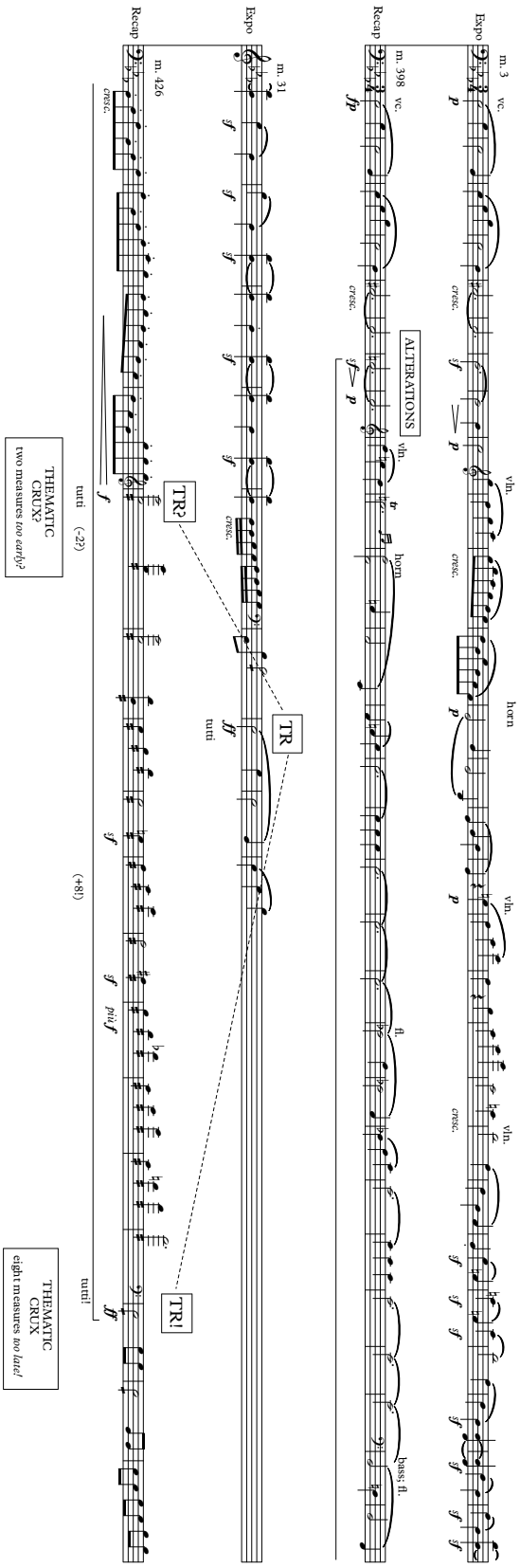
then 11, and 12 in the subdominant). Notice, too, that the astonishingly conceived slow movement from the B♭ Trio, D. 898—with imitative thematic entries at 10- and 1-bar intervals, and with fierce experiments with tonal level, surface thematic presentations, and instrumentation—still nevertheless only features one single time-altering deviation from the expositional rhythmos. A two-bar deceleration by sequential repetition is enlisted in order to make the final tonal alterations to E♭ at m. 102-105 (= 23, 24; 23, 24).



Example 4.7. Thematic Alterations in the First Movement of Beethoven's *Eroica* Symphony.

This recomposition, which begins early—after only five bars of correspondence—suggests effort and struggle as much composerly as narrative. For present purposes the clincher is this: that even the radically reconceived recapitulatory theme seems to come within two measures of its expositional size. The tutti outburst in the recapitulation at m. 430—with off-beat timpani strokes like cannon fire—seems to be equivalent to the tutti outburst in the exposition, and thus suggests an arrival back on track two bars too early. But Beethoven then nullifies this solution, by pulling back out of the expositional correspondence and reevaluating. (The "crux effect" can thus be read in terms of my "red herring correspondences," discussed in the last chapter.) Let's think about what this might suggest: either "two bars too early" would have been the wrong narrative in this context—it would have seemed *too easy*—or else we are to understand the protagonist, after an already laborious struggle, has begun to advance on his enemy, only to be pushed back later on. (Or he has *thought* he had advanced on his enemy, only to see the difficult situation more clearly at m. 440.)

What is so suggestive about this music is that its true thematic crux—that moment where it does indeed latch back on to its referential expositional layout—is articulated by *the same*, tutti, E♭-major, cannon-fire music that seemed to bring it about earlier. The use of that music at both moments seems even more forcefully to participate in a script of *pushing back*, or of the enacting of labor.[19] The bait and switch (which suggests a thematic crux two bars "too early," but ultimately gives it eight bars "too late"), stages the enacting of work, as well as the backs and forths of the (in this case military) struggle. In order to stage both labor and distress, it seems that Beethoven needed not only

[19] The *Eroica*'s crux point at m. 440 = 37 is only thematic; the piece has yet to accomplish its *tonal* task, which it begins to work toward, preserving correspondence measures, shortly after its thematic struggle.

drastically to rewrite all this thematic material—there is the labor—but also to arrive at his goal point "too late"—there is the distress.

The representation of heroism in this movement's exposition, development, and coda has commanded an intense amount of analytic attention. Its recapitulatory alterations are also deserving of attention in that regard.[20] For its deployment of one enormous set of thick thematic (not tonal) alterations—which end up where they started, albeit eight bars *too late*—help tie recapitulatory decelerations to the notion of labor performed. Indeed, one is inclined to disagree forcefully with Adorno, who has written of the *Eroica* that we "know in advance how the music continues… the static symmetry of the [recapitulation threatens] to disown the dynamic intent."[21] The recapitulation of the *Eroica* is neither static nor foregone; even its recapitulatory thematic alterations are pressed in service of a dramatic narrative meant to represent military struggle.

In order to drive home the point that adding measures to an ongoing recapitulatory rotation suggests labor, I quickly note that Beethoven's second movement too, results in added measures: the (60-bar) fugato inserted into its recapitulatory S also exhibits great (composerly and narrative) work.[22] The emotional or spiritual struggle

[20] Most commentators do not discuss the recapitulation at all, preferring to focus on these earlier action zones. Brian Hyer (1996, 83 and fn.) points out that Schenker's (1930) voice-leading sketch of the exposition and development of the Eroica is fifteen feet long, and doesn't even show the recapitulation, which he marks simply with the word "Wiederholung."

[21] Adorno ([1971] 1996, 62-63). He continues: "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."

[22] The 60-bar interpolation exists in the space between mm. 6 and 9 (between a and a').

here is of a very different variety than that staged in the first movement—it is a personal struggle of bereavement—although it is no less heroic for that fact.[23]

Because of my interest in "hearing against," I am not interested in "correcting," "symmetrizing," or "equalizing" any of these asymmetries, the sensitivity to which has already begun to pay interpretive dividends. The difference in alignment is easy to understand: an emphasis on hearing the musical surface as a distortion of the "logical" contrapuntal, or rhythmically regular background results at the expense of a sensitivity to the foreground. It may be quite true, as Rothstein (1981, 75) has put it, that

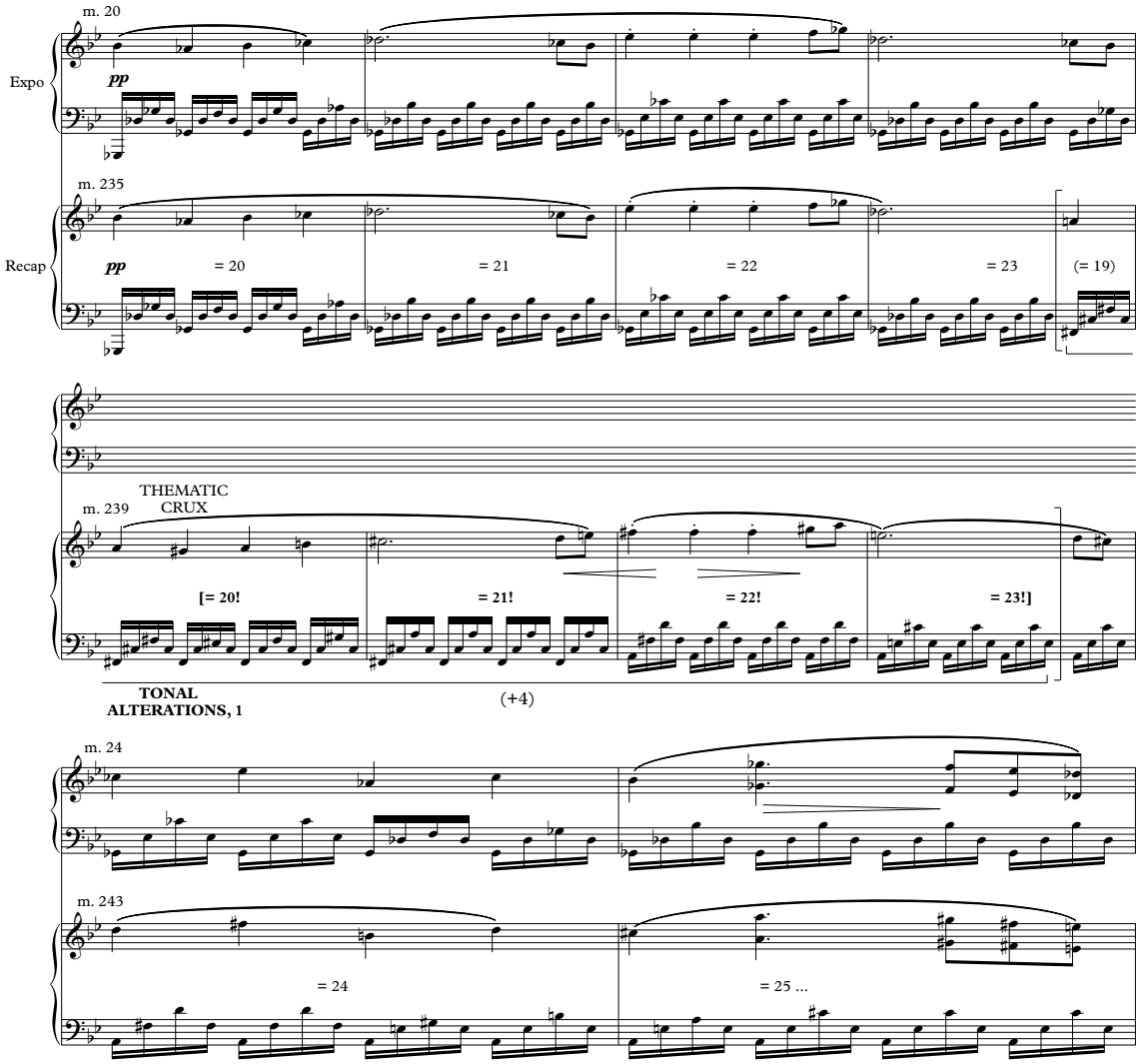
> the normalization/displacement relationships that are immediately apparent in a multi-level graph reveal the perceived tension between the normal and the abnormal; in rhythmic as well as in pitch structure, it is in this tension that much of the expressive and dramatic effect of tonal music lies.

And yet no matter how sensitively one attends to the relationship of foreground asymmetries to their middle- and background idealities—those "fundamentally different" kinds of events (Samarotto)— this alignment overlooks the temporal changes that occur between a recapitulatory passage and its "foreground prototype"—its referential ground.

Another example of a piece whose recapitulatory-alteration treatment ties beautifully into the narrative it has always seemed to project can be found in the opening movement of Schubert's Piano Sonata in B♭, D. 960 (Example 4.8). The recapitulation is an example of the work that a thematic backing-up can suggest since its "obligatory"

[23] Particularly suggestive in this regard are the strategic folds in Beethoven's "*Eroica* sketchbook" (Landsberg 6). According to Lockwood and Gosman (2013, 16), "Beethoven seems to use folds as a way to survey the first three movements together and overcome the distance between relevant sketches." Noticing the recapitulatory expansions in the first and second movements points to the possibility that Beethoven, in claiming that his custom "[when composing operas as well as] … instrumental music, is always to keep the whole in view" (19), Beethoven is referring to the recapitulatory narratives suggested by individual movements.

tonal alterations not only *take time*, suggesting a certain exertion, but also *back up*, suggesting a certain lostness, or momentary inability to proceed.

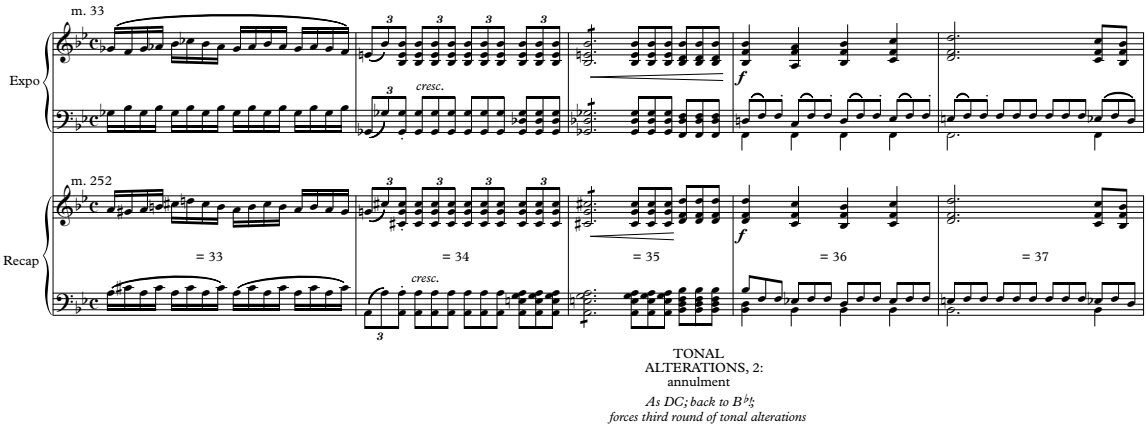


Example 4. 8. The First Set of Tonal-Thematic Alterations in the First Movement of D. 960.

This first set of alterations exerts itself in order to do something, anything, in the face of the confused (if not inhospitable) landscape. The alterations are like those of the first movement of the *Eroica*, in that they take time—they add four bars to the ongoing discourse. They are like Mozart's "Hunt" and the Trio from D. 279 in that they back up to re-sound a set of earlier measures at a different tonal level. And they have thickness (multitude), since the mode-collapsing move to F-sharp minor then modulates freely into

the (false?) major key built on the global leading tone, thus necessitating further treatment, down the line.

But perhaps the reason these "tonal alterations" so suggest labor is that they prove, ultimately, to be for naught. The second, "self-effacing" set of tonal alterations (Example 4.9), instead of using the initial tonal motion as a way station—perhaps splitting the difference in a situation so confusing or difficult that one set of alterations would not have the capacity to effect resolution all by itself—nullifies it, choosing instead to move back to the global tonic B-flat major. The (characteristically Schubertian) wanderer, always advancing, nevertheless gets nowhere.



Example 4. 9. The Second Set of Tonal Alterations in the First Movement of D. 960.

We have seen examples of self-effacing tonal alterations—those offsetting erasures or abortive resettings—already in the context of Category 1 recapitulations. In the Category 2 (+) situation—in concert with the thematic backing-up, the curious development of D. 960 in particular, and the ongoing tonal drama—these confusedly thick tonal alterations suggest an irreparable error in judgment. The problem—tied up with the tonal motion to A major—is so apparently challenging as to seem unfixable: the only way to proceed is

to abort—to revert to where we would have been had no alterations been made at all, and survey the landscape anew, in hopes of finding a way to stay in the tonic B♭.

The notion of self-effacing tonal alterations resonates sympathetically with the way this movement has been heard for some time: Indeed, perhaps nothing in this recapitulation, always heard as a sort of exhausted re-beginning, better expresses the impotence of the exhausted wanderer so long heard therein than this pair of abortive, self-effacing alterations. The first set, tied up as it is with a thematic backing-up, not only suggests exertion, since it seems to need to back up to sequence motives just heard, but also seems to suggest at least the possibility of a certain transcendence of the pervasive F♯/G♭ tonality, by converting F♯-minor to its relative major for fifteen or so bars.[24] And so, momentarily, the alterations seem to have accomplished (at least some of) their task. But the second alteration, which occurs when the A chord is given a flatted seventh (not an augmented sixth as in the exposition) and then functions in the manner of a deceptive cadence to B♭ major, simply erases that work, and along with it the accompanying possibility for transcendence.

It is worth pointing out the "backings-up," on different structural levels, that have been heard in this movement by other scholars.[25] Nicholas Marston (2000, 255) hears in the large-scale, "built-in" backing-up of the recapitulation at large "a retrograde step," and he characterizes the sonata in terms of immense effort:

> Just as the direction "wie oben" in Schubert's draft directs the reader backwards, literally to the start of the movement, so the recapitulation in the first movement of D. 960 breaks not as the now-achieved goal of the tonal and thematic

[24] Fisk (2001, 253) writes that exactly this passage "achieves an emblematic moment of integration of the disparate tonal regions of the sonata." See also the wonderful distance metaphors that characterize A major and F♯ minor in Cohn (1999, 222).

[25] For a summary of earlier analyses, see Clark (2011, 146-161).

> wanderings of the development but rather as the consequence of *a retrograde step, a weary return to the beginning of the journey*. In the silence which constitutes most of bar 215 can be heard *an immense effort of will, a husbanding of largely spent resources in the face of the awful need to begin again.* But only by beginning again will epiphany be granted. [Emphasis added.]

Richard Cohn (1999, 225) uses the suggestive "*volte face*" to characterize the tonal motion of the exposition as a whole (although he will ultimately describe its there-and-back motion in terms of prolongation).[26] Felix Salzer pointed out as early as 1928 that even the piece's P theme unfolds in a large (Schubertian) lyric binary (ABA') form. This observation is important, for it points up the fact that these backings-up, retrograde steps, and volte faces are not all harmonic: there is a good bit of thematic drama as well.[27] In addition to the P-theme's "lyric form," remember Marston's large-scale "*wie oben*" and see Fisk's and Pesic's analogy to "Mein Traum," that allegorical tale of "double banishment" and return.[28] The backing-up that characterizes the first stage of the recapitulatory alterations thus seems to tie in to many such behaviors in the piece—harmonic and tonal and on many different structural levels.

But this recapitulatory backing-up in particular has not received much analytic attention. Marston's characterization of D. 960 ultimately overlooks the thematic-tonal

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[26] He later qualifies, but does not abandon, this reading. Cohn cites Rosen (1988) and Webster (1979), who hear the passage similarly.

[27] Two scholars who hear only a tonal drama unfolding in D. 960 are Clark (2011) and Almén (2008). Clark's harmonic/tonal bias (in her discussion of D. 960 as well as in her book as a whole) seems to color her readings of earlier theorists; at the end of the discussion of D. 960 she comes to the peculiar conclusion (157) that "the point to be drawn from these narrative readings of the Sonata in B♭ Major is that extramusical meaning is understood to be primarily encoded in the harmony—and that music theory plays a vital role in unlocking the harmonic code."

[28] The "literary fantasy" of "exploration, banishment, exile, and eventual homecoming" was written by Schubert in 1822, and entitled "Mein Traum" by his brother Ferdinand. Fisk (2001, 267) writes that "like the protagonist of Mein Traum, [that of D. 960] is cast out … and he begins to search and to wander…" For a conspectus of earlier readings of the fantasy (psychoanalytic, music-analytic, biographical, hermeneutic), see Gibbs (2000, 31-33) and Clark (2011, 148-161).

alterations of mm. 239-42 and 254, and Cohn, who in fact names the thematic expansion—a "four-measure *Molleinschub*"—ultimately frames his discussion of it in terms of tonal and motivic perspectives.[29] Cohn provides a convincing treatment of the middleground tonal reasons for the insertion, tying these into observations about time—who could forget the turn of phrase "temporal parallax"?—but ultimately his concerns are different from those of the present project. What Cohn and I have in common is in *noticing* that this alteration is not for nothing, and proposing criteria for *why* the change is made. These four measures are doing *something*; what is it?

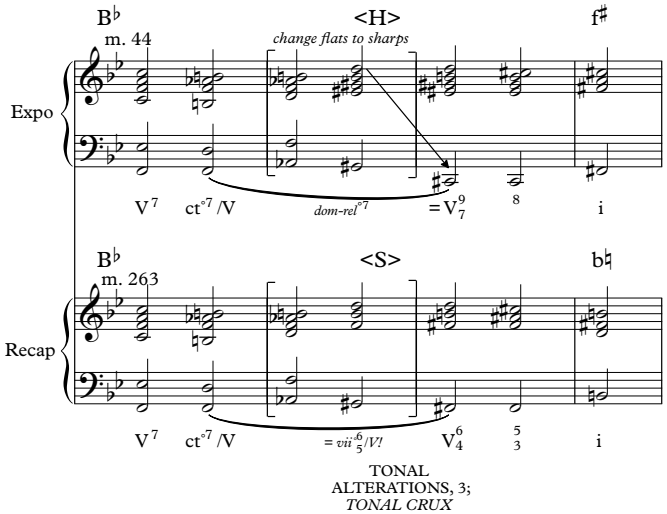
The answer may hinge on understanding the drama staged by the tonal and thematic alterations of the piece. First, because of Schubert's choice of the self-effacing tonal-alteration strategy—which I have characterized as the resulting from an inhospitable landscape or the confusion (psychological or geographical) of the exiled virtual protagonist—a third set of tonal alterations will have to be made down the line. One "parallax" attendant upon staging two sets of tonal alterations in this way comes from the staging of more work than is typically needed in a sonata movement, which results, ultimately, in no tonal achievement. The tonal-thematic alteration strategy fits right in with Marston's reading, too: for if, as he suggests, this recapitulation presents a

[29] Cohn hears in the recapitulation an articulation of the main tonalities of the exposition, in order, in a shorter amount of time. He also hears a composing-out of the incipit motive B♭-A (the same motive responsible for the oscillation between D minor and B♭ in the development) in the downbeats of mm. 235 and 239. But though his characterization of the recapitulation involves a "temporal parallax," it is predicated on the deep-level rhythms of middleground keys, not on the four-bar deceleration: the reason mm. 239-242 are central to his reading is because of the keys it articulates: they are the keys of the S theme of the sonata, *too fast*.

For another (mostly tonal) analysis of D. 960 that identifies backings-up, wandering, and hesitation, see Byron Almén (2008), who does not mention the enlargement at all. Almén chooses instead to focus on the piece's distant tonal relationships, even if thematic criteria would help his interpretation that "the changes in Schubert's recapitulation in relation to the exposition ultimately serve to confirm the tragic course" (157). Interesting here is that even Almén's tonally biased interpretation hinges on D. 960's "tendency to hesitate" (see also "wander harmonically" (159) and "the continual setbacks of the narrative subject" (161).

"weary return," "an immense effort of will," and "a husbanding of largely spent resources in the face of the awful need to begin again," the self-effacement of the first two alterations, which both take work to enact and necessitate further work having to be done by the wanderer, might suggest a certain desperation.

Against such a backdrop it is not surprising to permit, as Marston does, the possibility for grace or epiphany. The epiphany moment, if there is one, certainly aligns with the moment of tonal crux, at m. 265 = 46, when the common-tone $^{\circ 7}$/V chord that so tragically blocks the projected B♭:PAC is here used as a vii$^{\circ 6}_{5}$/V in B minor rather than as a dominant-related diminished seventh chord in F-sharp minor.[30] Example 4.10 is a comparative graphic of the two progressions.



Example 4. 10. Comparative Harmonic Progressions in the First Movement of D. 960.

Whether by Grace or by willed action, this final moment of tonal alterations seems to be the moment when the protagonist first sees the way. (Like Marston, I choose Grace, here the staging of a sudden epiphany of recognizing the needed tonal mobility in the

[30] One "rogue" neo-Riemannian transformation, the hexatonic pole, is thus traded for the other, the so-called "slide progression." These transformations are motivic: Another hexatonic pole (F+ to C♯-) opens the development, while the Slide transformation moves us both from the F♯ minor of TM^1 to the dominant, F, for TM^2, as well as from B minor to B♭ major in the corresponding place in the recapitulation.

Mehrdeutigkeit of the diminished seventh chord, the agent of collapse as well as the agent of salvation. "But where danger threatens / That which saves from it also grows."[31]) The wanderer's (tonal) path is, as it were, illuminated for him even as this mobile, or changeable "aspect" of the diminished seventh chord is lit up. They *dawn* on him, as an aspect, or as Grace, dawn. It is a marvelous touch that the middleground Slide progression results (at the level of the recapitulation as a whole) in a large-scale, self-cancelling, forward-and-back motion: from B♭ $\xrightarrow{<S>}$ b $\xrightarrow{<S>}$ B♭, as against the exposition's propulsive B♭ $\xrightarrow{<H>}$ f♯ $\xrightarrow{<S>}$ F. We can hear its first two, self-cancelling tonal alterations, as a smaller symptom of the same abstract harmonic behavior.

We now consider a pair of recapitulations, this time the (revised) outer movements of the Piano Sonata in E♭, D. 568, both of which feature definitive Category 2 behaviors.[32] Like the outer movements of the Beethoven Piano Sonata we examined above, those of D. 568 have recapitulations that distort their exposition-recapitulation symmetry in opposite directions. Schubert's alterations are larger and more drastic than Beethoven's. In the following I assume both that this perturbation of symmetry is deliberate, and that the outer movements are to be taken as a pair.[33] In cases like these,

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[31] From Hölderlin's "Patmos," translated by Michael Hamburger in Hölderlin (1998).

[32] D. 568 is a revised version (probably but not certainly by Schubert) of D. 567 (1817), which was in a different key (D♭), lacked a minuet, had different internal key relations, and featured other differences of musical material. Tusa (1984) has argued, "on the basis of stylistic criteria," that the outer movements of D. 568 were revised (by Schubert) between 1825 and 1826.

[33] The outer movements of D. 568 have been related to one another before: Chusid (1964, 213-215) likens their developments to one another; Tusa (appealing to Chusid) writes that certain revisions of the piece were "motivated by considerations of cyclic unity" (213-215). Outer movements in Schubert's sonatas often have structural similarities worth excavating at length, and far before 1824, the date Chusid, Gingerich, and others have identified as so important for these cyclic compositions. See, for only one early instance, the identical idiosyncratic forms of

there would seem to be some larger narrative or compositional reason for choosing the Category 2 strategy. The task is to imagine what that reason might be.

The first movement of D. 568 features a flourish recapitulation that (capriciously, impetuously) refuses to recapitulate thirteen measures of its referential exposition.[34] The thirteen bars that are deleted from the ongoing rotation are not just any bars, either. As example 4.11 shows, this recapitulatory behavior removes from the ongoing rotation the entire, modally shifted expositional TR. It is of course possible that this behavior is to be heard as an excision of the exposition's modally "problematic" E-flat minor, *Sturm und Drang* outburst that runs from mm. 28-40. But its removal *tout court*—a rash decision on the recapitulation's part?—introduces its own slew of formal problems. For along with the deletion of the entire TR section this recapitulation deletes a textbook MC and its forceful preparation—♯$\hat{4}$ in the bass (m. 34), clear dominant lock (mm. 35-39), I:HC MC (m. 39), six beats of actual silence in the left hand (mm. 39-40), and a gossamer ascending scale in the right that proceeds in tandem with both a lowering of dynamics and a slowing of tempo.

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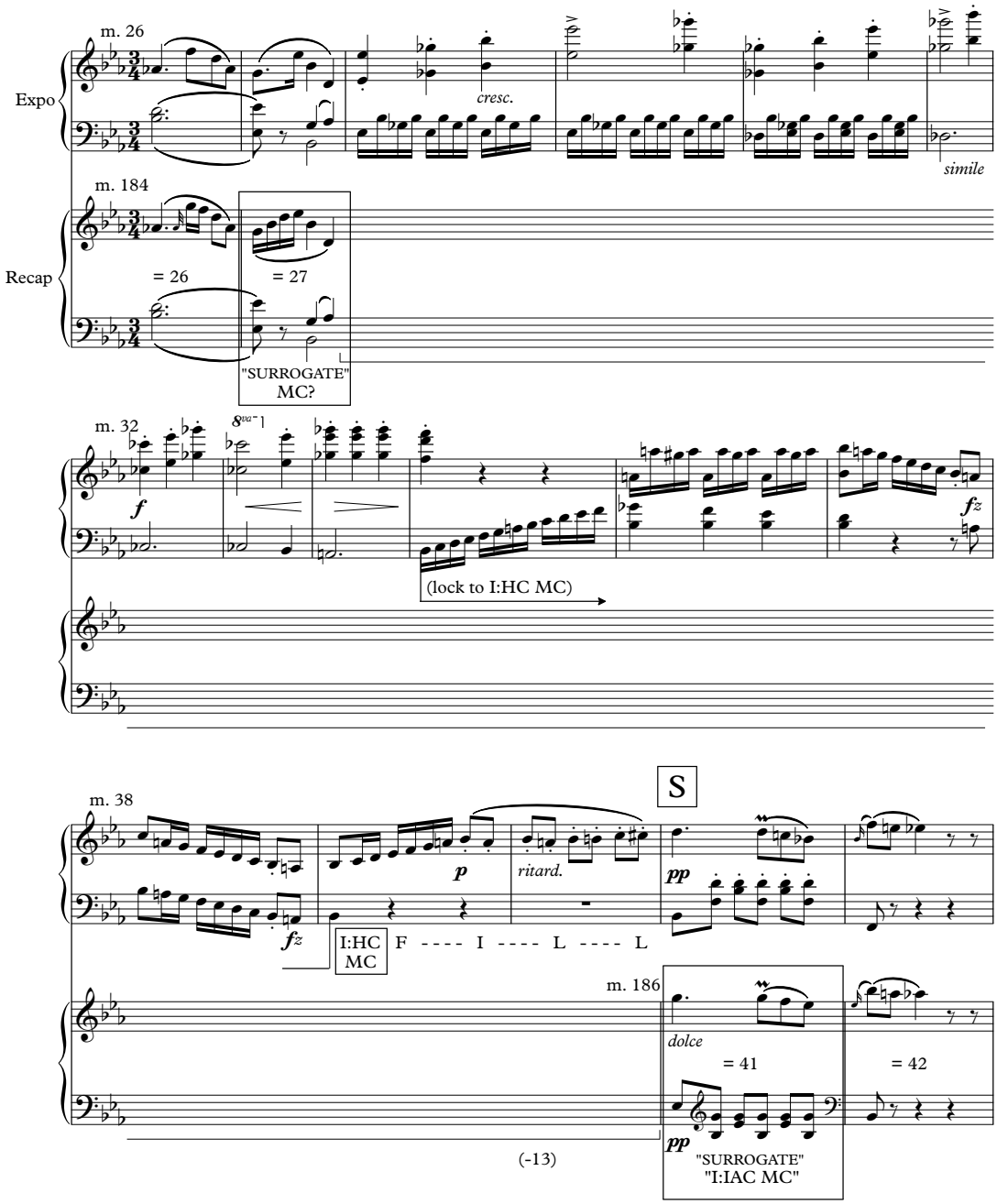
the outer movements of the Second Symphony, as if they are two different realizations of a precompositional formal plan.

[34] Tusa (214) identifies its flourishes as evidence of a late date of composition: "In [the earlier version of this sonata] the recapitulation begins in the tonic with a *notatim* restatement of the first group as it had appeared at the beginning of the movement. Such literalness of thematic recapitulation is the rule in Schubert's early works. The recapitulation of [D568] however varies the entire first group in ways that have few parallels in Schubert's early works.… Such procedures, which are reminiscent of Beethoven's methods of recapitulation reinterpretation, can be related to Schubert's experiments with the recapitulation in major instrumental works of his maturity, such as the ambiguity of D840 and [D845] and the variation of the first group and bridge in the G-Major string quartet."

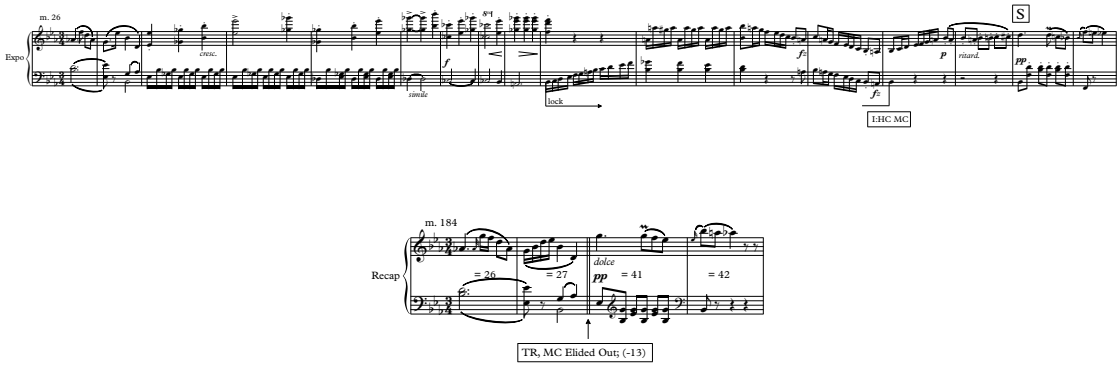


Example 4. 11. Medial Caesuras and S Themes in the First Movement of D. 568.

Faced with the recapitulation alone—that is, without hearing it against the expositional reference—we would be forced to conclude that it features a curious I:IAC MC, flush elided with the onset of S—a rare MC type if ever there was one.[35] But other

[35] See this passage from *Elements* (29, emphasis added): "A I:PAC or IAC-substitute leading to an obvious S in the new key may occasionally be found in light, small-scale works, in

properties of the cadence seem "elided": where, for instance, does the leading tone D on the last quarter-note beat of m. 185, resolve? (An admittedly extreme reading might see in this non-resolution an argument for a I:HC[7] MC at m. 185.) Perhaps, going to the other extreme, we would prefer to say that this recapitulation is continuous—it has decided to elide out its MC entirely, thus performing a radical conversion of its expositional structure, from two-part to continuous. (In that case, what would we make of the return of the music we called S in the exposition?) Whatever we choose to call it, it is clear that the MC—if we are prepared to grant it such a status at all—is problematic. (I have called it a "surrogate" MC on the graphic; and labeled it both ways.)



Example 4.12. Temporal Compression in the First Movement of D. 568.

Besides its MC issues, there is also the effect the deletion has on the proportion of the recapitulation, relative to its referential exposition. Example 4.11 shows what is cut out, and how, but it does not express as forcefully as it might exactly *how much* is cut out. One way to call attention, visually, to the change in size—to the radical brevity of the recapitulation, relative to its exposition—would be by representing it "triangularly,"

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some telescoped or abbreviated expositions, and in some slow movements. Generally the PAC or IAC closes off a brief, straightforward P, and *the resulting impression is that of omitting the TR-zone altogether. Because of the effective ellipsis of TR, the I:PAC or IAC at the end of P is asked to do double duty as the rhetorical MC.*"

as in Example 4.12.[36] This representation shows, more forcefully than in Example 4.11, the amount of material that is elided out of the recapitulation of D. 568.

Let's talk about *techne*. The hiccup forward—the stylus's skip in the groove—results in a 13-bar compression by deletion; the measures that are cut were not immediately repeated in the exposition, and so the argument from redundancy is unavailable. (Unless one factors for the resemblance of the TR-based C^2 modules at mm. 88 ff., repeated, with invertible counterpoint at mm. 94 ff., the development has no motives that resemble the expositional TR). The argument that the Alberti bass in the recapitulatory C^2 (mm. 233 = 88 ff.) and the "Alberti treble" at its repetition (mm. 239 = 94 ff.) resembles the omitted TR and thus compensates for its omission—which is to say that it was already redundant in some way in the exposition—is available to the analyst who wants to make it, although it says nothing about the radical (and unanswered) change of proportion. Thus besides the TR-based C^2 modules, which are recapitulated in full, the (actual) missing TR motives do not occur in the developmental rotation or in any parageneric zone (the movement has no coda).

But where did this troubled transition go? Is it, to borrow one of Youens's (1991) assertions regarding the *Winterreise* Lieder, simply too painful to face again? Does something about this TR make it impossible to recapitulate in its proper place? Unworthy of recapitulation? Unfitting, somehow, in the recapitulatory argument? Explanations for the excision of the *Sturm und Drang* outburst could come from any number of domains; the ones I have been alluding to are topical (Ratnerian) and formalist (Rosenian, Caplinian).

[36] The graphic bears some structural similarities to those used in Samarotto (1999) although his graphs, designed to show rhythmic reductions on multiple structural levels, are paragons of "hearing-through." Example 4.12 is designed to capture hearing-against.

On a topical reading, a change is to be understood as having occurred in the protagonist, as evidenced by this or that topic or the lack thereof: the reason the music cannot revisit E♭ minor again is to be based on the narrative being stitched from the lineal sequence of musical topics. On a formalist reading, the inclusion of some musical module that resembles TR—perhaps C^2, perhaps the developmental *Sturm und Drang* outburst at mm. 121 ff.—has rendered the recapitulatory outburst "redundant" or "extra" (thematically), or "overburdensome" (tonally). There is merit in this type of reasoning, even if it says nothing about why, for instance, it would be acceptable that *S* was repeated, both in the exposition and in the recapitulation (resulting in a total of four S modules); or why C^1 and C^2 are both repeated (with invertible counterpoint), resulting in four of each of those modules (eight total). Why do not these modules "overburden" the tonic or render some theme redundant? Why should not they be excised as well?

To dig deeper: perhaps any outburst of E♭ minor is to be seen as tonally redundant since the recapitulation—which tracks the exposition tonally—exhibits deep-level mixture involving the pitch G♭. On this reading, G♭ (heard as the upper third of the now achieved tonic E♭) will sate our desire for the otherwise missing E♭-minor. (Follow the bass-line from the E♭:ESC at m. 201 through the tonicizations of G♭ (m. 208), F (m. 216) and E♭ (m. 224) and the corresponding moments in the exposition). Note, also, that E-flat minor (as the submediant of G♭ major) was tonicized briefly in the bars leading up to the retransition (mm. 147 ff.), and also in the dominant lock of the retransition itself (mm. 150 ff.). Again, these arguments are not without merit, but they say nothing about proportion, deletion, non-correspondences, time-perceptions, the lack of effort that accompanies the achievement of the MC, and so forth.

Regardless of what has happened in a development, any time-transformation in a recapitulation is significant since it bears not only on our hearing of the piece, but also on the "distance-traveled," as perceived by a wanderer (the stylus of a record player?) who circumvolves his landscape. Thus in the first movement of D. 568, the recapitulatory S theme is not only unearned—since unprepared by a transition and because of its problematic MC—but also *too soon*. Is this a moment of Grace? A great many of the recapitulatory flourishes, especially P's insouciant mordents, would seem to say so; they sound like a celebration of sorts, their happy-go-lucky character in decisive contrast to the terrifying, shuddering use to which these figures are so often put Schubert.[37] These mordents create a motivic bridge between P and the recapitulatory S, which happens unmediated by the modally and topically troublesome minor-mode TR.

The ESC in this movement happens to the protagonist; it descends upon him.[38] And it happens earlier than projected. It does not take "work" to achieve; indeed it explicitly avoids having to do such work; this avoidance of labor performed is part of what makes it seem like an offering. Had the compression in this movement taken more work, it might have afforded a perception of willed action: the protagonist is excited about the ESC, sees it, rushes towards it, enacts it, effects it, brings it about, and so on. But the achievement of this S theme and terminating ESC seems altogether less agential.

[37] For only two instances, see the mordents in the bleak "Todtengräbers Heimweh," D. 842, and the contemporary first movement of D. 845, which quotes them exactly.

[38] The difference between a protagonist who "makes," "achieves," "effects," or "earns" his fate and one to whom fate *happens* is characteristic of the heard division between Beethoven and Schubert. See Taylor (2014, 69) who writes that in Schubert things "[happen], it seems, externally: the subject is a passive participant, who does not know and cannot control when the landscape may briefly lighten."

Why, then, the omission of TR? The easier to stage the pleasantness of S. The easier to stage its achievement as the dawning of Grace.

If this interpretation goes too far, I will back up to emphasize that even a formalist reading, sensitive to recapitulatory thematic alterations, can capture something important about the excised TR and MC. For there is a certain cleverness, or play, involved in omitting the music that moved from the E♭:PAC at m. 27-28 to the onset of S at m. 41; it takes compositional ingenuity necessary to make such a deletion work. In the exposition, some bridge passage is necessary to move from the cadential dominant at m. 27 to an S theme in B♭ at m. 41, but no such bridge passage is necessary in the recapitulation. I am not arguing that such a passage is *redundant*—what would that assertion mean?—but calling attention to the acceleration that attends its deletion. For (again) if redundancy is the main criterion for recapitulatory cuts, then why shouldn't the repeated P^2 module at mm. 16-22 (repeated at mm. 22-28) be cut? It, after all, occurs four times.[39]

It may seem strange to cast an interpretation of a movement by Schubert—especially a late one—in the positive terms of Grace and celebration. These terms seem to contradict the bleaker narratives that have recently surrounded his music.[40] What would a more "fashionable" (Gingerich) hearing look like? Such a reading would likely

[39] In the face of constant reminders that in recapitulations thematic redundancies are cut out in favor of a streamlined, directed approach to the goal, it is well to remember instances like the first movement of Beethoven's Eighth Symphony, in which P, sounded only once in the exposition, is in the recapitulation sounded twice in a row.

[40] Already in 1996, Gingerich had identified that the "notion of Schubert as an incorrigible songster, blithely abusing the spirit of sonata form, is out of date; the current fashion is to hear all of his music from a perspective of morbidity, foreboding, alienation, and tragedy." Compare Gibbs (2000, 3-4): "In the closing years of the twentieth century a new Schubert image has suddenly emerged, generating considerable controversy. The explorations of Schubert's possible homosexuality, depression, habitual drinking, and neuroses have all made for alluring headlines and are a striking counter-pole to the trivial image of the guileless 'Prince of Song' that had reigned for so long. There is often also, I believe a great deal more truth to the revised view."

emphasize different events—the deep-level mixture (both of B♭ and of E♭) within C space, the ability of the leading tone D to resolve to its tonic E♭ only over a vi chord and not over the actual V-I resolution that summons S, and the sounding of minor-mode modules in C^2. It would focus on the one-bar *tache* of E-flat minor at m. 205, the mixed motion to G-flat major for C^1 (m. 207 ff.), and the F-minor repetition of C^1 at mm. 216 ff.

If these events were to be pressed in service of a negative reading, the narrative would give the impression of a sort of roller coaster: not only does the protagonist have no agency, but his world moves ever faster. Everything happens so fast, indeed, that sonata conventions—perhaps even voice-leading conventions—go by the wayside.[41] This "description under which" bears strongly on the perceived affect of each of the zones: we now hear something *hiding* in the *dolce* S theme at m. 186; it is not as sweet as it seems. In the present discussion, what is important about this recapitulation is not, ultimately, to decide whether it is positive or negative, but rather to see how both these interpretations have been based on its recapitulatory acceleration. The dawning of Grace and the out-of-control accelerations are both based on the omission of TR and its concomitant foreshortening.

One reason D. 568 as a whole is so provocative from the point of view of thematic alterations is that its finale enacts something like what its first movement did, in an opposite direction. It is tempting, considering Chusid's, Gingerich's and Tusa's emphasis on Schubert's "cyclic compositions," to consider the finale as a direct

[41] Would the end-weightedness of each of its rotations also contribute to this reading, as if C^1 and C^2 were trying somehow to balance out, compensate for, or stage a forgetting of, the earlier action zones? P (and the missing TR) unfold in 27 bars, S in 15, but C space takes 56 bars.

response—a balancing, if you want—to the exposition. Perhaps it is only on this larger canvas that we can understand the narrative argument of the piece as a whole.[42]

The most curious quirks in the exposition of the finale of D. 568—many of whose surface thematic elements resemble those of the first movement—are certainly first, its refusal to use the dominant lock and proposed MC at m. 14 as an MC (not shown on Example 4.13) and second, its minor-mode S (or TM^1) theme.[43] The dominant lock, for its part, turns out to participate on a lower level of structure: it serves as the end of the B section of a ternary P theme, with $P^{A'}$ returning at m. 15.[44] But as Example 4.13 shows, the exposition is all the more perturbed for not seizing upon this as an opportunity, not only because by not capitalizing on an MC offered it *pushes back* the possibility for S and the EEC (a dangerous game in Schubert), but also since the true S theme materializes, following on the heels of an enormous number of perfect authentic cadences in E♭ and B♭, unprepared by any MC at all.

The B♭-minor S theme in the context of an E♭-major movement is indeed a rare and powerful expressive choice in the nineteenth century. *Elements* (141) reminds us

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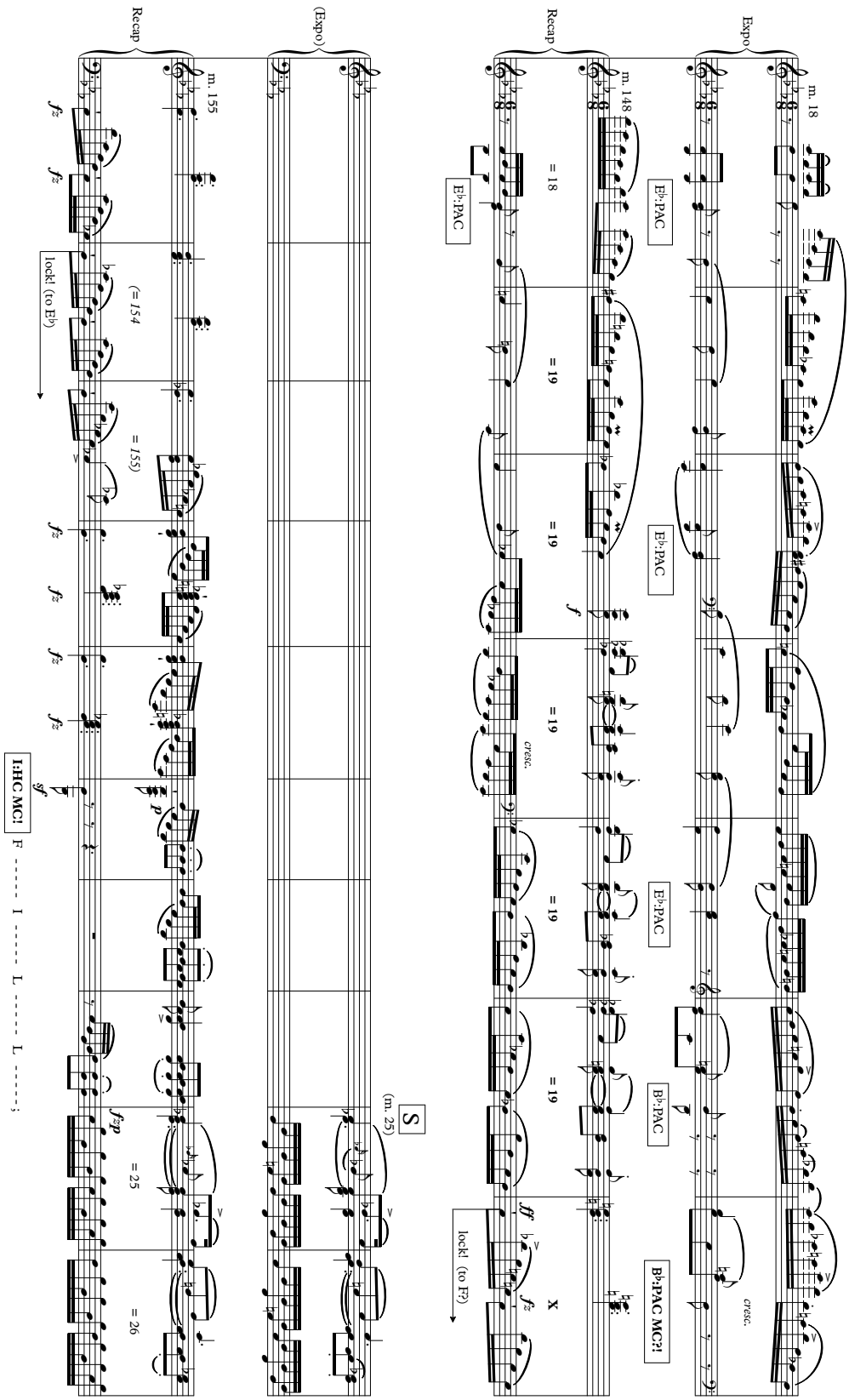
[42] Tusa, citing Chusid, explicitly relates all the movements of D. 568 to one another, suggesting that even changes of key that resulted in the move from D. 567 to D. 568 were "motivated by considerations of cyclic unity… Subtle but audible interconnections between movements are a common feature of works from Schubert's maturity" (215 and 218).

[43] For intermovement similarities, compare the circle-of-fifths motion at mm. 18 ff. in the finale with the pre-MC motion in the first movement; the suspension chains in the development of the first movement (mm. 122 ff.) with those in the recapitulatory TR of the finale; and both movements' emphasis on mordents. See also the finale's continuing emphasis on invertible counterpoint (re-instrumentation?), as captured on Example 4.13 below, (mm. 18 and 148).

[44] It is plausible that this $P^{A'}$ should be taken simultaneously as TR (as is often the case), but this does little to explain the strangeness of the slew of E♭:PACs (mm. 18, 20, 22), the curious and lame modulation to B♭ (mm. 23) and two PACs there (mm. 23 and 24), the lack of silence between this would-be TR and S, and the crescendo into its onset (m. 24).



Example 4. 13. Medial Caesuras and S Themes in the Finale of D. 568.

that it typically carried implications of "tragedy, malevolence, a sudden expressive reversal, or an unexpected complication within the musical plot." All the more so in this case, it seems, for three reasons. First, because the minor-mode S is unprepared by an MC. Second, because of its lopsided sentential structure (2+2+*3*?), which calls attention to itself as a distortion of a paradigmatically symmetrical structure. And third, because of its motion to D-flat major at m. 34, and PAC there at m. 41—as if the desire (or ability) to escape from the minor mode somehow trumped the desire (or ability) for converting the five-flat universe into a two-flat universe.[45]

If the tonal drama of this four-movement sonata cycle—and especially its outer two movements—is as closely argued as Tusa and others have heard it to be, could it be that this B♭-minor sound world (as well as the closely related D♭ to which it modulates at mm. 35 ff.), so out of place in a major-mode sonata form from the first quarter of the nineteenth century, harks back to the minor-mode *Sturm und Drang* outbursts of its first movement? (Could we go as far as to argue that this is why S, in this movement, appears in the minor mode? Farther still: that this is why TR is omitted in the recapitulation of the first movement of the piece? Perhaps too far: that the B♭-minor TM^1-theme, with its lopsided ("too short") sentential structure, is supposed to jog our memories of something

[45] If the "first PAC rule" stands, the D♭:PAC EEC at m. 41 would be tonally estranged; a reading of TMB is thus likely among Sonata Theorists. What's interesting here is certainly that the music at mm. 41 ff., $TM^{2.1}$, begins *as if C*, celebratory, with simple tonic and dominant harmonies. It isn't until $TM^{2.2}$, at m. 47, that this becomes typically TM^2-ish—reinvigorating, corrective, developmental, and so on. Continuing with this reading, the V:PAC at m. 55 is not the EEC but rather a PMC, flush elided with TM^3, in B♭-major, still riddled with surface mixture. Notice that this TM^3 module, corrected to B♭ major, has also had its phrase-structure corrected: it unfolds as a perfect eight-bar sentence, even if it takes a bar of echo to make it happen. Finally, notice that the music that follows the B♭:PAC (EEC, on this reading) at m. 63 *is equal to* $TM^{2.2}$, giving credence to the assertion that $TM^{2.2}$ begins to unfold as if C. This is a backing-up and correction if ever there was one: not that key, *this key*; not that distorted sentence, *this perfect sentence*, not C after a tonally estranged would-be EEC, *C after a V:PAC EEC*.

omitted or something *too soon* from earlier in the cycle?—its correction in TM^3 a clue that this piece means to bring into balance things that were off kilter earlier on?) For if it seems far-fetched that a B♭-minor S-theme in this finale is supposed to hark back to a missing E♭-minor module in the first movement, remember that if all goes well, we shall get our E♭-minor outburst at the parallel moment of the recapitulation.

Example 4.13 shows that the recapitulation does indeed feature an E♭-minor S theme beginning at 163, over an Alberti-like bass. It also shows that this recapitulatory TR seems to struggle to get to its S theme in a way that was totally foreign to the recapitulation of the first movement. Many musical factors, both tonal and thematic, contribute to staging the ESC of this movement as more difficult to achieve than was its EEC. The tonal factors, such as the onset of S (TM^1) in the minor mode (perhaps connected to the first movement's TR)—*Elements'* "unexpected complication"—have already been examined in the context of the exposition. They bring to the sonata's recapitulation a tonal task, a job that must be completed through the application of work.

But central to my reading of the cycle (and to my enterprise in general) is that this tonal task is given strength by the thematic layout of the recapitulation, which seems to struggle (through invertible counterpoint and motivic liquidation) to use the motives first heard in m. 19 to get somewhere. These motives are pressed in service of a sequence involving root motion by descending thirds from the E♭ cadence at m. 148 down to the C-as-dominant lock at m. 154. (The tonal motion here from E♭ major at m. 148 to B♭-minor-as-subdominant at m. 153 may hark back to the tonal relationship between expositional P and S, a piece of evidence that supports my identification of the passage as "work," as "correction.") In Example 4.13, the repeated correspondence measures

rendered in bold face—"= 19, = 19, = 19, = 19, = 19"—come from the intense contrapuntal treatment given one of the piece's motives. For all their tonal motion, do they also, by virtue of their repetition of a single referential measure, evince a feeling of stuckness? For with every sequenced repetition that uses motives from m. 19, the ESC is pushed farther away.

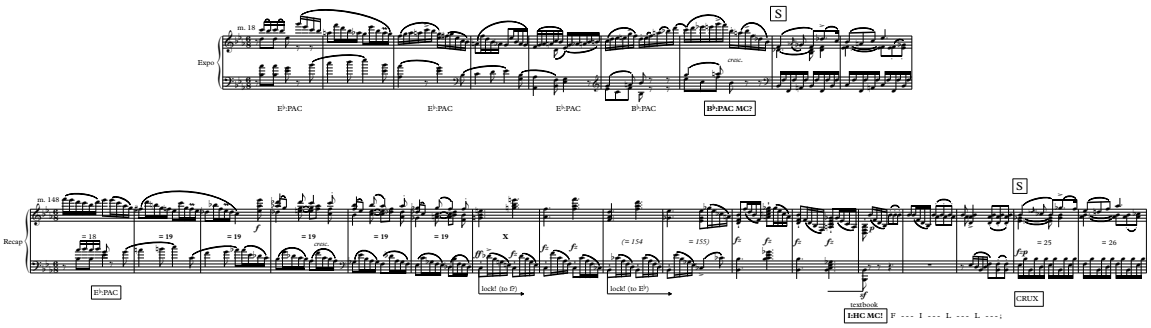
The C-as-dominant achieved at m. 154 is prolonged for two full measures, making this a strong candidate for a pre-MC dominant lock (albeit the wrong dominant). The lock is of course new, since the exposition jettisoned the only MC candidate it could produce, at m. 14, following two bars of a B♭ dominant lock (cf. mm. 142-144). But the recapitulation has not yet finished applying (compensatory, requisite) work to its TR, and after two bars of groping, sequential material, this C-as-dominant slips downwards through C♭ to B♭-as-dominant, for a restatement—now at the proper pitch level—of these pre-MC-like lock motives. (The backing-up to treat the already articulated dominant-lock motives "at the wrong dominant" thematizes the work it takes, as well as ties in to the modus operandi of this piece as a whole.)

All in all we are dealing with an 8-bar delay here, but one that feels much longer for its dogged repetition of m. 19, for its wrong dominant lock, and for its backing-up to regain those motives over the proper dominant. The recomposed recapitulatory TR delays, or pushes back the (possibility of, perception of) the ESC as it grows ever longer; the protagonist applies work in order to trudge forwards across his musical landscape but is beset by a repeating skip in the record—a glitch in the program. (TR pushes back the ESC in the manner of, but even further than, the backings-up we saw in the movement's

initial rotation.) By the lock on B♭-as-dominant the narrative seems finally to tip in favor of the protagonist, who may be able to marshal a proper MC at last.

As Example 4.13 makes clear there is, at m. 160 (no expositional counterpart) an unmistakable I:HC MC, ***sf***, with a gap in the left hand and three bars of normative caesura fill in the right. Its minor mode notwithstanding, the light in which the S theme appears (at m. 163 = 25) has changed entirely: in the exposition this theme waltzed—totally unprepared—into a very curious scene characterized by the sounding of authentic cadences in every measure. In the recapitulation, by contrast, by entering after an MC that could not be more classical in its effect, it is the paragon of poise.

The moment that is to launch the movement's E♭-minor S theme—which invites us to recall the moment of the missing key of the first movement—is formally related to that earlier moment inversely: is this the first movement's missing E♭ minor? Is it its missing MC? In this finale we have a recapitulatory TR that gains measures, that decelerates, that calls attention to or thematizes the amount of work it takes to create a proper MC and launch a proper S theme, where no such preparation was carried out in the exposition. Example 4.14 gives an idea of the amount of material added. Its inverse relationship to Example 4.12—which showed a recapitulation that omitted TR and MC—is captured by the orientation of the "triangle," which points upwards.



Example 4. 14. Temporal Expansion in the Finale of Schubert, D. 568.

My suggestion is that this is the conscious *staging* of a problem or issue that takes time (or work), and not merely an accident or somnambulism on Schubert's part. The reading is made stronger by the dominant lock that appears in the finale at 142 (= 12). For the narrative of Grace I proposed in relation to the first movement would have been possible in this movement too—is indeed extremely easy to imagine. To put it in terms of a compositional injunction: simply use the I:HC MC candidate at m. 144 (= 14) as the MC and begin the recapitulatory, E♭-minor S theme at m. 145. If this solution were chosen it would both have resolved the expositional MC issue and managed to cut time out of the recapitulation. It seems difficult to make the argument that Schubert would not have been aware of its possibility as a solution since—as we have already seen—this is precisely the path plotted by his first movement. And yet, he seems in this finale to have preferred making the opposite alteration. One wonders, then, whether the treatment of this finale does more than simply provide one more similarity between the outer movements of this famously "cyclic" sonata: does it also, by distorting its own *composite rhythmos*, equalize or balance the outer movements of the sonata as a whole?

I have been critical of the claim that recapitulations tend to move in the direction of increased clarity—a positioning that is given strength by the first movement of D. 568. It must be granted, however, that the finale of D. 568, if understood in those terms, seems to do more than merely this. For its recapitulation corrects not only the problematic exposition of its own movement—by adding a proper MC—but reaches back into history in order to correct the issues that cropped up in its first movement, to which it is a sort of balancing mirror.

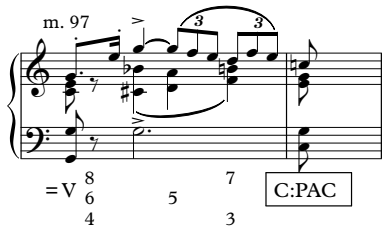
I will not address the middle movements of D. 568 in any detail, but I note in passing that in this context it is fanciful, but not impossible, to hear the *pathétique* slow movement, a rondo-like form with its own issues with time-alterations, as revisiting, if not lamenting the first movement's loss of symmetry. The reprise of this form deletes fourteen measures of its expositional thematic layout in its first set of alterations, but its last rondo refrain—or is it a resumption of the missing measures?—then fashions a way of restoring eight of them. It thus restages something like the first movement's loss (fourteen measures here instead of thirteen), and then it shows one way to get eight—precisely the number of measures regained in the finale—of those measures back.[46]

4.5 Decelerations by Multiple Repetitions of a Single Referential Bar

As the recapitulatory TR in the finale of D. 568 has shown us, thematic alterations that take time can suggest apprehension, work, or an inability to decide what to do next. This is especially true when such expansions consist of multiple repetitions of a single referential bar. (In D. 568 the dogged, four-fold repetitions of the music of m. 19 at mm. 149-152 suggested a reasoned expansion for purposes of balance.) The (broken-record-like) phenomenon of repeating the thematic material of a single measure carries with it different interpretive suggestions than the strategy of repeating a group of measures.

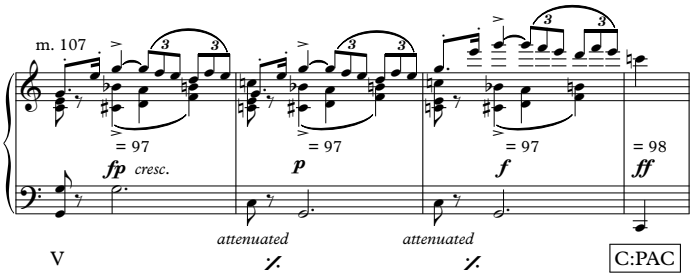
These types of intensifying repetitions can occur anywhere in a sonata form, as evidenced by the common strategy of the perorational or celebratory repeat of a cadence. Witness, for example, the V:PAC that closes C space in the "deceleration-obsessed" first movement of Schubert's Octet, D. 803. The C:PAC first occurs as the terminal cadence of C space at m. 97 (Example 4.15).

[46] Because of its two time-alterations, the Andante is a Category 3 recapitulation. My analysis gives thematic support to Tusa's harmonic/tonal argument that the movement was transposed to G minor in order to be brought into closer contact with the other three movements.



Example 4. 15. A C:PAC in the First Movement of Schubert's Octet, D. 803.

When it is repeated in C^{rep} at mm. 107 ff., it is given emphasis by being stated three times (Example 4.16).



Example 4. 16. Repetitions of a C:PAC in the First Movement of D. 803.

But when the technique of repeating a single referential bar happens at non-cadential, non-celebratory, or non-climactic moments, it can suggest groping or lostness. A quick glance at an extreme example of this, from the thoroughly Schubertian finale of Brahms's Piano Quartet Op. 26 shows the extent to which repetitions of single bars can suggest a feeling of being mired, as if the protagonist does not know which way might bring about a more positive ending than, say, was achieved in a troubled exposition.[47] Though we are not yet in a position to understand all its sophisticated and difficult time-transformations, the dogged repetition of measures just before its recapitulatory S (if S it

[47] Pascall (1974, 62) identifies this piece having been inspired by Schubert. Cf. Pascall (1983, 286-287): "Expansion in the tonal and thematic content of Brahms's sonata forms at the time of his 'first maturity' received much of its impetus from Schubert…. The finale of the Piano Quartet no 2 in A op 26 … is a telling example. There are plain thematic resonances from the finale of Schubert's String Quintet and from the *Rondo brilliant;* the form is of a type found rarely in the Classical period, but with examples in the finales of Schubert's C minor and B flat sonatas, the G major String Quartet and the String Quintet." In addition to the thematic allusions Pascall identifies, its slow movement houses a clear allusion to "Die Stadt" (mm. 98 ff. and again at mm. 153 ff.) and Gretchen is certainly lurking in its finale at mm. 271 ff.

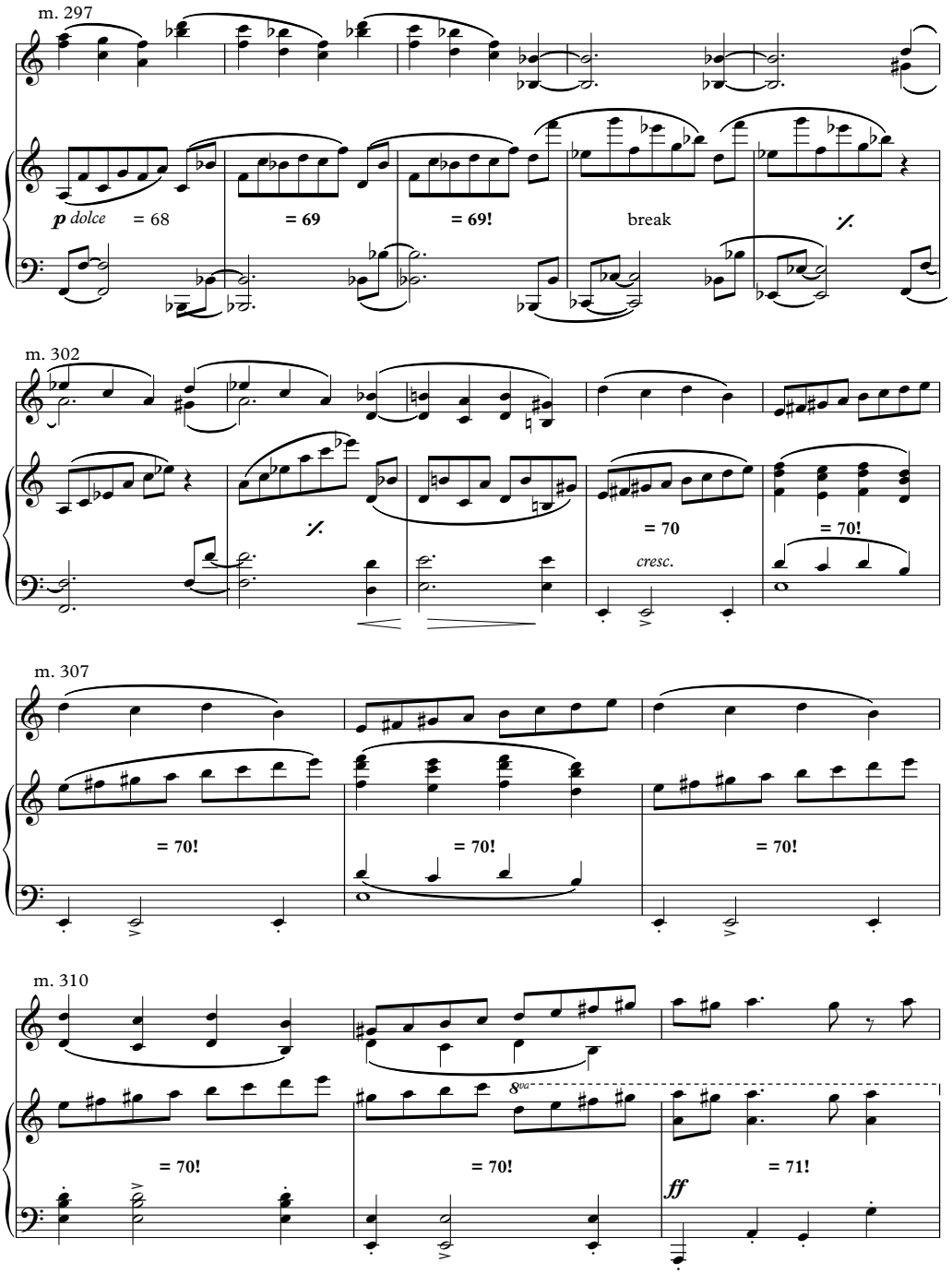
be) is instructive for our understanding of the feeling of lostness that can accompany the repetition of a single referential measure.[48]

The movement's moment of rejoining the expositional correspondence—its would-be crux—is beset by difficulty, for after seven seemingly "postcrux" correspondence measures, the music *again* seems not to be able to go on until more recapitulatory changes are made. As reduced on Example 4.17 (which shows only the recapitulation), the music that equals m. 69 happens twice, seeming like a glitch. The recapitulation then struggles to find the music that equals m. 70. After a series of gropings about—note that even the music that does not explicitly equal any measure in the exposition (e.g., m. 300, m. 302) is repeated, m. 305 finally manages to find the referential m. 70. But this juncture brings its own drama: as if to be sure that this is the proper expositional reference—as if to test the waters after the difficult achievement of m. 69, and the loss, again of that music—the music that equals m. 70 happens no fewer than seven times (with wrenchings upwards of dynamic strength) before the rotation can satisfactorily articulate the music equivalent to m. 71. The impression is of being stuck in a rut: the multiple repetitions of the single referential measure results in a delay, yes, of seven bars, but in this case it seems to be more about the way that time is articulated or shaped. The repetition of a single measure adds to the impression of necessary work an impression of dogged effort, not to say confusion.

Even after all the work done, this suggestive recapitulation cannot reverse or transcend the adversities that affected its exposition (a problematic MC at m. 83; a loss of

[48] The piece unfolds in what Pascall calls a "sonata form with displaced development" (Sonata Theory's "Expanded Type 1 sonata"), with the 41-bar displaced development section (Type 1 interpolation) ending in m. 292 = 63. The interpolation began in m. 251 = 61, meaning that these 41 bars are to be taken as occurring "in the space of" two.

EEC at m. 114 through thematic repetition; a second loss of EEC at m. 150 through a Schubertian *hole*; the *as-if* moment of resumption, over a ♭VI chord at m. 143, in an unearned C space; the restaging of the same *as-if* moment again at mm. 158-159; the *piano* E:PAC non-EEC at m. 175, too little too late).



Example 4. 17. Repetition of a Single Referential Measure in the Finale of Brahms, Op. 26.

Thus it both works harder than the finale of D. 568 to reverse or override the troubled events of its exposition (the events, it must be said, are more difficult to transcend), and yet does not, ultimately, succeed in doing so. This discussion thus shows both the sense of stasis or circularity that can accompany the repetition of a single referential bar and that this movement sits more firmly in the Schubertian legacy than Pascall was aware.

4.6. A Summary Analysis: The Finale of D. 537

We conclude this overview of Category 2 recapitulations with a look at one final movement by Schubert. The piece is relevant because of its association of thematic repetition with work, which (as in the movement by Brahms) cannot in this case bring about a *lieto fine*. Its obsession with backing up makes for a jettisoning of EEC (and ESC) candidates that were forcefully articulated and then lost through a reopening of S. This is the finale of the Piano Sonata in A Minor, D. 537.[49]

Tellingly, the movement is concerned with backing up practically before it has written enough material to back up onto itself: the first cadential material, at mm. 7-8, is the EEC material of its first movement (mm. 38, 52); the repetition of this cadential material in B♭ major (m. 16-17) is redolent of the first movement's C-as-S-aftermath and expositional RT (mm. 53-65). But the finale, which cannot even properly articulate its initial cadences in P (not to mention its structural *teloi*), runs into trouble immediately: three PAC opportunities are squandered (four if you count PACs out of A minor) or otherwise lost in its opening P-space. The pregnant dominants of mm. 9, 21, and 30

[49] This finale may be a Type 2 sonata, in which case (not, strictly speaking, having a recapitulation at all) it would not be bound by the same rules of thematic repetition as Type 1 or Type 3 sonatas. (Compare my discussion in the last chapter of the G-minor Quartet, D. 173.) However, its inclusion in the current discussion is not illegitimate on those grounds, for its recapitulation behaves much more like a Type 1 or Type 3 sonata with off-tonic opening than it does the second rotation of a Type 2 sonata. Perhaps D. 537 is an example of the Type 1 sonata with off-tonic recapitulation, a sort of bastard possibility in Sonata Theory.

discharge onto measure-long gaps with fermatas on them. "The rest is silence," as it were, and we may properly project, even from our vantage within P space, some trouble with cadences down the line.

In light of these cadential issues it seems inappropriate to hear the onset of TR in A major at m. 31 (itself following the last cadential hole) as salvational or otherwise positively charged. The first crisis point in the piece is soon in coming: mm. 39 ff., which alternate between a V^7 chord and its dominant-related diminished-seventh chord, suddenly make use of an enharmonic modulation ($vii^{\circ 7}$ in A minor = $vii^{\circ 7}$/V in B) in order to lock onto the dominant of B minor (ii°), a key not typically tonicized in minor-mode movements, let alone projected as the second key area of a sonata. The problem is mitigated, but not solved, when the F♯-as-dominant chord (and the fully articulated "ii♯:HC MC"!) discharges, via a common-tone modulation, to the key of D major. (Remember the tonicization of E♭ in the first movement of this sonata, which was also corrected to a more likely, if not a first-level-default F.)

There are at least three ways to address what happens between the onset of S and the end of the exposition, the best of which seems to me to be in dialogue with Hepokoski and Darcy's notion of the trimodular block (hereafter TMB).[50] On this reading, TM^1 is the periodic "S" theme in IV beginning at m. 59.[51] After not being able to secure the

[50] I say "in dialogue with" because TM^3 is not usually thematically identical to TM^1. Nevertheless, Schubert often presents such situations, and they are suggestive (especially in a piece so profoundly obsessed with backing up as this). The interpretive difference hinges on that between forward motion—from TM^1 *to* TM^2 *to* TM^3—and backward motion—from TM^1 to TM^2, *back* to (=) TM^1. Whether a TM^3 can equal a TM^1 and still maintain its status as TM^3 (not, say, a reflowering of S), is an issue that needs immediate theoretical attention. For a relevant example, see the first movement of D. 810. Hunt (2009), has no problem with the thematic identity.

[51] For a critique of the TMB labels, "because they omit any reference to S—the music whose very identity is at stake in these situations," see Monahan (2011, 37, n. 49). Cf. Galand

authentic cadence of its consequent phrase, TM^1 gets "stuck" in a curiously introspective, time-stopping passage. TM^1, which began as if all was well, its D-major tonality notwithstanding, thus makes it as far as m. 71, the thirteenth measure of its 16-bar period, and then cannot go forward: instead of making an authentic cadence it repeats the same measure pair three times (= 71, = 72; = 71, = 72; = 71, = 72), softening its dynamics from *piano* to *pianissimo*. This broken-record temporality may begin to evoke a feeling of confusion: *Where am I? How to proceed?*

TM^1 continues to soften its dynamics to *ppp*, and it modulates to F major ($TM^{1.2}$?) in which key our two-measure chunk of thematic material is repeated no fewer than eight times over a static, circular harmonic progression. Not knowing how to proceed, the music simply steps off of the sonata clock for a moment, to think. Finally at m. 95, a new module, $TM^{2.1}$, jolts us out of our torpor or our refusal to engage in sonata time by treating the prolonged C^7 chord as an augmented sixth and landing, *forzando piano*, on an arrival $^6_4$ chord. But even this should-be "salvational" six-four chord is laden with its own troubles. It is beset by a mode-changing operation at m. 103, which—through thematic repetition (backing up)— not only changes major to minor, but seems also to wish to erase any echo of the major mode from our memory of reality.

The music that follows is extremely difficult to parse. Because of the reopening of TM^1 at m. 130, and because of the (highly deformational) PMC that prepares it at m. 126 (a "V:HC^6_5 PMC"), I have chosen to call the explosive E-major arrival at m. 111 $TM^{2.2}$. (To the extent that this is not actually a PAC, it is unlikely to be an EEC

(2013, 402): "Does the passage leading to the second MC (TM^1 plus TM^2) belong unequivocally to S-space, as Caplin suggests with his notion of the two-part subordinate theme? … Where do Hepokoski and Darcy stand on the issue of where the 'real' S begins within a TMB?"

candidate, but it very well *could* be the onset of TM^3.) This music crystallizes E major as a reality for us, and may be the music that awakes us from our dysphoric reverie. By bringing about a PMC, followed by a reprise of our TM^1 theme, this time in the proper key (another chance!), it seems very much like a hero indeed. A preliminary V:PAC EEC is achieved at m. 136.[52]

The EEC, however, will not stand. A repeat of $TM^{2.2}$ material beginning at m. 136 wrenches back open "S" space ("TMB" space) in order to treat this most sensitive cadence again, in order to give the impression of retracing steps, in order to see the cadential goal from another perspective. Since this iteration of $TM^{2.2}$ tracks the first $TM^{2.2}$ exactly, it arrives at a PMC at m. 151, and TM^3 (= TM^3 = TM^1) again follows at m. 155. But though this passage begins as a repeat of a narrative trajectory that had culminated in a positive conclusion—the path to achievement has already been literally plotted—this terminal TM^1-echo cannot (or does not) (re)produce a PAC of any kind. Its cadential dominant (m. 160 = 135) gets *stuck*: m. 161, like m. 160, equals m. 135; m. 162 also equals m. 135. (Remember this behavior from mm. 71 ff.) At m. 163 it finally falls silent—unsurprisingly into a rest with a fermata over it.

Most important to notice about this cadence-suppressing chasm is that an EEC (or something that would well have served as one) was in our grasp, had already been glimpsed, was as good as achieved at m. 140 = 115. But our (naïve or self-destructive) desire to back up one more time, to see it again from a different vantage, to revisit or re-

[52] A sensitive listener, or an analyst who has spent time with the score, may notice, even at the seeming achievement of the "cadence" at m. 136, that this "PAC" (being identical to the one at m. 111) is a *jumping off point*, and not a *cadence proper*. If that is the case, then what happens to the authentic cadence projected by the music at m. 135? It simply doesn't appear—it falls into one of the holes here as it will fall into one at m. 163. This is an exciting musical detail and plays into the narrative in subtle and suggestive ways—for instance that even an arrival point that will not, ultimately, stand is flawed.

experience it, results in a failed exposition, an "illustration," as *Elements* puts it, "of frustration, nonattainment, or failure" (177). Hepokoski and Darcy's "dramatic" or "diegetic" approach to such "extreme expressive situations" is similar to the one I have been advocating: "as a fully intended expressive strategy on the part of the composer, … a failed exposition can… represent the intentional telling of a tale of failure."

It is worth pausing for a moment to consider this behavior as a characteristically Schubertian expositional plot. Different from the failed expositions mentioned in *Elements*, here we have the staging—even the *crystallizing*—of the EEC moment as a reality, followed by a subsequent backing-up in order to reopen S space and wrench it away. In a way such a situation goes beyond the negative implications of a failed sonata, since it implicates the backing-up of the sonata clock, and since it involves a preliminary achievement of the EEC—a taste of closure—before staging its disappearance.[53]

But as important as all this expositional drama is to the ongoing sonata narrative—a narrative into which the recapitulatory alterations play all too strongly—it is the recapitulation that connects the notion of work to the strategy of backing up that this

[53] Many of Schubert's pieces feature similar backings-up, a reason his music has for as long as it has been known been associated with memory. For examples with an even more obsessive backwards gaze than D. 537, see the first movements of the Octet D. 803 and the String Quartet D. 810, and the outer movements of the Piano Trio D. 898. Like D. 537, iv, the first movement of the Cello Quintet, D. 956, thematizes backing up in order to take *different* routes toward cadences; that movement also tends to reopen action zones that were themselves perfectly fine, in order to problematize them in repetitions. Elsewhere I have analogized this not-quite-abreactive behavior to some narrative techniques made famous in the stories of E.T.A. Hoffmann.

Narratives that seem to back up (almost unilaterally in order to right some wrong) have been given extensive treatment in music. Monahan's (2011, 43) "rewind/redo" scenarios capture Haydn's dramatizing or correction "of tonal mishaps by 'rewinding' the music to an earlier point, giving the impression that he is choosing, the second time around, a path not initially taken." Cf. Žižek's discussion of *Parsifal* (2002): "The only way to undo the Fall… is to return back to the moment of the wrong decision and to *repeat* the choice, this time making the right decision." The most extreme version of the behavior I know is from Christopher Durang's play "Why Torture is Wrong, and the People who Love Them." Here, the protagonist comes out of character, stops the play, and forces the stage manager—whom she pulls onstage in front of the spectators—to back up the plot to a time before the imbroglio, in order that it might be set right.

piece is so good at. The recapitulatory rotation begins at m. 164, in E minor, and tracks its correspondence measures exactly, both tonally and thematically, until after (!) the (♯vi:HC) MC is articulated, as if suggesting that after such a troublous exposition the music lacked the wherewithal to identify its recapitulatory tonal problem in advance. Since the recapitulatory rotation begins in E minor (v), the dominant lock leading up to the MC is on C♯ (which is to say the dominant of F♯ minor (♯vi)), see m. 220 = 57. Schubert thus needs to make some tonal alterations if this sonata is going to end up where it began. (If not, the recapitulation would end in the key of B (!)—how is that for "realizing" the promissory potential of the first problematic MC?)

Schubert's tonal alterations are ingenious. First, the music from m. 51-58—the wrong-key-dominant-lock music leading to the wrong-key MC—is repeated a semitone higher, so that we now stand on a D-dominant chord (of the global subtonic, VII). This reiteration of the eight measures of dominant lock and MC-creation is the only thematic alteration in the recapitulation. It is as if the generically obligatory tonal adjustment, after having tracked all the way *through* the MC music at the "wrong" tonal level, were caught off guard or on its heels. It thus conscripts the thematic material into its service—as if it needed time to think, or to perform its modulation. If deployments of the Category 2 (+) script may give many different impressions, in this piece, obsessed with the notion of backing up at every level, of re-hearing, of not being able to get on with what it may perceive as its terrible fate, the use of thematic repetition to enact the tonal alterations cannot be heard as accidental.

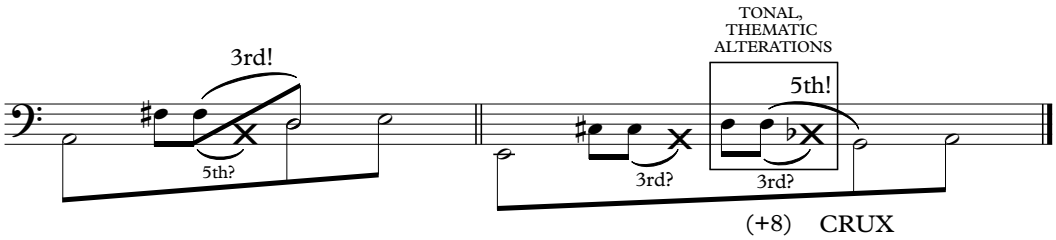
In defense of this last: as curious as this C♯-dominant may seem as an MC-candidate, it is in fact the right one, in this piece in which MC dominants discharge onto

tonic chords a major third below them. Do not get hung up on the orthographic curiosity of the "♯vi:HC MC," wondering how on earth this is possible in a sonata and what a terrible composer Schubert is. By the tonal logic already introduced into this piece when a ii:HC MC discharged onto a D-major chord (not a B-minor chord), this C♯-dominant will (per the tonal dictates of this piece) discharge onto an A-major chord. In other words, the repetition does not add measures in order to correct or avoid some crazy tonal fate; on the contrary, by adding measures it seems to guarantee one.

Schubert's decision to back up in order to bypass the key of A major for TM^1 is not narratively neutral; it is also not "compositionally neutral." Note well: without composerly intervention, the tonal resolution of this piece would have happened all by itself—if "too early"—through a simple recopying. But Schubert overlooks this option, discards it; for some reason the arrival at A major through no effort of the protagonist is not the proper solution for a sonata like this one. Thus to say that the piece does not need to go to A major, but rather *G* major at this point in the form in order to be parallel to its exposition, after which time the music will find its way to A major, is correct, but assumes a parallel construction as well as overlooks the possibility for redemption at this early point through the *Transpositionsreprise* option.

Adding to the complexity of the movement is the fact that this second, highly (tonally) deformational MC, if it were to behave as it did in the exposition, would discharge (by common-tone) onto a B♭ chord, and that B♭ would ultimately move to C for a sonata that moves (globally) upwards by minor third. As confirmed in the background sketch below (Example 4.18), the tonal alterations up by semitone (mm. 222-229) are not enough to "fix" the dominant recapitulation. They therefore introduce the need for more

tonal alterations, down the line. These further (and final) alterations occur when the D-major chord achieved at m. 228 discharges *by descending fifth* onto G major at m. 230 for TM[1], the moment of tonal and thematic crux.



Example 4. 18. Comparative Deep Middleground Sketch of the Finale of D. 537.

What is exciting in this movement's tonal argument is the way the listener's projections are constantly coming up wrong: in the exposition, we protend an S theme in the supertonic, but we are disabused of that hearing when a dominant-functioned chord resolves, via common tone, down by major third. In the recapitulation, then (if we have learned anything), we first expect a theme in A major—the global tonic and a totally reasonable guess, considering the events of the exposition—but we are disabused of *that* hearing, first by the ("unnecessary") thematic repetition (+8), and then by the "classical," descending-fifth resolution of the D-as-dominant chord.[54]

From this point forward, the recapitulation tracks its exposition exactly (do not let the repeat signs confuse you), which means that our failed exposition leads, by and by, to a failed sonata, albeit a failure that took eight measures longer to "achieve" than its exposition.[55] The modal drama that has been such a part of this piece from the beginning continues to get played out in its coda, beginning with the immediate collapse, after the failed A-major cadence at m. 309 (= 163), back to A minor for the onset of P. The

[54] Remember that the first movement, too, punned on these third- and fifth-resolutions in the moments articulating its two MCs.

[55] *Elements* (245): "The actual workings of [a failed sonata] were *staged as* unable to carry out [the processes of the sonata] successfully," emphasis added.

"lights on" moment at m. 350 should not suggest a resolution here: no amount of A major in a coda can fix the intensely negative gesture that is a failed sonata. Indeed, in D. 537 in particular, it does not even seem the case, as *Elements* writes (245), that "the processes of the sonata have proven insufficient to meet the generic demands imposed at the outset of the exposition." All its elements—modal issues, tonal curiosities, cadential chasms, backings-up at every level of structure (even intermovement), and the Category 2 strategy-cum-backing-up—give the impression that this sonata seems never to have wished to engage the possibility of a positive ending in the first place.[56]

4.7 Conclusions.

The foregoing has given an idea of the ways in which different composers deployed the Category 2 strategy, and it has sketched some ways in which sensitivity to that strategy can be interpretively productive. It has also shown that (as with all scripts) individual differences matter; specific narratives seem to arise from the interaction of a piece's form with its content. What are important about Category 2 recapitulations in specific are their changes of recapitulatory *rhythmoi*. This is what it means when we say Schubert (or some other composer) "is *shaping* time," or "is shaping *my experience* of time." It means that through calculated delays and advances, hiccups and hindrances, *too earlys* and *too lates*, Schubert's and other composers' sonata-like structures present dramatic forms that mirror the achievements of events in a plastic or fluid time.

As we have seen, thematic backings up—plus operations—suggest all sorts of narrative possibilities in addition to simply "delay," from reveling to confusedness.

[56] *Elements* (254): "The demonstration of 'sonata failure' became an increasingly attractive option in the hands of nineteenth-century composers who, for one reason or another, wished to suggest the inadequacy of the Enlightenment-grounded solutions provided by generic sonata practice. Deformation of form became identical with deformation of expressive content."

Similarly, the repetition of a single referential measure can show, in addition to celebration or peroration, a lostness or a groping for the proper way to continue. Thematic deletions, on the other hand, can suggest an eagerness to get on with things, festivity, impatience, or (as in my reading of the first movement of D. 568) the dawning of Grace. They can also, as in the *Winterreiselieder* analyzed in Chapter 1, suggest the distortion of a visual landscape or the presentation of physical objects *as if too close*—a musical macropsia.

Many recapitulatory tonal and thematic alterations do not, as *Elements* puts it (238), "[move] the recapitulation in the direction of an enhanced normativity, improvement, or clarification," a quotation that at any rate is at odds with Hepokoski and Darcy's more compelling treatment of nineteenth-century sonata deformations. A great many, for whatever reason, seem to move toward error, chaos, tragedy, despair, and so forth. As we will see in Chapter 5, other recapitulations are interested in different strategies entirely. That the recapitulation, as *Elements* puts it in the same passage, is a "planned response," however, is as unassailable as it is productive. The takeaway from the current chapter is that this "response," in addition to everything else it may be, is also a staging of a complex, artistic temporality. Its time-transformations stage, or "present" dramatic gestures every bit as loaded as those that happen in linguistic or visual media.

This study of Category 2 principles suggests that each recapitulation articulates its thematic alterations in the service of dramatic or generic situations that seem to invite them, or to which they seem particularly apposite. The quotation from Morgan's study of symmetry that serves as this chapter's second epigraph is thus both compelling and not quite complete: much of Western classical music is near-symmetrical without being

exactly symmetrical, but this oughtn't to be seen as stemming from some "distaste for too much repetition and regularity—for predictability, that is, the negative side of the symmetrical coin." From the current perspective it seems as likely that it stems either from a composer's sensitivity to dramatic situations—what we might call a narrative acumen—or from a set of generic norms that has yet to be articulated. (In what situations is the Category 2 recapitulation deployed? First movements more than finales? Cuts more than additions? And so on.) There is of course a category of exactly symmetrical large-scale art forms, which was the subject of the last chapter, and which characterizes even some of the complex forms to be seen in the next. (If the former achieve time-symmetry at the expense of predictability, the latter certainly do not!)

The next chapter considers recapitulations that enact a number of time-altering thematic transformations. These multiple transformations work in service of ever more detailed recapitulatory scenarios. Depending on the dramatic situation to be staged or the generic necessities to be observed, they may push toward recovery of the symmetry lost in the Category 2 strategy, or may explicitly resist such a symmetrizing impulse.

CHAPTER 5

CATEGORY 3 RECAPITULATIONS

MORE INVOLVED SCRIPTS
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 $n > 0$)
2. The "mono-operational" recapitulation (only + or only -)

Figure 5.1. Category 3 Strategies.

> Any student of Schubert's music is familiar with his preoccupation with the recapitulation. Schubert [was particularly concerned with] clarity, timing, balance, and completeness of thematic recall.[1]
>
> Schubert had no great talent for self-criticism, and the least possible feeling for abstract design, and balance, and order.[2]
>
> In the work, in its rhythms, the artist also attains a fixation of his emotions. These equilibriums are reconstructed in the spectator, and his emotions are rhythmed under the discipline of the equilibriums and rhythms of the object. The spectator is captive, subjected to the work.[3]

5.1. Introduction

Category 3 Recapitulations make more than one time-altering transformation. As shown on Figure 5.1, these more involved, "multi-alteration" scripts proceed in a number of ways. Often, their time-alterations push the recapitulatory *rhythmos* in opposite directions. This behavior projects a fluid temporality and interacts compellingly with notions of symmetry and balance. Such recapitulations can be heard as reacting to the Category 2 impulse: by pushing toward symmetry, they seem to stage its achievement as a quest narrative. Through their pushes and pulls, expansions and contractions, these forms can achieve Morgan's (1998, 5 and 11 ff.) "time-symmetry" without "predictability," "the negative side of the symmetrical coin."[4] But if the symmetry that was by definition lost in Category 2 recapitulations can be regained through the

[1] Denny (1988, 366)

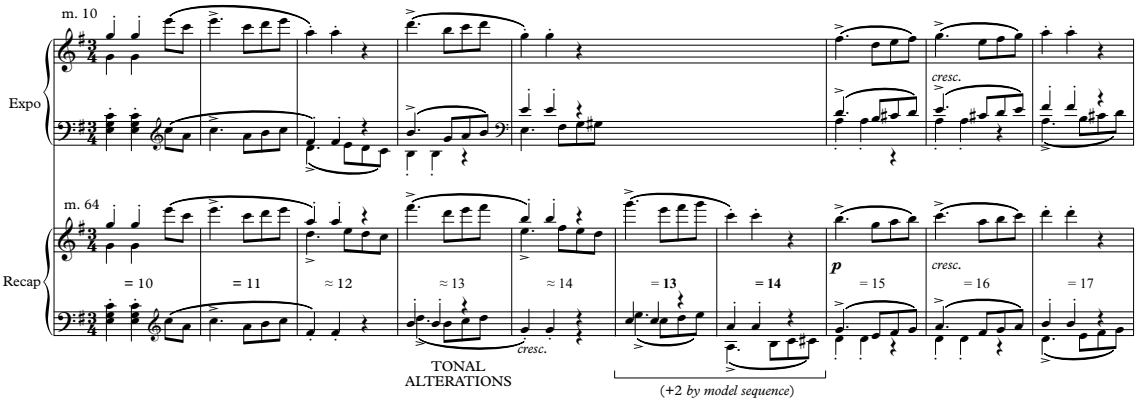
[2] Parry (1897); quoted in Clark (2011, 205)

[3] Myrton Frye (1935, 598).

[4] Though I make extensive appeals to symmetry in what follows, I include this quotation as a word of caution and a reminder to focus on the manner of unfolding, not simply the temporal relationships as calculated in number of measures: "Musical time, unlike architecture, permits no simple relationships of symmetry. To it like is unlike, unlikeness may be the basis of likeness; nothing is unaffected by succession. What happens must always take specific account of what happened before." Adorno ([1971] 1996, 52). Compare Rosen ([1971] 1998, 187): "Music is, of course, asymmetrical with respect to time, which moves in only one direction, and a style that depends on proportion must seek in some way to redress the inequality."

application of opposite time-transformations, so can it be further disturbed. Recapitulations that seem deliberately to disavow symmetry as an organizing principle project their own dramatic narratives and suggest participation in other musical genres.

As before, in what follows I build out Figure 5.1, adducing pieces to support my construction of each of its scripts. Here, however, it may be instructive to begin with an example of the type of phenomenon that while similar, is not quite the same as that which is at issue here. The Scherzo and Trio from Schubert's Piano Sonata D. 575 seem to exhibit the loss, and then regaining, of symmetry in just the way I described in the last paragraph. Why, then, is this not an instance of a Category 3 behavior? The answer is that these alterations are more accurately housed within Category 2. Let us see why.

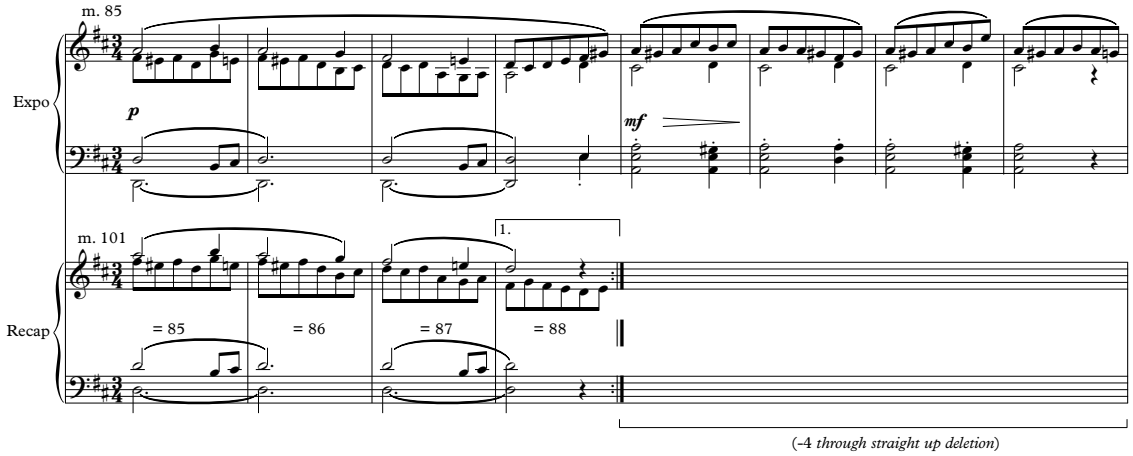


Example 5. 1. Time-Alterations in the Scherzo of Schubert's D. 575.

As shown on Example 5.1 the Scherzo of D. 575 houses a set of tonal alterations by model-sequence that take time. The music that corresponds to mm. 13 and 14 is sounded twice, first at the pitch level of the exposition (slightly altered), and again at the pitch level that will bring about the tonal resolution. The fact that these tonal alterations take time—they result in a net expansion of two bars—pairs with the step sequence that moves up from A minor (m. 65) to B minor (m. 67) to C (m. 69) to the proper dominant D (m. 71). The coupling of the movement's jaunty, happy-go-lucky character with its

imitative counterpoint suggests an unhurried approach to the cadence—the counterpoint spins itself out, taking whatever time it needs to do so, and this results in delaying the final G:PAC by a distance of two bars.

The riposting Trio serves as a foil to the scherzo in almost all parameters, musical-technical as well as affective. Its drone pedals, its emphasis on the subdominant, stilted modulation, and third-related harmonic motions (a peasant playing bar chords on a stringed instrument perhaps) suggest a more explicit folk naiveté than do the Scherzo's imitative entries and intense attention to articulative detail (Example 5.2).



Example 5. 2. Time-alterations in the Trio of Schubert's D. 575.

In addition to these, the Trio stages a time-transformation opposite to, and twice as large as, that of the Scherzo: a cut of four measures. The way it is done supports our reading of a relaxed treatment of musical form: something like a D:PAC was achieved in the fourth measure of the Trio's exposition (m. 88) and proceeded directly to an immediate modulation to A major. The trick is simply to *use* that D-tonic as the reprise's terminal "cadence-effect." The Trio's sectionalized, four-measure modules thus seem to have a profile that is to remain inviolate (because of the ability of its narrative performer?); at most, these modules can be manipulated as wholes, by playing them in different registers.

The two dance pieces are antipodes—the Scherzo is learned, jaunty, tonally sophisticated, and adds measures; the Trio is naïve and *völkisch*, features the parallel voice leading of a peasant song, and *deletes measures*. But the two alterations, taken together, suggest a rigorous logic: at one level the recapitulation of the Scherzo adds two measures, distorting the abstract symmetry of its recapitulation, and the recapitulation of the Trio deletes four measures, perhaps overcompensating for the earlier expansion.[5] But in addition to the generic repeat of each of the Scherzo and Trio there is also a conventional repeat of the Scherzo as a whole after the Trio. This repeat will regain, or *restore*, what was the initially sundered symmetry at the level of the piece as a whole.

Thus our Scherzo and Trio pair seems to introduce a crucial issue of Category 3 recapitulations—the articulation of two opposite time-alterations and the attendant suggestion of "compensation." One might go so far as to suggest that the goal of the Trio is to restore the balance initially lost in the Scherzo. But the initial loss and subsequent regaining of symmetry in D. 575 does not participate in a Category 3 strategy. The restoration of symmetry here is an artifact of the abstract logic of two discrete Category 2 recapitulations that are combined into a single movement. Somewhat analogous to those abstract symmetries examined by David Smyth (1993), the balance here hinges not on a set of multiple recapitulatory changes, but rather on an a priori formal property.[6] The Scherzo and Trio are two discrete ABA forms; they feature two recapitulations, both of

[5] These figures are based on the piece as notated. Repeats are not factored for.

[6] For Smyth: if an ||:A:||:BA':|| form's recapitulation (A') is exactly the same length as its exposition (A), and both halves are repeated, then the middle of the form will correspond to the onset of the recapitulation. In D. 575: If you have a very large ABA form (with nested aba forms), the first of which adds *x* measures, and the second of which cuts 2*x* measures, you will end up, by virtue of this fact, with a piece whose time-alterations offset themselves.

which sit firmly in Category 2. Membership in Category 3, by contrast, is reserved for pieces in which a *single* recapitulation (or A') features more than one time alteration.

5.2. Compensations, Quests, and "Pendulum Aesthetics"

> Articulated, periodic phrasing brought about two fundamental alterations in the nature of eighteenth-century music: one was a heightened, indeed overwhelming, sensitivity to symmetry. … The preference for articulation also increased the aesthetic need for symmetry. … As each phrase assumed a more independent existence, the question of balance asserted itself with greater clarity.[7]
>
> Because of the clarity of definition and the symmetry, the individual form was easily grasped in public performance; because of the techniques of intensification and dramatization, it was able to hold the interest of a large audience.… [The] expression lay to a great extent in the structure itself.[8]
>
> It is in the nature of the sonata to set up a quest narrative.[9]

The first subcategory in Category 3 involves recapitulations that make first one, and then the other, type of time-alteration ((+, -) or (-, +)). Because of the oscillation of operations, such scripts stage the loss, followed by a potential restoration, of symmetry. This type of script is pervasive; there seems to be a tendency to "balance" (or at least try to balance) initial expansions with contractions and vice versa. This pervasiveness may be one reason for the preponderance of appeals to proportion, symmetry, balance, concinnity, compensation, homeostasis, and the like in the scholarship on Classical form.

In what follows I will interpret the initial loss and subsequent drive towards symmetry as a dramatic scenario, an ongoing "quest narrative." In these "compensation scripts," later time-transformations act "in response to" an initial, symmetry-distorting one; they are efforts toward the restoration of a previously disrupted *rhythmic* symmetry.

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[7] Rosen (1998, 58); Cf. Rosen (1988, 17).

[8] Rosen (1988, 12).

[9] *Elements* (251-252).

For these scripts, I suggest the visual metaphor of a pendulum, whose neutral resting position denotes an exact symmetry of halves.[10] The pendulum is pulled outwards as an initial time-transformation disturbs the immanent symmetry of a piece's *composite rhythmos*. The first alteration suggests a recapitulation larger or smaller than its referential exposition and projects each of its arrival points to occur late or early. The pendulum then swings inwards, as a balancing deletion (or expansion) or series of deletions (or expansions) begins to push toward a restoration of balance.

The first subcategory in Figure 5.1 lists the different approaches to compensation scripts. The subheadings "a" and "b" designate whether the initial time-alteration is balanced by one large and opposite behavior (a "two-alteration recapitulation") or a series of smaller chippings away (a three-or-more-alteration recapitulation"). The lower-case Roman numerals "i," "ii," and "iii" give three possibilities for the achievement of symmetry: restoration, near-restoration, or eclipse. Any letter can be combined with any Roman numeral, yielding six possible compensation scripts. A "Category 3.1.a.i" recapitulation would feature two time-alterations, equal and opposite. A recapitulation in "Category 3.1.b.iii" would house an initial time-transformation that was later "overbalanced" by a series of opposite chippings away.

These six possibilities, in concert with other musical parameters, stage expressive and dramatic scenarios. The two-alteration recapitulation can suggest a certainty, a sureness of action, or a rashness that the three-alteration recapitulation—incrementally

[10] This visual image was developed independently of, and has nothing to do with, Hugh MacDonald's (1998) identical image. MacDonald's pendulum, emphatically duple (even when the meter is not), maps any equivalent (or even non-equivalent!) articulations of surface rhythms, such as a sounding quarter-note pulse in $\frac{2}{4}$ time. Rosen (1988, 364) uses the word pendulum in regards to Schubert, while discussing the oscillation between D minor and B♭ major in the development of the first movement of D. 960.

calculated—usually does not. The three-alteration recapitulation, by contrast, may suggest teamwork or a concerted effort to overcome an unforeseen (negative?) event. Likewise, the three behaviors represented by Roman numerals suggest, respectively, achievement, inability, or overability. Still, an analyst who does not wish to accompany me on my interpretive excursions may nevertheless find utility in the formal categories.

5.3. Two-Alteration Recapitulations: Three possible scripts

5.3.1. Exact Restoration: Category 3.1.a.i.

> The advantage of the sonata forms over earlier musical forms might be termed a dramatized clarity: sonata forms open with a clearly defined opposition … which is intensified and then symmetrically resolved.… The need for a balanced symmetry always remained essential to any conception of sonata in all its forms.[11]
>
> Beautiful symmetry is found today in painting, sculpture, dance, poetry, and literature, and all others that represent beauty and creativity. We also know this in music, but our forefathers had little knowledge thereof.[12]

Straightforward examples of symmetry-achieving Category 3 recapitulations are found in any piece that features two equal but opposite behaviors. A small-scale example occurs in the recapitulation of the Andante from Schubert's Piano Sonata in G Major, D. 859, in which a deletion of one measure (m. 155 = 77) is immediately balanced by a one-bar extension of the next (m. 156 and 157 = 78). The recapitulation of the first movement of Beethoven's Piano Sonata Op 27/2, "Moonlight," though it houses more than two deviations from its referential expositional thematic layout, similarly features only two time-alterations.[13] The first, at m. 46, deletes one measure that had housed a modal shift from E major to E minor at mm. 9-10. The second, which occurs between mm. 56 and

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[11] Rosen (1988, 12, and (after the second ellipsis) 157). Cf. *Elements* (612).

[12] Daube (1773); cited in Ratner (1980).

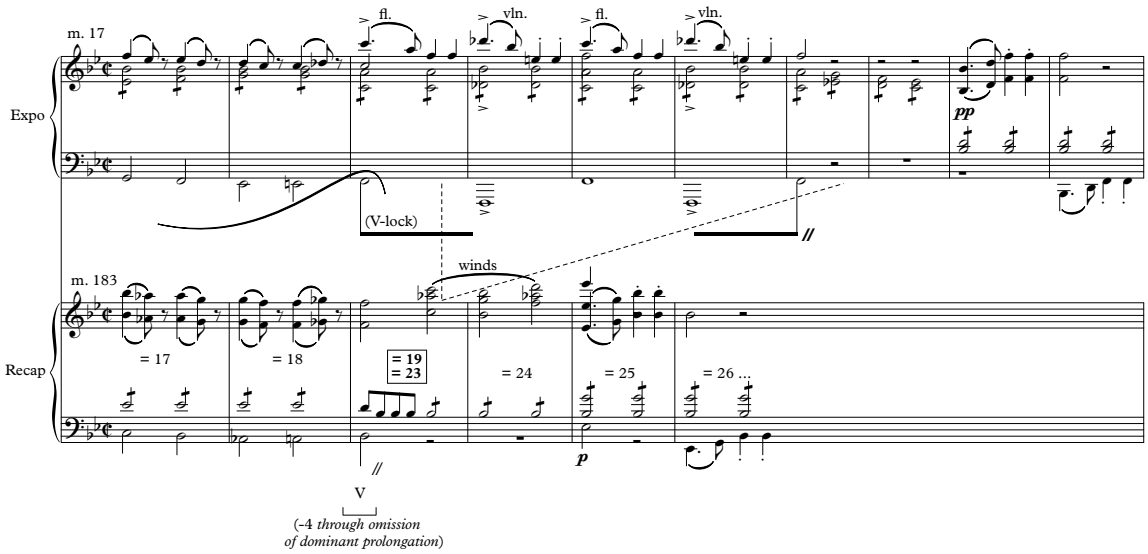
[13] The analysis that follows removes the opening four-measure exordium (best labeled P^0), which does not recur in the recapitulation, from consideration. It is possible to consider the fact that it does not appear in the recapitulation as a deletion of four measures.

59, restores the added measure via a set of thick alterations that latch onto the referential layout of the exposition one measure late—or, factoring for the initial deletion, *right on time*. (It does not restore the *content* of the added measure; it restores the equivalence of *size* of the ongoing *rhythmos* to the expositional one.)

It is characteristic of Category 3 recapitulations to present this fluid sense of temporality. In such recapitulations the analyst must understand both the "local" time-alterations and the effects they have on the recapitulatory *rhythmos* as a whole. Consider Beethoven's "Moonlight." Its second set of alterations, spaced out over five bars, produces a net result of one "extra" measure. To the sufficiently entrained listener, everything from m. 59 forward seems to happen one bar "too late." But from the point of view of the *composite rhythmos* as a whole the (+1) alteration restores the symmetry to (±0). Due to the interaction of the two logics (local and global), singular events can seem to happen both too late or too early (from the vantage of the local correspondence measures), and right on time (from the vantage of the global *composite rhythmos*). As in Lewin's (1986, 343 ff.) hearing of "Morgengruß," these two different percepts are not incompatible; they engage the music from two different contexts (the local—*too late*—and the larger—*right on time*). In such situations we again have reason to borrow Cohn's suggestive "temporal parallax."

A nearly identical situation occurs in the first movement of Schubert's Fifth Symphony, D. 485. Here, as in the "Moonlight," the first four, exordial bars (Sonata Theory's P^0) do not return, and the recapitulation begins—in E♭ (IV)—at m. 171 = 5.[14]

[14] It is possible to view mm. 169 and 170, the two bars preceding the onset of the recapitulatory P^1, as housing the four introductory bars at twice the tempo, although these bars are nearly exact duplicates of mm. 23 and 24. For the sake of clarity at the early stages of this



Example 5. 3. Deletion of a Dominant Prolongation in the First Movement of Schubert's Fifth Symphony.

As Example 5.3 shows, at m. 185, after eighteen bars of tracking, the four bars that in the exposition connected P to its repetition are in the recapitulation deleted. P^{rep} thus follows P directly, unmediated by the four-bar prolongation of the half-cadence-achieving dominant. One way to interpret this compression is to understand m. 185 as equal to both m. 19—to which it is equal on entrance—and m. 23—to which it is equal on exit. (See the boxed correspondence measures.) The deletion of these measures suggests neither that they were redundant in the exposition, nor that their inclusion in the recapitulation would be redundant. In these cases, the question to ask is how such material may be deleted so smoothly, without creating an obvious seam. Here, it is by virtue of the fact that a dominant had been prolonged for six measures in the exposition that four of them can be so easily deleted.

If m. 185 had been the thematic crux of the movement, and if the remainder of the recapitulation had proceeded to track its expositional layout bar-for-bar, we would be dealing with a Category 2 recapitulation with a (-4) script: all the major events of the

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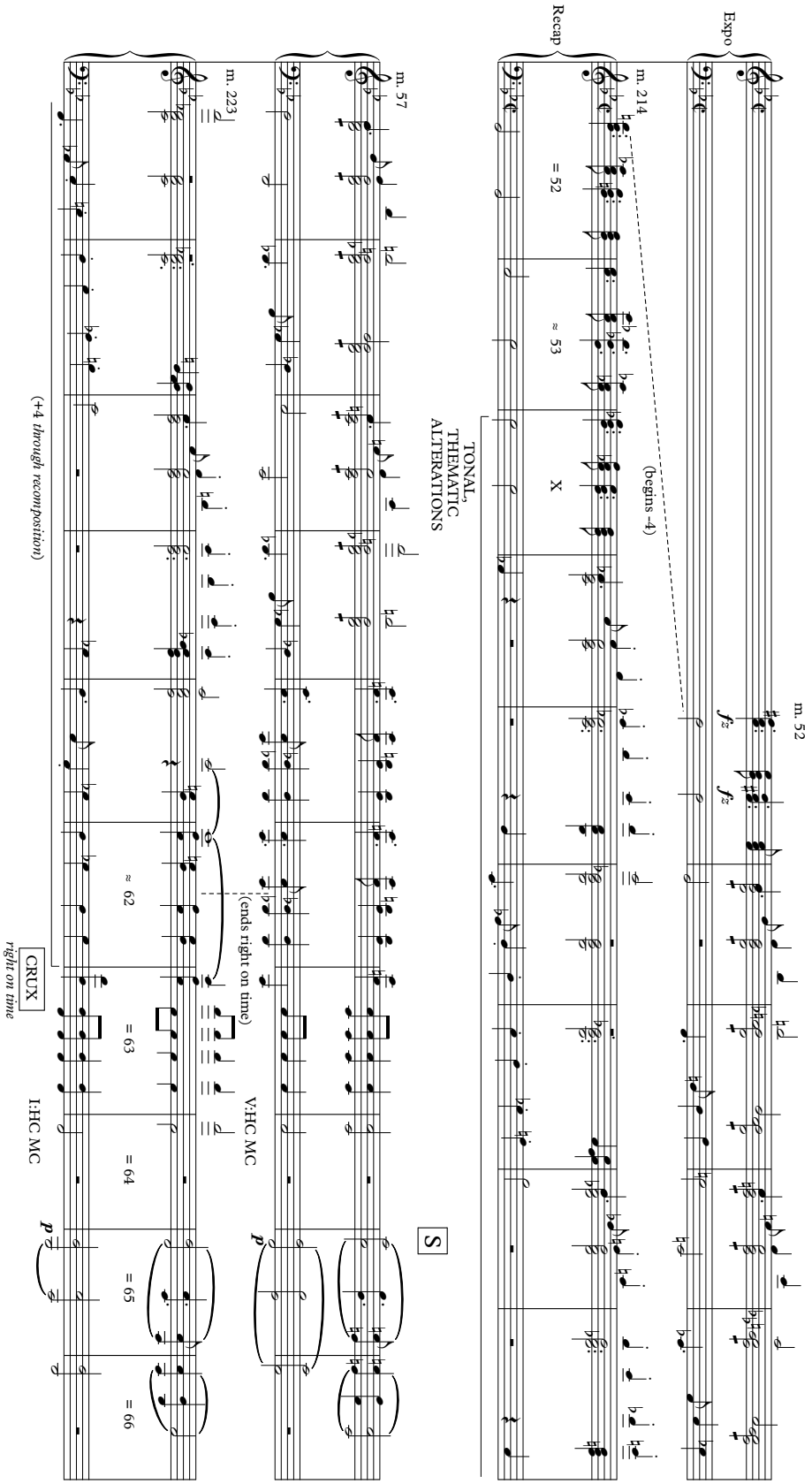
argument, I am considering neither a -4 alteration (through the omission of P^0) nor a -2 script (through the acceleration of what was mm. 1-4 by a factor of two).

recapitulation would occur at a distance of four bars "too early." Instead, however, a long and substantial set of thematic-tonal alterations is executed in recapitulatory TR space. While these alterations depart from the exposition's referential layout for fully thirteen measures (mm. 216-228), the end result is the addition of precisely four (Example 5.4). The I:HC MC at m. 229 corresponds exactly to the V:HC MC at m. 73 and functions as the thematic and tonal crux of the movement. (In order to capture the effect of locking onto the crux at exactly the right time, I have pictured the start of the recapitulatory music at a space of four bars *too early*; see the dotted lines.)

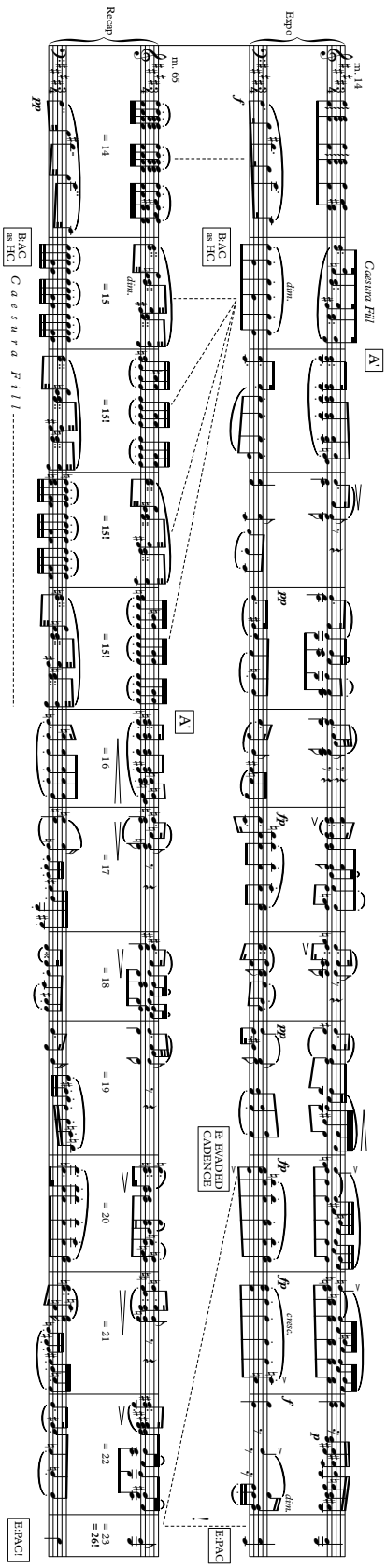
Because of this second time-alteration—"equal and opposite" captures its effect, not the means by which it is achieved—every event that occurs after m. 229 will occur *right on time*, even though the recapitulation houses two time-alterations. The MC and onset of S thus occur both too late—from the more immediate point of view of TR—and right on time—from the point of view of the *composite rhythmos* as a whole. We might well suppose that Schubert composed his recapitulation to be deliberately—and subtly—balanced in this way. Thus this "classical" symphony, Mozartean in instrumentation and thematic character, is classical also in its proportions; it is an essay in balance and symmetry. Through two opposite time-alterations its finely crafted recapitulation achieves a perfect symmetry of halves. By m. 229 the pendulum hangs at neutral.



Example 5. 4. An "Equalizing" Behavior in The First Movement of Schubert's Fifth Symphony, D. 485.

A more complex example of a two-alteration script of exact *rhythmos*-restoration is found in the slow movement of Schubert's Piano Sonata in B major, D. 575. One of his subtle manipulations of time, this movement straddles the liminal space between alterations that take time and those that do not. The E-major Andante unfolds in a large ABA' format, of which the two outer A sections (themselves both smaller aba' forms) are the relevant features here. As shown in Example 5.5, m. 15 in the exposition, which provides the terminal cadence of the A_b section, moves back from a tonicized B major to the E-major restatement of the primary theme ($A_{a'}$) through one measure of caesura fill. The $A_{a'}$ section, which emerges in the subsequent bar (m. 16) remains in E major throughout, moving through an evaded cadence at m. 23, but articulating a corrective, terminal E:PAC at m. 26.

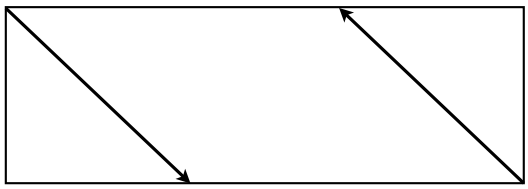
In the highly varied reprise, however, the harmonic behavior that in the exposition resulted in the simple tonal motion from B-as-dominant back to E-as-tonic is thematized, as it were, and the CF music begins a journey around the descending circle of fifths. B moves to E, the would-be (and *should-be*) tonic, but then E, with counterpoint inverted, moves to A, A to D, and D, finally, to G major for the reprise of the theme, "three bars too late." (Because the first harmonic motion of the theme is to IV, the descending-fifths sequence might be said to govern the motion all the way to C major at m. 70 (= 16).) Three diagonal dotted lines connect the initial expositional statement of this material to its recapitulatory repetitions (= 15, = 15, = 15) and show the concomitant pushing back of the projected cadence (now by one bar, now two, finally three).



Example 5. 5. Time-Transformations in the Andante of Schubert, D. 575.

Once the music latches back onto its expositional thematic material (m. 70 = 16, at a distance of three bars), it tracks its thematic material nearly exactly, all the while playing out its own tonal drama.[15] But what is crucial about this example for our purposes is not its tonal drama but rather that at mm. 76 and 77 a PAC in E major that had been evaded in the exposition is now achieved unproblematically and immediately. The sounding of the E:PAC at m. 77 equalizes the time differential of the two rotations by suddenly realigning the two *rhythmoi* that until this moment had been non-aligned. (As if in line with some principle of the "conservation of matter," the tonal peregrinations happen in the last three bars of the exposition, and the first three bars of the recapitulation, just as each unfurls within the span of exactly 26 measures.)

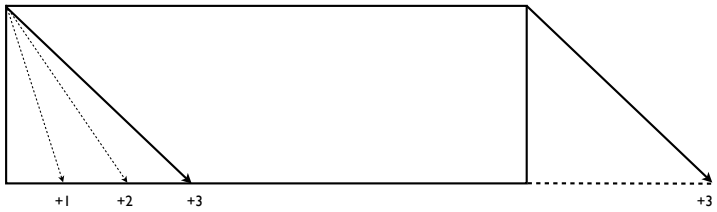
In Example 5.5, the three dotted lines marking the repetition (and pushing back) of the single bar should not obscure the broader temporal (*rhythmic*) logic here, which is simple and perfectly symmetrical (Example 5.6):



Example 5. 6. The Broad Temporal Logic of the Andante of Schubert, D. 575.

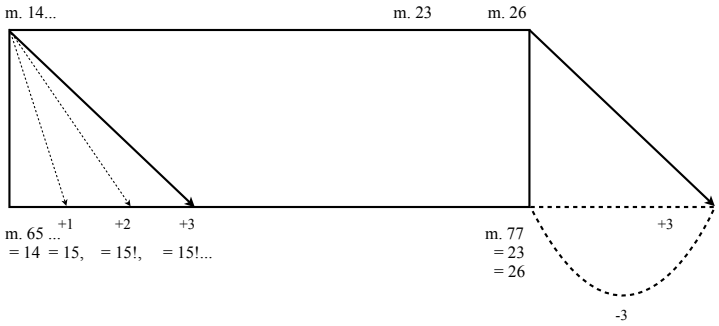
To capture the effect it has on our hearing, we might construct a (rather Husserlian-looking) phenomenological diagram. In Example 5.7, the rightmost diagonal arrow (marked "+3") is protended—that is to say, expected by the listener—but in fact it does not ultimately materialize.

[15] The tonal drama concerns the major-third related keys G major and B major. G may be related to either the E minor or the C major of the B-section of this form. NB: one rhythmically off-kilter HC (m. 19) is here traded out for an authentic cadence in B major (m. 72 = 19).



Example 5. 7. Temporal Expectation in the Andante of Schubert, D. 575.

One more diagram (Example 5.8) includes measure numbers and shows the ultimate temporal reevaluation, the experiential "shock" of arriving right on time at a goal that the listener had initially projected to arrive too late.



Example 5. 8. Temporal Reevaluation in the Andante of Schubert, D. 575.

As the bottom line moves, measure by measure, to the right, we project a completed cadence one, then two, finally three bars too late, all things being equal. However, when the music manages to lop off its evaded cadence and succeeding tonal peregrinations—when it, in effect, just deletes the leftover music—we are forced to reevaluate where we are in the space of the ongoing rotation.[16] From a compositional perspective, one might have asked: "how can I realign these two out-of-phase rotations?" The answer is simple: turn what had been an evaded cadence into a perfect authentic one. In so doing, Schubert achieves *rhythmic* symmetry.

[16] There is again provocative overlap here with Samarotto's (1999) notion of "shadow meter," in which (235) "the main meter … casts a shadow, as it were, of a subsidiary, displaced meter, which we are drawn to hear as real until it dissolves." Here, the ideal listener hears both the "should-be" meter—the onset of the thematic material at m. 65—and the "is" meter—the three-bar shadow. Different from Samarotto's treatment of Op. 110, the three-bar "shadow" in D. 575 is not ultimately heard as an illusion. It both is and is not the onset of the A-theme.

Note this movement's temporal parallax: the cadence at m. 77 arrives both too early and right on time. The dizzying feeling this can suggest is one of reevaluation, of redistribution, of the experience of a sort of fluid time, in which all the materials are present but in which they move about freely. I project, based on the dogged threefold repetition of m. 15, a cadence that will arrive three measures late; I get, instead, one that arrives right on time. At the purely formal level, this Andante calls attention to artifice, to exemplary craftsmanship in the service of balance, or proportion, or perhaps a shift of perspective. Schubert's music often exploits these types of temporal paradoxes.[17] Such a combination of pushes and pulls is the nature of the Category 3 recapitulation, which sometimes results in exact "time symmetry" but more often does not. If "equal and opposite" scripts suggest the perfect achievement of a proportional goal, then the over-, near-, and non-achievement of symmetry suggest other narratives.

5.3.2. Not-quite, and Too-Little-Too-Late Scripts: Category 3.1.a.ii

> The breakthrough … affects the entire form. The recapitulation to which it leads cannot restore the balance demanded by sonata form. It shrinks to a hasty epilogue. … The abbreviation of the recapitulation is prepared by the exposition, which dispenses with multiplicity of forms and the traditional thematic dualism and so needs no complex restitution.[18]
>
> What are we to make of the lopsided bulge that the false return and ensuing transition create in the form?[19]

[17] For a relevant example of a Category 2 recapitulation that features a similar "paradox," see the opening movement of the Cello Quintet, D. 956. The thematic alterations in this piece (mm. 291-294) begin by backing up to repeat a single measure, but ultimately the crux comes four bars "too early," forcing a reevaluation along the lines of red herring correspondence measures. Repetitions here result, ultimately, in an acceleration of four bars. Cf. the first movements of Beethoven's Op. 2/2, mm. 241 ff., and Op. 7, mm. 202 ff.

[18] Adorno ([1971] 1996, 5-6).

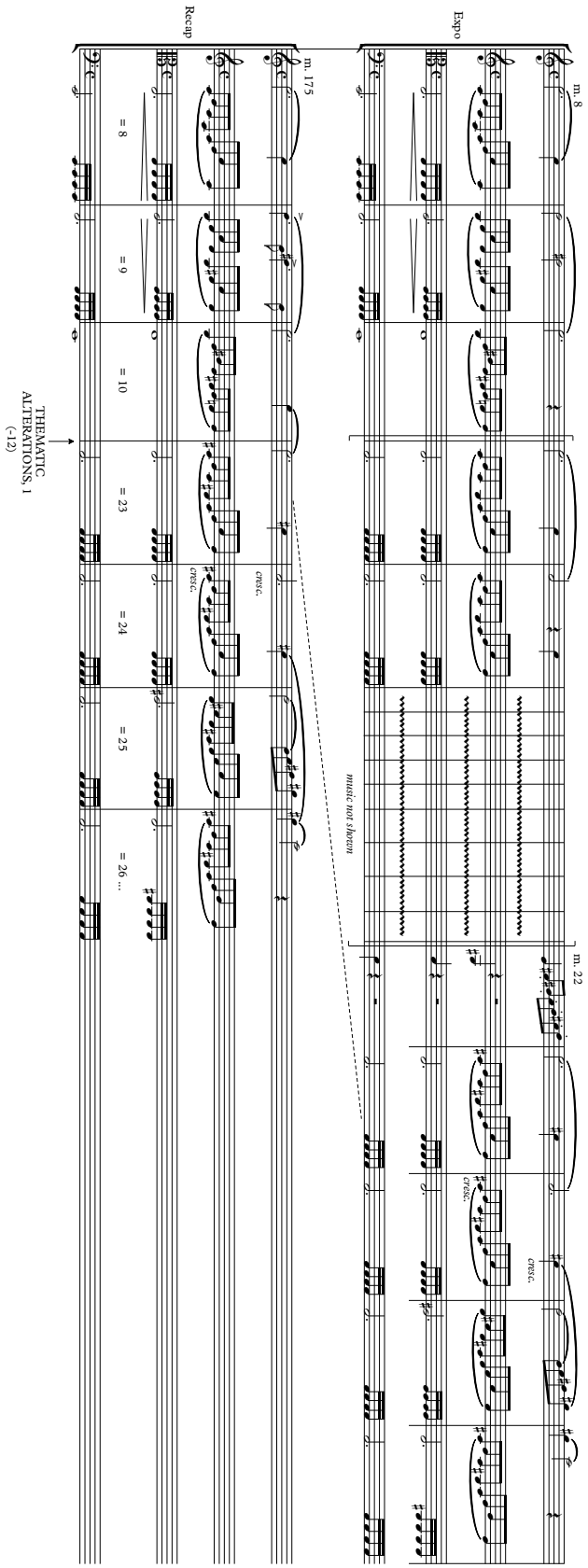
[19] Daverio (1993, 38)

Many recapitulations enact two opposite time-alterations, of which the second is smaller than the first. Below I call these "not-quite" and "too-little-too-late" scripts: not-quite scripts exhibit closer time-symmetry than too-little-too-late scripts; they often recoup symmetry to within a measure or a couple of measures. Too-little-too-late scripts have a harder time restoring their distorted symmetry: they often able only to recoup a couple of bars, to gesture in the proper direction.

The first movement of Schubert's "Rosamunde" Quartet in A Minor, D. 804, "an anomaly" among his late chamber music because "unusually conventional," is instructive.[20] It features two time-alterations in a (-, +) script, the first of which is not involved in making tonal alterations at all, and the second of which pushes back against, but cannot quite compensate for, the first. Example 5.9 shows the first time-alteration: the deletion of twelve bars of music (between mm. 177 and 178) that in the exposition was a varied repeat of P.[21] The cut is smooth because the near identity of m. 11 and m. 23 makes for easy traversal between them (see outer voices, register, instrumentation, articulation, dynamics). Why should these bars be cut? Are they redundant, because "just" a repeat of P—a module that was repeated in the exposition "as if to make sure it sinks in" (Gingerich)? Perhaps: this phrase is four bars longer than the first iteration of P (which stretches from m. 3-10), but its culmination in a HC (exactly as at m. 10) suggests that it is not any consequent to P's initial antecedent.

[20] Gingerich (1996, 159), who continues: "it is not exceptionally lengthy, and its proportions are unremarkable."

[21] Taylor (2014, 70, n. 80): "the structure is indeed normalized in the recapitulation by excising the redundant second antecedent, the result being a curiously balanced—or even dualistic—pairing of minor-major periodic subphrases."



Example 5. 9. A 12-Bar Deletion in the Recapitulatory P-Space of Schubert's "Rosamunde" Quartet, D. 804.

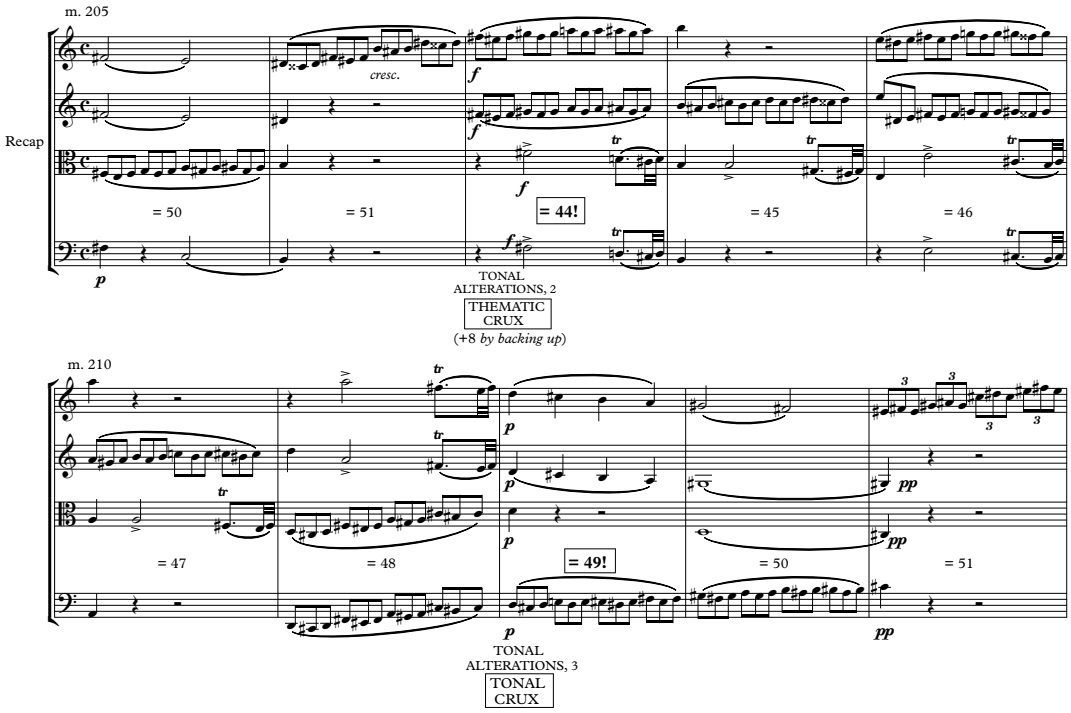
(From a tonal perspective, the music worthy of the label P^{cons} is the major-mode P-based theme that enters at m. 23 and culminates in a i:PAC at m. 32.[22]) Are mm. 11-22 an insertion, then, as Gingerich calls four of its bars? Perhaps: mm. 17 and 18 are an exact repetition of the two preceding measures, mm. 15 and 16. But if the entire twelve-bar block is itself an insertion, then these two bars house an insertion *into* an insertion. Finally, if the entire block I'm calling P^{rep} is indeed "just" an insertion, can it be deleted from the recapitulatory rotation because, as received wisdom has it, any modules that are repeated in an exposition become redundant in the recapitulation? Perhaps: but this fails to provide a reason for the enacting of an opposite time-alteration down the line.

After the initial deletion, the first task the "Rosamunde" recapitulation sets itself is to dispatch with a set of thick tonal alterations (magnitude). These last some ten measures and manage to achieve an e:PAC at m. 199 (= a:PAC at m. 44). But E minor is not a key that will bring about a tonal resolution if all else remains unchanged: more tonal alterations will be needed down the line. After eight measures that are thematically identical to the exposition (a fifth higher) move from E minor to its dominant, B (mm. 199-206 = 44-51), the next set of alterations pushes toward the movement's thematic and tonal cruxes, which are not coincident. As shown in Example 5.10 (recapitulation only), after m. 206 = 51, the music *backs up* to repeat a set of correspondence measures that it had already tracked through, at a different pitch level.

The thematic crux of the movement occurs at m. 207 = 44, the first of these measures. But because it occurs in B minor—a whole tone above the exposition's A minor—the subsequent music, though it tracks its referential thematic material exactly, must also find its way down a fourth, to F♯. (The exposition plotted a broad motion from

[22] Gingerich (165); compare Taylor (70), who also calls the A-major music a consequent.

A minor to C major; to be tonally parallel this music must thus find its way to F♯.) It accomplishes this when a D-major chord at m. 211 (= 48) does not move by descending fifth as its F major equivalent at m. 48 did, but rather stays put, becoming the irregularly resolving augmented sixth chord that will launch the S theme in A major.



Example 5. 10. Partial Restitution in the First Movement of D. 804.

The moment this D-major chord holds its ground, instead of moving to G major, is the tonal crux of the movement. Because of the thematic backing-up, the movement recoups eight of its "lost" 12 measures, not quite all of them but close. This behavior (-12 through deletion, +8 through backing-up) resonates with recent interpretations of the movement, whether they focus on its formal structure, borrowed song material, or the mood Schubert seems to have been in while composing it.[23] For this movement is often identified with the desire for completeness or return, but an inability to bring these

[23] Taylor cites Reed's identification of a theme of "disillusion" (51) and Brown's understanding that Schubert's mood during composition was an "aching regret for the vanished days of his youth" (46).

about.[24] Is the inability to turn back the hands of time—that characteristically Schubertian sentiment—mirrored in D. 804's pair of thematic alterations? The proportional play here could suggest—as Maja Cerar (2009, 99) has put it—Gretchen's "ideal vision, a bliss that is impossible to attain." Alternatively, the behavior may be reckoned (calling to mind "Erster Verlust") the staging of an effort, and a failure, to regain the lost days of youth: *ich finde sie nimmer / Und nimmermehr*.[25] The initial deletion, on this reading, provides the possibility for the effort towards restoration: by cutting such a large swatch of music, Schubert can then dramatically strive towards symmetry—through a backing-up—and fall short of it. ("*Wer immer strebend sich bemüht, / Den können wir erlösen*.")

The first movement of the contemporary Octet, D. 803, enacts a similar but opposite script (+5, -2). Its set of obligatory tonal alterations—the subdominant tilt between mm. 219 and 226 (= 35 and 37)—is tied up with a deceleration of five measures. The first thematic rejoining, at m. 226 = 37, thus occurs five measures *too late*. The only other *rhythmos*-alteration here happens a long way down the line, when at mm. 297-298 two bars are cut out of the repetition of C. (Two of the repeated measures shown in Example 4.16—themselves intra-rotational expansions—are deleted from the

[24] It is a trope in Schubert scholarship to identify the quotation of "Gretchen am Spinnrade" in D. 804, especially since a famous contemporary letter by Schubert—according to Gibbs (2000, 115) "the key verbal document of Schubert's life"—quotes the song's opening lines (Deutsch 1947, 339). Gibbs (118): "the famous refrain of Schubert's first masterpiece now best describes his own life: joyless, loveless, friendless." Cerar's (2009) reading is based also on the text of "Die Götter Griechenlands," D. 677, a song Taylor (49) says is for many commentators "the underlying theme of the quartet, both in expressive content and (more questionably) in musical material."

[25] Schubert also quoted "Erster Verlust" in 1824 (nine years after his setting of the poem); see the letter to Schober, September 21: "I want to exclaim with Goethe: 'who will bring back but an hour of that sweet time!'"

recapitulation.) "Pendulum aesthetics"—the notion that a recapitulatory cut calls for a balancing expansion, and vice versa—explains the deletion of these measures as a response to an earlier thematic addition, just as it explains "Rosamunde's" backing-up to add measures in similar terms. It is significant that the recapitulation of the Octet, unlike that of the "Rosamunde," is larger than its referential exposition overall, since practically no piece is so concerned with deceleration as is the Octet. Its "not-quite" script thus plays into its overall concern with expanding outwards.

An often-analyzed example by Beethoven will help to show how pendulum aesthetics might nuance some of the received wisdom about "not-quite" (and other) scripts. For the "lopsided" recapitulation in the finale of his String Quartet, Op. 127, is not so disproportionate as it perhaps could have been: the piece works to combat—even if it does not neutralize—what Daverio, drawing on Friedrich Schlegel, calls its "parabasis," its "quirky digression."[26] "What," Daverio asks (38),

> are we to make of the lopsided bulge that the false return and ensuing transition create in the form? Given its length, the passage occasions more than the momentary touch of humor associated with a false return; it is as if Beethoven suddenly realized, far later than he should have, that his recapitulation was spinning along in the wrong key, and then, with uncustomary nonchalance, corrected himself by means of a series of simple sequences.

The statement highlights the asymmetry of the form, not only in its rhetorical question, but also in its image of a Beethoven who, once having decided on a subdominant reprise, forgets that he is writing in A♭ and goes on composing in that key for too long before having to back up to correct the mistake. Daverio sees in the asymmetry a critical, and paradigmatically Romantic approach to sonata form, in which Beethoven, through his quartet, bows up to tradition and asks, stentorian: "*Muß es sein?*"

[26] Daverio (1993, 38-39; "parabasis" on 26). See also *Elements* (267-268).

The "troublesome fact," for Daverio is that the "symmetry and balance that ostensibly characterize the sonata style" are caught in the crossfire: they are lost—sundered, rent—through Beethoven's tonal experiment.

Hepokoski and Darcy (267) hear in Beethoven's "clever adaptation of the subdominant recapitulation," a double-recapitulation effect. Like Daverio, so too for Hepokoski and Darcy, the subdominant statement is "carried on too long to be a genuine false start." They call attention to the way the double-recapitulation is achieved, technically: the terminal module of what was in the exposition a ternary P space (ABA) is overlappingly yoked together with the initial module of the repeat of the ternary P, this time in the tonic. The resulting, elided form, now projected as AB[A=*A*]*BA*, results in a much larger recapitulation than exposition. The recapitulatory proportions are skewed because two extra modules (*B* and *A*) are added to the ongoing recapitulation.

Although *Elements* recognizes the fact that the final *A* in this projected five-module P-zone does not materialize—"Beethoven now 'backed up' the music to furnish once again not only the full P^1 period… but also a full restatement of P^2—which then merges directly into 'S' in E-flat (m. 219)"—neither Hepokoski and Darcy nor Daverio explicitly address the eighteen-bar deletion that results from the piece's (deliberate lack of) tonal-thematic alterations: the last A' module, which doubles as TR, tracks through to a I:PAC at m. 217 = 36, at which point it is merged with the onset of *Elements*'s "blurted, *forte* S." Eighteen balancing bars are thus immediately cut out of the recapitulation, and the resulting "not-quite" script is the relatively (re-)balanced (+41, -18).[27]

[27] Depending on the analyst's/listener's agendas, it is at least possible to factor both for the missing four-bar P^0 theme (although I have not been doing so in the foregoing) and for the eight-bar internal P^1 theme that is elided with the occurrence of E♭. This would add another 12 bars to the balancing pendulum swing, and the overall script would be (+41, -4, -12, -18).

Not all Category 3.1.a.ii scripts come as close as restoring their initially sundered symmetry as do the first movements of the Octet and "Rosamunde" Quartet and the finale of Op. 127. Other recapitulations seem to be able only to gesture in that direction—to articulate what an expansion might look like, or where it might occur—even if they cannot effect more than a small balancing action. Perhaps in order to stage an inability to compensate for the initial loss of symmetry, this behavior tends to happen in pieces that have very large first alterations, in either direction. Schubert's Overture *im Italienischen Stil*, in C major, D. 591 is a case in point. Among this movement's many idiosyncrasies—its double-subrotational exposition with quadruple MCs, its problematic post-second-MC motion toward tonic, its early and out-of-place Rossini Crescendos—is a rather impotent "correction" of a very large recapitulatory deletion. Because it is a Type 1 sonata—the sonata-without-development in which so many overtures are cast—its drama of symmetry plays out against a particularly clear backdrop.

This recapitulation begins at m. 123 = 34 by tracking its Italianate P theme until a vi:HC MC that was proposed and rejected in the exposition (m. 48) here leads directly to S in C major. The result is a loss of twenty measures. The deletion reconfigures the expositional layout: in the exposition, TR seems to begin at m. 41, flush elided with a I:PAC that terminates P-space. Ultimately, it demands to be reevaluated as the B section in a lyric form, for its culminating vi:HC MC at m. 48 is declined by the music. This E-dominant chord turns out to function as a third-divider: instead of an S theme (in vi), it relaunches P material, now understood as the terminal A' of an AABA' form.[28] The "real TR" begins at m. 56 (featuring some of the same rhythms as the "fake TR") and

[28] An alternative but compatible interpretation is a double-subrotational exposition, which tracks its P-TR material twice before accepting the proposed MC and moving on toward the EEC.

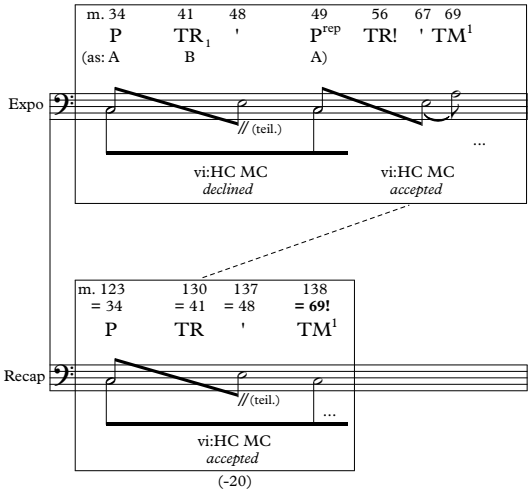
drives, interestingly, to another vi:HC MC, a dominant which this time discharges by descending fifth onto a TM^1 theme in A major.[29]

Crucially, this recapitulation begins by tracking all the way through the exposition's initial P and would-be TR modules (mm.123-137 = 34-48). This means that the onset of P material at m. 123 is explicitly not to be taken as equivalent to the expositional A' music, but its first two A sections and the B(-as-potential TR) section. Because of the functional (and pitch-class) equivalence of the vi:HC MC that had occurred at mm. 48 and 67, the two events can be collapsed into a single event. Thus the *first* MC candidate—which had been rejected in the exposition—is here perfectly capable of launching TM^1: the vi:HC MC at m. 137 = 48 functions in the recapitulation as the true MC and TM^1 begins, without fill, in m. 138 = 69!

Twenty measures are thus cut out of the recapitulation in one single behavior, as summarized on Example 5.11. (Earlier I proposed an image of tonal alterations in which the tonal machinery is reset in the silence of the MC gap; here, an enormous *thematic*

[29] This music thus does not follow the conventional order of MCs (in order better to stage effects of "correction" and "backing up"?): TM^2 begins as a Rossini Crescendo following on the heels of a curious motion back towards C major at mm. 80 ff. Several things are notable about this behavior: first, Rossini's crescendos (which, incidentally, seem to have been invented by J.S. Mayr) tend to be deployed post-cadentially, in C space. (I designate them with the Sonata-Theory-like label "RC", which stands for Rossini Crescendo and incorporates the label "C.") Second, the curious motion toward the tonic C major in post-MC space is a peculiarly Schubertian quirk (see again the first movement of the Octet, so maligned for that behavior). A contemporary of Schubert's, Josef Lanz, evidently corrected one such behavior in one of the last three piano sonatas (Steblin and Stocken (2007, 236) presume the C minor): "He also showed me three sonatas for piano, which he intended to dedicate to Hummel. He played through the first of these to me. At one place where in the second section the modulation turns back to the home key I asked, "did you do this intentionally here, or was it an oversight?" he said that he had actually missed it, and altered the faulty modulation on the spot." And third, TM^3, if the music beginning at m. 91 can be so called, is really not a theme at all, but a cadence. It thus begs to be considered in Caplinian terms as a TMB whose third module is *cadential*. Its prominent IV chord (C major) points to the continuing possibility for non-modulation. TM^2 and TM^3 are repeated (exactly) as mm. 95-106, echoing the exposition's first double MC problem, and C begins at m. 106, flush elided with the G:PAC EEC.

alteration might be seen to happen in that MC silence.) It is important to notice that because TM^1 begins in C major, at exactly the moment where a tonic repetition of P began in the exposition, the function of E major as upper third to C major (or third-divider) remains invariant. That is: that shopworn straw man the Archschenkerian—concerned only with tonal structure, and not with thematic design—would not even notice the compression (at least not yet). Only the thematic layout is altered.



Example 5. 11. Comparative Background Sketches of the Overture *im Italienischen Stil*, D. 591.

That the recapitulatory TM^1, which begins in C major, resolves the large-scale tonal dissonance of this sonata form should not obscure the fact that since it featured a three-key exposition (C-A-G), more tonal alterations will be necessary to keep the movement from ending in B♭ major. These alterations are effected without ado at mm. 151-152, when the projected cadence to E♭-major does not move to a projected F-as dominant chord, but to a G-as-dominant chord. The recapitulatory TM^2 thus features a Rossini crescendo in the proper key, if not, quite, the proper place in the form.

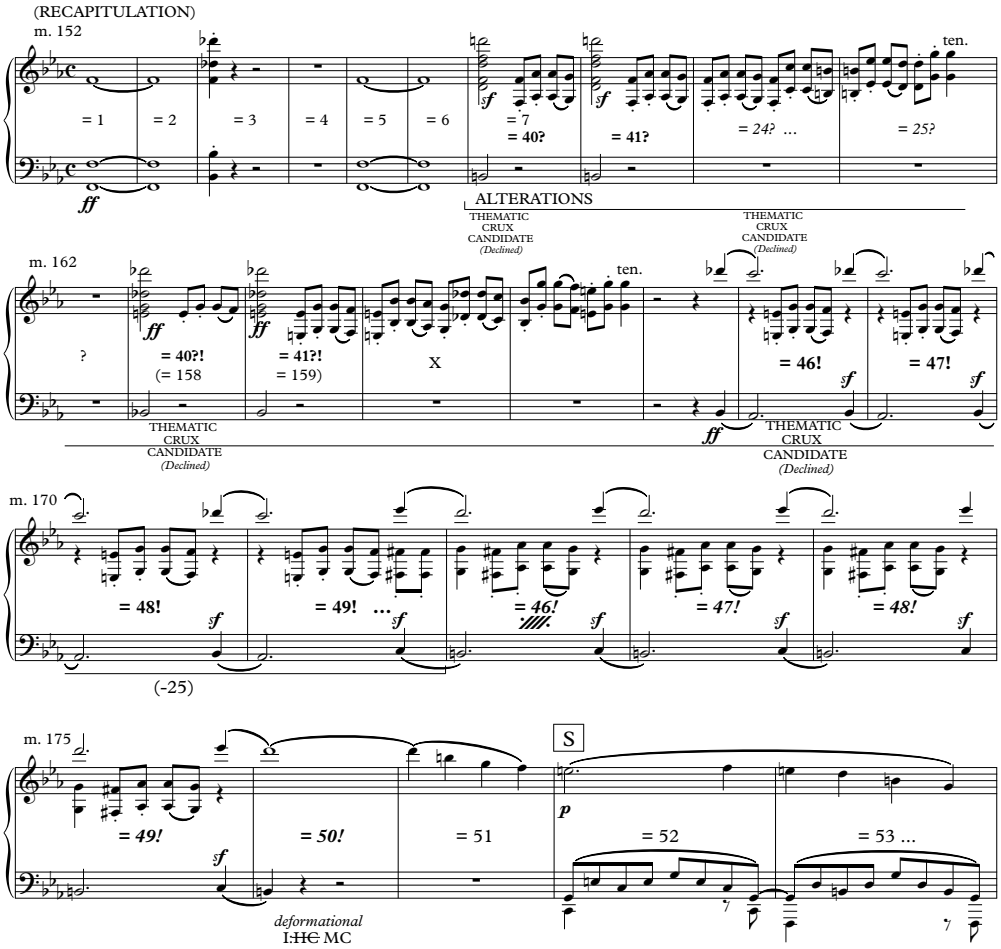
Recapitulatory C-space begins at m. 175 (= 106), flush elided with the C:PAC ESC and—from the perspective of the piece's *composite rhythmos*—20 bars too early. This theme manages to enact a two-bar expansion at mm. 187-188, when its initially

twice-iterated final cadence articulates a third. The expansion might be reckoned simply a means of intensifying the cadence; such cadential reinforcements are relatively frequent. But the two-bar expansion also seems to push (if feebly) against the first time-alteration, which had—even if it was in order to make the recapitulation more normative—cut out twenty measures of music. The effect is that this cadential *Verdoppelung* is the only opportunity to effect a reversal of operations in a short piece so stunned by an initial deletion. The pendulum swings inwards by one-tenth the distance it swung outwards, and the addition seems effete, ineffectual. (The 35-bar coda that follows might easily be seen as a "proportional" balancing, even if it cannot balance the movement's *composite rhythmos*.)

It is possible that this recapitulation is so much shorter than its exposition simply because of the genre that it participates in. In order to capture the spirit of festivity, recapitulations in Italian overtures tend to delete measures, not to add them. (Rossini, for instance, always deletes measures or leaves the expositional *rhythmos* intact; is it thus countergeneric that there is an addition here at all?) But that Italian overtures tend to delete measures does not invalidate the fact that these two added measures participate in a "too-little-too-late" script and project an inability to recoup the piece's time-symmetry.

An example of an overture with a more tragic "expressive genre" can show how these impuissant gestures toward symmetry, in concert with other musical (sometimes extra-musical) parameters, can suggest tragic narratives of inability or struggle against forces too strong to counteract. Beethoven's Overture to *Coriolanus*—a violent tragedy by Collin, not Shakespeare, according to Lawrence Kramer (1995, 257-258)—enacts a script strikingly similar to that of Schubert's Overture and helps put the behavior in

perspective. Much has been written about this piece's influence on Schubert, and Schubert's esteem for it; still more has been written about its form.[30] My purpose here is to examine its recapitulatory alterations, which fit in to the trope that the piece depicts (or stages) heroic resistance in the face of an irreversible fatal(ist) force.[31]



Example 5. 12. First Alterations in Beethoven's Overture to *Coriolanus*; Recapitulation Only.

[30] Scholars citing its influence on Schubert mention its three-key exposition, subdominant recapitulation, and "peremptory head-motive" (*Elements*, 89). See the letter from Schubert to Josef Peitl (1823), who had requested an orchestral work to be played by his student orchestra (Deutsch (1947, 265); Cf. Griffel (1997, 201)): "Since I have nothing for full orchestra which I could send out into the world with a clear conscience, and there are so many pieces by great masters, as for instance Beethoven's Overture to "**Prometheus**," "**Egmont**," "**Coriolanus**," &c &c &c., I must very cordially ask your pardon for not being able to oblige you on this occasion, seeing that it would be much to my disadvantage to appear with a mediocre work."

[31] Hepokoski and Darcy (316) hear a foreshadowing of the protagonist's ultimate death in the expositional S theme's inability to hold on to E♭ major.

The subdominant recapitulation begins at m. 152 = 1, and tracks but six measures before making a thick set of alterations that ultimately results in a loss of 25 measures. (Example 5.12 shows the recapitulation.) Crucial about these alterations are their "red herring" correspondence measures: thick alterations like these do not arise merely because the piece is based on a small set of motives. It is as if we (as well as Coriolanus) see (or hear) the possibility for crux in fragments, presented out of order and incomplete, but we (again, like Coriolanus) cannot capitalize upon them to bring it fruition.

Follow the correspondence measures notated on Example 5.12. M. 158, the first deviation from the expositional plan, seems to = m. 40, suggesting a deletion of 33 bars, and m. 159 does indeed reinforce this perception by continuing with music equivalent to m. 41. But this measure-pair is all we get: m. 160 does not = the projected m. 42, but rather m. 24. If this set of alterations is going to stage a deletion, then, it seems it will not be of 33 measures, but more temperate, some 15 measures. The situation is complicated, however, when after a bar of rest cancels our hearing of m. 24, the music again enters at m. 163 with the expositional m. 40—this time a semitone lower than in its presentation at m. 158! M. 164 = m. 41, suggesting that we have now latched hold of the expositional plan, on our second try. But at m. 165 the music *again* slips off track; mm. 40-41 are again jettisoned as possible thematic crux candidates. After three bars of motivic spinning out, the music latches on, not to measure 41 a third time, but to m. 46, and it tracks for four measures—the longest amount of time we have been able to participate in expositional correspondence. This, certainly, is the strongest crux candidate so far: its four measures of correspondence seem to promise an exit.

Nevertheless, these four bars, too, are subject to sequential repetition: mm. 172-175 repeat them at the level that will bring about the deformational I:~~HC~~ MC at m. 176 = 50 and the C-major S theme at m. 178 = 52.[32] The struggle to achieve the thematic crux and a (preliminarily) C-major S theme (S's minor-mode end in the exposition promises more tonal struggle to come), is almost cinematic: correspondences are achieved and then lost as if unable to "stick," and stretches of these are subject to sequential repetition, the very musical agent that brought about the collapse of Coriolanus's E-flat major respite in the exposition.[33] If this paradigm example of the tonally migratory S carries with it sinister implications, then these thematic-tonal alterations, too, carry with them implications of personal struggle.

The alterations also seem to foreshadow Coriolanus's futile resistance.[34] In the face of a very large deletion (as many as 33 bars are projected to be cut), each of the repetitions of material, whether adjacent, as in the tonal sequences, or non-adjacent, as at the bulldogged repetitions of mm. 40 and 41, seems to push back against that possibility. Even this first passage of alterations thus presents a strikingly rich temporality, rife with interpretive implications: these expansions exist *within* a larger, and more powerful acceleration. All in all, 25 bars are lost.

The initial thematic rejoining occurs at m. 172 = 46, and the music tracks through the onset of S. Because this is a three-key exposition, however, more tonal alterations will be necessary down the line. Example 5.13 shows how two of the deleted bars are

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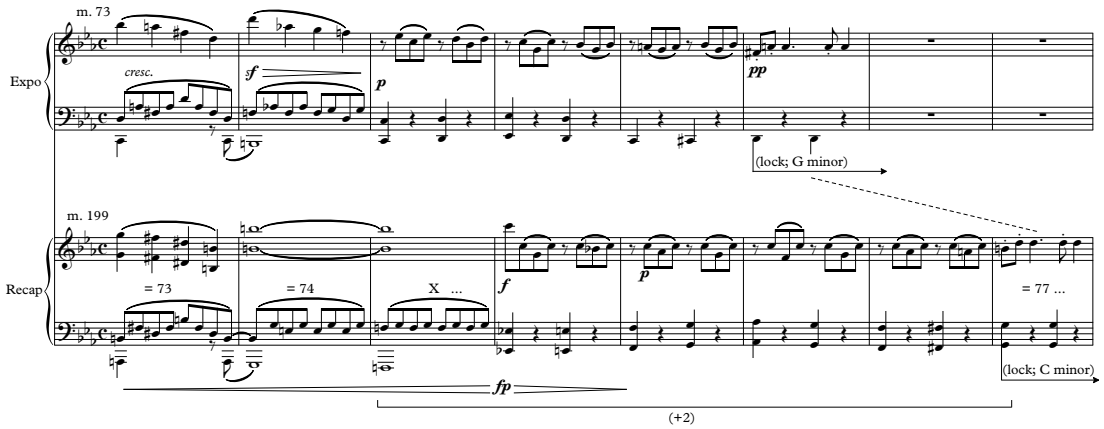
[32] On this deformational MC and the gendering of the S theme, from Wagner to Lawrence Kramer, see *Elements* (316 and footnote, and 147).

[33] *Elements* (317) calls the S-sequences "sequences of loss."

[34] On Coriolanus's resistance, see *Elements* (317).

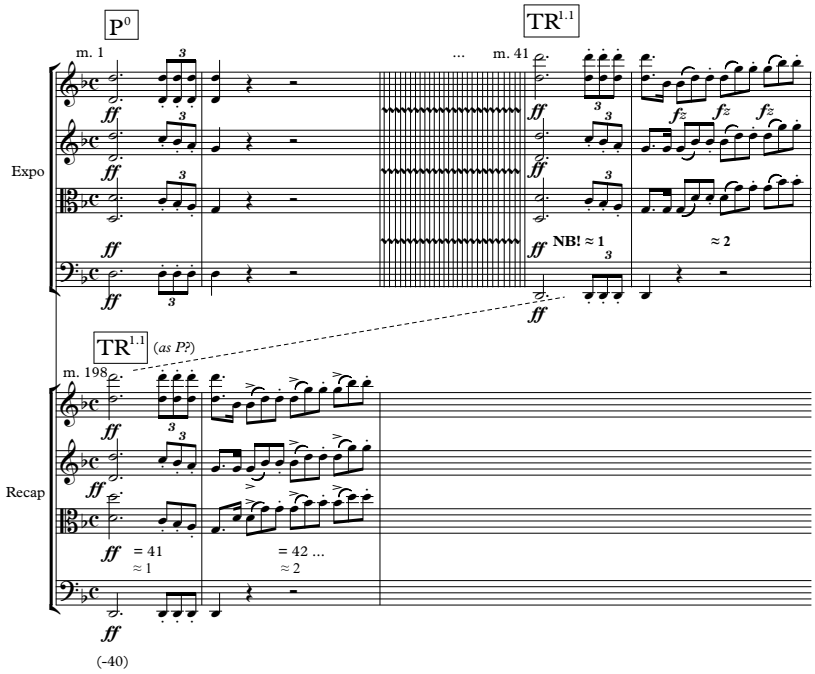
regained in the music leading up to the dominant lock and final iteration of S, which will (unsurprisingly) in the recapitulation materialize in C minor. This second site of tonal alterations thus stages one final, if futile, act of resistance. By m. 206 the music has locked onto the dominant of C minor even as Coriolanus is locked into his fate. If the lock onto the dominant of G minor in the exposition at m. 78 is a "grim" foreshadowing, as *Elements* (316) hears it, certainly this is the promise clinched. A 70-bar coda, which brings back the lost S theme in C major in order to stage its (tonal) collapse one last time, seems to offer a final comment on its modal, thematic, and *rhythmic* losses.



Example 5. 13. Second Alterations in Beethoven's Overture to *Coriolanus*.

A more extreme case is found in our final example of this script, the first movement of Schubert's String Quartet in D Minor, "Death and the Maiden," D. 810. In this movement, shot through with associations of Death and based on a Schubert song that Cerar has called "decidedly anti-heroic," the first forty measures of the exposition are cut out of the recapitulation and only a single bar (m. 240) is added in compensation.[35]

[35] The movement's Death-associations are not limited to its borrowing of Schubert's earlier song. Cerar (2009, 128-129) notes that commentaries often "mention a pertinence of the subject of death … in the form of an idea of death projected onto the … quartet…. Schubert draws upon topics with various traditional death-associations, from the folkloristic tarantella and the stylized pastoral with its drone-like elements evoking bagpipes and hurdy-gurdies, to the solemn, elevated pavane, from dramatic topics and gestures, such as the *ombra*, the *lament* and



Example 5. 14. Thematic Deletion in the First Movement of Schubert's "Death and the Maiden" Quartet.

The logic governing the piece's initial deletion is easy to understand: by virtue of the near-equivalence of P^0 (as well as $P^{1.1}$) to $TR^{1.1}$, $TR^{1.1}$ can serve as a "surrogate" for those absent modules.[36] As Salzer puts it: "What is remarkable about this [first] theme is its decidedly introductory character." But Salzer's and Hepokoski and Darcy's explanations, no matter how aptly they capture a formal reason for the possibility of cutting this introductory music out of the recapitulation, account neither for the effect the

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passus duriusculus, to four-part 'trombone'-style writing." Gibbs (2000, 107) hints at a biographical significance: the quartet "has … obvious mortal associations…. One cannot help being struck by the significance of his return in March 1824 to his song … of 1817, in which the solemn figure of death confronts an innocent youth with an offer impossible to refuse." *Elements* (89) hears "the presence of a calamitous situation to be confronted." Wikipedia corroborates: "Composed in 1824, after the composer suffered through a serious illness and realized that he was dying, it is Schubert's testament to death. … The theme of death is palpable in all four movements."

[36] See again *Elements* (258): "Of special interest are cases where the recapitulation seems to begin with a tonic-TR, as in the first movement of Schubert Quartet in D minor, D. 810…. Such issues are further complicated when … the expositional TR had been P-based: the presumed recapitulation's TR will also sound like a return of P…. This invites an interpretation based on a telescoping theory, according to which 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."

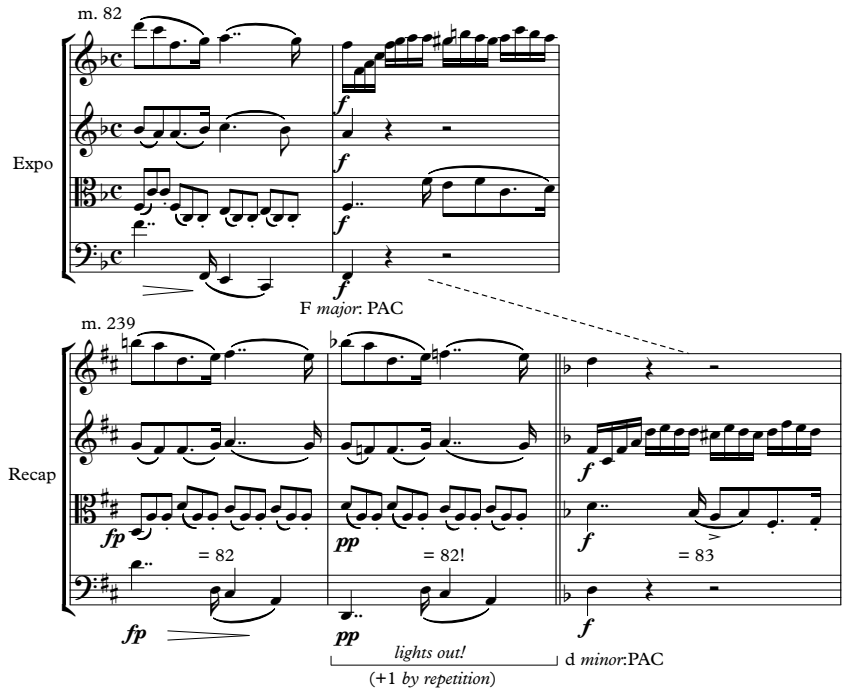
enormous cut has on the listener's perception of the ongoing recapitulation nor for the radical rending of symmetry effected by such a large deletion. Further, neither of them addresses the sense of inability that accompanies the gesture of a single "extra" measure that is meant somehow to balance it.

Making matters worse is the use to which the "extra" measure is put in the context of the tonal drama of the recapitulation as a whole. The recapitulation's first set of tonal alterations occurs at mm. 207-208, when a cadential $\frac{6}{4}$ chord built on A resolves "correctly" in the key of D instead of slipping, as it had in the exposition, into the orbit of F major. (The proper resolution "corrects" the semitonal voice-leading motion from D-D♭-C responsible for converting this $\frac{6}{4}$ chord into an F^6 chord at mm. 50-52. Compare the cadential dominant at m. 6, which might have brought about a resolution to V, except that it turns out to be the medial harmony of a double voice-exchange figure: when the upper-neighbor B♭ again moves to A in the bass at mm. 8-9, the upper voices replace the cadential $\frac{6}{4}$ chord with a III^6 chord.[37]) These alterations take no time, and the new D tonic, equivalent to the music of mm. 52 ff., appears in the major mode, and stays that way until the moment slated to house a major-mode cadence equivalent to the F:PAC at m. 83. On the downbeat of the measure slated to produce a D:PAC—which even though there is much ground left to traverse would be quite the victory in a piece as bleak as this one—the music backs up to repeat the just-sounded bar, *pianissimo*, in the minor mode.

The behavior, shown in Example 5.15, is a devastating commentary upon the piece's concern with *correction*: almost every measure of this piece's exposition is repeated in some guise (in the exposition), staging a series of backings-up, slowings

[37] Salzer (1928, 106): "This passage … arouses in us a definite sense of dissatisfaction."

down, and tonal/modal corrections. Many of the movement's idiosyncrasies can be read in terms of these backings-up. Its deformational trimodular block, for instance (or is it a closing-down and then re-opening of S?), since its last module is so similar to its first, works hand-in-hand with its obsession with correction. Note, too, how in addition to resolving the dominant immediately preceding it, the tonic chord at m. 241 also resolves the projected (but not achieved) authentic-cadential preparation of mm. 227-228 (= 70-71), which had collapsed into a common-tone diminished-seventh chord.[38]



Example 5. 15. Addition of a Single Measure in the Schubert's "Death and the Maiden" Quartet.

The *pianissimo* dynamic at m. 240, all the quieter since the listener expects a *forte* blast, underscores the impotence of the gesture. It is as if an agent in the piece's recapitulation sold its soul to some larger, compositional negotiating power, asking to restore at least one measure of the piece's deleted forty *at whatever cost*, in this case the

[38] Salzer noticed this (100): "Instead of the expected A-flat… an altered scale degree 1 follows, along with a repetition of the preceding measures in the manner of a consequent. With the addition of an extra bar (81), scale degree 5 is recaptured. It now appears that bars 70 and 82 are exactly the same, and that therefore the theme beginning at bar 83 could really have begun at bar 70."

collapse to D minor and the loss of even a taste of major-mode closure. The question that presents itself hinges on how much time would have been left in the recapitulation to convert D major (if it were achieved) to D minor, just as in the exposition F major gets converted to A minor before the EEC. For whatever "formal" status one grants the F-major PAC at m. 83, and no matter how fleeting it is, there is no mistaking its (at least momentary) reality.[39] What, then, does it mean that the tonic D here cannot support a major-mode PAC, even though it could so easily be revoked—converted into D minor later on? It is an emphatically negative tonal gesture. But it is also tied up with two *rhythmic* phenomena: first, the addition of a single bar of thematically identical material brings with it all the associations of work, or effort, that we have seen. Second, this single measure seems to be meant, somehow, desperately, to offset a cut of forty.[40]

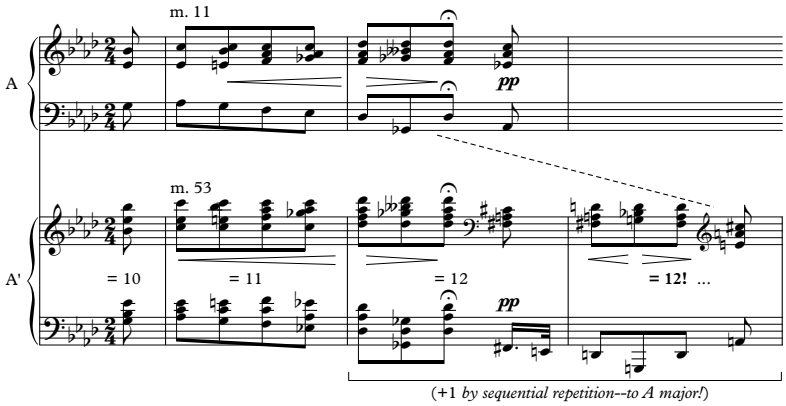
From this point forward the recapitulation tracks the thematic layout of the exposition exactly, making m. 240 its thematic crux. Its tonal behaviors, however, are not constrained by those of the exposition: a pair of tonal alterations first hoicks the presentation of the second S theme into B♭ major (at m. 254 = 96; this would be the unacceptably bright F♯-major if it tracked exactly). This upper third was already avoided once through the addition of our "extra" measure. It then makes a further alteration in order to preserve B♭-major at m. 272 = 114 (this would otherwise move from B♭ down to G♭/F♯--again not a possibility). The piece tracks from this point forward until the d:PAC

[39] This F:PAC, along with the thematic resemblance of the A-major music in the exposition to the F-major music in the exposition, is one reason I prefer not to call this a TMB.

[40] Perhaps this is the reason Cerar (142) writes: "The local dramatic dynamic suggests non-heroic manners of struggle, in fact deeply questioning the idea of victory or even closure." Another analyst who gives tonal and thematic criteria here is Kessler (1997, 31): "the elimination of the material from mm. 1-40… aids the prolongation of the tonic D ('Death's key') through the second theme and thus symbolizes Death's victory."

ESC at m. 292 = 134. A 43-bar coda recoups nearly exactly the forty measures initially cut out, and even sings some of their themes (e.g., mm. 311 ff. = 15 ff.).

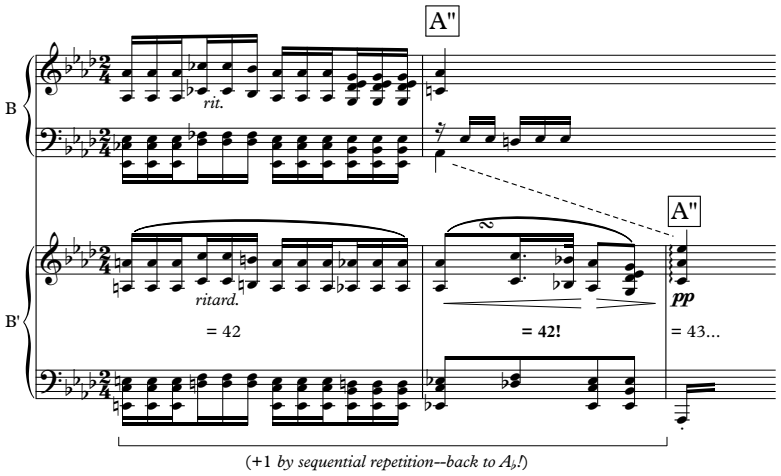
In too-little-too-late scripts, such "head-nods" toward compensations—no more than gestures in the right direction—do little to change their "lopsided" recapitulatory proportions. Depending on their manner of presentation they may suggest heroic (but unsuccessful) struggle or (as has been heard in D. 810) the antiheroic—that age-old binary so long meant to capture the differences between Beethoven and Schubert.[41] Before moving on to the last "two-alteration" script, let us briefly consider an example that illuminates the way the "extra" measure in D. 810 resonates with the notion of "work" sketched in the last chapter. In certain cases it seems that *time* is necessary to enact a tonal or modal change, and Schubert, especially, is a master at creating extramusical effects from the pairing of thematic backings-up with tonal or modal shifts. This behavior can suggest correction; it can also contribute to a sense of groping, as if a subject were trying leerily to determine whether a tonal move is the right one or is possible within the bounds of a form.



Example 5. 16. Extra Measures, Work, and Tonal Adjustments in the Adagio of Schubert, D. 958.

[41] See Taylor (42): "Invariably, it would seem, all accounts of Schubert's instrumental music commence with the binary opposition formed with the figure of Beethoven. Moreover, pleading for Schubert to be measured 'on his own terms', which differ from Beethoven-orientated norms, is almost as old as the comparison itself."

Such is the case in the slow movement of the Piano Sonata in C Minor, D. 958, in which a deceleration by backing-up seems to be necessary for the leery subject to move into the semitone-related key (!) of A major for the thematic reprise (Example 5.16). Another measure of "work" (Example 5.17) is then necessary to move the music back from A major to the proper A-flat for the onset of the last (truncated) reprise A''.



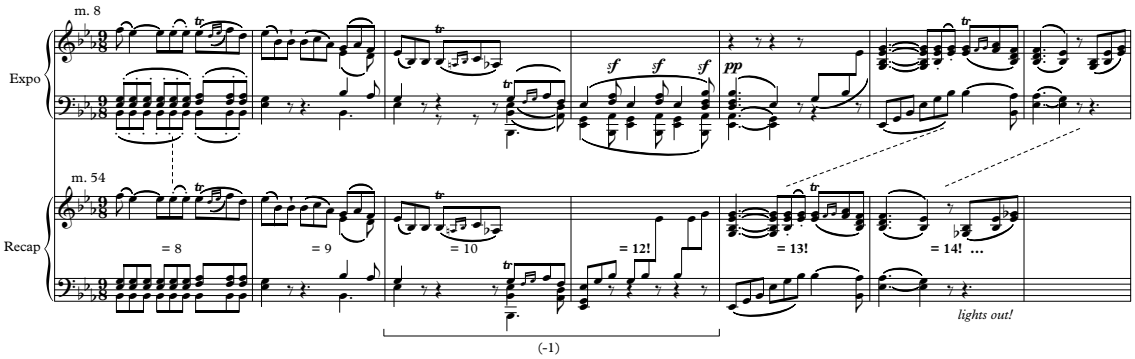
Example 5. 17. Another Extra Measure and Work in the Adagio of Schubert, D. 958.

Perhaps the 37 some-odd bars of A-major here are too large to function in the manner of Richard Bass's "shadow tonality"—as a semitone-displaced key that nevertheless "the listener is obliged to deal with … in a diatonic context, as a representative of its diatonic shadow" (1988, 199-200). Whatever the case, my purpose here is to call attention to the work it takes both to set and to reset the tonal gear. It makes intuitive sense that symmetry is not achieved in this case, because it takes work to move in both directions; one behavior is the inverse of the other in a tonal sense but not a *rhythmic* one.

5.3.3. Eclipse Scripts: Category 3.1.a.iii

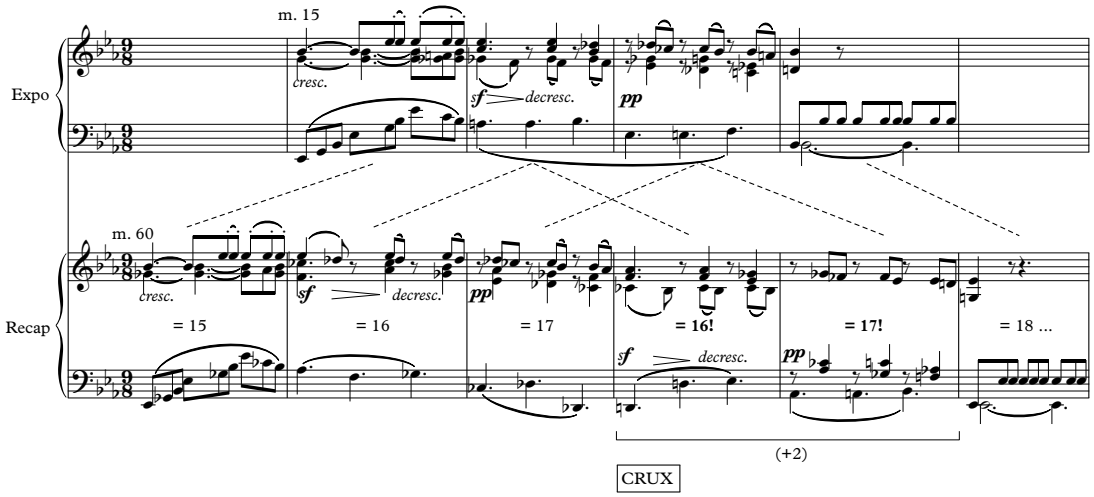
Some two-alteration recapitulations manage to overcompensate for an initial time-alteration with a single reactionary behavior in the opposite direction. These "eclipse" scripts can suggest anything from playful riposte to rash overaction. An easy example is

found in the slow movement of Beethoven's Piano Sonata Op. 22. In this flourish recapitulation, two small, opposite alterations happen in close proximity to one another. What begins like the *da capo* reprise of an aria, complete with lithe vocal melismas, continues similarly until a thematic deletion between mm. 56 and 57 (= 10 and *12*) results in a loss of one measure relative to the expositional plan (Example 5.18).



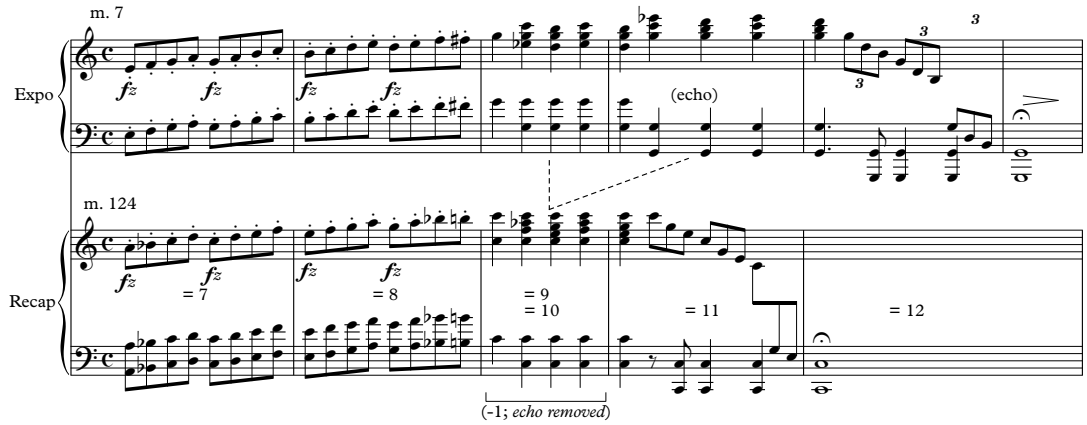
Example 5. 18. Thematic Alterations in Beethoven, Op. 22.

(Is the lights-out effect that follows, beginning at m. 59 = 14—one measure *too early*—a reaction to, a lamentation of, this loss of symmetry?) The music then settles in to correspondence measures, still at the same tonal level as the exposition, but in the collapsed minor mode. But after six more bars of tracking the expositional thematic material (a bar too early), the recapitulation enacts another thematic alteration, this time a two-bar repetition (Example 5.19). That the two measures that are repeated are charged with the task of enacting the piece's tonal alterations and crux is clear. (The crux, bedeviled by all the issues addressed in the discussion of Category 2 recapitulations, is marked as occurring at the moment of tonal and thematic arrival at m. 63 = 16.) What is less clear, and what I mean to point out by calling attention to the behavior, is that in this case the addition of two measures also seems to respond to the earlier cut. The overcompensation results in an "eclipse" script of (-1, +2).



Example 5. 19. Offsetting Repetitions in Beethoven, Op. 22.

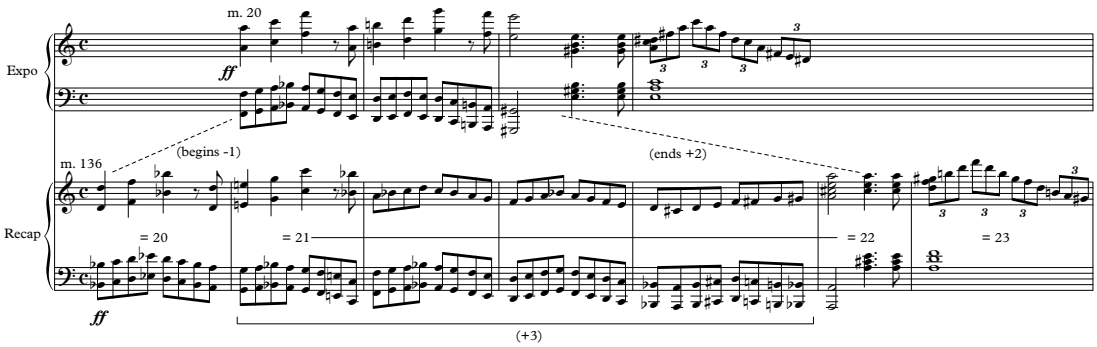
A near-identical script is present in the first movement of Schubert's C-Major Piano Sonata, D. 279, an "ambitious attempt in this newly cultivated genre" that incidentally can help clarify some confusion that surrounds the difference between obligatory tonal and thematic alterations.[42] Here, the recapitulatory P theme, redolent of the young Schubert's favorite Mozart symphony (No. 40) enters at m. 118 = 1. It tracks for eight measures, and enacts a one-bar compression in the ninth (Example 5.20).



Example 5. 20. A One-Bar Compression in the First Movement of Schubert, D. 279.

[42] Hur (1992, 71). She continues: "It carries the strong sense of experimentation, with some parts artificial and awkward."

In the recapitulatory P-based TR, a three-bar expansion overbalances the deletion (Example 5.21). Note well: if "superfluous" music, such as a cadential echo, can be cut out of a recapitulatory rotation, so can it be added.



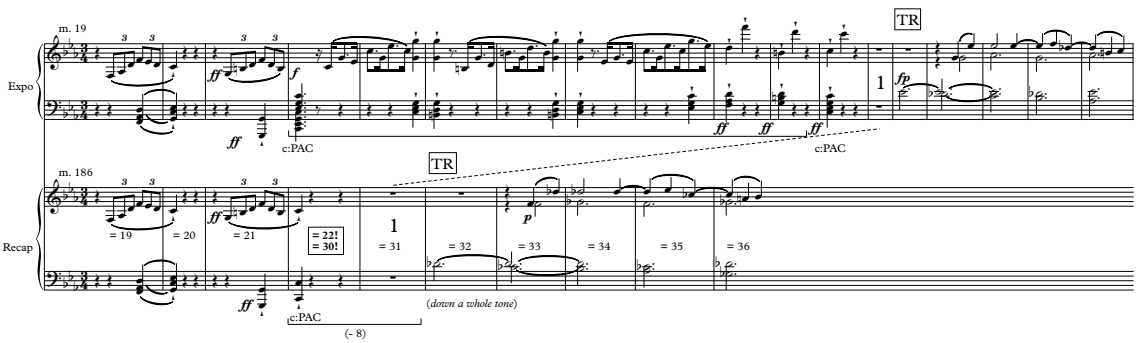
Example 5. 21. An Overcompensation in D. 279.

Neither set of thematic alterations participates in the obligatory tonal alterations of the movement—indeed, the movement *has* no "obligatory" alterations, since it features a subdominant recapitulation. They participate, though, in their own *rhythmic* narrative of eclipse. It is interesting, in this regard, to read in Hur (71) that "of particular interest is the wholly literal transposition of the entire exposition—I-V: IV-I—one of only two such cases in Schubert's entire oeuvre (the other is the first movement of the B-major Piano Sonata, D. 575)."[43] For quite the contrary, although it does feature a subdominant recapitulation, this movement is far from being a *Transpositionsreprise*: it features two sets of *rhythmos*-altering thematic transformations, in an eclipse script. Hur privileges one half of the Schenkerian tonal structure/thematic design binary at the expense of the other. That this recapitulation begins in the subdominant has no necessary effect on its *rhythmos*.

[43] See also page 74: "This movement of Schubert's second sonata … is of particular interest because its recapitulation (IV-I) is a literal transposition of the exposition (I-V). It is remarkable that of all Schubert's recapitulations that start on IV only two follow this literal procedure (the other is also a piano sonata, D. 575)…. Quite probably he found it too mechanical—incapable of producing a wholly satisfactory artistic result." (There are other subdominant *Transpositionsreprisen* in Schubert besides D. 575, i, e.g., the "Trout" Finale.)

More drastic overcompensations are relatively frequent since, because sonatas tend to push toward symmetry, larger initial alterations tend to call for larger compensations. (Exceptions to this, we have seen, are found in situations where an inability to recoup an initial transformation is staged). The first movement of Beethoven's Piano Sonata Op. 10/1 is instructive since its overcompensation can be understood by analogy to those of Op. 22 and D. 279, and because of the larger formal implications of its initial deletion.

The first thematic-tonal alterations occur when an entire P module (P^2?, a tag to P's tag?) is cut out of the recapitulation, resulting in a deletion of all the music stretching from the expositional c:PAC at m. 22 to the final c:PAC of expositional P space at m. 30 (Example 5.22). Here as elsewhere, the fact that there are two c:PACs in the exposition makes the deletion easy to effect: to delete eight measures of music, just make the first one *formally* equivalent to the second one, with which it already shares harmonic-functional and pitch-class equivalence; collapse them into a single time-point.

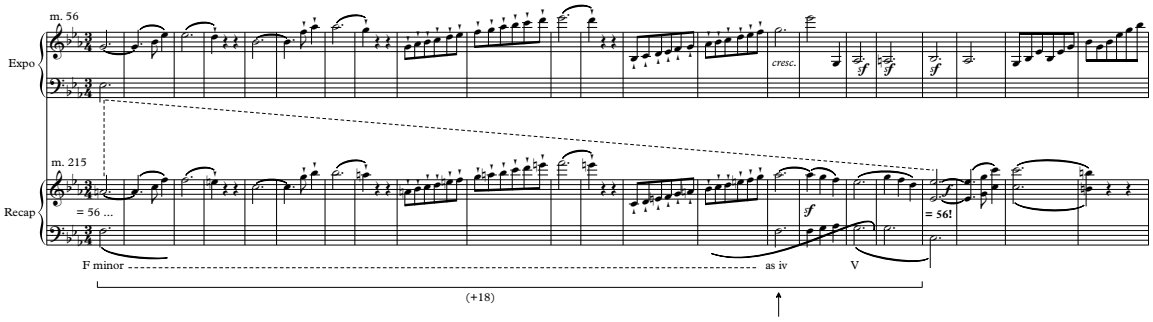


Example 5. 22. An Eight-Bar Deletion in the First movement of Beethoven's Op. 10/1.

This eight-measure deletion happens so quickly it seems to shock the following TR music into entering on a pitch that is neither the expositional one nor the one that will bring about a tonic ESC. A necessary set of tonal alterations, carried out in the silence of m. 190 = 31, begins to push toward G♭, meaning that more alterations will have to be

carried out down the road. A second (inutile) set occurs when the music beginning at m. 196 repeats the last four bars of TR at the same tonal level, turning what was in the exposition a tonal sequence into an octave-echo. Could a feeling of trepidation after the shock of entering in such a curious key be the reason for this thought-collecting stasis?

In fact, neither the first nor the second set of reactionary tonal alterations moves to (or stays on) the tonal level that will insure a tonic ESC, and neither of them makes any *rhythmic* gesture that compensates for the initial 8-bar cut. From the echo-repetition at mm. 196 ff., the music tracks its expositional reference at a distance of eight bars, even if "blithely and irresponsibly" pushing toward F.[44] It latches onto a dominant lock of F minor at m. 207 (= 48), which is then corrected to F major (211 = 52) to "rhyme" with the exposition's E♭ major. (Does this dominant lock, a whole tone too high, compensate for the entry of TR a whole tone too low?) This tonal error is tied up with a *rhythmic* one; neither the recapitulation's tonal task nor its *rhythmic* one has yet been achieved.



Example 5. 23. An Overbalancing Expansion in Beethoven's Op. 10/1.

By m. 233, the solution Beethoven chooses becomes evident: both problems will be solved by repeating the S theme at the proper pitch level. At m. 229 = 70, the last of this (second) set of correspondence measures (marked with an arrow on Example 5.23), F minor functions as a iv chord in C minor, and a three-bar transitional link wrenches the

[44] The adverbs are from *Elements* (238).

music back to the onset of S—this time in the tonic—and results in a gain of 18 measures. The recapitulation then tracks its exposition measure-for-measure until its two final chords; its eclipse script has the proportions (-8, +18).

It seems like a drastic solution, but then the problems were themselves drastic—how to get to the tonic C minor and how to do something about the curious deletion that skewed this piece's symmetry. The strategy is identical to that found in Op. 22, but here the solution is farther reaching since it involves a repeat (and tonal correction) of *S*, a module Sonata Theory reminds us is charged with the task of bringing about the ESC. The tonal path the piece traces is compelling: that S enters in the wrong key and thus demands correction ought to be clear to any analyst, and even to an astute listener. *Elements* (238) characterizes the tonal drama as a "staged attempt at escapism—whistling in the dark—[which] cannot last. The generically illicit F major is brutally extinguished into F minor at m. 229, and the S-theme is rebegun in C minor in m. 233, now with a *forte* vengeance…" What the current perspective adds to that discussion are possible reasons for the repeat of S and for the fact that S enters in the wrong key at all.

A final example, the first movement of Schubert's Piano Sonata in A♭, D. 557, features "nested" eclipse scripts. In this piece's exposition S is repeated, but its second iteration is very different from its first. The first S, which begins on the downbeat of m. 19 after a textbook V:HC MC, is a sentence whose V:PAC EEC candidate (m. 26) is flush elided with a figurated and formally altered restatement, thereby reopening S space and deferring the EEC to the next satisfactory PAC. Is the V:PAC at m. 31, then, satisfactory for closing S-space down? From a voice-leading perspective it is: it features

an identical melodic resolution in E♭ major, to the same $E♭_4$ as did S; it is forcefully articulated, with a root-position subdominant chord and a cadential dominant; and so on.

But from an affective perspective the V:PAC at m. 31 seems somehow *un*satisfactory—like the rest-punctuated, groping *fz* theme that enters with a diminished triad is not C space, is not post-EEC. Proportionally, too, the six-bar S^{rep}-theme, as a truncated version of the eight-bar S theme that stretched from m. 19 to the downbeat of m. 26, seems somehow *too short*, and obscures the paradigmatic sentential logic of its prototype. Finally, it is significant that the cadential material in mm. 35-36 is near-identical to that of mm. 30-31 (which is itself near-identical to that of mm. 25-26), down to register and surface rhythm. It seems not unreasonable, then, to assert that the music beginning immediately after the V:PAC at m. 31 is not C space at all, but a backing-up to re-treat the concluding modules of S in a different way. All this is corroborated by the jaunty, tonic-dominant, paradigmatically C-affect music that enters after the *next* V:PAC at m. 36. (When is one justified in overlooking the first-PAC rule?)

Running with the theory that mm. 26-36 are to be taken not as a shortened repeat of S and initial C module, but rather as a single *elongated* repetition of S, presents a compelling logic: the cadence in (the expositional) S^{rep} arrives, unsatisfactorily, two measures too early. The means of correction: an S-suffix that overcompensates for the missing bars. On this reading (expositional) *S-space itself*—eligible for such reasoning since it contains a varied repetition of itself—participates in pendulum aesthetics: it features an eclipse script in the proportions (-2, +6).

Interesting about this (-2, +6) script is that it acts as a cipher, with proportions intact, for the recapitulatory behavior of D. 557 as a whole. For the first set of

recapitulatory alterations, which move the piece into the orbit of the subdominant, also results in an expansion by a single measure: m. 71 = 9, but m. 73 ≈ *10*. The overcompensating re-alterations, which delete three measures between mm. 77 = 14 and m. 79 = 19, result in a totally rewritten MC—a non-rhyming I:PAC MC flush elided with the onset of S. This rushed, even desperately articulated MC at mm. 78-9 ≠ 18-19 suggests a certain excitedness, the seizing upon an opportunity: if the music is to erase three bars before the onset of S, it had better recognize the possibility *now*. Since the script as a whole is an eclipse in the proportions (+1, -3), it articulates the same behavior, in the same order, as the expositional and recapitulatory S themes do, at one-third its scale. The S theme is thus an early cipher for the behavior of the piece as a whole.

It is interesting to speculate about the total size of the Category 3 recapitulation, relative to its exposition, in something like the way we did in our analyses of Category 2 recapitulations. Does a recapitulation end up larger or smaller than its exposition? By how much? Two-alteration Category 3 recapitulations, even though their individual scripts carry their own narrative implications (of compensation or a lack thereof) can "as wholes" feel slow—even if they take pains toward compensating accelerations—or eager—even if they make undercompensating decelerations. The foregoing has shown how these *rhythmic* scripts work hand in hand with tonal dramas staged by movements by Beethoven and Schubert, and how they often tie in to our interpretive reception of these pieces.

5.4.0. Three-or-more-alteration Recapitulations

As recapitulations present more and more *rhythmos*-transformations, it gets less and less likely that they arrive at their ends at precisely the moment first projected by the onsets of their recapitulations. We thus begin our discussion of three-alteration recapitulations by examining pieces that push toward, but do not quite achieve, the *rhythmic* symmetry that would perfectly balance their expositions.

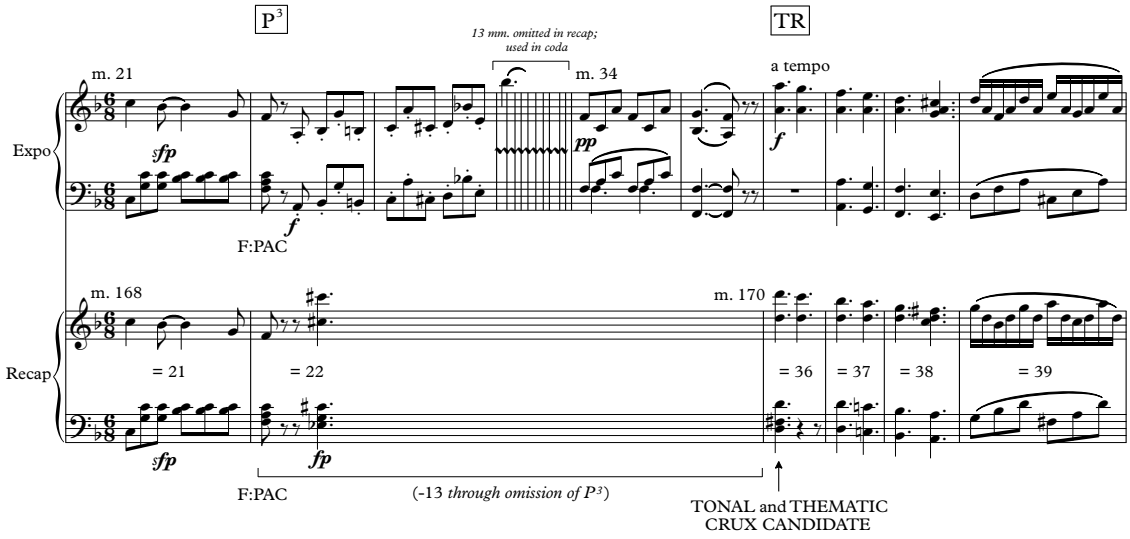
5.4.1. Not-Quite Scripts: Category 3.1.b.ii

> In the finale of [Mahler's] Sixth… an insistently symmetrical recapitulation was impermissible.… On the other hand, the oversized complexes demand … a compensation, a homeostasis of the construction.… The recapitulation becomes an apparition; the character legitimizes the remaining symmetry.[45]

Pieces with more than two *rhythmos*-alterations that distort, and then cannot quite recoup, their symmetry, often afford the perception of chipping away at their asymmetry, trying to restore it measure by measure. This chipping-away intensifies the drama of the not-quite and too-little-too-late scripts. The finale of Mozart's K. 332 is a paragon of the behavior. Among its expositional quirks are an unusually lengthy, and tonally overdetermined, tri-modular P space, and an S theme that both begins and ends in the minor mode (Picardized at mm. 65 and 200). P, for its part, is not so lengthy in the recapitulation as in the exposition. Mozart's recapitulation, seizing upon the opportunity presented by a I:PAC at m. 169 = 22, ushers in a set of tonal-thematic alterations that suppresses all of what in my reading is P^3, the thirteen bars between the terminal F:PAC of P^2 and the onset of TR in the exposition (Example 5.24) (The series of (near-) equivalent events, here cadences, make for the easy possibility for compression.) In the silence that occurs after the 13-bar compression (m. 169), one single pivot chord—the

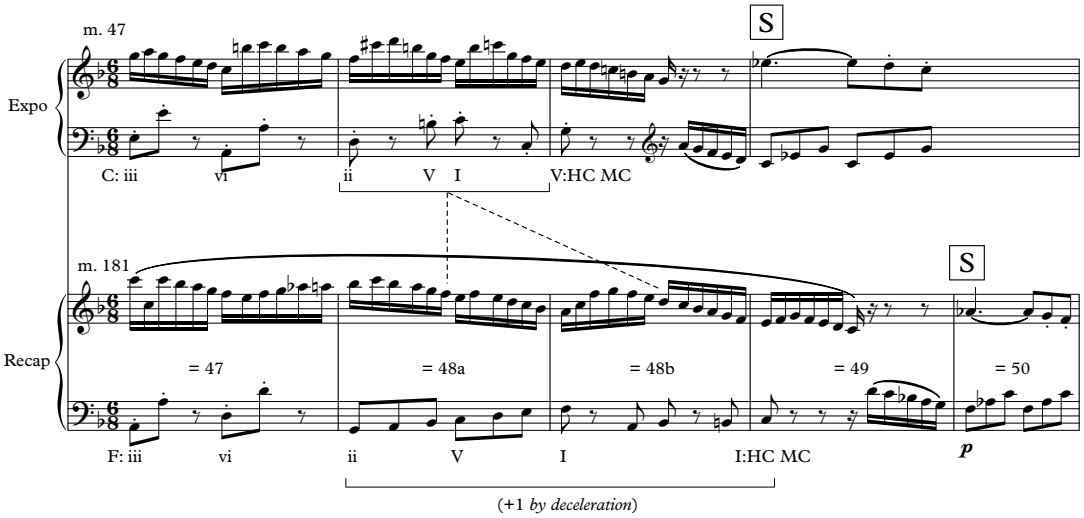
[45] Adorno ([1971] 1996, 92-93).

augmented sixth on E♭—brings about a D-major dominant that will launch TR in the following bar in G minor, the key that will bring about the tonal resolution to F. M. 170 (= 36) is thus a candidate for both tonal and thematic crux, thirteen bars *too early*.



Example 5. 24. A 13-bar Deletion in the Finale of Mozart's K. 332.

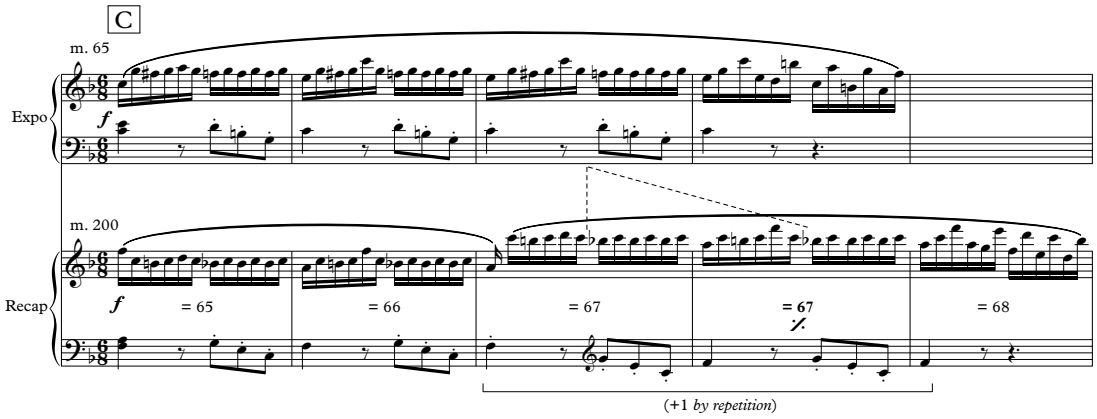
After twelve bars of re-tracking its exposition, the music begins to resist the initial deletion by adding single measures through very small expansions. The first of these occurs when m. 182 and 183 house a deceleration that results in the addition of a single measure. (Example 5.25 does not factor for the initial thirteen-bar cut.)



Example 5. 25. A responding 1-bar Expansion by Deceleration in K. 332.

The harmonic behavior of mm. 182-183 confirms that this is a deceleration by a factor of 2: the ii chord in m. 48 moves to I (via a V chord) in half a measure, while the ii chord that opens m. 182 = 48 takes precisely twice as long. This, then, is an example of a harmonic deceleration heard against a foreground prototype—one wonders: what is its middleground norm?

Mm. 197 and 198 are also different from their expositional counterparts (mm. 62 and 63), but their intensification of S's final cadence does not result in a time-alteration. Still, could it be that something is bubbling beneath the surface? For another measure is added immediately after the onset of C space and the correction of F minor to F major. As shown in Example 5.26, this expansion uses a different strategy: thematic repetition.



Example 5. 26. A One-bar Expansion by Repetition in K. 332.

So far, two one-bar decelerations combat the initial thirteen-bar deletion, giving the impression of a sort of calculated slowing-down. But we have not yet finished. The piecemeal push towards the restoration of symmetry results in one last addition. In a behavior identical to the one shown above, the recapitulatory repeat of C (mm. 210 ff.) adds a single bar, by repetition, at m. 212-213 (= 76 and 76). Thus the script of the recapitulation as a whole is (-13, +1, +1, +1).

Mozart's coda is not only compensatory in terms of size—depending on how you calculate, it adds between 16 and 19 measures to the sonata—it also backs up to sing exactly the finale's thirteen missing measures. Following three bars of entry, m. 230 sings the cadence that first happened at mm. 31-32, and then the music from mm. 22 enters, and tracks again until it restates the cadence at m. 35. As has now become something of a trope, I assert that the argument for thematic compensation through the restoration of P^3 in the coda is legitimate and available to the analyst who wants to make it. But it says nothing about this recapitulation's three one-bar decelerations—of different types—that seem to push back against the initial 13-bar deletion. The thirteen "missing" bars that appear in the coda cannot but comment on the difference in size of the recapitulation and the exposition.

A convincing large-scale deployment of this strategy in Schubert is to be found in the finale of his Second Symphony, D. 125 (revisit Examples 1.5 and 1.6 and the accompanying prose). In that movement, a 20-measure cut is not quite balanced by three discrete four-bar expansions. A more complicated example can be found in the rondo finale of Schubert's so-called "Gastein Sonata," D. 850. This piece seems to come extremely close to restoring the deletion of ten measures in the initial reprise of its A-material (-10, +2 +1 +2 +2 +1), but the situation is complicated by retransitions.

One very particular possibility for deploying the multi-alteration eclipse script unfolds in three stages: first sunder the symmetry through a *rhythmos*-alteration; next enact an equal-but-opposite behavior that restores it perfectly; finally push the now-restored symmetry back out in the direction of the initial behavior. (This strategy might be called "the last word," owing to the refusal on the part of the initial transformation to

be silenced.) The short, three-alteration recapitulation of the first movement of Mozart's Piano Sonata K. 309 is exemplary.[46] Its first time-alterations (m. 101 = 8), which couple the internal repeat of P with a modal collapse, seem to be tied up with the movement's tonal alterations, but soon prove impotent: when they resume correspondence measures at m. 110 = 15 they do so at the exposition's tonal level. This proto-transitional material, impotent tonally, nevertheless does result in a deceleration of two measures: thus m. 110 = 15 in every single musical parameter, two bars too late.

Mozart's recapitulatory TR makes two very quick time-alterations that seem, first, to balance out the *rhythmos*-alteration made in P, and then to push back in the initial direction.[47] The first, balancing (-2) operation is easy to locate, since m. 121, which was equal to m. 26 in the exposition in the recapitulation moves directly at m. 122 to the music from m. 29. Note that the recapitulatory TR tracks through the moment of modulation, meaning that in principle it does not effect *no* modulation where the exposition effected *one*, but it effects *two* modulations, first to the key of the expositional S, and again (in the recapitulatory MC silence) to cancel that motion.

M. 123 (= 30) houses the beginnings of the piece's obligatory tonal adjustment; its *Stillstand* on the dominant will convert the expositional V:HC MC into a recapitulatory I:HC MC. But m. 124, which continues this dominant pedal, did not exist in the exposition: it is a repeat of m. 123 (or m. 30). The recapitulation latches again

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[46] We might note in passing that this piece's development features in inchoate form what in Schubert will be enlarged and intensified and become known as "strophic-modulation" (Tusa 1984). It thus calls into question Salzer's claim (117, paragraph 58) that "we realize that it is in [Schubert's] works that the technique [of using transpositions in sonata developments] appears for the first time."

[47] It is possible to read what I am calling two discrete time-alterations as a single thick set of alterations that subtracts one measure from the ongoing recapitulation. In that case, this recapitulation would exhibit a (+2, -1) script and would fall under Category 3.1.a.ii.

back onto expositional correspondence at m. 125 = 31. M. 125 = 31 is the thematic crux of the movement; its tonal crux happens in the MC silence. Besides surface differences, such as the textural inversion that characterizes S in the recapitulation, the piece tracks correspondence measures from this point forward. Its script as a whole, characterized as (+2, -2, +1), results in a net gain of one measure, vis-à-vis the expositional layout.

On this reading of a "*re*-reactive" behavior, in which the plus-operation indeed to offers the last word, it is it is interesting to consider the three measures of CRI that separate m. 151 = 56 from m. 155 = 57. For in this case it seems that CRI—inserted into the last moments of this particular recapitulation—is being used to drive the point home. The CRI strategy here reopens the space that was cancelled by the two-bar deletion by adding three bars to that parenthetical nether-zone, just as the recapitulation proper added three bars, total, to counteract an initial cut. In any case, the very specific behavior seems to suggest a situation in which the (in this case) plus-operation will not be quelled.

5.4.2. Eclipse Scripts: Category 3.1.b.iii

In a precisely inverse behavior, some three-or-more-alteration recapitulations sunder, then restore, their time-symmetry, and then continue to push it in the direction of the second alteration. These recapitulations, lucky to have stumbled upon an equal-but-opposite behavior in the first place, might have stopped while they were ahead. This behavior is the essence of the three-alteration eclipse script; a clear exemplar is to be found in the first movement of Schubert's First Symphony, D. 82.[48]

[48] One large editorial issue concerning this exposition needs to be confronted. Brahms, who edited the symphonies for the *Schubert Gesamtausgabe*, left a passage in the exposition (mm. 165-190) that evidently was intended by Schubert to be cut out. Later scholarship has fixed what Pascall (1983, 289) has called Brahms's "worst editorial mistake," but the error remains in the Dover edition (a reproduction of the Breitkopf & Härtel edition from 1884). In what follows I will use the measure numbers of the Brahms edition, meaning that the recapitulation begins at m.

This intensely detailed movement has several idiosyncrasies, among them a welter of tonal and thematic alterations and what I will call a "substitute ESC." It features a set of equal and opposite time-alterations (-2, +2)—thereby restoring the symmetry of its *composite rhythmos* exactly—before it begins to distort that symmetry by adding measures. Here, the relationship of tonal to thematic alterations is paramount: a curious tonal move occurring in the recapitulatory TR results in an expansion (remember the case of the slow movement of D. 958.) Its cancellation, too, takes time.

The piece's first thematic and tonal alterations happen in the movement's recapitulatory TR (Example 5.27), which houses a pair of self-effacing tonal alterations and a deletion two measures of the expositional layout. These tonal and thematic alterations are distinct: the tonal alterations that occur at m. 389 to move the music down a major third will efface themselves at m. 397 in order to lead to the same MC as was achieved in the exposition (I:HC MC at m. 411 = 73). The thematic alterations, which happen after the tonal alterations have occurred, dissociate themselves from their tonal counterparts, thus seeming as gratuitous, in their own way, as did the tonal alterations. They make an effort to show that they do not participate in the tonal argument.

After its two-bar deletion, the recapitulation latches back on to its expositional layout, and tracks it (two bars "too early"), until a second set of thematic-tonal alterations

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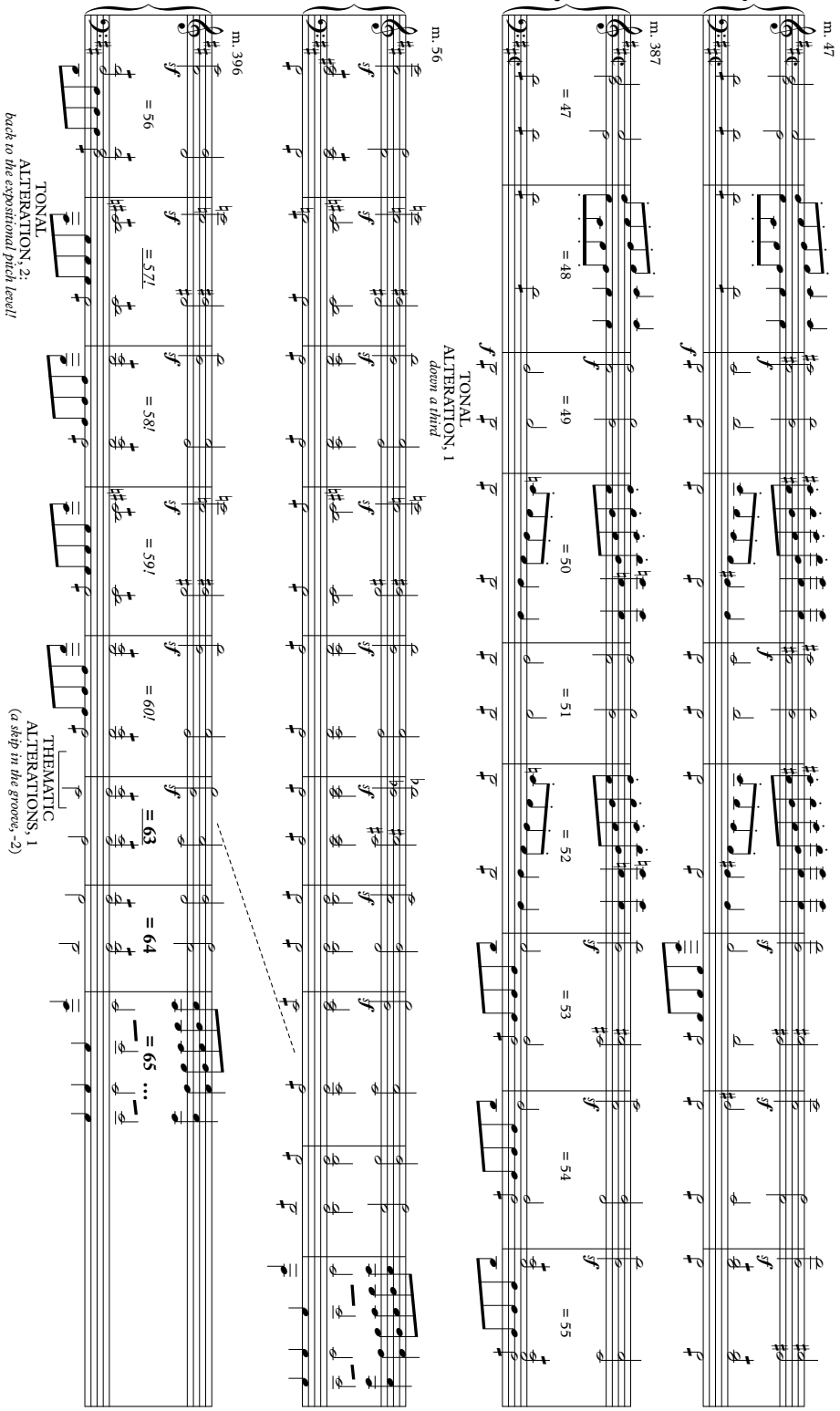
361 = 21. Since C^{rep} begins to dissolve into a coda at m. 500 = 156, the "added" expositional measures do not pose a significant problem in my discussion of the recapitulation, beyond the fact that the measure numbers will not correspond to a critical edition.

It is important that the music Brahms left in his edition, mm. 165-190, is an exact repeat of the preceding music, and its final two measures (mm. 189 and 190) are an exact repeat of the preceding two. It is telling that Brahms thought Schubert perfectly capable of repeating 26 measures in the middle of an ongoing *repetition* of C, which itself is S-based.



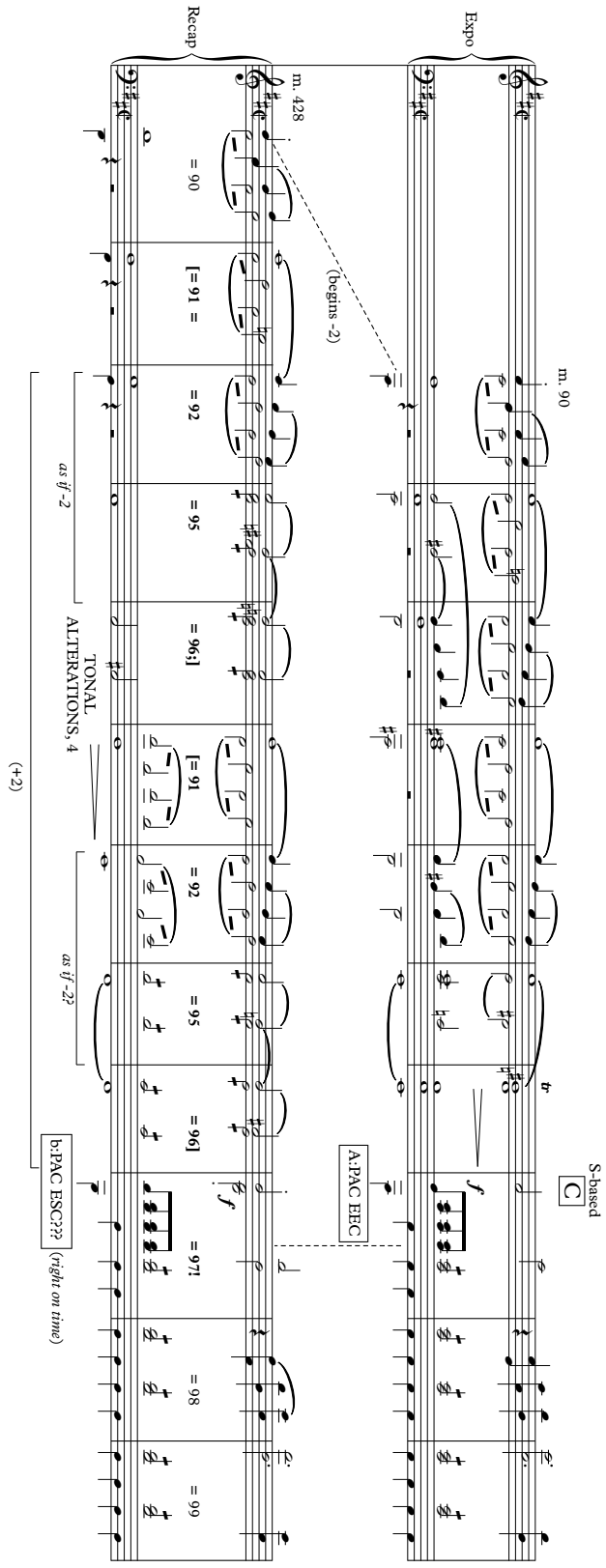
Example 5. 27. Alterations in the First Movement of Schubert's First Symphony, D. 82.

occurs late in the "Promethean" S^{rep} zone.[49] Technically, this is the fourth *tonal* alteration, since the first set featured two discrete tonal moves, and since a third set of tonal alterations was made in the bifocal caesura fill at mm. 412-414. A fifth set will be needed, as we will see.

The second set of thematic alterations involves a compensating re-addition of the two missing measures; the manner in which it proceeds is sophisticated. The recapitulatory measures of Example 5.28 begin (faithfully) two measures before the corresponding measures in the exposition, to factor for the initial deletion; they finish right on time. What starts out by suggesting another 2-bar acceleration—the deletion of = 93 and = 94 right out of the recapitulatory rotation—ends up checking itself: it backs up to repeat the larger, four-bar module of "= 91, = 92, = 95, = 96." The global *rhythmic* deceleration is captured by the lower bracket, while the two "lower-level" acceleration-feints are represented in the nested brackets above it. The thematic backing up, which perfectly recoups the two measures that were lost in the recapitulatory TR, thus sets the recapitulatory *rhythmos* back on track. (Are these literally "self-effacing" thematic alterations thus supposed to be taken as a thematic analog to the piece's first set of tonal alterations, which modulated first downwards, and then upwards, by major third?)

That the "ESC" in this movement first occurs at the temporal location precisely parallel to that of the exposition, even though two time-alterations have occurred, does not make up for the fact that it is does not fulfill the piece's tonal task—a seeming

[49] Schubert quotes the finale of Beethoven's *Creatures of Prometheus* here, even as he was to quote its Overture in his Second Symphony.



Example 5. 28. Restitution in the First Movement of D. 82.

contradiction in terms.[50] The most convincing answer to this ESC problem seems to be to understand the recapitulation as a sort of tonal-thematic paradox—one that decouples the tonal from the rhetorical/thematic task (as it was decoupled in its first set of alterations), and pushes the task of *tonal* closure to a place not parallel to that of the exposition. The thematic material that produced the EEC *does* exist in the recapitulation, and does bring about a cadence; it is simply in the wrong key. The task of tonal closure is therefore delayed into what, in the exposition, was C-space.

The last alterations, which begin at m. 468 ≠ 128, are temporally paradoxical. They begin by backing up to re-treat the music that equaled m. 121 ff. (m. 469 is equal to m. 461 (again an F♯ dominant chord), down a whole tone). But after tracking five measures of this "faux" backing-up, which suggests a deceleration of eight measures, the music dissolves into *Fortspinnung*, which it pursues until m. 481 ≈ 137. Because m. 481 ≈ 137—and not m. 133, as projected by the initial reprise of material at m. 469—these alterations result in a gain, not of eight, but of four measures. As in the Adagio from D. 958, this music must back up in order to make its tonal adjustment; its delinquent tonal crux comes at m. 481. Thus the eclipse script of this movement is (-2, +2, +4).

The "tonal ESC" (a barbarism, for isn't the ESC a tonal category?) thus does not occur at the onset of "C" material—if "C" is here taken to be equivalent to the "C" of the exposition. Rather, it occurs just in time to usher in the *repeat* of C at m. 485 = 141. The state of affairs prompts the question whether the extensively repetitious exposition (even more repetitious in Brahms's edition!) was designed in order to facilitate this kind of

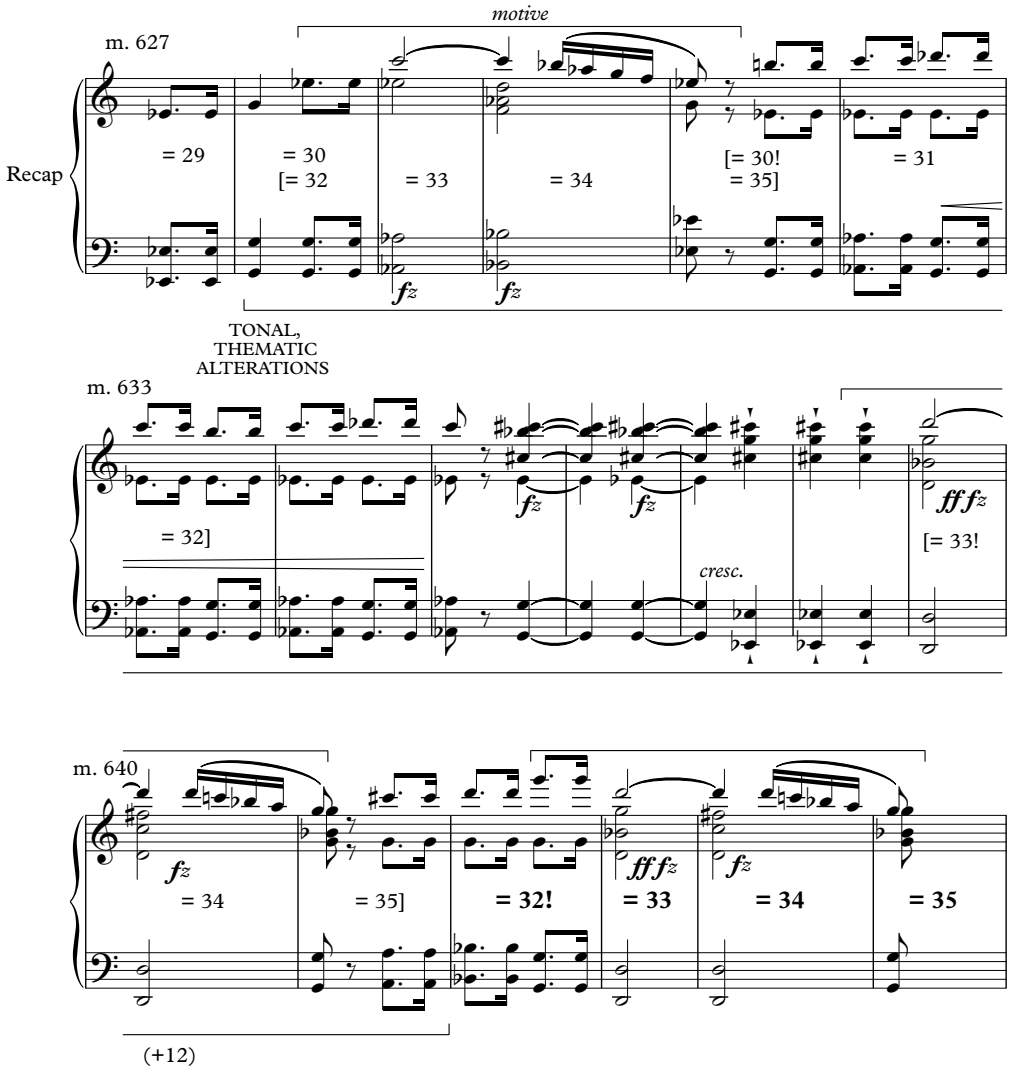
[50] A look back at Example 5.27 (mm. 49-57) suggests that this might be due to the F♯-dominant, so forcefully achieved in the expositional TR, only to erase itself, dissolving again into the orbit of D major. Schubert seems to have understood the promissory capabilities of unresolved dominants long before the famous *Moment Musical* examined by Edward Cone (1982). See also Cone (1984).

play. Are the repeats of S and C in the exposition put there *in order* to make the moment of recapitulatory tonal closure both equivalent to and different from the expositional one, seeing as it can occur in a zone that is form-functionally both the same and different?

A more drastic example of the script can be found in Schubert's "bookending" symphonic movement: the finale of his Ninth Symphony, D. 944.[51] This five-alteration recapitulation begins in E♭ major (♭III) and tracks, with the addition of a throbbing half-note accompaniment in the winds and brass, for thirty measures before the first time-alterations at the end of P^A result in a twelve-bar gain. The thick set of alterations is peppered with red-herring correspondences; as it unfolds it is impossible to get one's bearings, to know what string of correspondences—if any—will end up being "authentic." For one, the ascending leap and falling sixteenth-note figure in mm. 621-623 = 23-25 (bracketed in Example 5.29) happens twice in the exposition, but no less than four times in the recapitulation. (Example 5.29 shows its last three occurrences.) If we are hardnosed about finding correspondence measures—not to say that we should be—we are faced with the intractable: which of the two expositional occurrences of the bracketed gesture are repeated in the recapitulation? Does the "true" second one come "too early," in which case it appears at m. 628 = 32, resulting in a loss of two measures? Or does it perhaps come "too late," appearing at m. 638 = 32, and resulting in a gain of eight measures? Making matters more confusing is a rogue near-correspondence that crops up at m. 631: this measure seems to be equivalent to m. 30, offsetting our first, putative (-2) alteration by adding three measures (not to mention filling in the gap between the jettisoning of correspondences (at = m. 30) and the music that entered

[51] Both pieces house Beethoven quotations: The development of the finale of the Ninth opens with an unmistakable Ode to Joy quotation, which derives (intra-opus) from the S-PAC music (mm. 193-197); it is a wonderful example of a terminal gesture becoming a beginning.

simultaneously with it (= m. 32)). Imagine yourself in the position of a wanderer of this score-as-landscape. How does the landscape strike you in passages of red-herring correspondences?



Example 5. 29. Thematic Alterations in the Finale of Schubert, D. 944. Recapitulation Only.

The best answer avoids the fool's errand of labeling correspondence measures in this passage of thick alterations and focuses instead on the time-distortions it suggests and the way it is tied up with the piece's tonal argument.[52] The first two iterations of the bracketed gesture remain firmly in E♭ major (with the second one, then, occurring "too

[52] It is of course a tonal solution that is needed in this passage, one that will move the piece to(ward) a proper recapitulatory key (e.g., C, V/C, F).

early"), while the third and fourth ones push toward G minor. (The tonal prestidigitation here hinges on the enharmonic equivalence between V^6_5/IV in E♭ and the German ˚3^{rd} in G minor.) Each iteration of the gesture suggests allegiance to mm. 32-35—an assertion corroborated by the fact that the last one, beginning at mm. 642, continues the correspondence measures from that point forward. Thus the second recapitulatory iteration of this gesture at mm. 628-631, if it = mm. 32-35, occurs two bars too early, while the last one, at mm. 642-645, occurs twelve bars too late.

The alterations are also embroiled with the piece's hypermeter. In the exposition, the two iterations of the bracketed motive happen at a ten-bar interval (pickups in mm. 22 and 32). But in the recapitulation the gesture appears, in pairs, in duple hypermeters, as if attempting somehow to regularize the exposition's 10-bar spans. The first pair of occurrences appears at mm. 620 and 628, when the music that equals m. 32 materializes—even though this is the onset of the thick alterations—"two bars too early." The second pair of occurrences—now within the piece's large set of thick alterations—appears at mm. 638 and 642. This pair appears at a four-bar interval, in effect turning the 10-bar passage into a single four-bar hypermeasure.

The normalization of hypermeter is a common enough occurrence in recapitulations (so, also, is its de-normalization; see again the finale of the Second Symphony). But this particular recapitulation's eclipse script may hinge upon the enfranchising of just this behavior. After the first set of thematic-tonal alterations, we find ourselves tracking the expositional thematic layout at a delay of twelve measures and at the tonal interval of a fifth. The next time-alteration occurs when the exposition's two dominant-lock modules (mm. 37-53 and 55-89), which make up its roughly repeated P^B

zone, are collapsed into a single long one. Again, the music is difficult to parse exactly, in relation to the exposition (especially between m. 654 = 44 and m. 670 = 70, the first alteration and the achievement of the dominant). The passage is characterized by a series of dominant locks, one after the other: the D-as-dominant achieved after the move to G minor is converted into an appellative F-as-dominant at m. 654, beginning the deviation from correspondence measures. Next, the F-dominant yields to an A-dominant (of D minor, m. 662). That chord finally cedes to a C-dominant, the level conducive for ushering the movement's subdominant tilt (m. 670). What is important is the amount of time these alterations take as a whole. Since we arrive, at m. 670, at the moment equal to m. 70 in the exposition, this second passage of tonal-thematic alterations results in a net loss of ten measures. We have chipped away all but two of the twelve measures initially gained in the expansion that occurred between mm. 628 and 642.

The next, strictly thematic, alteration, capitalizes on a behavior learned in the piece's first set of thematic alterations to restore the *composite rhythmos* to perfect balance. At m. 689 = 89 (= 91), the onset of $P^{A'}$—which may double as the onset of TR—two measures are cut out of the referential rotation. The same exact behavior then accompanies the second iteration of this material, at m. 697 = 99 = 101. The strategy is motivic to the piece: by lopping off two measures—one hyperbeat—it transforms the hypermeter of an expositional passage, exactly as had been done in the piece's first set of alterations. Those alterations had converted an irregular expositional 10-bar passage into a regular, symmetrical 8-bar hypermeter. Here, what were perfectly regular quadruple hypermeasures in mm. 89-97, and again at mm. 97-105, are both converted into asymmetrical triple hypermeasures. The first of these loppings-off, by asymmetrizing the

surface hypermeter, equalizes the exposition-recapitulation symmetry. As mentioned, this *rhythmic* symmetry will not last.

The last time-alteration in the movement begins almost immediately after the deletion just considered. It is tied up with a set of overeager tonal alterations, which move away from an F:PAC at m. 701 (= C:PAC at m. 105) that would have brought about the tonal crux of the movement without strain. The thick alterations jettison the expositional path at m. 702 ≠ 106, and do not pick it back up again until m. 733 = 145, the thematic (but not the tonal!) crux of the movement. The first half of this set of alterations, though it does not track the expositional layout at all, does end up at a false thematic crux at m. 717 ≈ 121 locally right on time, suggesting that this last alteration may not result in a *rhythmos* transformation at all. However, by m. 725 ≈133, the listener is projecting a deletion (of four bars), and by the true thematic crux (m. 733), it is clear that in total eight bars will be lost.

The final tonal alterations that happen in this movement, required because the last set of thematic-tonal alterations slipped off track (or else deliberately lost one crux in order to find another), occur in the silence of the MC gap at m. 750 = 162.[53] The recapitulation, now ten bars shorter than its referential exposition, tracks until its end. Its eclipse script *in toto* is (+12, -10, -2, -2, -8); its last two alterations eclipse, or re-distort, the symmetry that had been regained after its first three sets of alterations, as if the momentum of the minus-operation has now (in true pendulum fashion) taken over. From one perspective, a massive coda "eclipses the eclipse," but of course it can do nothing to restore symmetry to the piece's *composite rhythmos*.

[53] This MC toes the line between a vi:HC MC and a III:PAC MC just as the expositional MC toed the line between the I:HC MC and a V:PAC MC.

The foregoing has sketched an introduction to "pendulum aesthetics"—the compositional impulse that seems so often to have led to a drive toward symmetry in recapitulations. Once the behavior is identified—either in animistic terms as a *desire* or *will* of sonata forms, or else in historical/aesthetic ones, as a "classical" desideratum—other, more nuanced scripts suggest themselves. We now move on to discuss the last category of multi-alteration script, which houses pieces that make a single type of operation—plus or minus.

5.5. The "Mono-Operational" Recapitulation

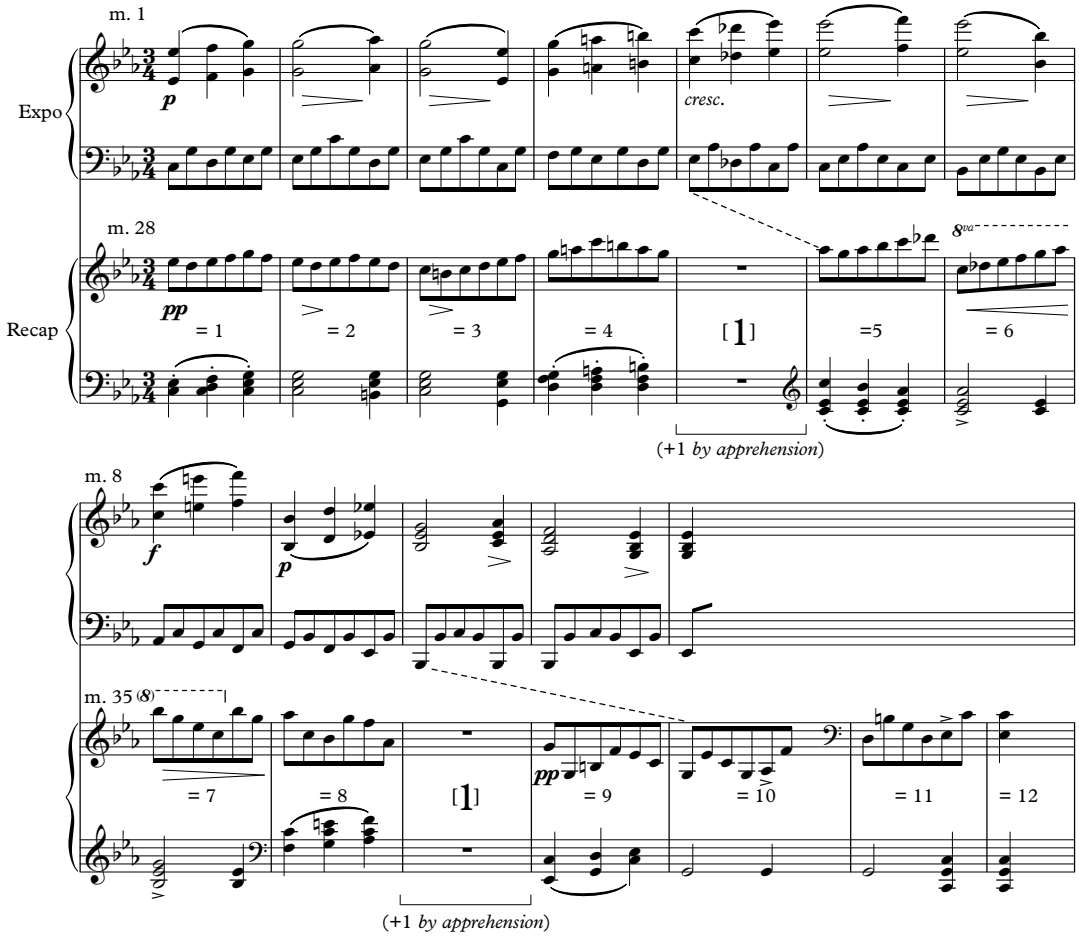
Since they make only one type of time-alteration—plus or minus—"mono-operational" recapitulations, more than any other type, call into question the notion of symmetry as an organizing principle.[54] We remember, of course, that the Category 2 recapitulation by definition does not exhibit time symmetry, since it makes only a single time-transformation. But in the Category 3 context, in which multiple alterations are made, the possibility exists (as we have seen) to counteract earlier alterations with later ones. The mono-operational recapitulation thus stands out by resisting the drive toward symmetry: it does not even gesture in that direction. Each set of time-alterations in a mono-operational recapitulation gains meaning from the preceding one. By distorting the symmetry further and further, they suggest a different organizing principle altogether.

We proceed by identifying a few easy examples of the script, getting a feel for its narrative possibilities. I then discuss at greater length the two recapitulations identified in the first sentence of my Introduction—the very different, though similarly constructed, mono-operational (+) first movements of Beethoven's "Pastoral" Sonata and Schubert's

[54] "Mono-operational," not "mono-alterational." These recapitulations make multiple alterations of the same type ((+) or (-)), not one single time-alteration (the Category 2 strategy.)

Grand Duo. We thus come full circle as we prepare to close down our discussion of recapitulation scripts.

An easy example of the mono-operational script, the Menuetto from Schubert's Piano Sonata in C Minor, D. 958, serves as a nice introduction even if its two plus-operations are not "integrated" into detailed sets of thematic-tonal alterations (Example 5.30). Here, two one-bar expansions through sheer silence suggest apprehension.



Example 5. 30. Expansions Through Silence in the Menuetto from D. 958.

The protagonist, it seems, fully aware of the implications of the musical ABA form he inhabits (not to say perlustrates), stops to think about the direction he is traveling. Even if the alterations, mere bars of rest, seem to be somehow "accidental" to the piece's structure, the fact is that the *goal* of the movement, no matter how negative or fatalistic,

gets farther and farther away from the protagonist as he stops to wonder whether he can go on. Each of its two introspective junctures "costs" a measure, as it were, and only delays the inevitable.[55]

Standard examples of the mono-operational recapitulation are found in any piece that makes more than one time-alteration in the same direction and features no balancing ("compensating") opposite behavior of any size. Pieces whose multiple sets of time-alterations all *add* measures, such as the finale of Mozart's K. 330, and the first movement of K. 333, the first movement of Beethoven's "Waldstein" and "Pastoral" sonatas, the finale of Schubert's First Symphony and the first movement of his Second, the Minuet we've just seen (is this making up for the mono-operational (-) behavior of the preceding Andante?), and the Grand Duo, can suggest anything from indolence or inability, delay or apprehension, to unhurriedness, nonchalance, or despair, as if struggling against all odds to locate and deploy a lost crux. The multiple delays they house can seem tangible to a virtual protagonist, whose cadential (or perceptual) goals likewise seem to recede from view.

Pieces that feature multiple thematic deletions, by contrast, such as the first movement of Beethoven's "Pathétique" Sonata, Schubert's Overture to *Alfonso und Estrella*, the Andante of his Piano Sonata D. 959, and many (especially *buffa*) Overtures by Rossini and others, seem to stage accelerations, to bring the ESC or later modules ever more quickly into the grasp of the protagonist, through Grace or willed action. It is

[55] Another way of putting this: to the extent that the plus-operations in this case are simply holes, and thus do not seem to be integral to any sets of thematic or tonal alterations, the piece seems to split its allegiances between the (literal) mono-operational and the (would-be) *Transpositionsreprise*. But the fact that these are holes, and not involved thematic-tonal alterations, does not remove the piece from membership in the category. The protagonist's apprehension pushes back the achievement of his negative fate—farther in the repeats; farther still in the large-scale da capo repeat of the Menuetto—but can do nothing to counteract it.

reasonable to ask of recapitulations like this why they should be in such a hurry—perhaps in the case of "The Overture" they are to be understood as making a head nod to a generic norm. Perhaps a different logic is in play. The Pathétique, for example, whose mono-operational script is (-14, -6, -2), may (paradoxically) deploy a mono-operational recapitulation *in order to* push toward time-symmetry, if we understand its minus-operations to be trying to offset the measures gained by the recurrences of its slow introduction. An alternative to this formalist reading (which itself may be quite accurate) is the possibility that it is to be taken as Overture-*like*, since its script is one that tends to characterize the festive Overture.[56] From a third, narrative, perspective, perhaps the accelerations are meant to highlight the fatalism the piece embodies through its *ombra* topics and (paratextual and textual) evocation of rhetorical *pathos*.[57]

Two examples of the mono-operational script stand here for the multitudes of others, for which we have no room. In addition to explaining the workings of the strategy they serve as one last reminder of the interpretive differences that are possible even in identical recapitulation scripts.

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[56] Recall the Taruskin quotation from Section 1.1. A piece that synthesizes these two points (always mentioned in the same breath as the Pathétique) is Mozart's Overture to *The Magic Flute*, whose slow introduction returns to launch the development, and whose recapitulation is obsessed with cutting measures (-28 [gratuitous], +6 [thematic-tonal; crux], -1, -1). The deletions both (over-)balance the interpolated slow-introduction material (in this case quite negligible in terms of size), and participate in the generic norm of overture recapitulations that are shorter than their expositions and drive, forcefully and quickly, toward their goal: the raising of the curtain. A programmatic reading of *the early achievement* of "entering 'these sacred halls' " as *Elements* (301) hears the Overture, is available from this perspective as well.

[57] It seems felicitous, in this context, that Sisman (1994) cites this passage on the characteristics of rhetorical *pathos* from Johann Christoph Adelung: "The crowding together of ideas, their impetuous course, the tumult of several often very different passions, the high figures of the highest level of inflamed imagination, the quick succession of short sentences without connections, the striking ellipses, the repetition of the same idea in different forms, etc."

5.5.1. Beethoven's Mono-operational (+) "Pastoral" Sonata as Peasant Time

The first movement of Beethoven's Piano Sonata in D Major, Op. 28 is shot through with the pastoral topic. Its opening ten-bar phrases, limpingly asymmetrical in the manner of so much folk music then and now, unfolds *piano* with parallel imperfect intervals over a drone bass, in the approximation of compound meter.[58] It features three-voice "horn fifths" (see the left hand's thumb), that in this case seem to signify less a piping shepherd than a "framing distance"—a stage on which the "peasant" is to be perceived. The second phrase, beginning in m. 11, being equivalent to the first phrase, but an octave higher, corroborates, for this octave-echo is another paradigmatic (Romantic) signal of distance. Thus together the two phrases seem to lift the curtain on a scene of shepherds piping in the distance. The drone lasts, in the same register, through the piece's entire P-zone (with four quarter notes of exceptions at mm. 25-26, repeated at mm. 33-34), ceasing only in the rest that follows P's terminal D:PAC at m. 39.

P is not the only zone that encapsulates the pastoral, and drones, horn fifths, and parallel thirds, sixths, and tenths are not the only means by which it is captured. Note in TR, which begins in m. 40, the preponderance of fifths, especially the motion from the E-as-dominant at m. 47 directly to the D-as-tonic in m. 48. Though not objectionable—the E-dominant is back relating and thus does not participate in any voice leading with the D

[58] It thus instantiates, as in a textbook, every feature of Hatten's (2004, 58) list of features of "the quintessential pastoral": "idyllic, untroubled music in major mode with pedal, slow harmonic rhythm, subdominant emphasis, parallel thirds, and simple lyricism in a slow tempo." Adorno ([1971] 1996, 107) writes of metrical irregularity that it is "the dowry which folksong-like melodies bring with them to symphonic prose."

that follows—as a signifier of the folkloric peasant this succession nevertheless flies just under the limit of admissible voice-leading possibilities in the classical style.[59]

The current discussion will focus on the seemingly paradoxical combination of a "staging of nature"—and all the order, balance, perfection, and proportion found therein by late-eighteenth- and early-nineteenth-century aesthetics[60]—and a deliberately *asymmetrical* form. We might expect, in a form that is an imitation of a piping peasant, few or no recapitulatory alterations, for time-alterations are a part of sonata composition's *art*. (See again the discussion of the Trio of D. 575.) The question that thus presents itself is: how can Beethoven's Sonata enact so many sets of "artful" thematic alterations and still be a portrait of "nature"? The argument I put forth below is that this particular mono-operational (+) sonata form disavows its "natural" symmetry in order to stage—through art—a premodern or unhurried peasant time.[61]

The "Pastoral's" recapitulation begins with a set of playful flourishes that unfold over the tonal progression laid out in its exposition.[62] Not until m. 308 does the piper's desire to play first impinge on the *rhythmos*, demanding a backing-up to repeat what was already a twice-articulated cadence a third time, louder, faster, and higher than ever. The

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[59] Compare the arpeggiated fifths in the Scherzo, e.g., at mm. 5-6 and mm. 13-14.

[60] Hatten (1994, 83): "For a Classical composer the natural order could be captured metaphorically by balance and proportion in the realm of the passions." Cf. Almén (2008, 142).

[61] As Monelle (2000, 83) would have it, a staging of "the temporality of the signified": "As in language, [in music] there is a temporality of syntactic structure. But theorists have studied this sort of time, in its typical forms of meter, rhythm, and phrasing, with such profound attention that we forget that music can also *signify* time."

[62] Compare the pianistic flourishes that "instrumentalize" the rondo finale's yodeling P-refrain at mm. 51 ff. and mm. 114 ff.

correspondences, beginning in m. 304, thus read: = 36, = 37, = 38, = 39; = 36, = 37, = 38, = 39, and P's terminal D:PAC occurs at m. 311 = 39, four bars too late.

Already the characterization "too late" seems problematic; this piece critiques the notion that arrivals right on time—tied up with modern notions of "clock time" and linear narrative, not to mention the emergence of art based on these—are desirable. The movement's decelerations present a leisurely experience of time, untouched by modern notions of punctuality. Thus it may or may not be surprising that the first set of (gratuitous) tonal alterations (which happens twice, at m. 316 = 44 and again in the repeat of this TR music at m. 324 = 52) does not insure a tonal resolution, down the line. After these beautiful octave lines the piece arrives a whole-tone below its expositional counterpart, instead of a fifth below.[63] But it should not be surprising that the way to achieve the corrective tonal motion of a fourth-descent is tied up with a *rhythmic* deceleration: mm. 328 and 329 are an immediate repeat of mm. 326 and 327 (= 54 and 55), at the proper pitch level. The strategy, by now so familiar, is striking in a piece in which four bars have already been added to the ongoing rotation. The desire to back up to repeat some already performed music had also characterized that first set of thematic-tonal alterations.[64]

If the impression of both these backings-up is one of unhurriedness, of a protagonist whose work has the benefit of not participating in the time that may be moving at an altogether more hurried pace in the bustling city, the next time-alteration in this piece presents "time stopped." The measures preceding the achievement of the

[63] Are these descending octave lines from D-D the source of the descending third progression in the finale, mm. 17 ff.?

[64] Compare, too, the first movement of the "Pastoral" Symphony, which also features this type of tonal alteration, and which also features two decelerations.

ESC—all the more charged with forward drive for their necessarily "corrective" rearticulation of the S modules that earlier led to an evaded cadence at m. 383 (= 109)—delay its realization even more extremely than in the exposition. In the exposition the motion to the cadence beginning at m. 125—already a repeat of the earlier motion beginning at m. 103—pauses on the cadential $^{6}_{4}$ chord for six full measures, only resolving it to the $^{5}_{3}$ version on the last beat of m. 134. Articulations of the I^{6}, V^{4}_{3}/V, and V^{6}_{4} chords alternate with single measures of double-reed melismas, and the apotheosis that occurs over the final $^{6}_{4}$ chord suggests a playfulness not to be rushed by the commerce and social intercourse of the everyday world.[65] In the recapitulation the parallel cadential $^{6}_{4}$ chord, achieved at m. 403 = 129, is followed by no less than three iterations of what in the exposition was m. 130. These repetitions of single referential measures are anything but anguished, as they were in some examples adduced in Chapter 4. On the contrary, time here seems to stop dead—incidentally in precisely the way that it does between a $^{6}_{4}$ chord and its resolution in a classical cadenza—in a staging of pastoral temporal stasis.

Against this backdrop it seems surprising neither that the movement contains a coda, in addition to all the addings of measures, nor that the coda is P-based and quite repetitive. That it is P-based suggests, of course, the possibility of an even more broadly cyclical time than has transpired in its treatment of its recapitulation. For P unfurls at the piece's beginning, as a storm in its development, at the onset of its recapitulation, and

[65] In the pure pastoral mode this alterity (from the modern, from the urban, and so on) is valorized; in much of Schubert's music, on the other hand, *Fremdlichkeit* has a negative charge. The difference perhaps inheres in the desire (or lack of desire) on the part of the protagonist to be a part of the (emerging) bourgeois society. The shepherd is at ease with isolating himself in an antiquated, fully agrarian world; the social outcast, *even though* he sees the bourgeois world as illusion, nevertheless cannot judge himself except in relation to (his otherness from) it. To him, the pure pastoral mode seems impossibly fantastical.

again in its coda. The isolation, liquidation, and repetition (at mm. 446 ff.) in the coda of what was in the exposition a two-bar suffix—the asymmetrizing impulse included in the piece's first phrase as well as composed into its large-scale formal fabric—contribute to the feelings of stasis and circularity in the context of a piece of art-music that nevertheless must close. With each two-bar repeat, the upper voice ascends by a slow arpeggiation from F♯4 all the way up to D7 (ever higher, and more distant). The final bars—witness its lowering dynamics—obtain the dramatic balancing function of closing the curtain, even as they reinforce the perception that time does not apply here.[66]

Beethoven's dramatic presentation of a premodern time is all the more impressive in that it is housed in a form defined by its ("economic") motion towards cadential goals. In many ways, it is the integration of the two seemingly self-contradictory impulses (nature-music and art-music) that is Beethoven's achievement. It does not, or at least not straightforwardly, "articulate the dominant temporality of the society that [gave] it birth," as Monelle (2000, 84) has written, except insofar as it is impossible to articulate any other temporality in a sonata structure. Rather, through its form it stages a temporality long since lost to modern man.[67]

When we write of the conflicts between the *teloi* that are "built in" to the sonata argument, and any avoidance of those *teloi* for narrative or dramatic reasons (or due to compositional maladroitness), we are firmly in the bailiwick of Schubert studies. For only one example that must here stand for literally hundreds, take Almén (2008, 142),

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[66] The other movements of this sonata also partake of the pastoral mode; in this piece it is certainly the ruling expressive genre. Note that its Type 4 sonata-rondo finale has two sets of time-alterations, both of which add measures to the ongoing rotation, and a large, refrain-based coda. See mm. 130-144 (+3) and mm. 145-158 (+1).

[67] Monelle (2006, 185) identifies the pastoral as "the most profoundly mythical of all topics. Never at any time did it bear much relation to social realities."

who writes of D. 960 that "this static, timeless quality is potentially at odds with the sonata principle.… The essentially dynamic character of the sonata is thus ideal as a staging ground for rendering problematic the static pastoral-as-theme."[68] But the "transplanting of the idealized pastoral into the developmental sonata environment," as Almén puts it, has resulted here in none of the formal distortions that so often crop up in Schubert's peculiar backings-up. The pastoral stasis in Beethoven's sonata seems rather to make the "essentially teleological" form that supposedly "houses" it work in service of his desired presentation of timelessness. In this regard, it comes close to what Monelle argues is the metaphysical quiddity of music *per se* (94): "music … is devoted to recovering western man from the abyss of clock time."[69] Beethoven's "Pastoral" Sonata, like the nineteenth-century shepherd, inhabits a temporality different from that of his immediately surrounding social reality, governed as it was by technological progress, linear time, mass production, and workaday commerce.

[68] This has been a trope in Schubert studies since at least Salzer (1928). The interesting thing about this type of claim is that it exists whether scholars implicitly subscribe to it (Almén), explicitly subscribe to it (Dahlhaus, Gingerich, Burnham), or attempt to critique it (Mak, Clark).

[69] On the emergence of "monochronic" temporality in the West, see pages 93 ff., of which the following is representative: "Clock time came to birth when the naturally encompassable cyclic times were overridden for purposes of profit." See also McLuhan (1962). On the emergence of the Sonata Form (and the *Bildungsroman*, qua reified formal constructs) as the ideal artistic vehicles for the representation of bourgeois subjectivity, see McClary (1992).

5.5.2. Schubert's Mono-operational (+) Grand Duo and the Lost Crux

> The "heavenly length" of Schubert's most ambitious instrumental compositions entailed innovative narrative strategies and manipulations of a listener's feeling of time that are quite different form those of Beethoven."[70]

The first movement of Schubert's Grand Duo, D. 812, deploys the mono-operational (+) recapitulation to different ends. Its exposition, far from the idyllic pastoral staged in Beethoven's Op. 28, is rife with Schubertian quirks: it features a quite chromatic surface (including Slide relationships between tonic C and C♯ minor and dominant G and G♯ minor), a three-key exposition, and a trimodular block. Most expositional modules are locally repeated, and TM^1, TM^3, and C are all P-based ($TM^3 = TM^1$), creating more opportunities for feelings of repetition and backing up.[71] (Interestingly, some thematic gestures in TM^3, such as the cadence-maker at 85-93, come directly from P, looking over its immediate allegiance to TM^1. Too, some of TM^2 is TR-based, calling attention to that module's transitional function.) The Duo's chromatic, P-based development is also peculiarly Schubertian: it houses a major-third cycle (not-incidentally tied up with a quotation of Beethoven's Archduke Trio in the proper key), and strophic modulation at the interval of a rising whole tone. But it is the Grand Duo's recapitulation that concerns us here, in particular its many time-adding transformations. Let us conceive of these recapitulatory tonal and thematic alterations as a series of three "steps."

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[70] Gibbs (2000, 175).

[71] Schubert, it would seem, occupies a unique position in history in that he is the only composer who can write inorganic, mechanistic music that nevertheless is shot through with developing variation. Writers have only just realized this curiously duplicitous state of affairs, and it would be instructive for our understanding of what organicism in music means to tease Schubert's organicism apart from Beethoven's (= Schoenberg's from Schenker's?).

Step one: get to F♯ minor instead of C♯ minor. After 27 bars of tracking the exposition at pitch, the first set of tonal-thematic alterations (in TR) consists of moving downwards by fifth, in order, one would presume, to achieve the tonal crux early. The behavior, even if it accrues a different hue in a piece already so saturated with P, is a textbook example of backing up to repeat the immediately sounded module at the subdominant. It takes eight measures to enact. Between the last beat of m. 201 and the onset of m. 202 the thematic gear clicks back eight measures and the tonal gear is set down a fifth. Because of the behavior, the Slide relationship that in the exposition moved from the tonic C major to C♯-minor (ultimately iv in A♭) will in the recapitulation concern F and F♯. A (three-key) Category 2 solution, with the script (+8) is now a viable solution to the recapitulatory puzzle.

Step two: trade the now achieved, semitone-related F♯ minor back for its diatonic "shadow," F minor. Interesting about this behavior is the fact that F♯ minor was achieved at m. 216, when it displaced none other than F major, which was achieved as the goal of our "step one," way back at m. 202. As we have seen, tonal motion by semitone often *takes time*, especially if some amount of labor is to be thematized; the situation here is no exception. After articulating six bars of F♯-minor (mm. 216-221 = 34-39) the music again backs up to re-treat mm. 34 ff., *fortissimo* at a different pitch level, B♭ minor. The (unmediated) tonal relationship between F♯ minor and B♭ minor at mm. 221-222 may have been learned from the hexatonic relationships in the development section, and may also tie in to other larger-scale hexatonic relationships in this piece, but what is important about this tonal move is its self-cancelling motion downwards by semitone. M. 222 thus equals m. 34, and these red herring correspondences "track" (parenthetically, although no

less charged for that) through the two bars of silence at mm. 40 and 41, before again backing up to the local thematic crux at m. 230 = 38. The loud, chromatic, and funereal music that equals m. 38 is thus sounded no fewer than three times in this second set of alterations: once at m. 220, projecting a three-key recapitulation in the pattern C-D♭-C, a second time in B♭ minor (suggesting a TM^1 in F major?), and a third time in F minor, projecting—if nothing else changes—a TM^1 in the tonic C major.

One way to understand these additional (tonal) alterations is as stemming from a desire to recapitulate all of the piece's themes in C. But this tonal observation says nothing about the type of alteration Schubert chooses, a thematic backing-up (the second in this now "bloated" recapitulation) to try to achieve a tonal crux. All in all, "step two" results in an addition of ten measures (all the longer for the fact that its internal, red herring correspondences projected an addition of only six bars). The thematic crux is thus pushed back even further than initially projected: the script so far is (+8, ~~+6?,~~ +10!).

Step three: trade the semitonal motion from A♭-G in the exposition for music that stays in the tonic. TM^1 does indeed enter in the tonic key, albeit in the minor mode (how much gloomier the slithering, semitonal-voice-leading leading up to this minor-mode S-theme in this context), and tracks in this troubled three-flat universe until a c:PAC (i:PAC!) at m. 258 replaces what was an IAC in the exposition (m. 66).[72] The differences in cadential strength and mode give the feeling of bringing the hammer down. (Notice that through the Secondo part's inversion, TM^{1rep}, which begins at m. 251 makes clear the derivation of TM^1 from P.) We seem to be firmly (and negatively) stuck in the minorized tonic. Adding to our malaise is the knowledge that we cannot unconcernedly stay in this

[72] Rosen (1997, 87): "a theme in the major mode recapitulated only in the minor is, I believe, unprecedented in a sonata."

minor tonic and expect to end up with tonic closure: another set of tonal alterations is necessary.

In the exposition, TM^2, which was based on the motives of TM^1, is characterized by a falling thirds sequence that problematically arrives at G as the dominant of (the tonic?) C minor—a portentous move we now understand.[73] There, the correction involved using the E♭ (as the bass of a tonic i^6 chord) as an augmented-sixth chord, by analogy to the E augmented sixth that moved us into the orbit of A♭ for TM^1 (m. 44). In the recapitulation, TM^2 is rather concerned with hammering home the key of C minor at *fortissimo* dynamics: the motion towards a c:PAC at m. 262 both integrates the falling thirds of the expositional TM^2 with a tonic-maintaining cadence and recapitulates, in miniature, the thematic plan of the exposition. The repeat of this module locks on to the dominant of C minor at m. 266, again from an augmented-sixth chord (and again redolent of the expositional plan as a whole). It then prolongs this dominant through textbook $^6_4$ alterations—always in the minor mode—until the arrival of a i:HC PMC at m. 270 = 76, the very long-*forestalled* thematic and tonal crux of the movement.

This third and last set of thematic-tonal alterations, which keeps the recapitulation from slipping down to B major, is different in kind from the earlier two, since it is not trying to *move* somewhere, but to *keep from* moving somewhere. Still, even as those alterations necessitated time to break from their referential tonal paths, so, too, does this one. It results, after all is said and done, in an addition of two measures, adding a feeling of slowness, or fatigue, of fatalism or being mired—at any rate of labor, in a situation in

[73] The dramatic effectiveness of this gesture of foreshadowing, coupled with Schubert's known penchant for promissory notes, ought to paint those pieces famous for pushing toward problematic tonics in their expositional TRs toward tonic in a new light.

which it is hard to procure. Especially when coupled with the overwhelmingly minor-mode recapitulation, it suggests complete exhaustion, perhaps from the effort of pushing back against an external force that exerts its (tonal) pressure on the protagonist.

It is important to consider that since this piece's recapitulatory TR modulated to C, the reiteration of TM^1 as TM^3, with TM^2 as a medial transition, is "redundant," as much thematically as tonally. The Duo's first set of tonal alterations thus "implies" the redundancy of TM^2 and points directly to the near thematic equivalence of TM^3 and TM^1. If we are the type of listener that projects deletions of thematically (or tonally) redundant material in recapitulations, we would imagine large cuts to TM^2 and TM^3 that would perhaps balance the movement's initial 8-bar gain. How much more striking, then, that not only are the "tonally superfluous" TM^2 and the "thematically redundant" TM^3 included in the recapitulation, but that TM^2 actually houses a plus-alteration (!), in the form of an addition of two bars.[74]

The music that follows the achievement of the thematic and tonal crux at m. 270 = 76 restores C major, and tracks its referential exposition until its end. To my ears it cannot cancel the effect of the extraordinarily minor-mode recapitulation, not to mention the two c:PACs that occur therein. Different from its presentation in the exposition, TM^3—its valedictory peregrinations to C♯ minor and E major, and its preservation of the triplets of TM^2 (ultimately TR)—accrues a darker hue in the recapitulatory context.

It should not be surprising that the movement features a long coda, nor that it is P-based (as has been every other module in this sonata) and deals with articulating the

[74] If it is thought that these plus-operations are one reason Schubert's music feels so long, so blown out of proportion, it is important to remember that recapitulatory additions are common enough; if Schubert's music is too long, criteria for this will have to come from elsewhere than his recapitulatory expansions.

TMB incipit in C major. My final injunction to the reader is to hear this coda not in terms of a secondary development or a compensatory resolution, and not in terms of a statement of ambition or grandeur, as if a piece of this scope somehow demands it. Hear it as a further, more deliberate or grotesque or exaggerated distortion of the symmetry of halves so basic to sonata form—a behavior articulated by all three of this piece's ostensibly "tonal" alterations. (Remember that after the first set of tonal alterations, which result in a gain of eight measures, no other addition would have been necessary.) The piece's final script is thus (+8, ~~+6?,~~ +10!, +2, + a 74-bar coda, which unfurls in two large, P-based rotations).

The Grand Duo, whose mono-operational (+) recapitulation "houses" as well as intensifies its Schubertian backings-up and slowings-down, is a nice foil to the way these behaviors were deployed in the peaceful pastoral of Beethoven's Op. 28. Different from the "Pastoral" Sonata's staging of a serenity lost to modern man, the dysphoric Duo seems itself to *stage a loss*—of a crux, of the major mode, and so on. It serves as a final reminder that recapitulation scripts, which suggest dramatic and narrative scenarios, ultimately work hand in hand with a piece's content. They do not mean on their own.

A final note on the different effects produced by Beethoven's and Schubert's deployments of a similar script is that these effects may hinge less on the status of the achievement of goals (such as the crux and the major mode) than on their ability to make them sound like goals at all. Beethoven's sonata manages to present a situation in which tonal cruxes, cadential arrivals, and the like, seem to the listener—even one steeped in the Classical style—as unnecessary. Let them happen when they will! Schubert's Duo, on the other hand, seems somehow to foreground the inachievement of its goals, which

maintain their status as necessary, if always just out of reach (and receding ever further into the distance).[75] Thus the effect of Beethoven's form seems to be perfectly described by Monelle's glossing of Bakhtin's discussion of the Idyll (2006, 195):

> Since nothing changes in the pastoral world, time is not experienced as a historical or developing process. Only the cycles of the seasons and the hours of day and night are markers of time, which thus repeats itself constantly…. Nothing seems to change. There are no goals, no ambitions, no disappointments.

That of Schubert, on the other hand, seems, through its thematizing of work, to strive toward achieving its goals, to struggle (as part of a "developing process") to attain the goals that—since they are already built in to the sonata argument—should not be so difficult to achieve.

I do not use these two examples side by side to say that Beethoven composed *this* way while Schubert composed *that* way, still less to argue that Beethoven was better integrated in society than Schubert, that perennial outsider. These and other arguments (the masculinity argument, the sexuality argument, the history-of-music-theory argument) have the end effect of reinscribing the differences perceived between the figures of Beethoven and Schubert, not transcending or neutralizing them. They are not the conclusions to draw from the current discussion. I use these individual movements to show two different ends to which two composers leveraged the narrative possibilities of the mono-operational recapitulation. These are two possibilities, deployed (but not

[75] This observation runs counter to the ideas that Schubert's music somehow does not work within the bounds of classical norms, and that traditional music-theoretical machinery is not up to the task of analyzing it. For one version of this oft-delivered thesis see Clark (2011, ch. 4).

discovered) by Beethoven and Schubert respectively, of creating compelling narrative forms out of the same recapitulation script.[76]

There is, however, one traditional quarrel with Schubert that bears addressing in this context. Before concluding Part II, I point to a quotation from Salzer's 1928 essay that well-read Schubertians know can stand for many others, both historical and current. After the foregoing it should seem fallacious enough to stand without further comment.

> 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.… 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 (124).

5.6. Conclusions to Part II

The last four chapters have laid the foundations for a theory of the recapitulation based on *rhythmic* differences from referential expositions. One way to understand the project, as it has unfolded thus far, is as an answer to the question: "what is the difference, if any (perceptual, compositional, narrative, generic, qualitative), between the 'Schubertian' *Transpositionsreprise* and recapitulations that spend more time or effort getting to their conclusions?" I have focused both on the formal—the *techne*, the *hows* of these alterations—and on the hermeneutic—the meanings suggested by these. It bears emphasis, in these concluding remarks, that reader is free to dispense with my semantic attributions while nevertheless preserving my "syntactic base."

Later, but not any more advanced, work might address the explicitly comparative, art-historical implications of this particular aspect of sonata forms. Where did composers

[76] Compare *Elements* (252-253): "the structural shape of any given sonata can respond to any number of extramusical parallels that listeners might wish to interweave into it, provided that that narrative is governed by the same expressive shape as the music in all of its details."

learn to make tonal-thematic alterations? How does their approach to recapitulatory alterations contribute to our understanding of their development as composers (or as fabulists), or as members in historical chains of replication? Do patterns emerge regarding when certain alteration-types are appropriate, generically speaking? Does Schubert preserve the "scripts" of pieces he is said to have modeled his own pieces upon? How are his presentations of time and space different from that of his predecessors? And so on.

We have now come several hundred pages, and yet the last three chapters do indeed represent only the basics of this "way of hearing" sonatas. The point for further research is to *use* this analytic alignment in order to understand larger trends in the development both of individual composers and of the evolving sonata tradition to which they contribute. In an effort to make good on the claim that by focusing on recapitulatory alterations we might refine our art-historical and generic understanding of musical forms, Part III singles out one particular script for detailed focus. It is a preliminary study of Schubert's strikingly consistent deployment of the "compensation script" in one compositional context over the course of his career. It is an attempt to use recapitulation scripts in order to identify one more of Schubert's so-called "fingerprints" (Wollenberg, 2011).

PART III:

DIRECTIONS FOR FURTHER RESEARCH

CHAPTER 6:

COMPENSATION SCRIPTS IN SCHUBERT'S EXPANDED TYPE 1 SONATAS

> There is the enduring tradition of allowing first movements to stand for the whole in studies that deal with later eighteenth-century instrumental cycles, a premise that has obviously discouraged close scrutiny of final movements in general… Perhaps as a line of least resistance, scholars have seemingly chosen to extrapolate from their first-movement analyses and thus to apply overly simple templates to the finales rather than developing flexible, process-oriented methods.[1]

> Schubert had always had trouble in controlling the rondo. It is to his finales, and especially to his rondo finales, that his reputation for rambling redundancy is due.[2]

> The composer of a sonata (or of anything else) was concerned with reconciling the demands of expression and proportion. Symmetry withheld and then finally granted is one of the basic satisfactions of eighteenth-century art.[3]

> Good taste," therefore, reveals itself in the *degree* of variety admitted to an expressive content, the *proportions* allotted to each affect, and the *means* used to convey these sentiments. While all works of art depend on good taste, this feature is mentioned especially in relation to the composition of rondos.[4]

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[1] Grave (2010, 148).

[2] Cone (1970, 787).

[3] Rosen (1998, 49-50).

[4] Portowitz (2001, 131).

6.0. A Zero Module.

The typology presented in Part II raises questions about how genre and history. Were different types of alterations desirable (or normative) in different compositional contexts? How did a composer choose an appropriate script for, say, an Overture, a rondo, or a finale? Were there (tacit) generic requirements that governed these choices? Did composers cultivate individual preferences for particular scripts in certain contexts? The following treatment of Schubert's personalized approach to one peculiar sonata strategy is one "application" of the theory delineated in the first two parts of this study. It is designed to show directions for further research.

6.1. Compensation Scripts in Schubert's Expanded Type 1 Sonatas

Schubert had a life-long interest in what Sonata Theory calls "birotational" sonata forms, those forms associated with overtures and slow movements that trace two, rather than three, paths through their thematic material—forms, in other words, that contain no developmental rotation. He composed these Overture-like, or Baroque-binary-like pieces from his very first essays (DD. 2 and 4) until his very last (DD. 956 and 960). He composed them in movements of different speed and disposition within the sonata cycle, and he composed them across genres (overtures, chamber music, piano sonatas). Especially later in life, and especially in his finales, Schubert showed a predilection for a birotational form whose second rotation (recapitulation) features a developmental expansion—a bulge or interpolation, which results in a layout for which Sonata Theory uses the adjective "expanded," as in "expanded Type 1 sonata."[5]

The expanded Type 1 sonata's "built-in" *rhythmos*-distortion makes it especially attractive from the current perspective, interested as it is in any drive toward symmetry that might be used to balance or offset the bulge. But Schubert's individualized response to this particular formal strategy—the ways in which he made this form his own—has

[5] "Type 1" because it traces two main rotations, exposition and recapitulation (no development); "expanded" because it has developmental rhetoric interpolated into the middle of its second rotation. See also Pascall (1974).

typically been overshadowed by scholarly interest in what he learned from Mozart, how he influenced Brahms, or the perennially insoluble question whether this abstract form is best understood as Rondo or Sonata.[6] Building off the typology of scripts laid out in the foregoing, this final chapter focuses instead on articulating a set of features that characterize Schubert's personalized appropriation of the expanded Type 1 layout.[7] It isolates the expanded type of bi-rotational form, and uses it as a lens through which to view larger issues of sonata praxis, within Schubert's output as well as in larger historical and aesthetic contexts. Moving backwards in order of composition, I provide analyses of four pieces Schubert composed in this idiosyncratic form—the finales of the last piano sonata (D. 960), the Cello Quintet (D. 956), and the "Rosamunde" Quartet (D. 804), and the Overture *in the Italian Style* (D. 590)—with the goal of bringing to light a set of compositional approaches that is common to all of them.

6.1.2. Two Behaviors

Two particular behaviors characterize Schubert's deployments of the expanded Type 1 strategy considered below. The first is a preoccupation with pendulum aesthetics. In each of the movements addressed, after shoehorning a passage of developmental rhetoric into the form, Schubert compensates for the enlargement, in stages, by deleting multiple sets of later referential modules. The scripts we will see below are thus "compensation scripts," of one variety or another; most fall under Category 3.1.b.

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[6] Tovey (1927), Einstein (1951), Chusid (1955, 1962), Pascall (1974, 1983), Hur (1992), Daverio (1995), and Galand (1995 and 2008).

[7] It may also contribute to understanding Mozart's influence on Schubert, or Schubert's influence on Brahms: the more we know about Schubert's treatment of these forms, the more sensitive we can be to the so-called "chain of replication."

As in the pieces examined in the last chapter, the pendulum swings outwards as an initial interpolation sunders the immanent symmetry of the birotational form. The only thing different about these pieces from those in the last chapter is that the "bulge"—the initial expansion, is "built-in" to the form; it is understood as *generic*. For the moment, the enlargement both suggests a recapitulation much larger than its referential exposition and projects each of its major arrival points to occur "too late." But the pendulum then swings inwards, as a series of cuts begins to push toward a restoration of balance.

The second behavior concerns the way in which Schubert cuts: in every case some continuity (registral, thematic, voice-leading) is preserved across the seam, even as the recapitulatory fabric is being riven. Sometimes these connections are already clear in the expositional layout, to be capitalized upon in the recapitulation; other times, it seems that Schubert is showing us connections that we were not aware of. What is important is the smoothness of the progressions: like so many of the examples seen above, the first module can lead smoothly both to the medial one (in the exposition), and to the final one (in the recapitulation).[8] Example 6.1 summarizes: because of some equivalence of events B and C, event A can move seamlessly to both of them. In the exposition one path is chosen; in the recapitulation the other.

Event:	**1**		**2**		**3**
Exposition	A		B	(=)	C
Recapitulation	A	[(NO B)]	C		

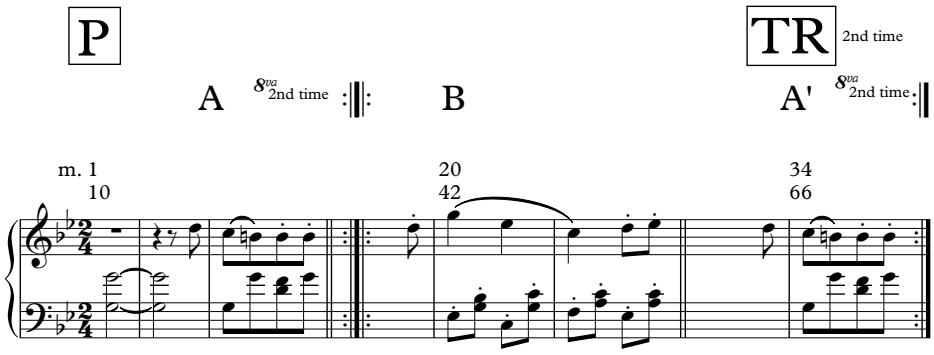
Example 6. 1. Compressions by "Double Duty": A Model.

[8] Look back at my discussions of the first movement of Schubert's Fifth Symphony, Example 5.3; the first movement of the "Rosamunde" Quartet, Example 5.9; and the first movement of Beethoven's Piano Sonata Op. 10/1, Example 5.22.

6.1.3. The Finale of D. 960 (+56, -6, -8)

The finale of D. 960, Schubert's *opus ultimum*, will help to ground these concepts in some real music. Like the other finales considered here this movement has been analyzed variously as a "freely constructed rondo form,"[9] a bastardized sonata form,[10] and a hybrid between the two, in addition to still others.[11] In what follows, I continue to use sonata terminology, assuming a tacit dialogue with the expanded Type 1 strategy, not so much to dispute the categorizations of these earlier commentators, but because it draws the formal joints most compellingly.

In this finale, P unfolds as a large rounded binary, or lyric, design, a layout Hepokoski (1997b, 158), drawing upon Dénes Bartha and others, writes was "essentially rooted in eighteenth-century European popular songs and folk songs."



Example 6. 2. D. 960's Lyric Binary P Theme.

Example 6.2 shows incipits of each of the sections. In order to call attention to lyric binary's "colloquial, natural, and naïve nature," Hepokoski asserts that these form-types were "particularly appropriate either for simpler, lighter tunes or for melodies that were

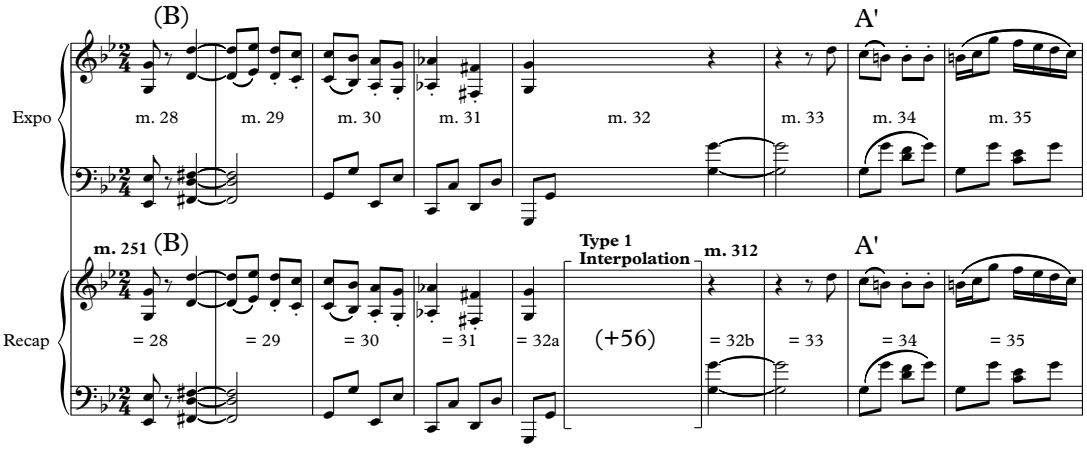
[9] Wollenberg (2011, 211).

[10] Cone (1970).

[11] Galand (2008).

intended to impress with their straightforwardness, unaffected sincerity, or popular/folklike spontaneity" (159).

But in Schubert lyric designs are often exploited for the ambiguity that comes along with their built-in repetitiveness—the "*where are we?*" types of distortions that accompany the accumulation of repeats. And this piece does indeed combine its *volkstümlich* or *volksweise* aesthetic with sophisticated temporal play. One such site of this temporal play is of course the recapitulatory "Type-1 interpolation," when P space gets interrupted by a passage of developmental rhetoric, presented in sequence blocks, and subjected to invertible counterpoint. Example 6.3 represents the 56-measure interpolation with brackets on the bottom system.



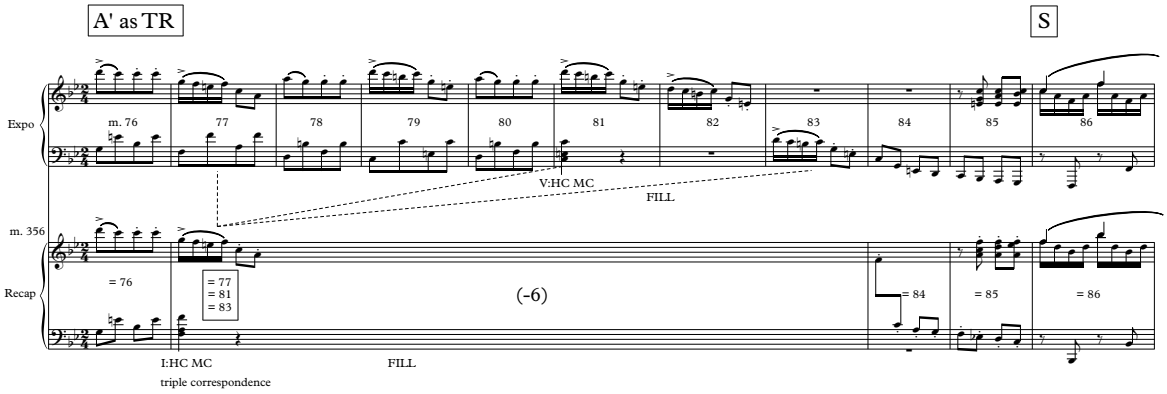
Example 6. 3. D. 960's Type-1 Interpolation.

All in all, 56 measures are interpolated into the middle of measure 255, making this a perfect, if very large, example of the Kochian *Einschaltung*.[12] The music picks up precisely at the point at which it left off, mid-bar, to the beat. (Compare earlier interpolations in both P and S, which serve as a sort of cipher for the behavior.) The

[12] See Sisman (1982, 454) and Rothstein (1989, 87), who discusses Riemann's "significant broadening of Koch's concept." Galand (2008) writes that the "pure" interpolation is typically the case in Schubert, but Schubert's interpolations get much blurrier than this one (see the finale of D. 804).

pendulum swings way outward, suggesting an enormous second rotation, and projecting each formal articulation after the interpolation to arrive 56 measures *too late*.

But other features of this recapitulation respond to, or react to, this bloating by cutting measures in subtle ways; the pendulum pushes toward neutral. The first of these balancing deletions occurs at m. 357, when a triply layered thematic correspondence enacts a striking and sophisticated temporal compression of six bars, as measured against the referential rotation (Example 6.4).



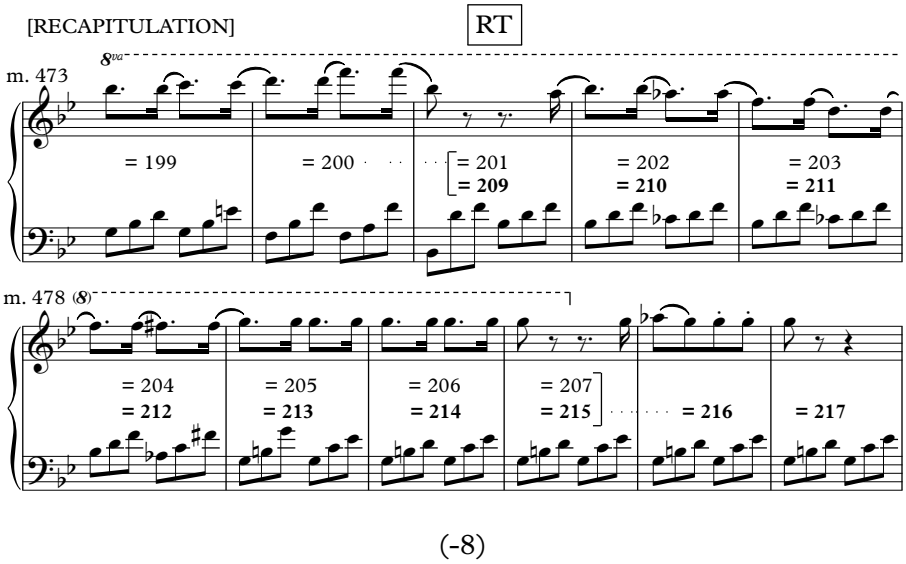
Example 6. 4. An Initial Responding Deletion by "Triple Correspondence."

Note this behavior well: by virtue of the repetitive nature of the *exposition's* drive to the medial caesura, the recapitulatory m. 357 is equivalent in some way to three different measures, as shown with dotted lines. It is equal to m. 77 by virtue of its place in the rotation and thematic equivalence; to m. 81 by virtue of the left hand's medial-caesura chord (a fifth lower); and to m. 83 by virtue of its identity to the material that just precedes the resumption of correspondence.

The reader will remember that such accelerations give impressions of perspectival *foreshortening*, as in the visual arts. Our virtual motion to an event, which we project at a certain time point, is distorted in a manner analogous to that artistic phenomenon: the

goal seems unnaturally large, close, or early. This is true even though in the context of the piece as a whole, these events are still happening too late.

Buttressing my reading of surprise, even epiphany, is the way this deletion allows Schubert to bypass the tonal alterations necessary to any recapitulation: after alighting on an F-major chord that was present in the exposition (m. 357), Schubert just uses it to create an MC. And indeed, the F-major chord is perfectly suitable for this, notwithstanding the fact that we bypass six measures of the referential landscape in one measure's time. To put it in whimsical terms: if you imagine one footfall per measure—literally the score-as-landscape—then when you lands on m. 357, the terrain slides imperceptibly under your feet, such that your next footfall traverses the distance of seven paces in the time necessary to take a single step.

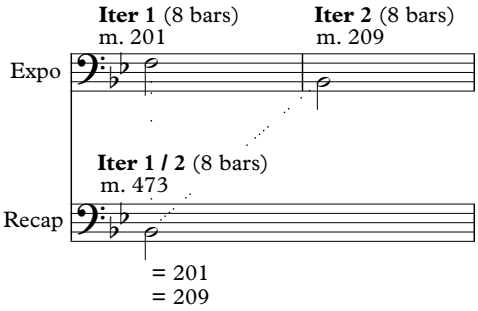


Example 6. 5. A Second Responding Deletion by "Double Correspondence."

The second compensatory compression, also made possible by expositional repetitions, happens in the "retransition to the coda." Because an entire iteration of a repeated module is cut right out of the rotation, Example 6.5 shows only its recapitulatory treatment, with two layers of correspondence measures illustrating the double function of

these measures. As shown, starting in m. 475, two levels of correspondence are active; by m. 482 it is clear that the lower level of correspondences will proceed to the end of the rotation, effectively cutting 8 bars of the recapitulation in concordance with our script of compensation. The disjuncture is smoothed by the thematic equivalence; just as earlier we happened upon an F-major chord that was satisfactory for a new medial caesura, here too, whether by chance or by Grace, but it seems not by willed action, it happens that the recapitulatory retransition appears at the exact pitch level which will usher the initial G octave stamp and thus prepare the coda.

The recapitulatory treatment of this piece's RT is homologous to the treatment of its MC and the previous cutting of measures. In the case of the MC the F that was achieved by mere "copying" was sufficient to serve as a satisfactory MC type, a I:HC MC. Likewise, the B♭ that begins RT is satisfactory for motion to a coda that begins on the same emphatic G octaves that begin the piece's first two rotations. Schubert seizes upon these moments (as agents of compression) to balance out the discrepancy in size of the two rotations in precisely the same way. Example 6.6 summarizes the tonal behavior.



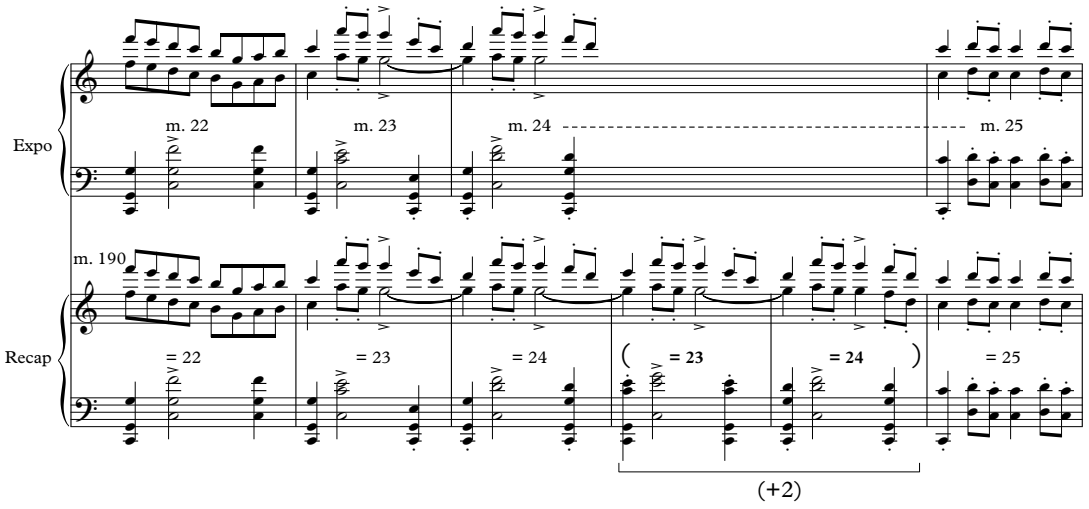
Example 6. 6. Compressions Through Tonal Prestidigitation.

Next to the 56-bar interpolation, these two accelerations, of 6 and 8 bars, respectively, seem nugatory, unable to balance the bulge. Though later examples get progressively closer to restoring their sundered symmetry, we should recall that

pendulum aesthetics does not, or does not only, concern final products, but rather the behaviors themselves, the series of expansions and balancing compressions, decelerations and compensating accelerations, sees and saws, and so on. Here the implication is that the piece attempts, but cannot quite restore, the symmetry lost after its large, "type-1" interpolation.

6.1.4. The Finale of D. 956 ([+2], +54, [-2], -29, +8)

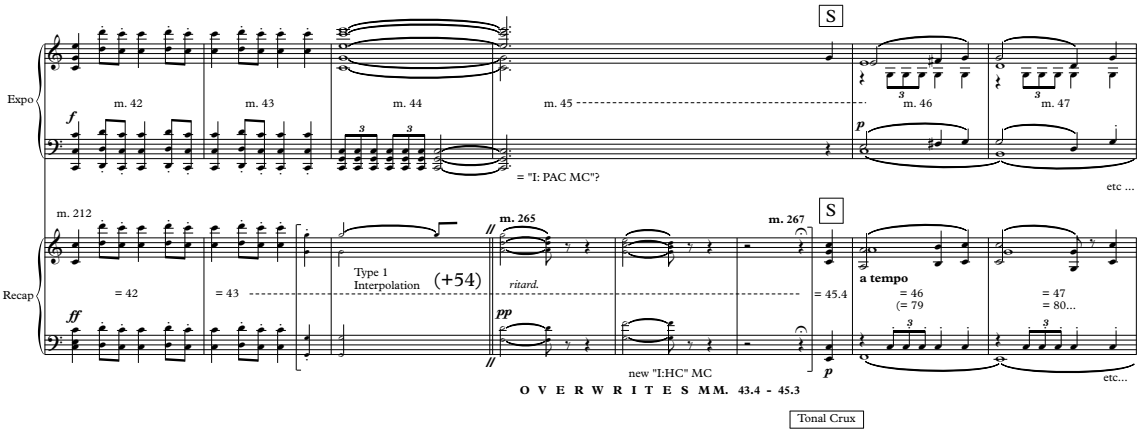
The finale of the B♭ piano sonata may have the clearest interpolation of the expanded Type 1 sonatas in Schubert's late output—a true parenthesis if ever there was one—but other late finales feature expansions almost as pure. The recapitulation of the Cello Quintet, D. 956 features a sophisticated variation on the "pure" interpolation.[13] Here, just before the developmental expansion is wedged into the second rotation there is a quirky and seemingly gratuitous two-bar expansion by repetition. Mm. 191-192, which equal mm. 23-24, are repeated exactly in mm. 193-194.



Example 6. 7. A 2-bar Pre-interpolation Expansion in the Finale of D. 956.

[13] Gingerich (2000, 626) calls this movement a rondo, Chusid (1997, 184) "another sonata-rondo employing the form of the finale of Mozart's C Major Quintet (A B A C B Coda)."

The music then rejoins correspondence measures (though strictly speaking at a distance of two measures), and tracks until a 54-bar expansion is shoehorned into TR space. Like the one in D. 960, this type-1 expansion thematizes concerns specific to this work—in this case instrumentational play. At its end an apprehensive, *pianissimo*, rest-punctuated, decelerating cadence, which sounds more like a misfired authentic cadence than a half cadence proper, rewrites the MC material, preparing S in a manner different from its preparation the exposition.



Example 6. 8. D. 956's Type-1 Interpolation.

Though even in Schubert it is rare to have different MC material in the two rotations, here there is yet something more remarkable to be said: the Type-1 interpolation in this piece began one quarter note before the moment equivalent to m. 44, precisely two bars before the projected onset of S (which begins one quarter note before m. 46). But the two bars that articulated this MC in the exposition, mm. 44 and most of 45, do not return in the recapitulation—that music is rewritten. Thus, the new, and strikingly odd MC,[14] which has no counterpart in the exposition, writes over precisely

[14] I've chosen the deformational "I:HC^7 MC" option to preserve the literal caesura effect, but a "I:AC" MC, flush elided with the pickup to S is another viable read. That reading preserves

eight beats, two bars, of the referential layout. Unlike the case of the finale of D. 960, where every measure not sounded in the recapitulation could be understood as a cut by double correspondence, an explanation of these missing measures hinges on the seemingly gratuitous two-bar repetition at mm. 193-194. Here, the Type-1 interpolation serves to equalize the mini expansion even as it asymmetrizes the large-scale form. Notwithstanding the large, interpolated Type-1 expansion, S begins right on time.

Like the case of D. 960, though, here Schubert "responds" to these 54 added measures by deleting expositional thematic material from the recapitulatory rotation, in this case, an entire iteration of S. The quintet's expositional S theme consists of a large, 33-measure chunk of music that is repeated immediately and nearly exactly, except for instrumentational changes and a short tag that is added to its second iteration (see mm. 268 ff.). As shown in Example 6.9, the repeated S in the exposition occurs only once in the recapitulation. By traversing the seam gently, blurring the *rhythmic*/thematic reference by combining elements of both expositional S modules, Schubert creates the same type of cut here as in the retransition of D. 960.

Exposition:	**S** m. 46	**S^{rep}** m. 79
Recapitulation:	**S** m. 268	

Example 6. 9. Removal of One S-iteration from D. 956.

All told, this deletion results in a loss of twenty-nine measures, against the interpolation's gain of fifty-four. This is a more drastic cut than in the finale of D. 960, and it unfolds in one, instead of two, stages. But there is more to come. After the 29-bar deletion, the music rejoins correspondence measures until a recomposed C space results

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the melodic connection to $\hat{1}$ and the resolution of the charged chordal seventh, and calls attention to S's opening ambiguity: on I or on IV?

in an *addition* of 8 more bars (between mm. 338 and 353). This reactive, or *re*-reactive, expansion does three things. In terms of narrative it responds to the initial pendulum-effect, as if to want to prevent it from making such a drastic deletion. In terms of process, it connects the piece more closely to the finale of D. 960 through enacting of a "three-alteration script." And in terms of symmetry, it makes the ultimate relationship of rotations to one another closer to that of the piano sonata: instead of resulting in a second rotation only 25 bars longer than its referential one, this one will be 33 measures longer (the B♭ sonata came to be 43 measures longer).

6.1.5 The Finale of D. 804 (+47, -27, -8, -8)

Though much else about the Rosamunde finale is quite resistant to analysis, its recapitulatory S theme houses an extremely clear case of balancing deletions.[15] This zone is the focus of the discussion that follows. In the exposition, the *ecossaise*-like and tonally ambivalent S unfolds in two repeated 8-bar modules (S^{1} and S^{1rep}; S^{2} and S^{2rep}).[16]

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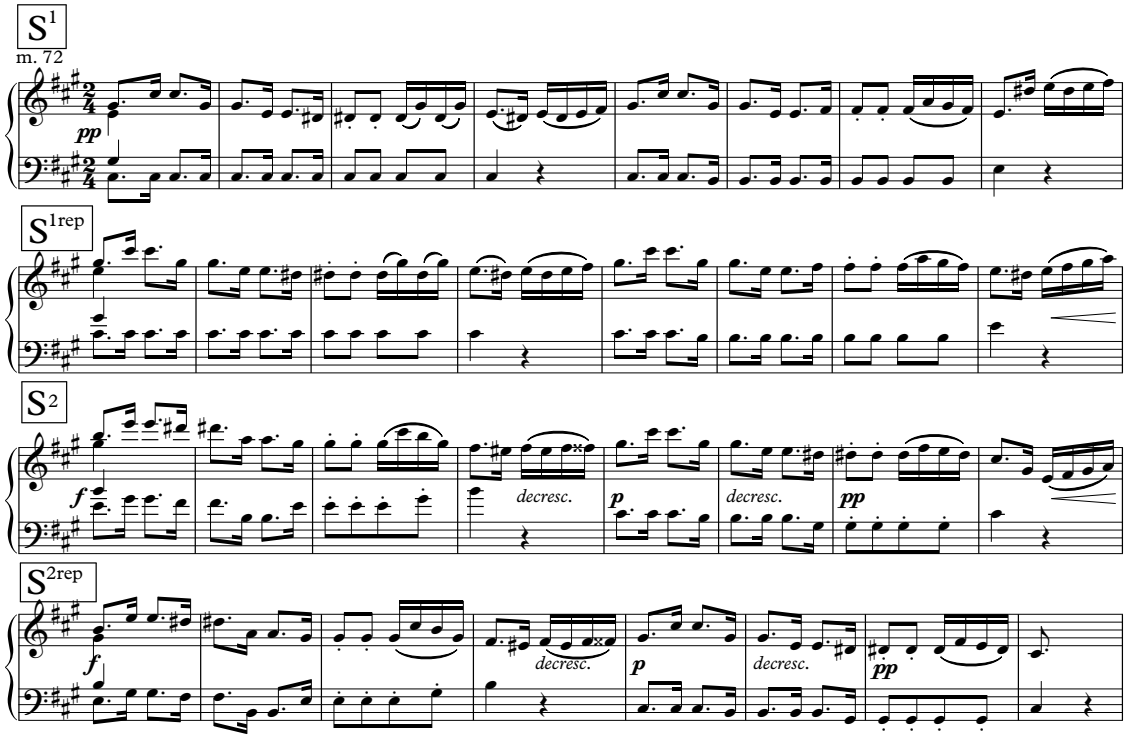
[15] Chusid (1997, 182-183): "Schubert wrote once to … Sonnleithner that a composer cannot always count on finding the right structure for a composition. But he found just such a structure for the [finale of D. 804]. It was an unusual type of rondo in which the refrain appears twice rather than the three times considered definitive for the form. Schubert's structure is A B A C B Coda, in which A is the refrain, B and C are episodes differing from one another, and the coda, taking the place of the final refrain, is derived from refrain material. The young composer appears to have derived this approach, which he subsequently used for other movements as well, from the finale of Mozart's [K. 515]. Schubert knew the work as he had borrowed the Mozart quintets from a friend previously."

Compare Cole (1969a and 1969b). For the idea that the ABACBA form is a rondo with an A module missing, rather than a sonata with an interpolated C module, see Rosen (1988, 121-125). For critiques of this view, see Daverio (1995, 116-117) and Galand (2008, 253-254). For a reinstatement of Rosen's rondo argument, see Wingfield (2008, 150) who writes (seemingly unaware of Daverio) that "Sonata Theory does not accommodate the standard interpretation of the ABACB1A variant of the sonata rondo (Type 4) that is favoured by Mozart, for instance, as an incomplete realisation (with the third A omitted) of a full ABACAB1A design."

[16] Post MC space here is in dialogue with the TMB strategy—the crisis-like transitional rhetoric following the c♯:PAC at m. 103 moves to a PMC, and then to a new theme in the "proper" E major. But an argument for this reading has to overlook 1) that the music in C♯ minor

Its "Trockne Blumen"-like S^1 begins in C♯ minor and modulates to E major, while its S^2 begins in E major and modulates back to C♯ minor.[17] Again, Schubert plays with register: the two iterations of S^1 first present a melody in an initial register, and then hoist it up an octave, while the two iterations of S^2 serve first to connect to this higher register, and then to move the tessitura back town. Examples 6.10 and 6.11 show the quartet's entire multimodular S-space and a summary of its keys and register.



Example 6. 10. Expositional S-space in the Finale of D. 804.

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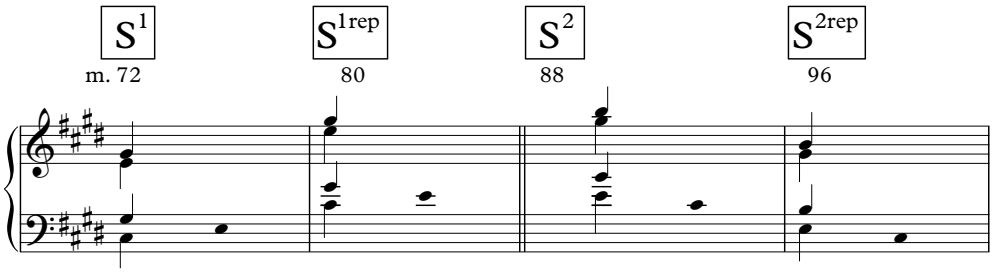
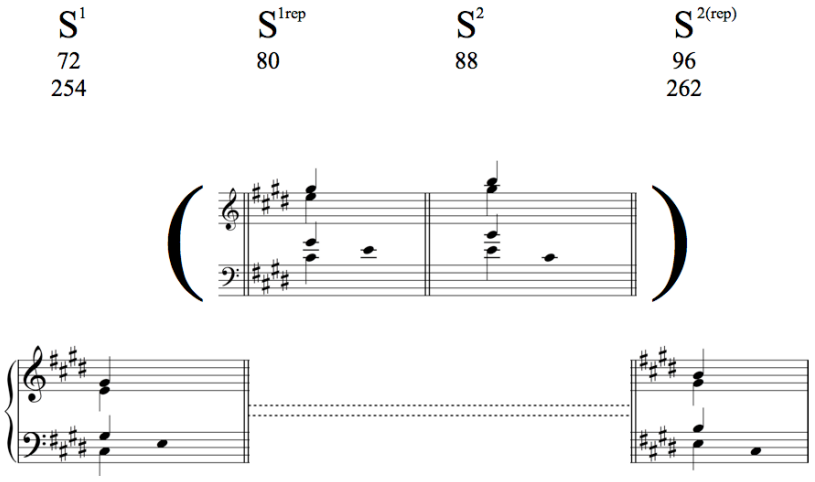
actually does produce a PAC and 2) the problematic overriding of the normative deployment sequence of MCs. Since our discussion does not hinge on the difference, I use "S"-designations.

[17] C♯ minor, a key made available in the no-flats, no-sharps universe by the mode switch to A major, is a motivic harmony in this quartet. See, e.g., I, mm. 141-153 and mm. 214-218; and III, mm. 41-51. The "parallel" transformation is already present in the first movement's P theme. On the finale's S theme see Smith (2013, 87). For similar examples (also S themes from late Schubert finales), consider the L'istesso tempo S from the finale of the E♭ Trio (mm. 73-120) and the S theme from the finale of the String Quartet in G Major, D. 887 (mm. 92-231).



Example 6. 11. A Summary of Expositional S-space in D. 804.

Plagued also by numerous other issues not considered here, the recapitulation introduces a 47-bar expansion at mm. 172 ≠ 15b that is balanced, first by a 27-bar compression by "double duty"—the collapse of the expositional $TR^{1.1}$ and near-equivalent $TR^{1.3}$ into a single recapitulatory module (see mm. 235-245). For present purposes, what is important is the deletion's status as epiphany: once the strategy of letting a module that was repeated in the exposition do double-duty in a later rotation is understood as a possibility, the recapitulation seizes upon it, keeping the movement in tight dialogue with the compensation script. Following the "TR-epiphany," the recapitulatory S^1 and S^2 modules each get one of their iterations lopped off such that S^1 moves directly to S^2, without repeat. (See Example 6.12.) Important here is that Schubert cuts S's *inner* iterations—S^{1rep} and S^2—revealing a registral connection between outer modules. One might even say that the registral connection between the S-themes' outer modules *motivates* the deletion: cutting the inner modules reveals that connection and symmetrizes the large-scale form in a single stroke.



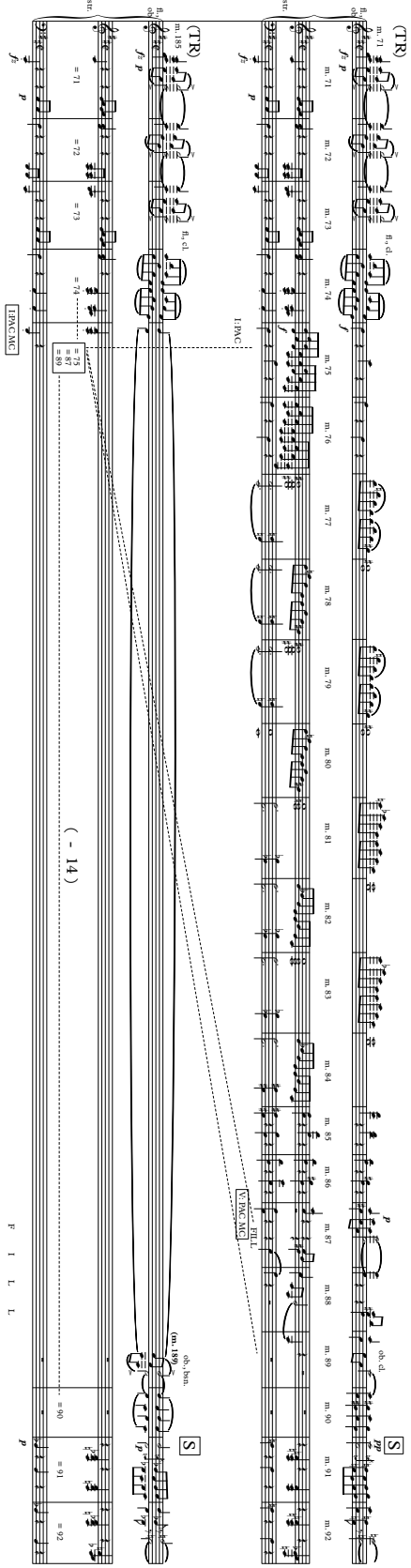
Example 6. 12. Excision and Registral Connections in D. 804's Recapitulatory S.

This movement, through its three reactive cuts, comes closer to regaining the size of the expositional rotation than any of the others. (Indeed, one is tempted to add, about as close as it could come, while still deserving the epithet "expanded.") The pattern thus created is (+47, -27, -8, -8), resulting in a second rotation only four bars larger than its exposition.

6.1.6. The Overture im italienischen Stil, D. 590 (-14, +27)

An inverse example, and something of a smoking gun in the context of this "argument from proportion" is found in the Overture *im italienischen Stil*, D. 590 written in the year of Schubert's "liberating" first encounter with Rossini.[18] Here Schubert, imitating the Italian composer's truncated recapitulations, composes a set of deletions into recapitulatory TR-space, thereby reversing the typical order of operations.

[18] "Liberating" is from Newbould (1997). The Overture was arranged for piano four-hands as D. 592. It and its counterpart, D. 591 (four hands D. 597) were successful pieces, one of which (most literature seems to assume D. 591) was Schubert's first public performance, at the hall in the inn Der Romische Kaiser. Another one of the overtures was arranged for two pianos eight hands, and received favorable reviews, see Deutsch (1947, 87-88).

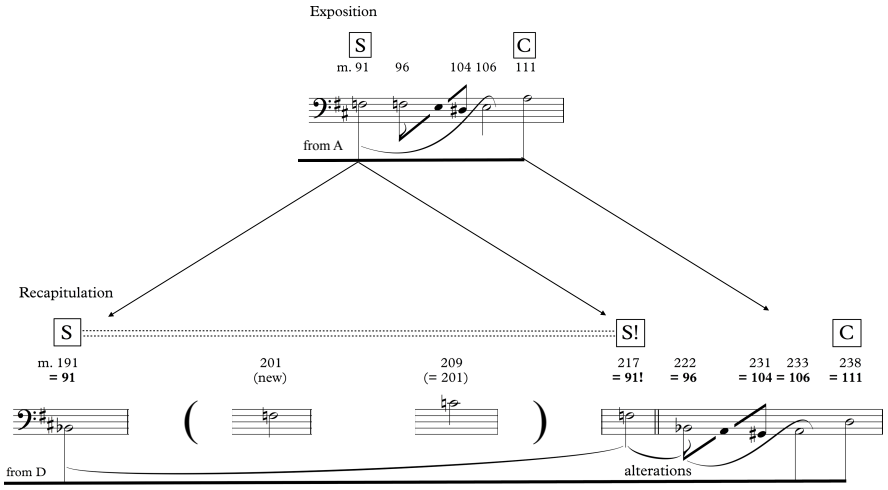


Example 6. 13. A Comparative Graphic: Compression by "Triple Correspondence" in TR-space (!) of D. 590.

The overture exhibits the same "triple correspondence" we saw in D. 960, in the same place in the form, resulting in the same bypassing of tonal alterations leading up to the MC, and by the same device: the "accidental" stumbling upon a usable chord, albeit far too early. In this case, it results in a loss of 14 measures. Example 6.13 shows the comparison.

Most curious about this TR-deletion is that any "compensation" here would involve adding measures to *S*, which, apart from being decisively "un-Rossinian," would constitute in Sonata Theory an extreme deformation.[19] Nevertheless, as summarized on Example 6.15, Schubert's tonally maundering, orientalist S-space, which "restages" the alterations that were so playfully sidestepped in TR, does indeed make up for D. 590's early deletion by ballooning outwards; indeed it thereby overcompensates for it. Note the inverse relationship of this graphic to the one used to explain the Rosamunde finale: there, initial repetitions were cut out of later rotations; here, the recapitulatory S theme multiplies itself in order, *ex hypothesi*, to balance an initial cut.

[19] "The release of S within the recapitulation is usually accompanied by the security of tracking quasi-automatically toward the ultimate goal of the sonata, the ESC: the goal is squarely in view; the motion toward it is inevitable and certain," *Elements* (233). The "stylized sarabande" (Allanbrook 1986, 38) second movement of Mozart's Dissonance Quartet, K. 465, like Schubert's overture, houses an expansion in S-space. (Is it still an expanded Type 1 sonata?) Mozart's S-expansion results in a 13-bar gain after what would otherwise have been a normative 5-bar gain in the tonal alterations in TR (mm. 57-72), making for a bloated second half. (Mozart's interpolation is a backing up designed to re-treat the ESC-charged portion of S in the proper register. Just before the Type-1 interpolation (m. 81 = 32), the first violin enters on a G4. The end of the interpolation (m. 95 = 82 = 33), which backs up to treat this moment again, makes clear that those motives are best stated beginning on G5—compare the registral relationship of mm. 31-32 and mm. 80-81. *Sforzandi* in every instrument reinforce the equivalence here, as if applying force in order to secure a dovetailing with the referential rotation: "not those Gs, *these* Gs!" Compare the discussion of Haydn's Quartet in E♭ Major, Op. 9, No. 2 in Rothstein (1989, 88-90). For another S-expansion in Mozart, see the first movement of K. 280.



Example 6. 14. A Summary of S-decelerations in D. 590.

Notice, too, that in this case Schubert is perspectivally delaying (not foreshortening) the achievement of the ESC. How might such a treatment be understood? It could be, for instance, a deliberate misreading of Rossini, a conscious quibbling on Italian conventions, or a reconciliation of Rossini's practice of cutting, generally taken to signal excitement, with a more fundamental concern with symmetry. (Perhaps the young Schubert preserved only some of Rossini's practice, altering others by design or through inattention.[20]) Or perhaps it might be understood as a play on, or a reversal of, the more normative order of operations, or as an adaptation of a strategy known to Schubert from Mozart's "Dissonance" Quartet. It may also be taken hermeneutically: as a staging of the ESC, that most crucial of way stations in the sonata form, as *fata morgana*, so to speak (or perhaps more perfectly, *Irr-licht*), just out of reach and getting ever further away in the manner of a mirage. All rest on Schubert's commitment to balancing the bulge.

[20] Genette (1997, 6): "In order to imitate a text, it is inevitably necessary to acquire at least a partial mastery of it, a mastery of that specific quality which one has chosen to imitate."

6.2. Conclusions to Part III

These four movements were written at different stages in Schubert's career; across different genres and for different social situations; at different levels of size, difficulty, and "ambition"; and with different possibilities for performance. And yet, in A. B. Marx's locution: "taken together, [they] offer themselves—no matter how myriad the content—as recognizable creations of the same architect."[21] The proportional accordion- or pendulum-like aesthetics runs like a thread through all four of them. What remains after pointing this out is the question—and hopefully a reasoned answer—"why."

We can adduce compelling reasons from different locales—historical, aesthetic, narrative, hermeneutic, and so on—each of which illuminates the question from its own angle. The historical perspective might highlight the relevance, for all these pieces, of Schubert's early infatuation with Italian opera and its overtures; his recopying and arranging of overtures for his family quartet; his playing of them as *Kapelldiener* of the Seminary orchestra; his conscious modeling of his own early overtures on pieces by Cherubini[22]; or his early instruction by Salieri, a composer who incidentally "made no distinction between overture form and sonata-allegro form."[23] It might point to early examples of expanded overtures by Paisiello and others, or to the relationship of this idiosyncratic form to what has been called the "problematic" version of the sonata-rondo hybridization that emerges in the 1770s in Haydn and Mozart.[24]

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[21] From "Form in Music" (1856), translated in Marx (1997, 57).

[22] Chusid (1962).

[23] Hur (1992, 46).

[24] E.g., Chusid (1955); Cole (1969a, 1969b, 1970); Fisher (1975, 1992); Galand (1995); Portowitz (2001); Grave (2010).

I have been emphasizing the aesthetic, insofar as I argue that the adoption of symmetry as an aesthetic principle allowed Schubert to align the Italianate "*Buffa* Overture form" either with a more "Germanic" aesthetics of sonata form—which seems to have been predicated on symmetry back to its origins in dance—or with one of Schubert's own compositional quirks—a desire to strive toward symmetry. Preliminary research suggests that Schubert is the first composer whose expanded birotational forms consistently deploy pendulum aesthetics in order to compensate for early time-transformations.[25] What might it mean that Schubert's finales seem to hybridize elements of the *buffa* overture—its speed, its festivity—with a personalized desire toward symmetry? Do these forms accrue a flavor of "the Italian" or "the Overture-like" to the extent that they borrow elements of the Overture's recapitulation strategies? Does the fact that the "Italianate" deletions-qua-compensations do not quite compensate for the recapitulation's preliminary deceleration carry with it connotations of inachievement, or of keeping that genre at arm's length?

This last points the way toward articulating more fundamental aesthetic characteristics of Schubert's style, in that it invites us to ask questions about *initial* rotations: might Schubert's commitment to the pendulum in pieces like these offer one reason for the intense amount of repetition in initial rotations—the better to make smooth cuts later on? Ought we to consider the fact that these recapitulations are always larger than their expositions to be one reason Schubert's music seems slow, or long, or aimless, especially in comparison to, say, Rossini? It may well be that the norm identified here is present, even forcefully so, when it is absent: this may be one reason pieces that

[25] But precedents certainly exist; see, e.g., Grave (138).

emphatically fail to provide symmetry—like the finale of the G-major Quartet, D. 887—seem so unhinged, so blown out of proportion.

The realm of the narrative is also implicated, as it attaches itself to the idiosyncrasies of this particularly Schubertian layout: the staging of these second rotations in terms of a loss, followed by a restoration, of a rough equivalence of size between halves; the eclipsing of, or renewal of, or—also crucial—*lack* of achievement of this originally sundered symmetry; the temporal phenomenon of foreshortening; the ESC as *fata morgana*; in short, all those concomitants of symmetry-as-quest-narrative limned in Chapter 5. Further, when coupled with the score-as-landscape metaphor, the layout brings to mind a virtual protagonist or wanderer who circumnavigates a distorted or undulating space—a topography riddled with worm holes and warp zones.

Finally, insofar as I have emphasized the temporal effects pendulum aesthetics afford, the discussion impinges on our listening habits, especially on our perceptions of a "staged temporality." One task of the listener here is to notice that in all three finales, certain musical events occur *too early* in their local contexts, but *too late*, after factoring for the expansion. In other words, the foreshortenings are presented in contexts for which they cannot fully compensate. These are the multiple, complex temporalities that attend hearing Schubert's expanded Type 1 sonatas in this way.

6.3. Larger Conclusions

If there is a single thread that runs through all of the foregoing it is that the recapitulation is not, as it is sometimes seen, a foregone conclusion; it is not a mere "repetition." Least of all is it, in Adorno's words (1971] 1996, 94), "comparable to the effect of a film on a spectator who stays in his seat at the end and watches the beginning again."

Consideration of example after example of recapitulation leads to (at least) the following basic claims. First, through its combinations of tonal and thematic alterations, the recapitulation permits of more compositional possibilities than is typically recognized. Second, late-eighteenth- and early-nineteenth-century composers carefully crafted their recapitulations as detailed and suggestive responses to their expositions. Neither tonal nor thematic alterations were dispatched with willy-nilly. Third, these alterations, enormously varied, have robust generic and dramatic affordances.

If this study has a "call to arms," it is this: we ought never to imagine that composers approached the composition of recapitulations *pro forma*. We ought to fight against—not to perpetuate—the myths of "und so weiter" and "wie oben," that characterize not only Schubert's reception but also that of his near and distant contemporaries. The recapitulation is not (Adorno, 62-63), a site of "static symmetry"; it is not foregone; it does not "remain … enslaved to mythical unfreedom." On the contrary, it permits of an intense amount of compositional "freedom"; it is a site of intense narrative potential; it teems with life. We must approach it with all the sensitivity and scrutiny that we give so readily to the sonata's other action zones.

The notion of recapitulation script identifies only some aspects of recapitulatory composition; it raises more questions than it answers. Its contribution, as I see it, is to make us move the microscope, so to speak. To the extent that it does so—to the extent that it opens up the analysis of recapitulations as an area of inquiry—it points forcefully in the direction of further research. Additional case studies could investigate Schubert's modelings on Beethoven, Mozart, and Cherubini in order to ask whether Schubert preserved the recapitulation scripts of pieces that he apparently modeled on existing ones.

For that matter, who was it that taught Schubert how to compose recapitulations? Was it Salieri, or had he already internalized a culturally existing set of tacit assumptions for composing recapitulations, perhaps from his early days orchestrating works of the Italian masters? Do different recapitulatory treatments correlate with genre, and do they house clues to generic classification that have since been lost, perhaps when designations of "form" came to erase classification of genre?[26] And so on. Additionally, note that any of the scripts identified in Part II—not just the "compensation script"—is the possible starting point for a case study. Each comes with its own historical narrative, its own generic and interpretive affordances; each interacts with earlier hearings of often-analyzed movements.

In focusing on recapitulations, we may not be able to restore a sense of symmetrical "balance" to the study of sonata forms, in the manner of so many of Schubert's (and others') "compensation scripts." Nevertheless, the stage is set. To begin to see the recapitulation as a site teeming with the potential for analytic, generic, historical, and interpretive discovery is a step towards a more complete understanding of musical form.

[26] See Galand (2008).

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