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SCHUBERT'S INNOVATIONS  
IN SONATA FORM:  
COMPOSITIONAL LOGIC AND  
STRUCTURAL INTERPRETATION\*

Gordon Sly

In his 1927 monograph "Franz Schubert," Donald Tovey outlines the defining features of the sonata-form practices of the Viennese Classic and of Schubert, pointing out where their respective procedural tendencies most noticeably part company. With that earlier practice explicitly held up as exemplar, Schubert's work is found wanting. In saying so, however, Tovey's comments are gracious as well as suggestive. "But when we find," Tovey writes, "that some of the most obviously wrong digressions contain the profoundest, most beautiful, and most inevitable passages, then it is time to suspect that Schubert, like other great classics, is pressing his way towards new forms." And later, "weakness in the actual context is often indistinguishable from new power in some future art."<sup>1</sup> That Schubert forged a distinctive sonata style responsive to his own compositional impulses is generally appreciated; Carl Dahlhaus's distinction between "Schubert's lyric-epic sonata form" and "Beethoven's dramatic-dialectic form" is but a succinct version of a common observation.<sup>2</sup> But Tovey's having seized upon the idea that Schubert's very conception of the form departed substantively from the practices he had inherited from his Viennese predecessors is particularly striking.

Ample evidence of a remarkably independent nature is manifested in Schubert's earliest efforts. Most conspicuous, perhaps, are the tonal plans that organize the recapitulations of these early pieces: one beginning in the subtonic; another in the mediant; still others beginning in the dominant! Nor are such innovations confined to a youthful daring: Schubert indulged his penchant for beginning the thematic return away from the tonic in sonatas composed throughout his career—from those written as a young teenager, to the framing movements of the B $\flat$  Piano Trio and the finale of the Great C-major Symphony, both conceived in the last years of his life. His well-known propensity for preserving in the recapitulation the broad modulation scheme of the exposition underlies many of these designs, such that the tonic serves as goal, rather than as source, of the tonal motion. Restating (almost invariably with modifications) the entire exposition at the lower fifth, which gives rise to the "subdominant recapitulation," is his usual—but by no means exclusive—realization of this architectural strategy. Many other recapitulations, however, begin away from the tonic and yet are not cast simply as transpositions of their exposition's key plan. In some of these works, a duplication of that plan does appear to have some role, but it is confined to only a section of the recapitulation; in others, it plays no part at all.<sup>3</sup>

While Schubert continued to use off-tonic recapitulations as long as he wrote music in sonata form, his involvement with the form itself was not constant. It fell, rather, into two distinct periods of activity. The first includes music written before the composer had reached twenty, beginning with his early essays in the form and continuing through 1817, peaking in intensity with the extraordinarily imaginative and varied group of pieces composed in the spring of 1816.<sup>4</sup> Following this is a lapse in his production of sonata forms that, with few exceptions, extends almost six years; one of these exceptions, a striking product of this period, is the C-minor *Quartett-Satz* of 1820—probably his most radical departure from the norms of sonata form,<sup>5</sup> and, interestingly, a work he abandoned shortly after having begun a second movement. The second period takes in works dating from 1824–28, a time during which Schubert's apparently waning interest in the form had clearly been rejuvenated.

One characteristic of Schubert's compositional organization persists across the hiatus, uniting works of unusual tonal design on either side: a movement's overarching tonal design reflects some feature presented in its opening music. A second basic quality of his organization, however, undergoes important modification during the hiatus, and thus distinguishes the earlier from the later works. In the early-period sonatas, off-tonic recapitulations are frequently incorporated into larger tonal designs that contravene the form's usual divided voice-leading structure. Many of these tonal plans depart so substantially from the norm that attempts to read this structure become hopelessly forced and meaningless. The late-

period works, by contrast, invariably exhibit an accommodation between these two forces of tonal organization. Thematic returns continue to be carried by non-tonic degrees, but larger tonal contexts that allow the divided voice-leading structure to unfold are now constant.

This essay examines these aspects of Schubert's practice through the lens of two sonata-form movements, one from each of his two periods of sonata composition. The opening movement of the aforementioned Piano Trio in B $\flat$ , D. 898, a work that probably dates from the early months of 1828,<sup>6</sup> is considered first, followed by the opening movement of the Fourth Symphony, one of the remarkable sonatas composed in the spring of 1816, when Schubert was just nineteen. Examination of these works will illustrate the underlying similarity noted above: in both cases a salient feature of the movement's opening music—in the trio, a bassline and harmonic progression; in the symphony, an uncommon metric/tonal alignment—prepares the choice of tonal level for its recapitulation. These opening features, then, act essentially as motives, and will be considered as such here, though they depart from the more usual sense of the term as referring to a simple melodic shape or span. Their emergence as foundational within the broad tonal architecture of these movements illuminates a depth and elegance of conception not widely ascribed to Schubert as a composer of sonatas. At the same time, our consideration of the shaping influence of each movement's off-tonic recapitulation upon the voice-leading structure will reveal a basic disparity between the two: though a common impulse may guide the choice of tonal level of each movement's thematic return, the broader voice-leading contexts that embrace these off-tonic recapitulations are markedly different—to the point of implicating fundamentally dissimilar formal processes.

\* \* \*

The recovery of the tonic harmony at the point of recapitulation is among the very few virtually constant features of sonata form. Indeed, for Schenker, the return to the tonic is the signal event, articulating the divided voice-leading structure that is the very definition of the form.<sup>7</sup> Nowhere does this formal conception come under so much strain as in a sonata-form movement whose recapitulation begins away from the tonic.<sup>8</sup> Theorists normally interpret such a work in one of two ways. In some instances, the misalignment that exists between the voice-leading structure and the tonal-thematic design is understood to result from an early thematic return. This return is heard not to initiate the second stage of the sonata's divided structure, but rather to belong structurally to the development section. The recommencement occurs only with the recovery of the tonic harmony. A second possible interpretation appeals to Schenker's "auxiliary cadence" idea. Here, the arrival of the recommencement's

structural tonic is also delayed, but the music that precedes it is understood to prepare or anticipate that tonic arrival. That is, the thematic return does not belong to the development section; instead, the tonic scale step exerts conceptual control prior to its actual reappearance. The persuasiveness of these interpretations, of course, can only be evaluated piece by piece. In many cases, one or the other seems musically convincing and, as we will see, can illuminate aspects of the musical organization beyond the immediate context of thematic and tonal returns. In other cases, though, the divided voice-leading structure that these interpretations sustain models the musical organization less well—at best, it is an awkward fit; at worst, a distortion.

Schenker published no analyses of Schubert's sonata movements that feature off-tonic recapitulations. He did, however, provide a deep-level reading of the entire first movement of Mozart's late sonata in C major, K. 545, whose recapitulation begins in the subdominant.<sup>9</sup> Because the Mozart is the only example we have of Schenker's view of a sonata-form movement with this sort of unusual tonal design, we will review it briefly before turning to the Schubert sonatas. As it happens, the chief intent of the Mozart sketch is to illustrate a direct ascending register transfer that occurs within what Schenker interprets as the movement's fundamental line. Other details of the music, not being related to this particular technique and therefore not to the point of the subject at hand, are reflected only cursorily in the sketch. Among these is the subdominant thematic recapitulation, which, in fact, the sketch fails to indicate entirely.

In reading the graph of K. 545 it is necessary, once again, to bear in mind that Schenker understood form to derive from a work's voice-leading structure, and therefore viewed the recapitulation solely in terms of its *tonal* function. His indication of the beginning of the recapitulation, then, corresponds to m. 59 ff., where the second theme is restated in the tonic. The subdominant return of the movement's opening theme at m. 42 ff. is understood to be subsumed within the larger dominant prolongation that extends from the second theme in the exposition, m. 14 ff., through the development section, and across to the dominant of m. 57. Specifically, Schenker interprets the subdominant as a composed-out seventh of that prolonged dominant harmony. His analysis, then, tacitly invokes the first interpretation described above, a misalignment resulting from an early thematic restatement.

Because the anomaly of this movement is reflected only in the most general way in the sketch and not elucidated in the accompanying text, and because of Schenker's choice of  $\hat{3}$  as primary tone, Edward Laufer's review of *Free Composition* places this sketch within a category headed "problematic readings."<sup>10</sup> Laufer's alternate interpretation finds  $\hat{5}$  to be a more convincing choice of primary tone; in fact, he invokes the structural model described by Ernst Oster in which the  $\hat{5}$  is maintained through the

exposition and development sections and into the recapitulation, where it finally descends to closure.<sup>11</sup> Of the subdominant return, Laufer suggests that “[i]n this concise sonatina movement . . . , in keeping with the smaller dimensions, the development and part of the return are compressed into a single section . . . . The return of the first theme (m. 42) occurs parenthetically, and the V in m. 56 picks up the V from the end of the exposition . . . .”<sup>12</sup> Since Laufer hears  $\bar{5}$  as remaining in force through the development section and the thematic return, he interprets the subdominant harmony as a neighbor to the prolonged dominant, rather than as a composed-out seventh of that harmony, as Schenker understands it. But in the essential matter of the thematic recapitulation at m. 42 ff. he is in agreement with Schenker’s view—the subdominant return is subsumed within the prolonged dominant of the development section, and the “real” recapitulation, as he terms it, begins with the second theme in the tonic.

Though the context of a review constrains Laufer’s remarks on any single sketch or idea, it is clear that he considers this interpretation an analytical point of departure. As an end in itself, it merely represents an explaining away—a de-emphasis—of this most striking feature of the music. Its real value lies in the question it compels us to ask: what do we gain by the analytical decision that the structural recapitulation begins after the thematic return?

The “real” recapitulation (m. 58 ff.) might have started with the first theme, as in a “normal” sonata movement. But the second subject which occurs instead is really another version of the first, as is obvious. That the first and second subjects should be intimately related in such a way is perhaps not recognized in traditional theory; and yet a close, organic relationship I am sure is always to be found. Often, such an organic correspondence makes itself known more clearly in a recapitulation; this is indeed part of the function of a recapitulation: just to reveal such secrets!<sup>13</sup>

The notion that the unusual thematic deployment draws attention to the *relationship* between the two themes—that the second theme is set where, tonally, the first theme ought to be in order to underscore that the one is a simple reshaping of the other—is an inviting analytical perspective, since this relationship extends beyond the themes themselves in shaping the course of the movement. The second theme may be understood to derive from the first roughly by inversion—by a reversal of the direction of its opening arpeggiation. Following a second statement of this so-derived theme, Mozart reduces the two themes into rising and falling arpeggiations, respectively, and, alternating the two, fashions a descending-fifth sequence that prolongs the (local) tonic, running through the complete harmonic series before giving way to the closing measures of the exposition. At this point the inversional relationship between the two themes is joined with the fifth-sequence idea to generate the development

section: a motion in *ascending* fifths carries the music from G through D to A before a reversal in direction of the root movement gives rise to the new fifth-sequence that descends into the thematic return in the subdominant. The general process that informs the recasting of the first theme into the second, then, becomes a guiding force in shaping the movement.

The reading of a misalignment between the structural and thematic returns derives meaning from Laufer's analytical perspective, which flows from it, and would not have been considered without it.<sup>14</sup> We turn now to the two Schubert movements.

*Trio No. 1 in B♭, D. 898 (op. 99), 1st Movement*

The broad tonal plan of the exposition follows the usual pattern of major-mode works, a progression from I to V. It is answered in the thematic recapitulation, however, by a motion from *b*VI to I. Figure 1 provides an overview of the two sections, charting both the opening theme and transition through to the onset of theme two, and the corresponding passages from the restatement, beginning in m. 187. Several features of the design are represented: to facilitate comparison of the two sections, the three passages having an individual and characteristic aspect that comprise the initial thematic area are designated "a," "b," and "c"; the instrumental assignment of the melody in statements of the main theme,

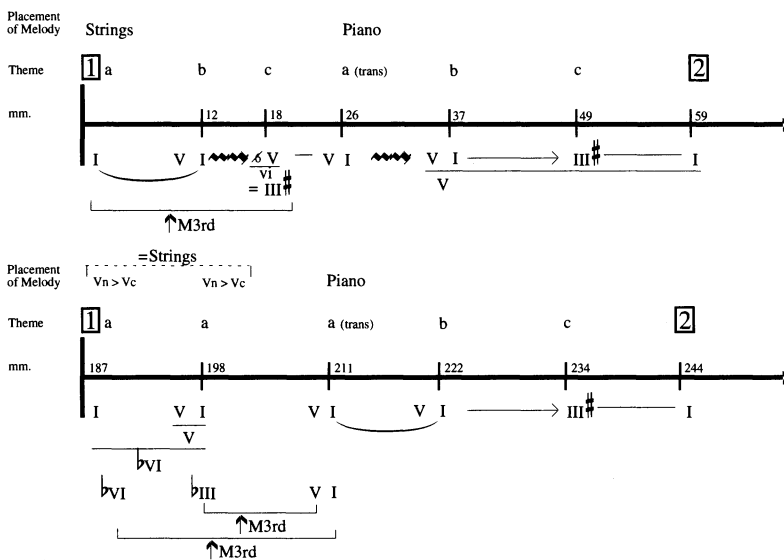


Figure 1. Trio in B♭, D. 898: 1st Mvt.  
Overview of Theme 1 and Transition, and their Return

“a,” is indicated; and the basic harmonic plan of each section is set below its time line.

The first presentation of “a” closes in the tonic. When it is given by the piano beginning at m. 26 it functions as the transition, carrying the music to local closure in the dominant at m. 37.<sup>15</sup> The corresponding statements in the reprise are at mm. 187 and 211. Having the first of these statements close in the flat submediant would not serve the movement’s large-scale organization, as we will come to see; at the same time, the restatement at m. 211 ff., the transition, represents the return of the tonic harmony, and must now remain in the tonic. As the figure shows, Schubert meets the new tonal requirements simply by exchanging the harmonic schemes of the two passages.<sup>16</sup>

Another difference between the two sections is that the material of mm. 12–25 does not return with the restatement. The signal tonal event in these measures is the arrival on a D-major harmony in m. 18. The approach to this harmony—a sequential motion in descending thirds leads through an augmented sixth chord—ensures that it is heard as a dominant, an expected point of arrival following the opening tonic period. Indeed, our sense of having reached an important harmonic goal is affirmed, as we sit on this dominant through the next six measures. At m. 24, though, we learn that we have been deluded; here the D-major chord—the “wrong” dominant, of course, V/vi—dissolves into the real dominant that prepares the tonic of m. 26. Through this early ruse, Schubert begins to foster formal uncertainty from the outset of the movement. The significance of this—and of the specific tonal level of this wrong dominant—will become apparent only with the thematic return in  $\flat$ VI and delayed recovery of the tonic.

We noted that this music does not appear at the corresponding point in the reprise. Instead, in the later section, Schubert substitutes for these measures yet another presentation of the main theme. This one is bound by a tonal design unlike that of any other statement in the movement; it begins in m. 198 on V/ $\flat$ VI, or  $\flat$ III of the main key, and ascends by whole-step to the subdominant, and on to the dominant in preparation for the tonic arrival at m. 211.

Schubert’s reasons for making this change are probably threefold. First, mm. 12–25 carry the music up a fifth. Had this material appeared at m. 198 ff., proceeding from the local D $\flat$  tonic, it would have overshoot the goal dominant. Second, a blurring of the formal boundary between development and recapitulation is surely what Schubert seeks here. The tonal level of the return at m. 187 has already begun this process; a thematic alteration following the initial presentation of the melody adds to the uncertainty. Finally, Schubert’s fondness for carrying into the recapitulation some essential feature of the modulation scheme that shaped the exposition finds expression here. At the broadest level, as we have



noted, this does not occur in this movement: I–V is balanced by  $\flat$ VI–I. However, the absence of the striking major-third ascent of mm. 12–18 at the corresponding point in the return causes the major-third motions that *do* occur to be made all the more conspicuous—that from  $\flat$ III to V in m. 198 ff., but especially the broader motion from the  $\flat$ VI of the thematic return to the arrival of I at m. 211. From the vantage point of the reprise, then, we come to see the exposition’s early progression from I to V/*vi* in a new light, as precursor of the motion that carries the recapitulation from its thematic to its tonal return.

The thematic reprise at m. 187 in  $G\flat$  major is a remarkable and curious feature of the movement. As I suggested above, I believe that this choice of key is linked to the underlying shape of the opening music. Example 1 shows a foreground reading of the first theme and transition, and, set beneath the sketch, a string of pitches beamed together. This bass line, the harmonic underpinning of the main theme, is invested with generative implications that are realized at deep levels of the movement.

In a number of respects the focal point of this motivic line is its central member—that is, the fourth of its seven-note span,  $\hat{6}$ . This pitch-class is introduced in the first gestures of the piece, as an upper neighbor to  $\hat{5}$  within the initial tonic arpeggiation. The theme’s driving melodic ascent from the opening  $\flat$ b through the c of m. 6 creates an urgency to reach the primary tone,  $\hat{3}$ . When d is achieved on the final beat of m. 10 its striking metric deemphasis is paralleled by a substitution in the bass for its expected tonic support— $\hat{6}$  and submediant harmony. The approach to this bass tone introduces a further detail of the motivic life of the movement, the interplay of  $\flat\hat{6}$  and  $\natural\hat{6}$ . The f on the downbeat is reached via  $g\flat$ , and then ascends to  $g\sharp$  through  $f\sharp$ . At m. 18, the third of V/*vi*,  $f\sharp$ , is approached from g in an inner voice. When this D-major harmony dissolves directly into the dominant of m. 24,  $f\sharp$  settles back into  $f\sharp$ , thus “answering” over a broader span the  $\hat{5}\text{--}\sharp\hat{5}\text{--}\hat{6}$  bass ascent of m. 10.<sup>17</sup>

The sketch given as Example 2 encompasses the balance of the exposition, which includes the second theme, at m. 59 ff., and closing material beginning at m. 77. The mixture of major and minor modes that pervades the movement, taking its lead from the activity of  $\flat\hat{6}$  and  $\natural\hat{6}$ , is strongly in evidence in this latter section. The dominant harmony—prolonged across the entire span represented in the sketch—is altered to F minor at m. 81. This modal inflection is deepened by the subsequent tonicization of the local flat mediant, which pushes up to the dominant of F at m. 91. The motion of this harmony back to the main dominant, then, concludes a section built upon a bass arpeggiation of the minor dominant triad.

The metric organization of this closing section also warrants mention. Regular eight-measure units, the first of which is subdivided into phrases of four measures length, begin at m. 77. These are indicated in Example 2





main metric grouping temporarily abandoned at m. 91. It is worth considering whether one hears in this measure of silence an implied resolution to F of the prolonged dominant on C, or a further continuation of that harmony. One's interpretation of this measure largely defines the character of the gesture beginning in m. 100 (which, incidentally, brings into prominence the  $\hat{5}-\flat\hat{6}-\hat{5}$  neighbor motion to end the exposition—now  $\hat{1}-\flat\hat{2}-\hat{1}$  in the key of the dominant—just as  $\hat{5}-\flat\hat{6}-\hat{5}$  had begun it).

The development section of this movement contains a number of remarkable features, certain of which pose interpretive difficulties. Example 3 gives a foreground reading of the music. In Example 4 two differ-

Example 3. Trio in B $\flat$ , D. 898: 1st Mvt: Development

a)

OR

b)

Example 4. Trio in B $\flat$ , D. 898: Middleground Readings of Development

ent interpretations of the basic voice leading are presented; we will turn to these shortly. As is typical of Schubert's developments, this one is cast in distinct sections. What is most atypical is that the first of these begins with theme one in the *tonic*, albeit the tonic minor. The f–g $\flat$ –f neighbor figure that echoes over the concluding dominant harmony of the exposition bridges the two sections, now appearing as  $\hat{5}$ – $\hat{b}\hat{6}$ – $\hat{5}$  in the minor-mode version of the main theme. That the development section begins on the tonic degree raises a basic interpretive question: does this B $\flat$  minor represent a return to the tonic *scale step*, or is it rather an illusory return, a tonic *chord* subsumed within some deeper-level harmony? The former view would imply one of two concomitants. Either one would hear the dominant that concludes the exposition as a divider, and the opening tonic prolonged across that dominant area into the development. Or one would assume a three-part fundamental structure, with interruptions occurring at the end of the *exposition* as well as at the end of the *development*.<sup>18</sup>

An interpretation of the B $\flat$ -minor harmony as a “real” return is not musically convincing, in my view. Rather, it occurs within the larger prolongation of the dominant that extends from the second part of the exposition through the development. Its presence at the outset of the development section, along with a return of the opening theme, is owed, I

believe, to two factors. First, it responds to the large arpeggiation of the *minor* dominant triad upon which was constructed the closing section of the exposition, and in so doing, as we have noted, brings the  $\hat{5}-\flat\hat{6}-\hat{5}$  version of the main theme's neighbor motion into prominence. Second, it sets in motion a hugely expanded statement of the motivic bassline described earlier.

The minor tonic of m. 112 ff. pushes up through  $D\flat$  and  $E\flat$  to F at m. 132, which functions as a back-relating dominant, prolonging the initiating  $B\flat$  harmony. The music continues through an augmented-sixth chord to the C major of m. 134, which, in turn, prolongs the F harmony. From here, a passing-tone  $\flat\flat$  leads to an  $A\flat$ -major harmony at m. 139, and the beginning of the development's second large section. At the deepest level of motion, then,  $B\flat$  falls to  $A\flat$ .

A strategy once again typical of Schubert's developments—an arpeggiation in major thirds—prolongs the  $A\flat$  harmony. Here, a fragment of the exposition's second theme begins in  $A\flat$  major and is carried by sequence down through E major and C major before arriving at the main dominant in m. 161. This dominant is extended for some twenty-five measures before being transformed into a  $D\flat^{\flat}_5$  chord in preparation for the thematic return in  $\flat VI$  at m. 187.

The meaning of this  $G\flat$ , of course, is a central interpretive issue. From a voice-leading perspective, this return must be viewed as part of the development; indeed, it gives rise to the development's third and final section. The structural return takes place only with the recovery of the tonic at m. 211—with music that began life as the exposition's transition section. The coincidence of  $\flat VI$  and the thematic return occurs, I believe, as part of the movement's motivic design. This becomes clear when one compares the bass voice excerpted from the main theme and given as Example 1b with that as shown in Example 4a (to facilitate comparison, these two examples have been simplified and given together as Example 5). The seven-note motive occurs intact, spanning the ninety-nine measures from the beginning of the development to the outset of the structural recapitulation. The emphasis on  $\hat{6}$ , which derived from its having been chosen to support the arrival at the primary tone in the opening theme, is mirrored at this deeper level by its alignment with the thematic reprise. In its first occurrence  $\hat{6}$  appears as  $g\sharp$  and supports the minor submediant triad within the opening presentation of the main theme. In the expanded copy of the bass motive, however,  $\hat{6}$  carries the return of the main theme, and therefore must support a major triad. Scale degree  $\hat{6}$  is represented here, then, by  $\flat\hat{6}$ , and the major  $\flat VI$  triad that it supports. When considered in this light, the motivic alternation of  $g$  and  $g\flat$  that so pervades the music takes on deeper significance.

Two readings of the development section were shown in Example 4. The principal difference between them turns on their respective interpre-

The image shows a musical score for a piano trio. It consists of two systems of music, each with a treble and bass staff. The first system includes measures 6, 10, and 12. The second system includes measures 112, 132, 139, 161, 187, and 211. The key signature is two flats (Bb). The music features a mix of eighth and sixteenth notes, with some measures containing longer note values like a half note. There are various musical markings such as slurs, ties, and accents.

Example 5. Trio in B $\flat$ , D. 898: 1st Mvt: Theme 1 and Development

tations of the dominant harmony reached in m. 161; the configurations of their upper voices reflect the changing status of this dominant. Example 4a views the section as being shaped by a stepwise bass descent that springs from its opening tonic-minor harmony. The bass-tone F at m. 161 is understood to derive from the A $\flat$  harmony of m. 139 ff.; its function is to introduce the G $\flat$  of m. 187. All of this, of course, takes place within the larger dominant prolongation extending from the second part of the exposition, but in this reading that dominant is not actually recovered until just before the entrance of the main theme in the tonic at m. 211. Example 4b does not acknowledge the tetrachordal bass descent that guides the first reading, and instead views the F harmony of m. 161 as the main point of tonal articulation in the section. In this interpretation the G $\flat$  of m. 187 is understood as an upper neighbor to this dominant, and it, along with the thematic return that it carries, is heard very much as a parenthetical insertion within the development's prolonged dominant.

As we have seen, the reading given as Example 4a portrays the development section such that it mimics the opening twelve-measure theme to a remarkable degree. In the theme, the dominant of m. 10 prepares the submediant that follows; later, the dominant of m. 161 prepares the low-

(orchestrated as 26 ff; tonal plan as 1 ff)

ascending 5ths

Theme 2

(as Theme 1)

CODA

Closing (as 77 ff)

Musical score for Example 6, Trio in Bb, D. 898, 1st Mvt: Recapitulation. The score is written for piano and includes measures 211-244, Theme 2 (measures 244-262), and the Coda (measures 262-311). The score features various musical notations such as notes, rests, and dynamic markings. Key annotations include "(orchestrated as 26 ff; tonal plan as 1 ff)", "ascending 5ths", "Theme 2", "(as Theme 1)", and "CODA". Measure numbers 211, 222, 234, 244, 244, 253, 262, 262, 266, 270, 276, 285, 293, 300, 307, and 311 are marked throughout the score. The score is divided into sections: the first section (measures 211-244) includes a phrase marked "ascending 5ths"; the second section (measures 244-262) is labeled "Theme 2" and "(as Theme 1)"; and the third section (measures 262-311) is labeled "CODA" and "Closing (as 77 ff)".

Example 6. Trio in Bb, D. 898, 1st Mvt: Recapitulation



ered submediant of m. 187. In the theme, vi supports the primary tone; later,  $\flat$ VI supports the thematic return. In the theme, the opening phrase moves to a back-relating dominant in m. 4; later, the opening tonal motion from the tonic minor at m. 112 moves to a back-relating dominant in m. 132. It is almost as though the development is an expansive echo of the main theme.

Example 4a, then, emphasizes the motivic kinship between the main theme and the development, and, I feel, provides a compelling account of Schubert's choice of tonal level for the thematic return. As a reading of the voice-leading structure, though, I favor that shown in Example 4b. To my ear, the dominant harmony of m. 161 ff. is the principal goal of the development's tonal motion. Once achieved, this dominant is sustained for twenty-four measures, giving way to the  $D\flat^{\sharp}$  chord that prepares the  $G\flat$  return only at the latest possible moment. In this way, Schubert creates the sense of  $\flat$ VI as an interpolation that temporarily disrupts the controlling structural dominant, and ensures that the listener is aware that the thematic return has occurred away from the tonic.

Before we take leave of the Piano Trio, Example 6 supports a final observation. Here is represented the movement's recapitulation and coda. The music through the closing material at m. 262 ff. is similar to the exposition, and calls for no further comment. But the coda, beginning in m. 293, does require a word. As is immediately apparent from the sketch, this music is structured upon another expanded statement of the seven-note bass motive. And this one carries its resemblance to the main theme beyond even what we observed in the development section. The top voice ascends by step to  $\hat{3}$ , mirroring the movement's initial *Anstieg*; once again, it is supported by submediant harmony. It then descends quickly to closure, just as occurs in the opening theme. In fact, Schubert borrows the cadential gesture of that main theme to underline the parallel.

#### *Symphony No. 4 in C minor, D. 417; 1st Movement*

We turn now to the opening movement of the Fourth Symphony, the "Tragic,"<sup>19</sup> one of a series of multi-movement instrumental works composed in March-April, 1816. Collectively, the pieces composed during this period suggest a time of experimentation with large-scale tonal design; nearly all of their sonata-form movements present an overarching tonal organization new to Schubert's work. This is so of the symphony's opening movement, whose exposition follows the two-key scheme i-VI. Altogether more extraordinary than this novel design, however, is that of the recapitulation, which begins in the dominant minor, and progresses v-III. That is, the tonal plan of the recapitulation transposes that of the exposition to the upper fifth. The music does not end in the mediant, of course; III gives way to I to close the movement tonally. An overview of the movement's tonal organization is given in Figure 2.

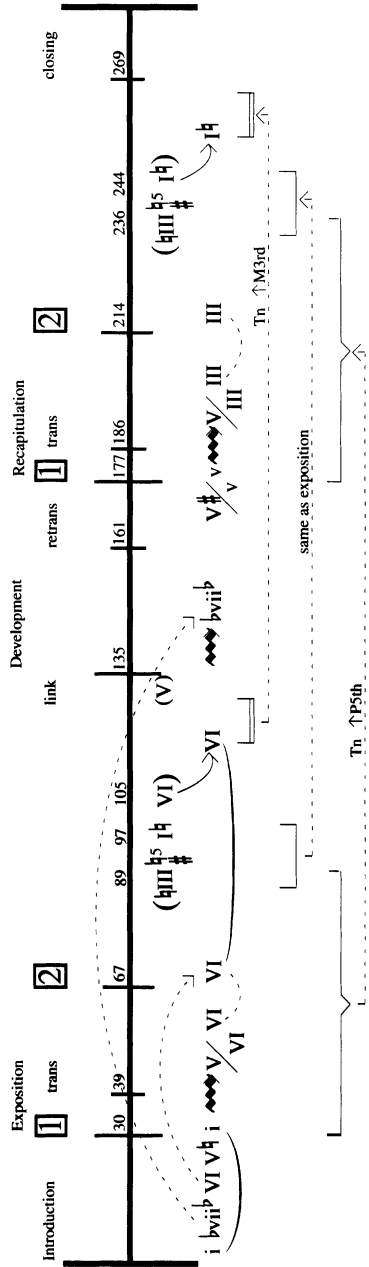


Figure 2: Symphony no. 4, D. 417: 1st mvt. Overview of Design

Schubert devises a most distinctive strategy to regain the tonic late in the movement. Within the second key area of the exposition, controlled by VI, or  $A\flat$  major, the music moves through a strikingly odd passage that advances sequentially by descending major thirds. Each stage in the sequence prolongs a single major triad. Thus VI gives way to  $\sharp$ III, which descends to  $\sharp$ I and on to VI. At this point the sequence is discontinued, dissolving into the closing material that maintains its final key. Having progressed through the complete major-third chain, of course, results simply in an extension of the departure triad; here, the  $A\flat_3$ – $A\flat_2$  octave is divided into three equal parts. The second key area in the recapitulation is controlled by the mediant,  $E\flat$  major. At the point corresponding to the onset of the exposition's sequence, Schubert pries the music up a semi-tone in order to route it through this same major-third chain, beginning on  $\sharp$ III, an E-major triad. The first stage in the sequence carries the music to  $\sharp$ I, where it is immediately broken—that is, the stage that in the exposition led the music on to VI is omitted—and the closing material is grafted on. In short, since the keys that close the exposition and the recapitulation are a major third apart, Schubert is able—and takes pains—to use the same major-third chain in both sections, and to treat it essentially like a traffic circle, departing at the exit appropriate to each case. Now, of course, it prolongs and concludes the movement in the tonic—but the tonic *major*, a striking concession for the opening movement of the “tragic” symphony.

An extraordinary connection exists between the music that generates this series of descending major thirds and the initial gesture of the movement's main theme. This theme is uncommonly ubiquitous in the work. While development sections frequently begin with their movement's opening material, the treatment of that material is usually fragmented and short-lived. Here the full theme is stated, following which its characteristic opening gesture continues to be present, shaping virtually every measure of the section. Seemingly, then, the movement's only relief from the music of the opening theme is provided by the second tonal area, which is comprised largely of the sequential major-third descent. Example 7 sets the opening gesture of the main theme above the bassline of this passage (only the passage in the exposition is given; the one in the recapitulation is similar). As the example illustrates, the former appears to be present in the latter as well, albeit manifested in a most unusual fashion. The figure requires little comment; bracketed numbers indicate intervals in half-steps between successive pitches in the melodic gesture and successive downbeat pitches in the sequence. It is interesting to listen to that later passage while imagining superimposed upon it the opening thematic gesture. The striking ease with which this is accomplished is perhaps the strongest evidence of their common origin.

Figure 2 also summarizes the basic harmonic motion of the remark-

Example 7. Symphony no. 4, D. 417: 1st mvt:  
Comparison of Theme 1 Opening and Major Third Chain

able twenty-nine-measure introduction, and the intervallic relationships between corresponding sections of the exposition and recapitulation. The dotted lines leading from the two internal members of the former's descending tetrachord to the dominant are meant to indicate that these harmonies are realized as prominent key areas within the larger tonal scheme; the introduction is explored in detail below. To outline the latter: the opening part and bulk of the recapitulation is a transposition of the corresponding section of the exposition at the upper perfect fifth; this is followed by the reappearance of the descending major-third-chain material at the same pitch level as it occurred in the exposition; the major-third chain is exited in the recapitulation at  $\text{I}^{\flat}$  rather than at VI, making the final section a transposition at the upper major third. This tonal design is effective in a dramatic sense in several respects. Both the relationship between successive keys, and the pattern of modal quality—motion down by major third, from a minor to a major harmony—are preserved from exposition to recapitulation. This produces a deep sense of formal balance, if not large-scale resolution, perhaps mitigating to some degree the effect caused by the absence of a reestablished tonic. In this same vein, that the major-third chain reappears in the recapitulation at the same pitch level as it occurred in the exposition, and that its discontinuation is effected by a major harmony in both sections, strengthens the parallel between opening and closing sections.

Structural interpretation of the movement as a sonata form, however, is terribly problematic. The development section does not prolong or progress to the dominant of the main key, so there cannot be an interruption—at least not as it normally occurs—at this point. And since the thematic recapitulation begins away from the tonic, neither can one understand the usual reestablishment of the primary tone to take place at the

outset of that section. In fact, the unfolding of the tonal design so delays the recovery of the tonic harmony that reading a divided structure at all seems untenable. We have seen that the broad modulation plan of the exposition, a descending major third from *i* to VI, urges the similar motion from *v* to III in the recapitulation. This is the movement's fundamental tonal architecture. It does not involve the recovery of the tonic harmony. The tonic is reintroduced only after the main tonal drama has been played out, to provide closure.

Example 8 gives a middleground reading of the movement that proceeds from an acknowledgment that a single sweeping tonal motion—away from the tonic in the exposition, back to the tonic in the recapitulation—rather than the usual two-part structure is fundamental to the piece. An immediately striking feature of the sketch is its contention that the minor dominant that carries the thematic return arises as the result of a contrapuntal motion within a governing *B $\flat$*  harmony. That harmony, prolonged through the development and into the recapitulation, is eventually “corrected” from minor to major to allow its local function as dominant of the mediant that supports the second theme.

A particularly interesting detail of Schubert's compositional plan tends to bear out this interpretation of the minor dominant thematic return as a relatively low-level harmonic event. As we noted earlier, the development section is dominated by the movement's opening theme, the initial statement of which, in *B $\flat$*  minor, is treated in precisely the same sentential form as occurred in the exposition and recurs in the recapitulation, rather than in the more discursive manner typical of development sections. As a result, the sense of return carried by the statement of this theme in *G* minor at m. 177 ff. is weakened; because it is heard in relation to that earlier statement, it is perceived more to mark a parallel event within the development than to signal the onset of the recapitulation, which it actually does. One remains quite uncertain that the recapitulation has begun, in fact, until the transition leading to the second theme makes that clear. That the music at m. 177 ff. is heard, then, more as a continuation of the

Example 8. Symphony no. 4, D. 417: 1st mvt

development than as the opening section of the recapitulation is reflected in its interpretation here as a contrapuntal extension of that earlier section's controlling harmony.

Example 8 also illuminates a striking resemblance between the broad tonal organization of the movement and that of the twenty-nine-measure *Adagio* that precedes the main *Allegro*. The movement's slow introduction is punctuated by the *fortissimo* arrival in m. 10 of a major triad on G $\flat$ —a tritone removed from the tonic!—whose articulation parallels that of the unison C's of the opening measure. In m. 21 the dominant is reached, and is extended through the balance of the introduction in preparation for the tonic downbeat of the exposition proper at m. 30. Example 9 simplifies the musical surface of the *Adagio* by normalizing registral and rhythmic displacements, and by restoring to single unbroken lines those individual voices that the music distributes among two or more instruments. This simplification reveals an essentially three-voice texture constructed from a single stepwise descending line counterpointed against itself at staggered temporal intervals. The G $\flat$  chord of m. 10 partitions the opening twenty measures into two phrases, the second of which is a slightly varied restatement of the first at the lower major second.

An interpretation of the voice-leading appears below as Example 10. Here the similarities with the reading of the full movement given in Example 8 come into focus. In both of these interpretations, the successive 5–6 contrapuntal motions over the bass tones C and B $\flat$  are the prevailing events. In addition, both are shaped by descents from  $\hat{5}$  as the principal upper-voice tone. Thus the 5–6 progressions result from prolongational motions involving this principal melodic line, as the tones G and F move to their upper neighbors (in the body of the movement the upper neighbor to F is G; in the introduction it is G $\flat$ ). Beyond this, both interpretations provide highly atypical support for  $\hat{3}$  before reaching  $\hat{2}$  and the dominant.

The most unusual feature of the reading of the movement given as Example 8 was the interpretation of the G minor of m. 177 ff. as being subsumed within the prolongation of a deeper B $\flat$  harmony. This G-minor harmony, after all, carries the thematic recapitulation, one of the few points of articulation essential to the sonata's formal coherence. In support of this interpretation we observed the uncommon treatment of the first theme at the outset of the development section, whose repeated, full sentential statement effectively depletes any dramatic sense of return embodied by the later G-minor statement.

It is the harmonic organization of the introduction, though, that lends the most compelling support to this reading. Example 9 demonstrated how the opening twenty measures are generated: the three-voice imitative web leads into m. 10, which sets off the sequential restatement of the imitation at the lower major second. Yet the counterpart to the first mea-

The image displays a musical score for Example 9, consisting of two staves: a treble clef staff on top and a bass clef staff on the bottom. The score is divided into measures, with measure numbers 4, 8, 10, 13, 16, 19, and 21 indicated. The notation includes various note values, rests, and accidentals. Several large, slanted brackets are drawn across the staves, grouping specific measures. Arrows point from these brackets to the corresponding measures in the score, highlighting areas of contrapuntal texture. The overall layout is clean and professional, typical of a musicology journal or textbook.

Example 9. Symphony no. 4, D. 417: 1st mvt. Introduction (mm. 1–29): Simplification of Contrapuntal Texture





sure of the piece, the chord in m. 10, is on  $G\flat$ —that is, a tritone, not a whole-tone, removed from the tonic. A glance at the two 5–6 indications beneath Example 10b clarifies this incongruity. Measures 2 ff. and 11 ff. are parallel, but m. 1 and m. 10 actually are not. The  $B\flat$  harmony from which the second stage of the imitative complex springs—the harmonic parallel to m. 1—sounds half a bar earlier, in m. 9. The  $G\flat$  chord in m. 10, then, derives from the  $B\flat$  harmony that precedes it just as the  $A\flat$  of m. 2 derives from the opening tonic. Both arise as a result of similar contrapuntal motions above the governing bass tones. Consequently, there exists in this introduction a misalignment between the metric-melodic design and the harmonic organization that is precisely analogous to that which obtains in the movement proper between the thematic-formal design and the tonal structure. Example 11 illustrates. The much smaller scale of the introduction makes its misalignment more immediate, and in that sense, much more forceful: the arrival of the  $B\flat$  harmony that initiates and is prolonged by the second 5–6 motion is completely obscured by the phrase structure, being buried near the end of the opening large phrase; conversely, the  $G\flat$  derivative of that contrapuntal motion, set by a restatement of the emphatic opening of the movement, could hardly be announced by a more insistent articulative gesture. Their counterparts within the movement proper initiate the development and the recapitulation, respectively. Here the contrapuntal derivative of the prolonged  $B\flat$

Introduction

mm. (1) (9) (10)

a a1

5—6 5—6

Movement Proper

5—6 5—6

A A1

(Expo) (Dev) (Recap)

Example 11. Symphony no. 4, D. 417, 1st mvt

harmony is the G minor that supports the thematic return. The organization of the introductory *Adagio*, then, rehearses the novel design of the larger movement to follow.

\* \* \*

These two movements unfold tonal designs without precedent in the sonata literature, whose most distinctive features are their off-tonic thematic returns. While the tonal levels of these returns are integrated within the larger tonal architectures of their movements through similar compositional strategies, nevertheless, the designs that result relate very differently to the structural voice-leading norms of sonata form.

In the symphony Schubert forgoes the structural stability that attaches to the “double return” (the coordinated recovery of both principal theme and tonic key), as the tonic is regained late in the recapitulation, only after the essential motion of the movement’s tonal structure has unfolded. The work’s novel key scheme, then, precludes the operation of a normative voice-leading structure. From a Schenkerian perspective, at least, during this period Schubert was indeed, in Tovey’s words, “pressing his way towards new forms.”

In the trio, however, the recovery of the tonic occurs relatively soon after the thematic return, early in the recapitulation. Further, as we noted, Schubert fosters uncertainty about the formal boundary, in effect signaling to the listener at the thematic return that the fundamental point of articulation is yet to come. That is, the recovery of the tonic, though delayed, is articulated in such a way that it is heard as the essential initiator of the section’s tonal motion. What Schubert achieves in this movement, one might say, is an ingenious combination of two seemingly incompatible recapitulatory strategies: his tonal innovation encompasses the level of the thematic return, and yet he retains the powerful articulative force of the double return. From a design perspective, the recapitulation begins away from the tonic; from a structural perspective, it begins in the tonic. As evidenced by this work, then, the renewed activity of Schubert’s last years carries with it a new integration of innovative tonal design and normative sonata-form structure.

## APPENDIX

Edward Laufer

### REVISED SKETCH OF MOZART, K. 545/I AND COMMENTARY

This movement presents many unusual features, which perhaps arise out of Mozart's wish to make the movement very compact and—psychologically—short and quick. Mozart rushes one section into another. The motivic continuity, as suggested by the brackets (e.g., the initial  $c^2-b^1$  becoming  $d^2-c^2-b^1$ , becoming  $d^3-b^2$  of the second subject), is one aspect of this compactness. There is “no time,” as it were, to wait for the recapitulation to begin on the I: the motivic return starts off before the development has ended, on a foreground IV, which, as my sketches show, is enclosed *within* the composing-out of the V. (The V reached at m. 11, before the second subject, is to be understood as composed-out right up to m. 71.)

Perhaps in keeping with the conciseness and “psychological” speed of this movement there is no stopping, no interruption of a fundamental line *in the strictest sense* (no  $\hat{5}-\hat{4}-\hat{3}-\hat{2}$ !); the situation is, rather,  $\hat{5}$ —  
 $\hat{3}-\hat{2}$

maintained unabated throughout, in the background, and in fact does not really descend at all in the sense of a fundamental line (as explained below).

What does this mean with regard to Schenker's concept of interruption as a basic characteristic of sonata form? For those movements in which the  $\hat{5}$  remains on top while an inner voice proceeds  $\hat{3}-\hat{2}$  (viz.  $\hat{5}$ —  
 $\hat{3}-\hat{2}$ ), such as this

movement, or K. 333, Beethoven's op. 14/I, Seventh Symphony, Clementi's op. 36/4, or—a shorter example—the contrasting phrase (mm. 9–12) of the Theme of Mozart's K. 331, one would not speak of an interruption *in the strictest sense*, since the upper voice remains on top in the background. And yet the above instances (not K. 331, of course) are all indubitably sonata movements. In this  $\hat{5}$ —  
 $\hat{3}-\hat{2}$  situation, when the  $\hat{2}$  over the V is reached, to be fol-

lowed by a fresh assertion of the  $\hat{5}$  supported by the I, there is undeniably a kinship with interruption as  $\hat{5}-\hat{4}-\hat{3}-\hat{2}$ ; that is, *a different order of interruption*, not specifically described by Schenker, but alluded to by Oster. In recognizing such a “secondary order” of interruption, one must acknowledge that Schenker's principle of interruption as a basic feature of sonata form remains valid.

This particular movement closes with an auxiliary cadence (starting in m.

Musical score for Mozart's K. 545, 1st movement, showing a revised interpretation with Schenker's analysis. The score includes a piano introduction, a main section with measures 1-56, and a coda. The analysis uses Roman numerals (I, II, III, IV, V, VI, VII, VIII, IX, X, XI, XII) and Schenkerian symbols like 'Erganz.', 'Doppel.', 'Reueph.', and 'aut. cod.' to show the underlying structure. A 'Not:' section shows a specific note's movement.

Edward Laufer's revised interpretation of Mozart, K. 545, 1st mvt. Compare to example 22 from Laufer's review of Schenker's *Free Composition*, *Music Theory Spectrum* 3, 1981

59). One idea behind Schenker's concept of the auxiliary cadence concerns withholding the arrival of the main chord until the end of the progression (here, m. 71). Thus, I at m. 59 is evaded—its being withheld paradoxically lending the movement a further sense of conciseness, as the pace of the movement is thereby not held back or drawn out by presenting the I both at mm. 59 and 71. Since the auxiliary cadence is not a *background* procedure, there is no *background* support for the descent of a fundamental line. Thus, one should speak here not of a fundamental line, but rather of a descending *5<sup>th</sup>-progression*, in the middleground, with the  $g^2$ , the top note of the *5<sup>th</sup>*, remaining. (Reading a *5<sup>th</sup>-progression* is the reason why, as noted earlier, the  $\hat{5}$  is to be understood as being maintained throughout the movement. The same comment would apply to entire pieces built on an auxiliary cadence, such as Chopin's e-minor Prelude, or Brahms's op. 118/1 or op. 116/5: these show *3<sup>rd</sup>*- or *5<sup>th</sup>*-progressions, but not actual fundamental lines.) In K. 545 it is as if the apparent  $I^6$  of m. 59 were reaching back into the realm occupied by the previous V, a V which will only proceed to the real I at m. 71. On such a large scale this auxiliary cadence is a most unusual procedure for Mozart (although the slow movement of the Piano Concerto K. 467 is somewhat similar in certain respects). I should like to think that in the twenty years since my K. 545 sketch to which Professor Sly refers, I may have come to a clearer understanding of Schenker's concept of the auxiliary cadence; and hence my somewhat revised reading.

## NOTES

- \* This paper is a continuation of work begun with my dissertation, "An Emerging Symbiosis of Structure and Design in the Sonata Practice of Franz Schubert" (Ph. D. Dissertation, Eastman School of Music of the University of Rochester, 1994), which was advised by David Beach. I should like to acknowledge his deep influence on the ideas presented here.
1. D. F. Tovey, "Franz Schubert" (*Music and Letters*, 1927), rpt. in *Essays and Lectures on Music* (London: Oxford University Press, 1949): 122 and 124.
  2. See "Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D. 887)," trans. Thilo Reinhard, in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch (University of Nebraska Press, 1986): 1.
  3. Schubert's practice of casting his thematic return in other than the tonic key has been chronicled in various writings, including Malcolm Boyd, "Schubert's Short Cuts," *Music Review* xxix (1968): 12–21; Daniel Coren, "Ambiguity in Schubert's Recapitulations," *Musical Quarterly* lx (1974): 568–82; and James Webster, "Schubert's Sonata Form and Brahms' First Maturity," Pt. 1, *19th-Century Music* II (1978): 18–35. Collectively, their work identifies several organizational tendencies and procedures, and arranges pieces under one or another so-defined rubric.
  4. For an overview of the sonatas composed during the Spring of 1816, and discussion of the first movement of the Violin Sonata, D. 408, see the author's, "The Architecture of Key and Motive in a Schubert Sonata," *Intégral* 9 (1995): 67–89.
  5. In this work, the recapitulation begins neither in the tonic nor with the movement's opening material. For a discussion of its tonal and thematic organization, see David Beach, "Harmony and Linear Progression in Schubert's Music," *Journal of Music Theory* 38.1 (Spring, 1994): 1–20.
  6. The exact date of the work's composition is unknown. It is believed to be the Spring of 1828. See *New Grove Dictionary of Music and Musicians*, s.v. "Schubert, Franz (Peter)," by Maurice J. E. Brown.
  7. See *Free Composition*, trans. and ed. Ernst Oster (New York: Longman, 1979): 136–37. Schenker's approach to musical form considers voice-leading to be determinate. Sonata form arises from a two-part fundamental structure, and the sole requirements of development and recapitulation sections are those that serve this structural division: the impulse toward closure is *interrupted* following the arrival or prolongation of  $\hat{2}$  and dominant harmony; a *recommencement* of that motion ensues, this time carrying the music to closure. It is the recovery of the primary tone and the tonic scale step at the point of recommencement—rather than the reappearance of principal thematic material—that for Schenker defines the onset of the recapitulation.

While Schenker's ideas in this area have had an exiguous influence on the larger musical community's thinking about form, I invoke them here because of my conviction that his structural approach allows unique insights into the formal processes of individual pieces: the honed approach to sonata composition found in Schubert's later works that is the subject of this paper is, I would argue, illuminated precisely by the conception of the role of the recapitulation peculiar to Schenker's thinking. Schenker's *Formenlehre* is generally understood to be incompletely formulated and fraught with inconsistencies. Nevertheless, its promise—a conception of form as an image of a work's fundamental structure, rather than an

- autonomous musical parameter—is compelling for many musicians, and has attracted close scrutiny in a number of recent articles. The most far-reaching is Charles J. Smith’s “Musical Form and Fundamental Structure: An Investigation of Schenker’s *Formenlehre*,” *Music Analysis* 15/ii-iii (1996):191–297, which takes an enormous step toward remedying the inconsistencies in Schenker’s treatment of the topic. A complete formulation of Schenker’s conception faces several remaining difficulties, as Smith himself concludes.
8. Perhaps the most vexing difficulty for a Schenkerian theory of form is the reconciliation of the fundamental structure, with its tonic-dominant orientation, and the adventurous tonal designs that so characterize Schubert’s practice. Schubert’s off-tonic reprises represent a central problem, but there are others, including the composer’s frequent use of uncommon second tonal area keys in his expositions, and, of course, his well-known three-key expositions. For a thorough discussion of these, and other, features that defy Schenker’s structural approach, see Smith’s “Investigation of Schenker’s *Formenlehre*.”
  9. Figure 47,1 in the *Supplement to Free Composition*. Figures 88,c and 124,5a show sections of the exposition in greater detail.
  10. Edward Laufer, Review of Heinrich Schenker, *Free Composition, Music Theory Spectrum* 3 (1981): 158–84. Discussion of the opening movement of the C-major sonata extends from pp. 173–76.
  11. This is found in Oster’s well-known footnote to Schenker’s discussion of sonata form (*Free Composition*, p. 139). His description of the structure is as follows:
 

Quite frequently found, yet never mentioned by Schenker, is the following: in a sonata movement that starts on  $\hat{5}$ , the upper voice does not descend via  $\hat{4}$  and  $\hat{3}$  to the  $\hat{2}$  at the interruption point, as it normally would (Figs. 24–26). This means that the composition is not based on the interruption principle in the strictest sense. The background of the exposition rather resembles the voice-leading of Fig. 152,4, measures 1–4: the tone that would be the  $\hat{2}$  of the fundamental line ( $b^1$  in m. 4) comes here from the chordal third of the tonic harmony, and it must therefore be considered an inner-voice tone. In such a sonata exposition this tone is then composed out in the usual way, by means of a fifth-progression. In the meantime the  $\hat{5}$  is extended till the end of the exposition and from there to the beginning of the recapitulation; it only descends to  $\hat{1}$  as late as the end of this section.
  12. Laufer, Review of *Free Composition*, p. 173.
  13. *Ibid.*
  14. Another article that takes up Schenker’s reading of this sonata is John Snyder, “Schenker and the First Movement of Mozart’s Sonata, K. 545: An Uninterrupted Sonata-Form Movement?,” *Theory and Practice* 16 (1991): 51–78. It is unfortunate that Snyder fails to cite Laufer’s review, since it anticipates many of his arguments concerning the interpretation of the piece, including the appeal to Oster’s structural model described in note 11. In fact, the authors’ contrasted readings of the piece derive from their very different interpretations of that model. In Laufer’s view, Oster is suggesting a structural model not fundamentally different from that which Schenker defines—a derivative of that earlier model that arises through the textural inversion of the upper and an inner voice. The  $\hat{5}$  that is held through the exposition and development sections is that which in normal sonata structure would belong to an inner voice, but is here projected into the upper voice. Mean-

while, the descent to  $\hat{2}$  does occur, but it has now become part of an inner-voice motion. The interruption that follows the  $\hat{2}$  in the usual sonata structure, then, in effect also occurs. It resides, however, in this inner voice as well, and therefore does not appear in the *Ursatz* model, which of course consists only of the two outer voices. This view accords with Oster's characterization that the structure lacks an interruption "in the strictest sense." Laufer's reading of the movement (see "Review of *Free Composition*," p. 175, example 22) shows  $\hat{5}$  prolonged through the exposition's tonic- and dominant-controlled areas, across the development, and into the regained tonic of the recapitulation, where it finally descends to closure. Meanwhile, the descent to  $\hat{2}$  over a structural dominant harmony occurs in an inner voice. In Laufer's view, it is the subdominant return of the opening theme at m. 42 ff. that provides support for that descent: the  $f^4-c^4-f^3$  in the bass at mm. 42, 53, and 54 supports the melodic stretch  $f^5-e^5-d^5$ , or  $\hat{4}-\hat{3}-\hat{2}$ . All of this occurs internal to the larger dominant that is in force through the section. (Professor Laufer comments on this structural type at the end of this paper. His remarks form part of the commentary to a sketch reflecting his most recent views concerning K. 545, which, having undergone some revision since the 1981 article, he wished to make known.)

By contrast, Snyder's analysis (see "Schenker and Mozart's K. 545," p. 68, example 9b) sets forth a truly undivided structure: there is no internal structural dominant, and thus no background-level descent to  $\hat{2}$  and subsequent interruption buried in an inner voice. The stemmed  $g$ 's in the lower voice at mm. 8 and 57, along with the indicated  $V$ 's at the same vertical level, suggest that the dominant is understood to extend across that span. But as the notation clearly indicates, this dominant is subsumed by, or serves to prolong, the opening tonic, which is in force through the exposition and development sections, and well into the recapitulation. It supports the full expanse of the  $\hat{5}$ , giving way only with the onset of the melodic descent over the final cadence. This is surely incorrect: the heart of sonata form is its tonal-dramatic structure, expressed by the background tonal contrast established in the exposition-development. The principle of large-scale interruption emphasizes this dramatic contrast. What Snyder has failed to recognize in Oster's model is the *illusion* of continuation created as  $\hat{5}$ , a member of both the tonic and the dominant harmonies, receives consonant support both at the close of the development and at the beginning of the recapitulation. But it is no more than an illusion: the recovery of the tonic still signals a recommencement. The  $\hat{5}$  that concludes the development is *not* the same  $\hat{5}$  that begins the recapitulation: the former belongs to the structural dominant harmony, the latter to the regained tonic.

15. As will be shown, the dominant harmony is prolonged from this point through the balance of a 111-measure exposition, most unusual for Schubert, who normally prefers to reach the dominant relatively late in the exposition. This tonal organization is more typical of Beethoven.
16. There exists some confusion in the literature regarding the relationships among these thematic statements. Felix Salzer says that the return at m. 187 "begins just as it had in the exposition, both thematically and harmonically" ("Die Sonatenform bei Franz Schubert," *Studien zur Musikwissenschaft* 15 (1928): 123). Coren ("Schubert's Recapitulations," 581) suggests that the two passages are not quite parallel, citing the thinner orchestrational texture—the violin and 'cello play in alternation at the return, rather than in octaves, as they had at the beginning—and



- pointing to the relatively weak preparation of  $bVI$ , calling into question its stability as a tonic. Meanwhile, Webster takes issue with Coren, and announces that “the section beginning in  $Gb$  places the melody in the strings, and thus corresponds to the beginning of the movement (other details support this interpretation); but the  $Bb$  statement is a literal repetition of m. 26” (pp. 32–33). Coren’s points are well taken, particularly the second one; the preparation of the thematic return must figure in our interpretation of the tonal structure. Salzer is correct that the two phrases *begin* in similar fashion, but he fails to note their different harmonic goals. Webster’s evaluation of the passage ignores the harmonic goals of *both* statements.
17. The work of Steven Laitz identifies  $b\hat{6}$  (or  $\#\hat{5}$ ) and  $\natural\hat{6}$  in combination with  $\hat{5}$  as a principal source of motivic activity in Schubert’s music. His insights into the organization of many of Schubert’s songs through the lens of this motive are presented in his “Pitch-Class Motive in the Songs of Franz Schubert: The Submediant Complex” (Ph. D. Dissertation, Eastman School of Music of the University of Rochester, 1992).
  18. For a detailed investigation of this issue of interpreting development sections that begin in the tonic, see Jack Adrian, “The Ternary-Sonata Form,” *Journal of Music Theory* 34.1 (Spring, 1990): 57–80.
  19. The work was given this title by Schubert himself.