THE "MONO-OPERATIONAL" RECAPITULATION IN MOVEMENTS BY BEETHOVEN AND SCHUBERT

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ABSTRACT:

Notions of symmetry, balance, and proportion have appeared prominently in the discourse on sonata form since its origin in the eighteenth century (Ratner 1980, Rosen 1988, Morgan 1998, Hepokoski and Darcy 2006). One clear but insufficiently studied symmetry in sonata forms concerns the relationship of the length of the recapitulation to that of its referential exposition. Many recapitulations make symmetry-altering thematic transformations, but forms that make more than one such alteration tend overwhelmingly to make them in opposite "directions" (enlargement and abridgement). This article is concerned with a relatively small set of sonata recapitulations that deliberately disavow the drive toward exposition-recapitulation symmetry. The "imbalanced" (Smyth 1990) or "lopsided" (Daverio 1993) forms under consideration satisfy two formal criteria. First, they feature multiple discrete sets of thematic alterations, all of which adjust the length of the recapitulation vis-à-vis its referential exposition in the same direction (either expansion or contraction). And second, they feature no thematic alterations that perform the opposite "operation." The article refers to such recapitulations as "mono-operational." Its primary goals are to outline the mono-operational strategy's formal properties and to excavate its dramatic implications. Case studies come from Schubert's and Beethoven's piano works. Detailed analyses are given of the first movements of the "Pastoral" Sonata, Op. 28 and the "Grand Duo," D. 812.

KEYWORDS:

Sonata Theory, Beethoven, Schubert, Musical Narrative, Formenlehre

What do the opening movements of Beethoven's "Pastoral" Piano Sonata, Op. 28 and Schubert's Grand Duo, D. 812 have in common? They are separated by some twentythree years; they share no theme, program, or set of topics; affectively, they are worlds apart; and it seems clear that Schubert did not explicitly model his piece on Beethoven's.¹ One feature that the two movements share concerns their recapitulatory formal processes: the recapitulations of both movements feature multiple sites of thematic alterations, and each of these deviations from the expositional plan results in an enlargement of the size of the recapitulation, relative to that of the exposition.²

Unlike many recapitulations that feature thematic expansions, in these two recapitulations not a single thematic alteration performs the opposite operation; there are no thematic deletions that would "compensate" for their multiple thematic additions. The two movements thus deviate from the "binary symmetry" that is typically seen as a formal or aesthetic criterion of sonata forms, if not its origin or raison d'être.³ Indeed, the

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¹For listeners that have heard echoes of Beethoven in the Grand Duo (albeit more in its later movements), see Schumann (1965, 141–142), Adorno (1998a, 87), and Shamgar (1989, 421). For the centrality of the figure of Beethoven to Schubert reception, see (Gibbs 2000, 145) and Taylor (2014, 42). For studies of Schubert's modelings, see e.g., Chusid (1962); Cone (1970); Rosen (1988, 356–360); Temperley (1981); Nettheim (1991); Kessler (1996); Gingerich (1996); Griffel (1997); and Rosen (1998, 381).

²"Thematic alterations," as well as "referential layout" and "rotation" (which I use below), are from Hepokoski and Darcy (2006, e.g., 12, 16–23, and 611–614).

³Symmetry (whether formal-architectural or temporal) and its siblings—"proportion," "balance," "homeostasis," "equilibrium"—are important categories in historical and modern conceptions of the sonata. For "time symmetry," see Morgan (1998), who makes metaphysical as well as analytical claims. For symmetry as "essential to any conception of sonata in all its forms," see Rosen (1988, 12; and cf. Rosen 1998). For symmetry as a reason to take expositional repeats, see Smyth (1993 and cf. Smyth 1990). For symmetry as a necessary (historical/aesthetic) condition for the "Classical Style" see Ratner (1980, 35–36). Others (Rothstein (1989, 100 ff.), Hepokoski and Darcy (2006, 180, 252, 15, and passim), and Grave (2010, 148)) presuppose symmetry as a basic aesthetic category, if not *a priori* cognitive constraint. "A common tendency toward symmetrical balance" (Smyth 1993, 88) was theorized in the eighteenth and

unanswered expansions result in a large-scale formal *asymmetry* or *im*balance; the pieces are, in Daverio's terms, substantially "lopsided" (1993, 38–39).

In this article, I use the adjective "mono-operational" to describe recapitulations, like those of the Pastoral Sonata and The Grand Duo, that satisfy two criteria. First, they feature multiple discrete sets of thematic alterations, all of which have the same effect (enlargement or abridgement) on the size of the recapitulation, relative to the referential exposition. And second, they perform no thematic alterations of the opposite variety. The neologism captures their staunch commitment to a single type of thematic "operation"— expansion or contraction—at the expense of the formal-architectural and temporal (near-) symmetries more typically found in sonata forms.

My goals are to outline the mono-operational strategy's formal properties and to excavate its dramatic implications. In service of these goals, the article proceeds in four parts. Part I is an introduction to the ways that recapitulatory formal alterations mediate an instrumental movement's content. Part II then addresses the formal peculiarities of the mono-operational strategy and considers possibilities for interpretation. Finally, Parts III and IV offer analyses of the mono-operational first movements of Beethoven's "Pastoral" Sonata and Schubert's "Grand Duo."

I. FORM AND CONTENT IN INSTRUMENTAL MUSIC

The central theoretical presupposition of this article is that recapitulatory thematic alterations have meaningful effects on the narrative or dramatic content of the sonata in

nineteenth centuries by Chastellux, Daube, Mattheson, Riepel, Koch, Marpurg, Czerny, and others (Ratner 1980, 33–36). For a cognitive-psychological perspective see Kramer (1988, 324–328). For a biological-turned-psychoanalytic use (in music), see Adorno (1998a 18). Adorno ([1971] 1996, 52) cautions against the usefulness of musical symmetry, but (even in same text, e.g., 62–63) invokes it to various ends as a historico-analytical category.

which they occur.⁴ From this premise, I argue that recapitulations whose lengths differ from that of their referential expositions can afford perceptions of rich temporal and/or spatial scenarios. Since recapitulations largely trace the paths plotted by their expositions, they are in that sense conditioned by their expositions. By altering the length of a recapitulation, a composer stages a movement's recapitulatory cadential goal-points as arriving "too early" or "too late"—or as appearing "too close" or "too far"—to a listener or a virtual musical protagonist. On this view, the thematic alterations that occur in many sonata recapitulations may be a strictly "formal" behavior, but they nevertheless impact the presented "content" of a sonata; alterations participate in the shaping of a dramatic musical narrative.⁵

The foregoing is given support by an observation sometimes sidelined in studies of musical form. Thematic alterations—whether they alter the length of a recapitulation relative to its exposition or not—are not "obligatory" in the way that tonal alterations are. Unlike the tonal alterations that every on-tonic recapitulation must make (assuming a modulating exposition), the thematic alterations that occur in a recapitulation do not contribute to the achievement of some necessary (in this case tonal) task.⁶ What, we

⁴In this my approach is closely aligned with that of Hepokoski and Darcy (2006, 233–242 and 251–254). Cf. Monahan (2012, 2–8 and 16–18)); Adorno (1969, 164–165; 1996, 44–46, 49, 78, 165; 1998b, 6); Rosen (1988, 287 and 1998, 75–81); and Caplin (1998, 163–175).

⁵Adorno ([1971] 1996, 25): "in music, as in a theater, something objective is enacted, the identifiable face of which has been obliterated." For Rosen (1998, passim), the classical style itself was predicated on an ability to fashion "dramatic" musical form; see p. 9: "The symphony could take over from drama not only the expression of sentiment but the narrative effect of dramatic action, of intrigue and resolution. ... The sonata forms made this possible by providing an equivalent for dramatic action."

⁶If we have confounded tonal and thematic alterations, this may be because the "obligatory" recapitulatory alterations—which tend to happen just before the recapitulatory secondary theme—are often both tonal and thematic (see, e.g., the first set of tonal-thematic alterations in the Grand Duo, analyzed in the main text below). Even so, there is no necessary relation between them besides the fact that a tonal alteration must (to the extent that it changes the pitch level of its referential measures) also (trivially) be a thematic alteration.

might ask, are these length-altering thematic alterations (and even those that do not alter the recapitulation's length) doing in the many recapitulations that feature them? Are they tied up with now forgotten art-historical or generic conventions, a composer's whim, an inability to constrain the creative impulse, an aesthetic allergy to strict repetition, a desire not have one's music judged "mechanical" or "lazy"?

Answers to such questions come from various locations in the discourse on sonata form. Adorno (1998a, 37–38) memorably compared thematic alterations (in development sections as well as in recapitulations) to "bourgeois bustle... as 'doing', accomplishing, something, ... a[n] eagerness to get things done."⁷ Taruskin (2005, iii 16) hears in a "streamlined or compacted" Rossini overture the fulfillment of a generic norm; for him, a set of recapitulatory deletions are responsible for creating the mood of festivity so important to the buffa overture. Hepokoski and Darcy (2006, 232 and 519), sensitive to the effects of thematic alterations on the shaping of a dramatic narrative, hear in recapitulatory alterations everything from "eagerness," "the jettisoning of baggage" to "delaying, "dawdling," and world weariness.⁸

For these and other authors, musical form itself is heard in dramatic terms. Recapitulatory alterations that add or delete measures participate in the production of meaning: they contribute to the staging of dramatic scenarios in which the achievements of a sonata's goals—cadences, thematic zones, and so on—are delayed or hastened. ("This recapitulation is longer than its referential exposition—it therefore feels bloated"; "this recapitulation seems to be in a rush to get to its conclusion—it therefore imparts a mood of festivity.") Whatever else they do, then, the "superfluous" thematic alterations

⁷See also p. 152 on the relationship of such "thematic work" to theater.

⁸See, e.g., 232 and 519. Cf. Monahan (2012, 7–8) and Rosen (1998, 9, 12, and passim).

that sometimes occur in recapitulations also contribute to the unfolding drama of the movement in which they occur.

Consider the dramatic action suggested by mono-operational recapitulations like the first movements of Op. 28 and D. 812. In such pieces, every musical goal-point that occurs after the initial expansion—every onset of a new theme, every cadence, every referential measure—will sound, as it were, "too late," as heard against the original, referential thematic material. "Too late" here is not a negative aesthetic judgment; on the contrary, it captures the alterations' dramatic appropriateness. As Michael Wood (2007, xi) has written: "most frequently perhaps *late* just means 'too late,' later than we should be, not on time. But late evenings, late blossoms, and late autumns are perfectly punctual—there isn't another clock or calendar they are supposed to match.") And every subsequent alteration will only serve to push the remaining onsets and goal-points further back in time.⁹

This is not to say, however, that the narratives projected by Beethoven's and Schubert's movements will be precisely the same. For if recapitulatory alterations "bear on" or "contribute to" the implied dramatic content of the sonatas in which they occur, they do not uniquely determine this content, nor do they exhaust it. They work in concert with other features of the music—topic, mode, quotation, and so on—to stage a variety of different scenarios. As we will see below, Beethoven's recapitulatory alterations work in concert with aspects of its musical surface to project an unhurried, even premodern conception of time—a leisurely approach to the dictates of musical form. The alterations in Schubert's Duo, on the other hand, seem to register an attempted resistance to such

⁹The obverse situation is also possible. In mono-operational recapitulations that feature thematic *deletions*, goal-points occur "too early," they appear "too large" or "too close," they arrive without effort, and so on. Such forms can give the impression of speeding up, a bustle to the finish, and the like.

dictates, as if the musical protagonist wished through thematic expansions to forestall the inevitable end of the form.

II. THE MONO-OPERATIONAL RECAPITULATION: TECHNE AND EFFECT

A good way to understand the idiosyncrasies of the mono-operational strategy is to locate it within a typology of the possible thematic approaches to recapitulation.¹⁰ As Example 1 shows, sonata recapitulations can be divided into three broad categories according to the number and type of thematic alterations they make and the effects these alterations have on their size (or "shape") relative to that of their referential exposition. The first category (see the bracket at the top left of Example 1) contains recapitulations that make no thematic alterations at all that transform their length relative to their referential expositions. This category houses Schubert's so-called "lazy" recapitulations as well as many similar recapitulations by Mozart and others.¹¹ The four different possibilities for realizing a recapitulation with the exact same dimensions as its exposition calls attention to the amount of compositional freedom and invention still available in a recapitulation that is exactly the same size as its referential exposition.

Into the second category fall recapitulations that make a single expansion or contraction. Expansions in Category 2 forms can afford a perception of delay or backing up, as if a musical protagonist were apprehensive or lost.¹² Accelerations, on the other hand, can give impressions of hurry or even of a refusal to revisit some previously

¹⁰The following discussion is indebted to Guez (2015, 68 ff.).

¹¹In his 1928 dissertation, Salzer called such recapitulations "Transpositionsreprisen" (122).

¹²Monahan (2012, 43), e.g., describes two expansions in a recapitulation by Haydn with delayterms like "setbacks," "digression," and "correction," which emphasize the effects these expansions have on the achievement of the PAC that occurs at the end of the recapitulatory secondary theme zone ("S"). This particular cadence is given priority in Hepokoski and Darcy's Sonata Theory: a sonata's "essential structural close", or "ESC," is, for them (2006, 20), "the tonal and cadential point toward which the trajectory of the whole movement had been driving."

sounded musical material. In her 1991 book on *Winterreise*, Youens (79) emphasized the dramatic function such formal imbalances contributed to two Schubert songs. "In ['Täuschung' and 'Die Nebensonnen']," she writes, "the recurring initial music is abbreviated for the same reason: the wanderer can no longer bear to think or speak of the matter at hand and brings the song to an abrupt close. The composer's artfulness is evident in the completion of the musical form despite the seeming proportional imbalance."

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

Example 1. Chart of possible recapitulation strategies, from Guez (2015)

Category 3 recapitulations make more than one time-altering transformation. As far as I am aware, it has not been previously noticed that sonata forms that make more than one "time transformation" most often feature both recapitulatory "operations," expansion *and* contraction. That is, if an initial set of thematic alterations adds measures to the ongoing recapitulatory discourse, a later set will delete measures, and vice versa.¹³

¹³See, e.g., the opening movement of Haydn's String Quartet Op. 64, No. 1 (cited in the previous note), whose two expansions respond to an initial deletion—the omission of the entirety of the secondary theme ("S"). These "setbacks" enact a temporal "compensation" for the loss of S. Note, too, that the

Though not mentioned in exactly these terms, this generic inclination may be one reason for the preponderance of appeals to "compensation" in the scholarship on classical form, in addition to those of proportion, symmetry, and balance.¹⁴

Because Category 3 recapitulations most often feature both types of recapitulatory "operations," the mono-operational recapitulation emerges as an irregular strategy. In it, the multiple alterations that are characteristic of Category 3 do not first disturb the "ideal" binary symmetry of the form, and then enact a process of either regaining or attempting and failing to regain it. Instead, each later set of alterations further distorts that alreadysundered symmetry in the same direction. Like Category 2 recapitulations, monooperational ones deliberately disavow time-symmetry as an organizing principle. But mono-operational forms are also more deliberate, since in them the possibility of compensation (through opposite thematic alterations) is available.

By eschewing notions of "compensation," mono-operational forms project different sorts of musical narratives. Take, for instance, the Menuetto from Schubert's Piano Sonata in C Minor, D. 958, a small-scale example of a mono-operational

[&]quot;lopsided bulge" (Daverio 1993, 38–39) in the finale of Beethoven's String Quartet in E flat, Op. 127 is balanced by an 18-bar deletion that occurs just before the onset of the secondary theme, a quirk that goes unmentioned by Daverio and Hepokoski and Darcy (267–268). Such behavior may stem from a desire for formal or (time-)"symmetry" (see again n. 3). For pieces whose two time-alterations restore their symmetry perfectly, see the Andante from Schubert's Piano Sonata in G Major, D. 859, and the opening movements of his Symphony No. 5 in B Flat, D. 485 and Beethoven's Piano Sonata in C-sharp Minor, Op. 27, No. 2.

¹⁴The possibilities for recapitulatory compensations appear in the northeast corner of Example 1. It is possible to read these compensations in terms of the trope of the sonata as "quest narrative" (Hepokoski and Darcy, 2006 251–252). The musical drama inheres in whether or not a sonata's abstract symmetry is recouped after being sundered by an initial time-alteration. For pieces illustrative of the differing degrees of success in restoring an originally sundered symmetry, see the first movements of Schubert's Fifth Symphony, D. 485, which regains all of its deleted bars; his "Rosamunde" Quartet, D. 804, which regains eight of its twelve deleted bars; and his "Death and the Maiden" Quartet, D. 810, which regains one of its forty deleted bars. I intend to devote attention to these and other movements in a follow-up article.

recapitulation that features expansions.¹⁵ In this "*Winterreise*-haunted" recapitulation, two one-bar expansions through sheer silence give the impression of apprehension on the part of the musical protagonist.¹⁶ Example 2 aligns the recapitulation with its referential exposition. By connecting identical musical material, dotted lines between the staves capture the temporal effects that the silences have on the ongoing recapitulation. Recapitulatory thematic material is displaced rightwards, compared to its presentation in the exposition. And not only the onsets of themes, but also the cadential goals, occur "too late."

Coupled with the score-as-landscape metaphor, so prevalent in Schubert studies, this description of the form brings to mind a striking image: Schubert's protagonist, fully aware of the implications of the musical ABA form he inhabits (not to say perlustrates), seems in these moments of rest to stop to think about the direction in which he is traveling.¹⁷ And even if these *aposiopeses*, mere bars of rest, seem somehow "accidental" to the piece's structure, the fact is that the musical (and narrative) goals of the movement, however negative or fatalistic they are (perceived to be), recede from the protagonist's

¹⁵Other mono-operational (+) recapitulations include the finale of Mozart's Piano Sonata in C Major K. 330 and the first movement of his Piano Sonata in B Flat, K. 333, the first movements of Beethoven's Piano Sonata in C, Op. 53 "Waldstein," and the finale of Schubert's Symphony No. 1 in D Major, D. 82, and the first movement of his Symphony No. 2 in B Flat, D. 125. The musical narratives suggested by these different movements run the gamut from indolence, inability, or desultoriness to unhurriedness or nonchalance.

¹⁶Fisk (2001, 203): this sonata "holds its deepest and most explicit memories of *Winterreise*"; it inhabits a "*Winterreise*-haunted world"; (42) "the texts of *Winterreise* ... suggest terms for the interpretation of the returning passages in ... the C-Minor Sonata"; (53) the "musical allusions to *Winterreise* allow and even encourage us ... to draw on the imagery of death and the symbolic death of winter, on the search for final rest or transcendence, and the possibility of their denial." Cf. Fisk (2000, 642 ff.). Of the silences in the Menuetto, Fisk notes only that they "[rescind the piece's] ambiguities of phrase rhythm" (2001, 195).

¹⁷The notion of the score-as-landscape, typically attributed to Adorno (1928), is at least as old as George Grove's 1908 dictionary entry for Schubert (cited in Clark 2011, 78). On the Adorno essay see Livingstone (2003), Dunsby and Perrey (2005), and Molnar and Molnar (2014). On Schubert's landscapes, see Taylor (78), Dahlhaus (1996), and Burnham (2005).

view as he stops to wonder whether he can go on.¹⁸ The two introspective junctures, as it were, "cost" a measure, and only seem to delay the inevitable. Still, they also register a resistance: in this movement (as in *Winterreise*), a tragic ending may well be unavoidable; but that is not to say that the musical subject cannot attempt to delay it for a while.



Example 2. Expansions through silence in the Menuetto from Schubert, Piano Sonata in C Minor, D. 958

¹⁸That these are holes, and not involved thematic-tonal alterations, does not remove the piece from membership in the mono-operational category. The protagonist's apprehension delays the predetermined end of the sonata—farther in the repeats; farther still in the large-scale da capo repeat of the Menuetto—but can do nothing to counteract it. In this it is analogous to a tonal aspect of the piece, what Fisk calls the "intrusion" of Ab" into its development (mm. 21–25), which "delays [tonal] closure, but cannot forestall it" (2001, 195). Cf. McClelland (2016, 248–251).

Pieces that feature multiple thematic deletions and no compensating expansions are likewise relatively rare.¹⁹ The first movement of Beethoven's Piano Sonata in C Minor, Op. 13 ("Pathétique") can introduce the mono-operational (-) strategy and its narrative implications. As the three parts of Example 3 show, Beethoven's recapitulatory TR is fourteen bars shorter than his expositional TR (m. 207 = 23 but m. 219 = 49); his recapitulatory S⁰ is six bars shorter than its referential S⁰ (m. 230 = 60 but m. 251 = 87); and his recapitulatory C is two bars shorter than its referential iteration (m. 291 = 127 but m. 294 = m, 132).²⁰

Perhaps a strange logic is in play here: does the Pathétique deploy a monooperational (-) recapitulation in order to counteract the two intrusions of its Grave introductory material? Strictly speaking, these intrusions, occurring as they do in the launch phases of the development and the coda, do not impact the "recapitulation" proper. Nevertheless, it is possible that Beethoven deleted recapitulatory material in service of a broader "time symmetry" or "compensation," in an attempt to offset the effect of slowing down that stems from the recurrences of its slow introduction.²¹

¹⁹Many Italianate overtures feature recapitulations that are smaller than their expositions. In deleting measures, these recapitulations give the impression of a forceful drive toward a goal: the raising of the curtain. Not all Italian overtures, however, are mono-operational. Some (Category 2 forms) house a single deletion (many Rossini overtures, e.g., *La Scala di Seta*, *L'Italiana in Algeri*, *Il Turco in Italia*, *Il Barbiere di Siviglia*, and the spurious *Il Viaggio a Reims*); others (Category 3 forms) feature *net* deletions (Mozart's overture to *The Marriage of Figaro*); and others still (mono-operational forms) feature *only* deletions (e.g., Paisiello's curious overture to *L'Amor Contrastato*).

 $^{^{20}}$ In the last of these, the thematic deletion may be engendered by a tonal concern. In both recapitulation and exposition, the goal is F#; the recapitulatory passage is shorter, because a step-descent from C to F# is shorter than a step-descent from E^J to F#. Note that from a tonal perspective, m. 289 actually more closely resembles m. 127 than m. 125.

²¹Mozart's Overture to *The Magic Flute*, often mentioned in the same breath as the Pathétique, is similar in this regard—its slow introduction returns to launch the development and it its recapitulation is obsessed with deleting measures—but it is not quite mono-operational. Its four thematic alterations are (-28, +6, -1, -1). Still, from the current perspective, a programmatic reading of the *early* achievement of "entering 'these sacred halls," as *Elements* (301) hears the Overture, is available.



Example 3. Deletions in the first movement of Beethoven, Piano Sonata in C Minor, Op. 13

Movements like these stage acceleration after acceleration: not only their essential structural closures ("ESCs"), but all the thematic modules that follow their first deletion

alterations

(-2)

are brought ever more quickly into the grasp of the protagonist, affording narrative effects that range from the dawning of Grace to effective willed action; from a protagonist's (or an audience's) excitement to a crank machine spinning out of control.²² In Beethoven's movement in particular, one way to take stock of the narrative effects of the accelerations is to ask to what extent they intensify the fatalism the piece projects through its *ombra* topics and (paratextual and textual) evocation of rhetorical *pathos*.²³ In cases like these, it can be interpretively productive to ask why the recapitulation is in such a hurry, and what dramatic scenario could be so important that its staging overrides the more normative push towards exposition-recapitulation symmetry.

III. "DILLYDALLYING AS UTOPIA": BEETHOVEN'S MONO-OPERATIONAL (+) "Pastoral" Sonata

The first movement of Beethoven's Piano Sonata in D Major, Op. 28 is shot through with the pastoral topic. Its opening ten-bar phrase, limplingly asymmetrical in the manner of so much folk music then and now, is given on Example 4.²⁴ In its *piano* dynamic, its parallel imperfect intervals, its drone bass, its three-voice horn fifths (beginning in m. 7) and its approximation of compound meter, it instantiates, as in a

²²On audience excitement, remember Taruskin's (2005, iii 16) claim that recapitulatory deletions contribute to the "mood of festivity" characteristic of the Buffa overture. A generic question then arises: through its deletions, does a movement like the *Pathétique* invite us to hear it in overture-like terms?

²³ In her analysis of this movement, Sisman (1994) cites the following 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." From the current perspective, the "striking ellipses" are particularly suggestive.

²⁴Adorno ([1971] 1996, 107) writes of metrical irregularity that it is "the dowry which folksonglike melodies bring with them to symphonic prose."

textbook, Hatten's "quintessential pastoral."²⁵ These pastoral markers do more than signify a group of shepherds piping on instruments limited to the notes of the harmonic series; they also offer up a framing distance—a stage on which the "peasant" is to be perceived. The second phrase (beginning in m. 11) confirms this, for its octave-echo of the first phrase is another paradigmatic Romantic signal of distance. Together the two phrases lift the curtain on a scene of shepherds piping in the distance.²⁶



Example 4. Pastoral markers in the first movement of Beethoven, Piano Sonata in D Major, Op. 28

The current discussion focuses 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 27 —and a calculatedly *a*symmetrical form. We might expect, in a sonata form that is to be an imitation of a piping peasant, few or no recapitulatory alterations, for thematic alterations are a part of sonata composition's art. The question, then, is: how can Beethoven's sonata, whose recapitulation enacts three "artful" thematic expansions (and four tonal alterations) be a

²⁵Hatten (2004, 58): "Idyllic, untroubled music in major mode with pedal, slow harmonic rhythm, subdominant emphasis, parallel thirds, and simple lyricism in a slow tempo."

²⁶Later zones continue to project a pastoral rusticity; see e.g., the left hand's consecutive fifths in the transition section (what Hepokoski and Darcy refer to as "TR", mm. 47–48). These are not technically "objectionable"—the E-dominant is back relating and thus does not move to the D-major tonic chord that follows. But the succession, by flying just under the limit of admissible voice-leading possibilities, calls attention to itself as a signifier of the folkloric peasant.

²⁷Hatten (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).

portrait of "Nature," which in addition to being balanced we imagine to be free of human intervention? The answer hinges on the narrative and temporal effects that the mono-operational strategy makes possible. Through its three recapitulatory decelerations, Beethoven's movement disavows its "natural" symmetry in order to give an impression—through art—of a premodern or unhurried peasant time, a time that has since been supplanted by modern notions of punctuality and productiveness.²⁸

The "Pastoral's" recapitulation begins at m. 269 with a P theme that tracks correspondence measures even while a set of playful, TR-based flourishes embellish it (mm. 279 ff.) with melodic filigree. These "instrumentalized" flourishes give the impression of being improvised on top of P's referential plan (see mm. 303-304), perhaps by the piper himself. In their subtle improvisatory differences from the expositional plan, they register the presence of a musical agent who is himself musical, taking pleasure in his embellishments of P's referential expositional plan. In m. 308, this playfulness first impinges upon the layout of that plan: the piper backs up to repeat a third time what was in the exposition already a twice-articulated cadence, louder, faster, and higher than ever (Example 5). This first stage of alterations results in an addition of four measures to the recapitulatory plan. P's terminal D:PAC occurs at m. 311 = 39, four bars too late.

²⁸In Monelle's terms (2000, 83–84), the movement does not "articulate the dominant temporality of the society that [gave] it birth," but rather makes palpable "the temporality of the signified": "We forget that music can also *signify* time." In this, it approaches what he (Ibid., 94)) argues is the metaphysical quiddity of music *per se*: "recovering western man from the abyss of clock time." Cf. Leppert (97–98).



Example 5. First thematic alterations in the first movement of Beethoven, Op. 28

Already the characterization "too late" seems problematic, for nothing about the cadence that ultimately arrives in m. 311 gives an impression of tardiness, hurry, or strain. Rather, this expansion seems to critique the very notion that on-time arrivals—tied up with modern notions of "clock time" and linear narrative, not to mention the emergence of art based on these²⁹—are desirable. As Adorno has written in regards to this movement, repetitions like the one running from mm. 308–311 are "not, as in Stravinsky, the outcome of a repetition compulsion, but, on the contrary, of relaxation, letting go" (1998a, 111). Ultimately, his description of the movement as a whole as enacting "the bliss of dawdling [;] dillydallying as Utopia," is compatible with the leisurely experience of time afforded by its three recapitulatory decelerations.³⁰ In their blithe protracting of the expositional plan, these repetitions show themselves to be free from modern notions of (musical) punctuality.

²⁹On the emergence of "monochronic" temporality in the West, see Monelle (2000, 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." Cf. McLuhan (1962, 22 ff.) and Adorno (1998c).

³⁰Fifteen years earlier (1998a, 21), Adorno wrote of the movement's expression of "stillness through motion." On Adorno and Utopia, see Leppert (2005).

As if conspiring with the sense of dawdling projected by this initial thematic deceleration, the re-executed TR-passage that follows the piece's first expansion introduces three sets of remarkably inefficient *tonal* alterations. As shown on Example 6, the first of these replaces the exposition's A-major stasis (mm. 43–44) with motion down by whole tone from A major to G major (mm. 315–316). The second replaces the exposition's motion down by whole tone from E major to D major (mm. 47–48) with harmonic stasis on D major (mm. 319–320). By offsetting one another, these two sets of tonal alterations produce repetition even out of the piece's tonal materials. This tonal "dillydallying" will be especially salient in the ears of the listener who assumes that the first set of tonal alterations has moved part of the way towards accomplishing the movement's tonal task.³¹



Example 6. First tonal alterations in the first movement of Beethoven, Op. 28

Because the movement's third set of tonal alterations is equivalent to its first set (avoiding tonal resolution by coming to rest at m. 327 on a D-major triad, a whole tone

³¹The piece's deliberately inefficient tonal behaviors do as much as its thematic ones to critique the notion of efficiency in carrying out a task. On this point, see Adorno (1998a, 137), who writes of Beethoven's "turning away from bourgeois bustle" and his critique of "Accomplishment' as vanity." (Cf. Ibid., 132.)

below the E-major triad of the exposition), it necessitates a further (fourth) tonal alteration. Tellingly, Beethoven's solution to this (ostensibly tonal) problem is tied up with a thematic repetition: as shown on Example 7, the next deviation from the expositional plan is thematic as well as tonal. Measures 328 and 329 are an immediate repetition of the preceding mm. 326 and 327 (= 54 and 55), at the pitch level that will bring about a tonal resolution.³² Beyond the fact that tonal alterations do not necessarily "take time" (a point illustrated by the movement's previous three sets of tonal alterations), this thematic expansion is also striking in a piece in which four bars have already been added to the ongoing rotation. Here, as before, they stem from a desire to *repeat* some already performed music.



Example 7. Second tonal and thematic alterations in the first movement of Beethoven, Op. 28

If the impression of these two backings-up is one of unhurriedness, of a protagonist who exempts himself from the pace of the bustling city, the movement's third and final stage of thematic alterations (mm. 403-406 = 129-131) gives an aural image of time stopped. To understand the effect of these alterations, which occur during the

 $^{^{32}}$ Another way to read mm. 328 and 329 is as a backing-up to repeat mm. 322 and 323, putting off the articulation of the music that is equivalent to mm. 54 and 55 for two bars. A third way finds equivalences based on the register of the chords in the left hand. On this hearing, the expansion occurs much later, at m. 332 = 58 again.

approach to the movement's essential structural closure (ESC), we must first consider the leisurely expansiveness of the parallel passage in the exposition. The essential expositional closure ("EEC"), which occurs in m. 135, is prepared by what William Caplin (1987, 1998) calls an expanded cadential progression ("E.C.P") beginning in m. 125. But this expanded cadential progression is itself already the repeat of an earlier one, a motion that had begun at m. 103 and that reached an evaded cadence at m. 109. The latching back, at m. 125, onto the I⁶ chord (and the same thematic material) of m. 103, is a formal marker of circularity and unhurriedness even in the exposition. (The evaded cadence, for its part, seems to want to back the music up to the world of parallel tenths first heard around m. 91, if not the parallel thirds of the movement's opening.)

The second expanded cadential progression is also longer than the first. Beginning at m. 125, articulations of I^6 , V_3^4/V , and V_4^6 chords alternate with measures of double-reed melismas, as they had in the initial iteration of this music. But the cadential six-four chord achieved at m. 129, is stretched to nearly six times its earlier size: it lasts for six full measures (mm. 129–134, all of which = m. 107), resolving to the five-three position only on the last beat of m. 134 (Example 8). Thus, taken together, these two E.C.P.s encode in miniature the formal, proportional, and cadential relationships of recapitulation and exposition. In narrative terms, one need only realize that expanded repetition is being used even within the space of the exposition to give an image of a protagonist not to be rushed by the commercial intercourse of his immediate (musical-formal) surroundings.

Witness, now, the recapitulatory treatment of this second cadential six-four chord (m. 403 = 129), which is followed by no fewer than three iterations of the melismas heard

in the expositional m. 130.³³ These multiple, consecutive repetitions of a single referential measure, which ultimately add two further measures to the recapitulatory plan, are a capstone formal behavior in this movement that has been concerned with backings-up and slowings-down even within its exposition. To hear its three recapitulatory decelerations in particular as an implicit critique of the generic pressure to realize an ESC "efficiently" and "economically" is to understand an important way in which a musical-formal behavior can help to stage a pastoral temporal stasis.



Example 8. Third thematic alterations in the first movement of Beethoven, Op. 28

³³The stretching-out of time here is emphasized by the dissociation of melody and harmony: the initial melisma has been delayed so that the cadential six-four chord can last an entire measure. Even the literal articulation of the six-four chord is elongated, from a quarter-note beat to a dotted half-note beat.

Beethoven's movement ends with a repetitive, primary-theme-based coda, which adds to its second-half heaviness and continues its projection of a broadly cyclical time.³⁴ At mm. 446 ff. it isolates, liquidates, and begins to repeat the motive first heard in the exposition at mm. 9–10. The motive is particularly well-suited for the role of summary: as a two-bar suffix to the movement's first phrase, it represents the asymmetrizing impulse that was knitted into its formal fabric on two larger levels (the E.C.P.s in S space and the recapitulation as a whole). Its repetitions in the coda contribute final feelings of stasis and circularity in a piece of art-music that nevertheless must close. Final touches begin at m. 447 when a slow, ascending arpeggio of the tonic triad begins to accompany each isolated repeat of the motive.³⁵ The silences and lowering dynamics in the final bars obtain the dramatic balancing function of closing the curtain. And the *pianissimo*, rest-peppered PAC in mm. 459–460 gives a requisite finality even as the final, empty bar (with fermata) reinforces the perception that notions of beginning and ending do not apply here.

This discussion can shed some light on the paradox concerning "Art" and "Nature" mentioned above. *Ex hypothesi*, this movement's recapitulatory expansions distort its "natural" exposition-recapitulation symmetry, but they do so in service of the artistic depiction of a mythical, premodern temporality. In their blithe slowings-down, they signify, or even attempt to retrieve, this mythical temporality in aesthetic form. Such

³⁴The piece's exposition, development, and recapitulation also begin with primary theme material. Cf. Monelle (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."

³⁵Burnham's (2016, 51) description of the end of the finale of Schubert's String Quartet in G Major could not be more apposite: "and now the sound of the home key winds down in easy stages, touching each station of the tonic triad as though progressively extinguishing the candles on some great chandelier, or the lights in the theatre. Finally, we are ushered to the exit..."

a reading, however, only pushes the paradox back a stage, to how a form defined in terms of an economical motion towards cadential goals can be made to work in service of a temporality ostensibly free from such dictates.

One solution to this problem hinges on the dialectical relationship between Form (in general) and form (in particular). "Sonata Form's" "vectored trajectory" (Hepokoski and Darcy 2006, 50) towards cadences is the condition for the possibility of the relaxed temporality of the first movement of Op. 28. That is, the sonata teleology as a cultural practice precedes and conditions Beethoven's particular, mono-operational form. And it is by virtue of this precedence that his idiosyncratic form becomes a stage on which recapitulatory decelerations act as so many signifiers of the folkloric peasant. To this extent, the mono-operational process is integral to the movement's critiques of modernity and punctuality. Ultimately, it makes possible the depiction of a modality of time lost to bourgeois productiveness in an artistic medium created by, and ideally suited for, the representation of bourgeois subjectivity.³⁶

IV. "WISH FULFILMENT AS AVOIDANCE": SCHUBERT'S MONO-OPERATIONAL (+) GRAND DUO

The first movement of Schubert's Grand Duo, D. 812, deploys the monooperational (+) recapitulation to different ends. Far from the idyllic pastoral staged in the first movement of Beethoven's "Pastoral" sonata, the Duo's surface chromaticism, threekey "trimodular block," and relative lack of thematic individuation work alongside the mono-operational strategy to project a narrative of apprehension, as if the protagonist

³⁶See McClary (1992, 9–10).

inhabiting the musical landscape wished never to arrive at his ultimate destination.³⁷ To understand the ways the Duo's recapitulation reshapes its expositional material in service of this narrative, we must first parse its expositional material, which contains within itself an incipient backwards gaze. Example 9 synopsizes the expositional form.

PART 1						PART 2				
Measure:	*1-20	*20- 33	34-49	49	*50	66	76	*80	94	105
Action	Р	$TR^{1.1}$	TR ^{1.2}	,	TM^1	TM^2	,	TM ³	G:PAC	/
zone:				♭VI:HC			V:HC		EEC	G:PAC EEC, C
				MC			PMC		candidate	
Commentary:	Sentential	P-	(new)	One bar	P-	"P"/TR ^{1.1} -		TM ¹ -	Reopened by	Elided, TMB-
		based	Funeral	of CF	based	based		based	repetition	based codetta
			march						_	
Key:	С	С	c#	(to A ^b)	Aþ	Elided	(to G)	G	G	G
						with				
						A♭: IAC				

* = pickup; P = primary theme; TR = transition; TM¹, TM², and TM³ = the component modules of a trimodular block; ' and MC = medial caesura; PMC = postmedial caesura; MCs and PMCs are given along with a key and a cadence, thus a V:HC PMC is a postmedial caesura made by a half cadence in the key of the dominant; EEC = essential expositional closure; ESC = essential structural closure. Superscripted numerals after action-space designators (e.g., "TR^{1.1}") allow for more nuanced thematic distinctions, as when "one wishes to single out individual modules or small subsections within these spaces" (Hepokoski and Darcy 2006, 71). Definitions may be found in Hepokoski and Darcy (2006, xxv-xxviii).

Example 9. Synopsis of the exposition of the first movement of Schubert, Sonata in C Major for Piano Four Hands, "Grand Duo," D. 812

The movement's compound sentential P theme (presentation from mm. 1–8; continuation from mm. 9–20) is the progenitor of the thematic material of all of its later zones except $TR^{1.2}$. Rosen (1997) and Lehman (2014, 71) have heard in P's chromaticism the seed of the piece's motivic semitonal shifts. In its discursiveness, and especially in its asymmetry— its compound continuation phrase is longer than its compound presentation

³⁷On the Duo's chromaticism see Lehman (2014) and Rosen (1997, 80 ff.); on three-key expositions in Schubert see Webster (1978); on the trimodular block ("TMB"), "the foremost expositional strategy that led to some of Schubert's much-noted three-stage (sometimes three-key) expositions," see Hepokoski and Darcy (2006, 170 ff.) and Hunt (2009). The TMB strategy works in tandem with "double medial caesuras" and involves "two separate launches … of pre-EEC themes following those MCs." It involves "at least three elements: the first new theme after the first caesura; its dissolution and the setting up of the second caesura; and the onset of a differing S-theme, starting its own, renewed journey toward the EEC" (Hepokoski and Darcy, 171). The Duo's lack of thematic differentiation raises an important theoretical issue, namely, whether TM³ can be thematically equivalent to TM¹ (not to mention TR or P) and still maintain its status as TM³ (not, say, a reflowering of S). On this point see Hunt (2009), Monahan (2011, 37 n. 49) and Galand (2013, 402).) For similar situations, see the first movement of Schubert's String Quartet in D Minor, D. 810 and his *Lebensstürme* Allegro for four hands, D. 947.

phrase—it also contains within itself the formal imbalance of the piece's exposition and recapitulation.³⁸ P's peregrinating continuation reaches an attenuated authentic cadence at m. 20, and this cadence is elided with a repetition of P material which functions as the onset of TR^{1.1}.

TR^{1.2} begins at m. 34 when a *fortississimo* C#-minor chord violently displaces the C dominant-seventh sonority that had emerged atop a C pedal in TR^{1.1}. (See the top system of Example 10.) From a formal perspective, this starkly funereal music stands out for being the only expositional module that is not thematically related to the piece's primary-theme material. It also demands attention from gestural, topical, and intertextual perspectives, for no other passage in the Duo spins as clear a web of negative affective signifieds as the first six bars of TR^{1.2}. Their subdominant emphasis, gestural "heaviness," dysphoric topical profile, and portati paint an unmistakable picture of a *Todesmarsch*.³⁹ And their *fortissimo* tremoli add to this constellation a shuddering, fearful quality.⁴⁰

By m. 44, the apprehensive chromatic continuation of $TR^{1.2}$ finds its way to an augmented sixth chord built on E, which engenders a \flat VI:HC MC at m. 49, preparing a

³⁸Lehman (97) notices the asymmetry: "Subtracting mm. 14–16 installs a coherent and balanced sixteen-measure symmetry to the thematic statement." Cf. the two-bar suffix to the opening phrase of Op. 28.

³⁹"Heaviness" is from Hatten (2004, 187 ff.), who uses it to describe the strikingly similar music from the near-contemporary Piano Sonata in A Minor, D. 784, mm. 9 ff. Hatten's division of the gesture into "accented (or 'weighted') beginning and abrupt release" is also appropriate to this TR^{1.2} theme. He notes the relationship of the gesture and the "implacably tragic situation" it suggests to a passage from the contemporary *Fierrabras* (190) and suggests that "Schubert composed the … sonata … perhaps in response to a foreboding of death from having contracted syphilis" (187).

⁴⁰McCreless (2015, 11) writes of "the nervous tremolo" in mm. 15 ff. of the G-Major Quartet, D. 887, that it "projects a sense of emotional instability, uncertainty, even fear" (8). Hirsch (2016, 159) hears the tremolos in the Andantino of the Piano Sonata D. 959 as "signs of agitation."

flat-submediant launch of part two of the exposition.⁴¹ After a measure of caesura fill, the Secondo part begins a lyrical, P-based TM¹ theme in A^{\flat} major. Like P (to which it is rhythmically identical), TM¹ also answers its presentation phrase with an expanded continuation and thus also encodes (in miniature) the proportional imbalance of the piece's exposition and recapitulation. The nine-bar theme reaches an efficient EEC candidate at m. 58, but this A^{\flat}:PAC does not move on to new material. Whether from a desire to give the theme to both pianists or a desire for a second-half-heavy exposition or a desire to back up to revisit TM¹ from a different aural or visual perspective, the A^{\flat}:PAC at m. 58 is flush elided with a repeat of TM¹, this time in the Primo part.

Schubert avoids a PAC at the parallel part of TM^{1rep}, eliding the Ab:IAC at m. 66 with *forte* transitional material that inaugurates TM², the second phase of the trimodular block. To be sure, TM²'s motivic similarity to TR is a clue to its function as a transition between the outer modules of the TMB, TM¹ and TM². But one should also register the temporal "folding" that occurs here—is this TM² a movement forward, or is it a movement backward, a reopening of TR? This ambiguity, which also characterized the onset of TR (is this P?), arises from the piece's economy of thematic means: its relative lack of thematic differentiation paints a picture of a landscape whose physical features are overdetermined. ⁴² As in Ivanovitch's (2010, 155) reading of the Andante from Mozart's String Quartet in F, K. 590, "the landscape here is not exactly featureless; rather the requisite markers are not sufficiently distinct from one another."

⁴¹Because Ab will ultimately give way to the dominant, G, the tonal aspect of the TMB strategy can be read as an enlargement of the pc motive at mm. 15-16, where # (as a member of an E-major chord), is immediately cancelled in the G seventh chord at m. 16.

⁴²For distorted Schubertian landscapes see Burnham (2005 and 2016).

A second ambiguity of TM^2 is predicated not on a thematic criterion but on a tonal one. The E^J augmented sixth chord at its end (mm. 72–75) is tonally "corrective" to the extent that it prepares a TM^3 in the key of the global dominant. In addition to that function, though, its pitch-class makeup calls to mind the E^J major-minor seventh chord that served as the culmination of the *first* transition at mm. 46–49. Through the syntactic amphiboly of the major-minor seventh chord, this earlier E^J seventh chord could easily have moved, as the later one does, to D (as-dominant),⁴³ launching a second theme in G major and eliminating the need for a tonal correction. (In so doing, it may also have eliminated the need for *thematic* correction, the backing-up to repeat modules from TR and TM^1 "in the proper key."⁴⁴) The preparation of G major by an augmented sixth chord, then, both reinforces the reading of TM^2 as "correction" to a (tonally) misguided TM^1 and emphasizes the strategy for correction that will become motivic to the piece: backing-up.

At m. 76, the E augmented sixth chord of mm. 74–75 discharges onto a corrective postmedial caesura (PMC) dominant on D, clearer in rhetoric than the first one as well as being at the "proper" tonal level.⁴⁵ And after three bars of caesura fill, the TM¹- (and thus also P- and TR-) based TM³ enters *pianissimo* in G major, at m. 80. The attentive listener will have noticed that the filigree triplets in the Primo part of TM³ come from TM², and TM² had itself taken them over from TR^{1.1}. Even in the exposition, the

⁴³That it is itself the resolution of an augmented sixth chord does not disqualify it from behaving as one. See mm. 290–295 of Schubert's Piano Sonata in A Minor, D. 845, for just such a behavior.

⁴⁴A complementary way to argue the same point: the E^b chord at m. 46 does not function as an augmented sixth so that Schubert has something to back up to correct.

⁴⁵For Hepokoski and Darcy (2006, xxvi), a postmedial caesura is "any emphatic MC-effect that occurs in an exposition *after* the first MC."

situation is ripe for lostness-effects, for every thematic module in this movement (except TR^{1.2}) shades by stages into every other module.

Such thematic economy accords well with a narrative of delay. For if developing variation is a forward, "historical" process, it also means that later expositional modules, as it were, reach back into the past in order to reengage or revitalize some passage of earlier music.⁴⁶ TM³ is no exception: the G:PAC EEC candidate at m. 94 (like the one at mm. 58), at first feted with *forte*, P-based codetta-like material, is quickly jettisoned through a reopening of TM³ space (m. 96 = 85; cf. Lehman 85 ff.) The true G:PAC EEC occurs at the end of the second iteration of TM³ (m. 105), and a brief, celebratory codetta, based on TM³ (and TM², TM^{1.1}, TR, and P), serves as C space (mm. 105–112).

Through these idiosyncratic features, the Duo's exposition projects a backward gaze and a disinclination from moving towards the EEC. In its recapitulation, four thematic expansions add to this sense of nostalgia a desire to slow down the inevitable march of the sonata process. In order to emphasize the compositional work necessary for refashioning the expositional material so radically, the analysis of these retarding alterations is here given as a series of four poietic "directions."

Step one: in TR^{1.1}, move from C major to F major. After 27 bars of tracking the exposition at pitch, the first set of tonal-thematic alterations, which occurs between mm. 200 and 201, performs of a transposition downwards by fifth, in order (one would presume) to achieve the tonal crux early.⁴⁷ The alterations' "model sequence technique"

⁴⁶For developing variation and "historical analysis," see Adorno (1998a, 5). For a similar Schubert sonata exposition, see again the first movement of D. 845 and the discussions of it by Schmalfeldt (2010 and 2011) and Lee (2010).

⁴⁷The "crux" (Hepokoski and Darcy 2006, 240) is the "moment of rejoining the events of the expositional pattern after once having departed from them... the moment ... at which point writing the remainder of the recapitulation can become, by and large, a simple matter of transposition."

is straightforward.⁴⁸ Example 10 shows the tonal adjustment (pickup to m. 202) and the embellished repeat of the preceding eight bars at the subdominant. But their motivic function in the Duo deserves comment. For it accords well with the piece's continuing P-saturation and its tendency (already clear in the exposition) to back up. The eight bars of music from mm. 201–208 are "wedged" into the ongoing recapitulation; in the exposition, this music was heard only once.



Example 10. Alterations in the first movement of Schubert, D. 812: step one

Since the exposition as a whole traced a path from C major to G major, this subdominant "tilt," to use Winter's (1982, 118) term for it, would be sufficient to bring about the piece's tonal resolution. If all else stayed the same, after this first alteration, the SLIDE relationship that in the exposition moved from C major to C#-minor (as iv in A_{\flat})

⁴⁸Model sequence technique (Caplin 1998) is a textbook strategy for negotiating recapitulatory alterations. For a precedent, see Mozart's String Quartet in Bb Major, K. 458, mm. 163–170 (= 26–30). Rosen (1997, 84) writes of mm. 202 ff. of the Duo as being "approached—quite properly for a recapitulation—through the subdominant."

would in the recapitulation involve F and F^{\sharp} .⁴⁹ F^{\sharp} would then give way to TM¹ in D*b and TM¹ would move down by semitone to TM³ (and an ESC) in the tonic. A onealteration recapitulation is now a viable solution to the recapitulatory puzzle. At this point, Schubert could have stopped "intervening in his music and left it," in Adorno's words, "to come unmolested to self-awareness."⁵⁰

Step two: In the first part of TR^{1.2}, move from F's diatonic "shadow," F# minor, to B minor.⁵¹ After Step one, the recapitulation latches back hold of the expositional correspondence, and sings the remainder of TR^{1.1} in the new F major (albeit, strictly speaking, at a temporal distance of eight measures and a tonal distance of a fifth). As planned, the *fortissimo*, funereal TR^{1.2} begins in the SLIDE-related F# minor at m. 216 = 34; this music is given on Example 11. But after six measures, the piece performs a second set of tonal-thematic alterations by model sequence: at m. 222, it backs up to resound, now in B-flat minor, the only music of the exposition not to be based on P—the six measures of TR^{1.2}, s grief-laden *Todesmusik*. (The triple hypermeter that emerges from this repetition calls further attention to the passage.) Like the first set of alterations, this second set reaches back into the musical past; in so doing, it delays the recapitulation's end by six further bars.

⁴⁹The term "SLIDE" was first used by Lewin (2007, 178) to describe an operation "that preserves the third of a triad while changing its mode." On SLIDEs in the Duo in particular, see Lehman (2014). On SLIDEs in Schubert, see Rings (2006, 201 ff.) and Cohn (2012, 64 and passim).

⁵⁰The quotation from Adorno's book on Mahler (1996, 78) is as appropriate to many of Schubert's forms. For a large-scale, late Schubertian example of a form that has only one alteration to the subdominant, after which point it tracks its exposition exactly, see the opening movement of the Piano Trio in E Flat, D. 929 (alterations between mm. 396 and 400).

⁵¹For "shadow structures," see Richard Bass (1988). The same hexatonic move occurs in the development section (mm. 133–134).



Example 11. Alterations in the first movement of Schubert, D. 812: steps two and three

In light of the recapitulatory TR^{1.1}'s achievement of a serviceable tonal crux, this meddling seems to express a dissatisfaction with the result of Step one or to register an agential presence, action, or resistance. (It also flies in the face of the received wisdom regarding Schubert's recapitulations.) But if deceleration is the goal, then this set of alterations is successful. In adding six measures to the ongoing recapitulation, an ESC will now materialize, not eight, but fourteen measures "too late." The backing-up also

derails the *tonal* solution proposed by TR^{1.1}. It nullifies the tonal effect of the first set of alterations, even though this earlier set would have guaranteed tonal resolution.⁵² (It is as if tonal errancy were the cost of the backing-up.) After Step two, we are poised for a TM¹ in F and a TM³ in E.

Step three: In the second part of $TR^{1.2}$, trade B minor back for F. The tonal trouble is quickly remediated: the last quarter-note beat of m. 229 is altered such that the piece arrives in m. 230 not on a dominant-related D diminished-seventh chord, but on an F minor chord in first inversion. Like the two earlier alterations, this one also takes time to enact. Note on Example 11 that the F-minor chord at m. 230 is not equivalent to m. 42, as projected by the preceding correspondence measures, but again (like mm. 220 and 226) to m. 38. At four measures long, this thematic repetition is smaller than the preceding two. It is nevertheless affectively charged in its insistence on ushering a third statement of the piece's *Todesmarsch*, this one at a shuddering *piano* dynamic. The *Todesmusik* that we, as much as the protagonist, are now revisiting as if endlessly, only adds to this formal recurrence a concrete semantic reference, an *object* of obsession.

In moving towards F, the alterations of Step three do not so much perform a tonal task as delete one. Since F was the goal of Step one (a goal it achieved with aplomb), Step three's motion back towards F can be read as a cancellation of the intervening alterations. On the other hand, the alterations of Step three are different than those of Step one in that they pave the way for TM¹, not TM³, to enter in the tonic (albeit eighteen bars "too late"). This formal process is illustrated on the bass line sketch given in Example 12, which compares the Duo's expositional path (on the first system) with the recapitulatory

⁵²In this, these tonal alterations are more extreme than the similarly "self-effacing" ones in the first movement of Beethoven's Op. 28. Like those alterations, these too suggest a tonal "backing-up."

path that is projected after Step one (on the second system) and the path that Schubert actually chooses (on the third).

Example 12 captures an important formal parallax. On one hand, after Step three, the tonic is slated to appear earlier in the form than we had projected—it is to arrive at TM^1 , not TM^3 . On the other hand, the absolute size of the recapitulation continues to grow; the action zones in the lower two systems of Example 12 migrate eastward on the time axis when compared with the referential exposition. The sketch also shows an important difference in tonal and voice-leading function between the (real) recapitulatory TM^1 to come and the expositional and projected TM^1s : because the C of the recapitulatory TM^1 cannot function as a composed-out neighbor note, it forces a fourth set of tonal alterations, to be carried out at a later stage in the recapitulation.





Before addressing those final alterations, consider the effects of these three backings-up, all manifestations of the piece's resistance of the forward trajectory of the sonata design. Together, they suggest deliberate, even calculated delay. The impression is of a protagonist, as it were, digging in his heels, as if to try to exercise control over the inevitable drive of the recapitulatory plan. What, exactly, the protagonist has been fearing, stewing over, remembering, is suggested by his obsessive revisitings of TR^{1.2}, the funereal module that stands out, too, for being thematically different from all the others. The tonal event the protagonist seems to wish to delay rises to awareness at mm. 240–241 (= 48–49), when with the first recapitulatory medial caesura occurs in the modally collapsed C minor.⁵³ After the articulation of this MC, which promises a TM¹ in the minorized tonic, the three preceding delays accrue a more specific narrative charge. The protagonist, spotting the modal collapse on the horizon from some earlier point in the recapitulation, sees well that he cannot transfigure his fate; what he wishes is to delay it for a while.

Robert Hatten has written about the first movement of Schubert's String Quartet in G Major, D. 887 in a similar way. "What might one choose to do," he asks, "when faced with imminent mortality?"

Perhaps try to delay it, as long as possible—perhaps even charm it with sweetness (or attempt to delude oneself), even though one cannot help but obsess on the thought of death's proximity. This is what Schubert appears to be doing...: obsessively flirting with the tragic, and attempting to deny, perhaps by a form of wish fulfilment, the inevitable (2016, 107).

Hatten's "wish fulfilment as avoidance" (109) calls to mind the form of Schubert's Duo, where (so far) three expansions have been composed into the recapitulatory fabric in a way that highlights its trajectory towards a *telos* as a fatalist "reality," and delay as the only strategy available for resisting its determinist course. The Sonata structure, for its part, gives force both to the sense of delay and the impossibility of delaying forever.

⁵³Rosen (1997, 87) calls this tonal behavior "unprecedented in a sonata."

It is important to consider the differences in the musical narrative being spun here from that of Beethoven's pastoral sonata movement, which featured similar decelerations. The enlargements of Op. 28 worked in concert with its major mode, pastoral topics, and melismatic double-reed flourishes to project a musical locus amoenus, an Elysium unencumbered by time. The decelerations in Schubert's Duo, by contrast, occur in a movement marked by thematic overdetermination and modal collapse. From the recapitulatory TR^{1.2} forward, there is an overwhelming predominance of the minor mode, which ultimately gathers even the MC and TM¹ theme into its grasp. Thematically, the recapitulation fixates obsessively, not on an Empyrean pastoral, but on the "grief-laden expressive character" (Hatten 2004, 192) of a *Todesmarsch* topic, so central to this late point in the discourse as to require three iterations, the last one in a deflated, piano dynamic, as if the energy required to produce the terrifying sound has already been expended on the previous resistances to the fatalist drive towards death. This feeling is confirmed by the decrementing sizes of the three recapitulatory expansions (from eight, to six, to four), which can be heard to register an increasing exhaustion or inability on the part of the protagonist to counteract the determinism of the sonata discourse.

Step four: In TM^2 , adjust the music that in the exposition modulated (from $A\flat$ to G) in order to stay in the tonic. The idea that the Duo's alterations entail an expenditure of energy in the face of a negative fate is helpful for understanding its last deviation from the expositional plan. These alterations begin immediately after a i:PAC closes the door on TM^1 at m. 258.⁵⁴ TM^2 , a putative transitional section, then escalates into a furious *fortissimo* and solidifies the key of C minor with a brutal, second i:PAC at

⁵⁴This i:PAC replaces what in the exposition (m. 66) was a \flat VI:*I*AC. The differences in cadential strength, tonality, and mode give the impression of cementing the protagonist's fate.

m. 262 (no expositional correspondence).⁵⁵ Beginning at m. 263, the module is repeated; this time it moves to G as the dominant (of C minor). (The augmented sixth preparation of G wistfully and in broad outline remembers the tonal plan of the exposition.) The G-as-dominant chord is then prolonged through textbook six-four alterations—always projecting C *minor*—until the arrival of a i:HC PMC at m. 270 = 76 serves as the very long-forestalled thematic and tonal crux of the movement.

This fourth and last set of thematic-tonal alterations is different in kind from the earlier three, since it is not designed to move somewhere, but to keep from moving somewhere.⁵⁶ Still, even as the Duo's earlier alterations required "time" to break from their referential tonal paths, so, too, does this one. In adding two further measures to the Duo's recapitulatory plan, it cements the narrative of the progressive exhaustion in successive steps: in Step one the protagonist added eight measures to the plan; by Step four he can muster only two. Finally, it crystallizes the image of valiant if ultimately ineffectual resistance against the sonata as a discourse with a predetermined end.

The music that follows the achievement of the crux at m. 270 = 76 restores C major, and tracks the exposition until its end. TM³ achieves both its authentic cadences in the major mode (mm. 288 and 299). Whether these somehow "cancel" the effect of the extraordinarily minor-mode recapitulation (including the three c:PACs of TM¹ and TM² is beside the point. What matters in regards to TM³'s major mode is not the cadence that is still to come (the I:ESC at m. 299), but the fact that, by tracking its expositional

 $^{^{55}}$ The portentous move towards C minor in the expositional TM 2 (mm. 70–73) now appears in new light.

⁵⁶Since the recapitulatory TR^{1.2} modulated to C, TM³ becomes as tonally "redundant" as it already is thematically (see Caplin, 1998 81). If, like Caplin, we anticipate the deletion of redundant passages from sonata recapitulations, then it will be all the more striking that not only are the "tonally superfluous" TM² and the "thematically redundant" TM³ included in the recapitulation, but that TM² actually houses an addition of two bars.

correspondences exactly from this point forward, TM³ shows itself in an important sense to occur after the completion of the drama of the movement—its four alterations-cum resistances. The comfort that accompanies the latching back onto an expositional plan after so many tonal and thematic deviations from it allegorize not a change of fate but a release from the suffering that is resistance to fate. The recapitulatory TM³, on this reading, marks the acceptance of a fate that cannot be changed.

V. CONCLUSION

It is a truism, as Gibbs (2000, 175) has written, that "the "heavenly length" of Schubert's most ambitious instrumental compositions entails innovative narrative strategies and manipulations of a listener's feeling of time that are quite different from those of Beethoven."⁵⁷ By conceiving of movements by Beethoven and Schubert in complementary terms, the above discussion implicitly confirms this difference while also participating in the long tradition of comparing Beethoven to Schubert.⁵⁸ But my point in placing the examples side by side has not been to say that Beethoven composed *this* way while Schubert composed *that* way. And I would like to conclude by placing the emphasis on the mono-operational recapitulation as the idiosyncratic formal strategy that engendered these two musical narratives.

By deliberately disavowing symmetry between exposition and recapitulation, the mono-operational strategy by definition distorts the large-scale rhythm of the sonata. Each of its multiple alterations are, so to speak, "wrinkles" in the "deep-level" rhythmic fabric, and each of them plays a part in altering "the breathing of the broader units," what

⁵⁷Cf. Burnham (1999) and Hascher (2016).

⁵⁸ 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."

Eco (1994) once called "the scansion of events" (as opposed to the smaller scansions of metric feet and sentences).⁵⁹ For Eco, such rhythmic "irregularity can play an important role in the economy of the story; it can mark a turning point, a surprise development. ... A great novel is one in which the author always knows just when to accelerate, when to apply the brakes, and how to handle the clutch, within a basic rhythm that remains constant."⁶⁰

Conceived in terms of broad, returning cycles, the "basic rhythm that remains constant" is as applicable to the exposition-recapitulation symmetry as to the division of a novel into chapters or narrative events of roughly the same length.⁶¹ The length of recapitulations vis-à-vis their referential expositions is variable; they may be altered for dramatic or generic reasons, or for reasons of thematic or tonal redundancy or superfluity. But their status as repetitions of the exposition is never in question.⁶² This duplicity is striking: alterations that adjust the size or shape of a recapitulation relative to its expositional reference alter a piece's deep-level rhythmic regularity while simultaneously bringing it about.

The radically expanded and contracted recapitulations under consideration here represent one extreme way of manipulating the large-scale rhythm of the expositional reference. On one hand, these lopsided forms are still straightforward as repetitions.

⁵⁹"Wrinkle," in this context, is from Samarotto (1999, 238).

⁶⁰This use of "rhythm" owes a debt to the Greek term *rhythmos*, which emphasizes both periodic recurrences and variability of such recurrences within fixed bounds. See Hawhee (2002, 147) and Rowell (1979, 99).

⁶¹Images of cyclicity dominate Hepokoski and Darcy's discussion of rotational form, e.g., that of a "clock-hand sweeping through multiple hours," "the regeneration of day upon day, calendar year upon calendar year," and so on. See Hepokoski and Darcy (2006, 611 ff.).

⁶²One of Wingfield's (2008) criticisms of Sonata Theory has to do with just this inalienability of the principle of rotation. As Hepokoski and Darcy put it, (2006, 613), it is "implicated in every sonata, even when it is apparently absent or deeply obscured."

There is in principle no limit on the amount of tonal and thematic alterations a sonata recapitulation might make while still maintaining its status as a recapitulation. On the other hand, in addition to performing many more sets of alterations than necessary, the strategy also comes at the cost of "symmetry," "balance," "proportion," and other terms of decorum typically associated with sonata composition. It is out of this tension between a lopsided large-scale rhythm and a musical form defined by a dynamic trajectory towards cadential goals that the unique formal and narrative effects of the mono-operational strategy emerge.

At a more general level, my injunction to the reader is to be sensitive to the pushes and pulls that are so often wrought by thematic alterations in sonata recapitulations *per se*. For in hearing them as deliberate (and compositionally unnecessary) alterations of paths traced by referential expositions—in attuning to the recapitulatory "scansion of events"—we may better understand the roles such accelerations and decelerations play in the economy of the story. From this broader disciplinary vantage, the notion that recapitulations are "repetitions" of expositions is inadequate. It is not that a work repeats itself, but how. Indeed, "if one does not perceive how a work repeats itself," Sontag once wrote, "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" (1965, 35).

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