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**Schubert, Sonata Theory, Psychoanalysis:
Traversing the Fantasy in Schubert's Sonata Forms**

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Declaration of Authorship

I, Christopher Tarrant, hereby declare that this thesis and the work presented in it is entirely my own. Where I have consulted the work of others, this is always clearly stated.

Signed: _____

Date: March 3, 2015

For Mum and Dad

Acknowledgements

This project grew out of a fascination with Schubert's music and the varied ways of analysing it that I developed as an undergraduate at Lady Margaret Hall, University of Oxford. It was there that two Schubert scholars, Suzannah Clark and Susan Wollenberg, gave me my first taste of the beauties, the peculiarities, and the challenges that Schubert's music can offer. Having realised by the end of the course that there was a depth of study that this music repays, and that I had only made the most modest of scratches into its surface, I decided that the only way to satisfy the curiosity they had aroused in me was to continue studying the subject as a postgraduate.

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Abstract

Franz Schubert has been the subject of much debate in recent decades, from analytical, biographical, and hermeneutic perspectives. In the context of the emergence and ongoing engagement with James Hepokoski's and Warren Darcy's *Elements of Sonata Theory*, it is especially timely now to attempt a reassessment of Schubert's instrumental music. The present critical consensus among Schubert scholars is that his treatment of sonata form presents a strong critique of Beethoven's practice - a practice which has formed the basis of music analysis from the mid-nineteenth century to the present, including Sonata Theory. The thesis investigates how Schubert's sonata forms interact with Hepokoski's and Darcy's Sonata Theory, and attempts a critical reappraisal of Schubert's construction as the 'anti-Beethovenian'. Hepokoski's and Darcy's theory provides a framework for analytical engagement with a wide range of musics from the mid-eighteenth to the late-nineteenth centuries, and also sets the foundations for a more interpretative approach which goes far beyond merely structural taxonomy. In the course of the thesis, an extensive investigation into the vast array of forms that Schubert composed will lay the foundations for a more developed reappraisal of Schubert's music along more humanistic lines.

The thesis opens with an analysis of Schubert's String Quartet in G, D. 887, which posits that there are a number of observable inconsistencies and ambiguities which provide a foothold for further interpretation. After an appraisal of Schubert's current standing in the literature in Chapter 2, and in light of a complete analysis of Schubert's sonata output in Chapter 3, Chapter 4 aims to supplement and critique the theoretical underpinning already established in *Elements of Sonata Theory*. The interpretative aspect of the thesis is grounded in theories of intertextuality and psychoanalysis which are developed in Chapter 5, drawing principally on theories from Lacan and Žižek. The

practical application of this research is demonstrated in Chapters 6 and 7, which demonstrate the benefits of this newly theorised approach.

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1. Introduction: Schubert's Quartet in G, D. 887.

Schubert analysis is obsessed with propping up its own structural order. This can be clearly seen in the multifarious analytical articles published since the sesquicentennial year of 1978, which seek in their various ways to promote Schubert's particular treatment of sonata form, and to defend it against charges of inadequacy, incoherence, and a perceived inability to match the aesthetic inheritance of Beethoven's sonata exemplars. Clark's *Analyzing Schubert* has distilled this analytical tradition into a single book-length study, one of whose central aims is, to put it in Lacanian terms, to encourage a perception of Schubert's forms through the lens of its own structural order as it has been identified by Beach, Cohn, Fisk, Pesic, and others, rather than erroneously employing analytical systems modelled on Beethoven's practice, which she constructs as foreign to Schubert's music.¹ This tradition of Schubert scholarship has promoted particular ways of treating formal and tonal schemes within Schubert's sonata forms and, although these methods are quite heterogeneous, their goal is homogeneous: to hear the structural order of Schubert's music as consistent and meaningful.

The analysts mentioned above, whose scholarship has helped to build a much more congenial picture of Schubert as a composer of sonata form than the postwar generation of music critics, have employed a variety of methods in their attempt analytically to defend Schubert from obloquy. Many of these centre on his treatment of tonality as a vehicle for formal experimentation and expansion. This includes the employment of hexatonic theory, which favours structures and procedures such as major-minor equivalence, equal division of the octave through major or minor thirds, mediant relationships more generally, and 'crossing the enharmonic seam'. There is also a general push towards framing Schubert's treatment of form as a logical process rather than the

¹ Suzannah Clark, *Analyzing Schubert* (Cambridge University Press, 2011).

inherited postwar view, which, culminating with Brendel, portrayed Schubert as a compositional somnambulist.²

The question of unity and consistency in musical works has been ubiquitous for decades. The subject was incisively animated by Alan Street in his 1989 article which questions the idea of unity as a 'foundational, synthesising condition' and that 'Disjunction, conflicts and diversities are thereby resolved within a single overall perspective.'³ An important task of this thesis is to make a reassessment of where music analysis stands in relation to Schubert's instrumental music, and how such 'conflicts and diversities' ought to be approached. It is no secret nowadays that such inconsistencies can be clearly identified in many of Schubert's works - this was, after all, the starting point of Kramer's investigation into subjectivity in Schubert's songs.⁴ The instrumental music has not benefitted from such critical engagement, however, as can be easily demonstrated in a brief overview (to be developed in Chapter 2) of the shifting analytical ideologies that this repertoire has come into contact with.

Where the pre-1978 treatment of Schubert's music seemed unable to remove itself from the perceived hole in the music's structural order, manifested in charges of formal disorganisation, excessive length, poor thematic quality, unorthodox treatment of tonality and modulation, and so on and so forth, the more recent assessment of Schubert since Webster has been to construct a new 'official' reading of the repertoire. This new reading, which emphasises the ways in which Schubert transcended the inherited Classical forms by 'inflecting' them, as Rosen argued, has become an accepted scholarly construction of Schubert's place in the history of sonata form composition. It is a reading which largely suggests that an analytical machinery drawn from Beethovenian

² See Alfred Brendel, 'Form and Psychology in Beethoven's Piano Sonatas' in *Musical Thoughts and Afterthoughts* (Princeton, 1976), pp. 41-42.

³ See Street (1989), p. 80.

⁴ See Kramer (1998).

exemplars ought to be variously modified, reorganised, or rejected in favour of one that is deemed more appropriate to the structures found in Schubert's music. The result of this, it might be argued, has been to replace one hegemonic theoretical tradition and its Beethovenian-Schenkerian prejudices, with another, now equally hegemonic tradition of Schubertian-Riemannian partisanship. What this thesis aims to demonstrate is that this official reading is reliant on a fantasmatic support, and that a traversal of this fantasy, employing the theoretical framework of Lacanian psychoanalysis, can offer a much more radical reading of Schubert's engagement with sonata form. This involves a double rejection, both of the old-style evaluation of Schubert's supposedly incompetent handling of form, and of the more recently constructed official reading of 'Schubert the non-Beethovenian'.

1.1 The G Major Quartet, D. 887

To identify some of these research questions more clearly, let us consider the treatment of a specific work in the analytical literature. The main analytical themes of the Quartet in G major, those of modal antagonism, variation-sonata hybrid, the 'three-key exposition', and expansiveness and lyricism versus teleological form, have been widely documented over recent decades in dedicated articles and chapters such as those by Carl Dahlhaus, Walter Frisch, and Poundie Burstein, as well as in passing in a great amount of scholarly work on Schubert's sonata form more generally.⁵ Carl Dahlhaus's analysis of the first movement provides a convenient starting point, focusing mainly on the variation aspect of the music, generating a 'lyric-epic sonata form', and constructing an opposition with Beethoven's 'dramatic-dialectic form'.⁶ Although the variation aspect of

⁵ See Carl Dahlhaus, 'Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D. 887)', trans. Thilo Reinhard in Walter Frisch, ed., *Schubert: Critical and Analytical Studies* (University of Nebraska Press, 1986), pp. 1-12; Poundie Burstein, 'Lyricism, Structure, and Gender in Schubert's G Major String Quartet' in *The Musical Quarterly* 81/1 (1997), pp. 51-63; Beach (1998), pp. 73-100; Walter Frisch, "'You Must Remember This": Memory and Structure in Schubert's String Quartet in G Major, D. 887' in *The Musical Quarterly* 84/4 (2000), pp. 582-603.

⁶ Dahlhaus (1986).

the piece is ostensibly a central subject of the analysis, the idea of lyricism in Schubert's music that is not inextricably tethered to his melodic writing has been a theme in more recent scholarship.⁷ Burstein's analysis of the first movement gives focus to the lyric aspect of the piece that is generated by the expansiveness of the harmonic side of the musical language, and underlying structural concerns, rather than the more superficial melodic lyricism.

It is worth once again unpacking Dahlhaus's designations of 'dramatic-dialectic' and 'lyric-epic', as they seem to have been absorbed by osmosis into Schubert scholarship, occasionally to be mentioned in passing, but seemingly absent from comparable analyses of Beethoven's sonata output. The thesis seems to be that Beethoven's form is an unfolding drama, a genre in which the dialogue is delivered by a third party - the characters themselves, usually to each other - and with a specific audience in mind. Both the dialectic as well as the dramatic aspect of such a form suggest the interaction of opposing forces - thesis and antithesis - with the aim of achieving a synthesis. The Beethovenian musical drama, then, takes on the character of a projectile whose trajectory and target are decided from the firing of the catapult.

At first the genres of the 'lyric' and 'epic' would seem to be contradictory. The first is usually a short work with a strong focus on emotional content and introversion, whereas the second is usually a lengthy narrative. The commonality between them, however, rests in the presence of the author as an agent of the form. The epic aspect of Schubert's form would seem to be self-explanatory, with his vast, and often discursive opening movements in some cases spanning 20 minutes in length. The lyric aspect, however, is more curious, and invites further scrutiny.

⁷ On lyricism in Schubert's sonata form, see Yin Su Mak, 'Schubert's Sonata Forms and the Poetics of the Lyric' in *The Journal of Musicology* 23/9 (2006), pp. 263-306.

Although one of the pillars of poetic history, lyric poetry requires some generic clarification. Let us consider for a moment a text such as Wordsworth's 'I Wandered Lonely as a Cloud'. Like any lyric poetry, deciding on a concrete intended recipient is problematic. It is unlike the dialogue of a play, which is directed at the other characters in the work and mimetic of human temporal experience. Lyric poetry does not seem to be directed at anyone in particular. Nor does there seem to be any straightforwardly temporal aspect to the genre. Indeed, the experience of time, unlike in drama, seems to be suspended. And unlike dramatic and epic forms, in which we have concrete characters, or a concrete (however impersonal) narrator, the only subject located in the text is the mysterious and ephemeral 'I'. Clark interprets the lyric aspect of Schubert's music to be inherently tied with memory (as we can tell from the final stanza of Wordsworth's 'Daffodils').⁸ She invites us to entertain Dahlhaus's idea that in the Beethovenian world we hear motivic development (the 'dramatic-dialectic' form) as 'pressing ahead', whereas in the Schubertian landscape (Dahlhaus's 'lyric-epic form') we understand this motivic work as a reminiscence, peering back into the past.⁹

The idea that Schubert's music is not adequately structured is now regarded as an outmoded view. As noted above, Burstein's analysis of the Quartet in G major makes the argument that it is through deeper structures that Schubert's lyricism is demonstrated, and not, in that particular work, through analysis of the musical surface.¹⁰ That said, there still remains resistance to a teleological view of Schubert and, by proxy, the application of ostensibly teleological theories of form to his music, such as Hepokoski's

⁸ Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011), p. 174.

⁹ Clark's view on this is supported by John M. Gingerich in 'Remembrance and Consciousness in Schubert's C-Major String Quintet. D. 956' in *The Musical Quarterly* 84/4 (2000), pp. 619-634.

¹⁰ Schubert's ability to write melody is a common motif in popular writing on his music, often patronising and exclusive of his formal innovations. A representative example of this occurs in James Naughtie's *The Making of Music* (London: John Murray, 2007), p. 148: 'No composer is a better exemplar of the troubled Romantic than Franz Schubert. He was one of the greatest tunesmiths who ever lived, with a strand of genius in his music, who found little but trouble in the world [...] On his deathbed, he said he wanted to be buried alongside Beethoven.'

and Darcy's Sonata Theory. In *Analyzing Schubert*, Clark makes the following criticism the opening gambit of her final chapter on Schubert's sonata forms, and the various analytical approaches that can be used. She writes:

The norm according to Sonata Theory remains a one-sided masculinist view of 'human experience,' which, moreover, is characterized by the 'perfect' human experience. While the authors promised to provide a fresh perspective on sonata form, they reassert the privileged teleological, masculine paradigm that has been the subject of sustained feminist critique. Why are we still being presented with an apparently old-style version of sonata form?¹¹

Her objection is essentially a political one. Why should a teleological theory which favours masculinist musical metaphors for human actions (goal-directed motion, motivic efficiency, logic, and so on) based on the 'old-style' misogynist Beethovenian model continue to occupy a privileged position in music theory? It has to be said that when Hepokoski and Darcy remark that the sonata is 'perfect', the scare quotes are theirs, not hers, and that furthermore the adjectives used to characterise this 'perfection' - elegance, proportionality, and completeness - seem not to be gendered one way or another.¹² On issues of goal-directed motion, it would seem that Schubert is just as capable of achieving this as anyone else. The transitional drive to the medial caesura in many of his works is an example of this, and in Schubert's music this can in cases be more excessively emphatic and inevitable than much of Beethoven's. What happens after the goal has been achieved is a different matter (to which I return in Chapter 6). Further to this, few scholars nowadays would argue that Schubert's handling of sonata form is inelegant or incomplete, and the old charges of excessive length and 'sprawling' tendencies, particularly in his finales (which is where the problem is perceived to reside) are not upheld by Sonata Theory - quite the opposite.

¹¹ Clark (2011), p. 204.

¹² Burstein (1997) provides an excellent problematisation of these gender politics, detailing the various inherent contradictions in such constructions and how they relate to the G major Quartet.

This thesis proposes that a medial path through Schubert's engagement with sonata form can be plotted. This rejects the old-style pejorative work of the postwar generation, with its rigid adherence to Beethovenian models and modes of analysis. But it also attempts a reassessment of more recent scholarly trends which construct Schubert as the 'non-Beethovenian' *par excellence*. Both schools invoke fantasies that are there to support a fractured structural order, and a traversal of these fantasies through Lacanian psychoanalysis can uncover a clearer picture of Schubert's music, how it can be analysed, and its various hermeneutics.

Observations which tend toward speculation concerning the psyche have been a relative commonplace in Schubert scholarship, but rarely thorough. The state of Schubert's mental health in biographical writings has been particularly explicit. Elizabeth Norman McKay's biography, for example, is littered with references to a mental condition - cyclothymia - of which Schubert is said to have been a sufferer.¹³ Other more directly textual studies have come close to attributing symptoms of psychotic disorder to analytical observations of Schubert's music. Along with Robert Winter's comparison of a section of Schubert's Piano Sonata in A, D. 959, to a nervous breakdown, Susan Wollenberg writes of 'Schubert's use of tonal and modal colouring' as being 'characterized by his perception of major and minor as two sides of a divided character.'¹⁴ She goes on to write of the G major Quartet:

In two of Schubert's most experimental chamber works, the String Quartet in G major, D 887, and the String Quintet in C major, D 956, he sets out from the very beginning the essence of his view of major and minor. In both D 887 and D 956,

¹³ Elizabeth Norman McKay, *Franz Schubert* (Oxford: Oxford University Press, 1996). 'Cyclothymia is defined medically as a mild form of manic depression characterized by pronounced changes of "mood, behaviour, thinking, sleep, and energy levels." In adults, periods of depression, hypomania (mild mania), and complete normality alternate, the latter lasting no more than two months at a time. The condition at this level of severity is not debilitating, but the severity is liable to increase with the years, in many cases into full-blown clinically definable manic depression.' (p. 138).

¹⁴ Wollenberg (2011), p. 29.

the introductory bars present an intensely compressed version of the 'divided character' type [...] Famously, in D 887-i the duality expressed in the opening of the movement is distilled even further when it is recalled at the end, to the point where major and minor almost coalesce. It's as if the opening bars put a proposition which is explored in different ways in the course of the movement, including the role reversal at the start of the recapitulation. In both works, the choice of keys for Theme II responds to the major-minor ambivalence presented at the start.¹⁵

This, as Žižek might say, represents the 'official' reading of the work - a reading that is the result of an informed appreciation of the text from an analyst who is properly installed in the symbolic order. The problem with such a reading is that it is reliant on a fantasy screen to render it meaningful. The short extract from *Schubert's Fingerprints* is a relatively simple example, since it is not heavily theorised and is reliant on a far more general analytical system than those employed by Beach or Cohn, for example. Nevertheless, the impression Wollenberg gives is one of completeness and consistency, an impression that all loose ends have been neatly tied up. From a Lacanian perspective, however, a different conclusion can be reached for this movement and, indeed, the work as a whole, since the idea of 'major-minor ambivalence', as Wollenberg refers to it, is revisited throughout.

The clues to such a Lacanian reading can sometimes be found in the small details of the text that may otherwise be overlooked. The tonal language on the surface of the music, which shifts - often violently - between major and minor, is most plainly demonstrated in the gesture that opens the quartet. This is a typical gesture for Schubert, acting as an in-tempo introduction before the start of the exposition proper, but which is countergenerically included within the expositional repeat and is in some cases presented again at the start of the recapitulation.¹⁶ In the G major Quartet the introductory

¹⁵ Wollenberg (2011), pp. 30-31.

¹⁶ This can be observed in the present work; the 5th Symphony, D. 485, i; and the 8th Symphony, D. 759, i.

gesture is presented more subtly at this point (b. 280): the major/minor opposition is reversed and rescored as a more contented gesture, with pizzicati and less angular contours and articulation. This is followed by a lyrical variation of the first subject with smooth triplet motion in the viola part in contrast to the stormy opening of the movement and the anxiety of the tremolo accompaniment that follows. This psychological reversal does suggest some kind of amelioration or synthesis in the intervening bars between the expositional medial caesura and the end of the development section. The introductory gesture is visited one final time in the closing bars of the movement in its original stormy form, with major and minor versions of the tonic pulling against one another before finally settling on a chord of G major. The opposition of major and minor versions of the tonic is structurally crucial and produces an harmonic emblem that leaves an indelible mark on the rest of the work. It may even be worth entertaining the idea that the designation of G major as the key of the work is no more than arbitrary, since so much of the surface as well as the structure is governed by relationships with the tonic minor.

Turning to the closing bars of the first movement, it is plain that major and minor are being juxtaposed in a final 'summing up' gesture that is ordinarily found in large Type 3 first movements. This is a return to the introductory module which generates an effect of culmination. The level of finality that is achieved at such a point is significant. Typically, there is a strong sense of local finality, but the music invites the co-generic contrasts of tonality and tempo found in the slow movement and the return of tempo and tonality in the scherzo. The bars at the end of the G major Quartet's first movement achieve this with particular flair with the antiphonal exchanges which coincide with the alternation of mode between the two pairs of instruments. However, any sense of the two modes beginning to 'coalesce' here, as Wollenberg suggests, is immediately undermined by the final two bars. Far from the unusual antiphonal scoring and the summative play between major and minor, we are presented with the most generic of final

gestures: the simple presentation of the tonic major with a downward arpeggiation in the cello. The conceptual goal of achieving a synthesis between the opposing modes is dashed with this disarmingly simple gesture, which effectively undoes the problematic that has been generated over the course of the movement. The essence of the gesture, however generic its surface, is obligatory in the narrow symbolic order that the music is channeled through: that of the common-practice era sonata and its associated tonal obligations. The effect at the end of the first movement, which continues into the indeterminate space before the Andante, is the sense that cracks in the symbolic surface have been papered over. In this case, such symbolic inconsistencies originate from the impossibility of reconciliation of major and minor tonalities, and as Lacanians like Žižek would respond, symbolic inconsistencies are covered over with fantasies which act as a symbolic support and serve to restore the impression that the symbolic order is consistent and meaningful. Here we see the disparity of 'reality', the symbolic construction that allows us to experience the world as meaningful, and the Real, which paradoxically both generates the symbolic universe of the text (major/minor relations) and perpetually evades meaning.

Similar observations can be made of the final gestures of the second and fourth movements of the Quartet. In its simplest terms, the second movement consists of two contrasting sections. The first theme is a lamenting melody with a processional character in rounded binary form, and is tonally closed. Such themes are often found in Schubert's slow movements: see the Piano Trio in E \flat for example, or Symphony No. 9 in C. The contrasting second section is governed by the *Sturm und Drang* topic. It is harmonically, tonally, and thematically turbulent, and is non-cadential, perhaps suggesting a premonition of the slow movements of the C major String Quintet, D. 956, or the A major Piano Sonata, D. 959, whose stormy central section has been described as 'as close to a nervous breakdown as anything in Schubert's output.'¹⁷

¹⁷ Robert Winter, 'Schubert' in *The New Grove Dictionary of Music and Musicians*, p.683.

The final presentation of the first theme at the end of the movement begins overtly to play with modal mixture, as is the standard procedure at the end of minor-mode movements. It is presented four times between b. 167 and the end of the movement in the pattern i-I-I-i. The final statement in the tonic minor is unusual, since a negative to positive narrative is promised by the two major restatements, only to be withdrawn in the final statement of the piece. All the more surprising, then, is the (frankly surreal) final cadence in E major. Why include a final minor-mode statement only to end on a major chord, especially in such a melancholic and psychologically troubling movement? In the eighteenth century, the *tierce de picardie* was merely a matter of grammar - an harmonic obligation. Stephen Rumph argues as much when he writes that

'the major cadence [...] erases the emotional opposition between tragic and non-tragic. The opening choruses of Bach's *Mass in B Minor* and *St. Matthew Passion* both end with Picardy thirds, yet the major cadence does not alleviate, let alone reverse, the profound pathos of these movements. Instead, the greater stability of the major triad signifies closure, stability, and finality.'¹⁸

In the nineteenth century, by contrast, it is a conscious choice with far-reaching hermeneutic implications. The lack of harmonic sincerity in this particular case betrays the mood established during the course of the movement, giving the impression of a superficial smile, covering over the harmonic troubles that remain unresolved. The bizarre E major cadence that concludes the slow movement seems to conceal the real issue at hand - the nonresolving second rotation and the harmonic turmoil that is endemic in the movement.

¹⁸ Rumph (2012), p. 100.



Fig. 1.1: Schubert, String Quartet in G, D. 887, finale, bb. 1-6.

The end of the finale functions in a similar way. The theme of modal mixture arises as a principal structuring element in this movement, although major and minor are presented in reverse order, the minor being given in the initial melodic descent before the major version is presented in the subsequent ascent in the opening bars. This minor flavour in an ostensibly major-mode finale is not unique in Schubert - the finales of the B \flat Sonata, D. 960, and the C major Quintet, D. 959, provide related examples - although this seems to be a special case as it overtly resumes the overarching tonal problem announced in the first movement. The second half of the opening rounded binary section which is set in B \flat major (\flat III) is again a clear indicator of the structural results of a primary theme that mixes major and minor versions of the same root, and this resurfaces once again in the final launch of the main theme in B \flat minor (\flat iii), from which point the most aggrandised and emphatically prepared cadence in the work is generated at b. 679. The anticipation is rhetorically reinforced, rejecting a succession of secondary dominants before landing on the home dominant at b. 671 at the dynamic ceiling of *fff* which is reserved during the whole work for this occasion. After this, the tail of the first theme concludes the work in the tonic major. The aggrandised cadence delivered at the dynamic extreme of the work functions on the level of grammar, but does not satisfactorily address the modal conflict that has been previously established. What follows at b. 679, if anything, rather has the effect of undermining the 'hard work' that

has been done in the drive towards the cadence, and appears as an obligatory formal technicality rather than a structurally significant or rhetorically expressive final gesture.

Although there is no direct equivalent of these final undermining gestures in the third movement, the return of G major in the central trio attracts comment. The choice of tonic for the Scherzo is unusual. 'When the slow movement has been in a nontonic key', according to Hepokoski and Darcy, 'the minuet normally restores the tonic.'¹⁹ They go on to remark that 'It occasionally happens, though initially only as a deformation toward the end of the eighteenth century, that the movement expected to reinstate tonic-key tonal order is displaced into a nontonic key.'²⁰ In the context of the four-movement work, only two possibilities are entertained: 1) the preceding slow movement was in the tonic, deferring the tonal escape to the scherzo (clearly not the case here); and 2) 'the slow movement and the minuet are placed in two differing nontonic keys.'²¹ This format receives a brief explanation in *Elements of Sonata Theory*. The authors write:

This situation is much more a nineteenth-century phenomenon than an eighteenth-century one. It places the burden of restoring the tonic entirely on the finale, while the interior movements, sometimes retaining their slow/scherzo order, [...] each occupy differing nontonic keys. Third-relations among the movements are common, either surrounding the initial tonic key above and below or building one third onto another, resulting in an upward arpeggiation to the dominant or a downward one toward the subdominant. In all instances one is invited to speculate on the central issue at hand: what set of musical or conceptual circumstances permits (or encourages) the scherzo not to return to the tonic?²²

¹⁹ Hepokoski, J. and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (OUP, 2006), p. 330. Hereafter referred to as 'EST'.

²⁰ EST, p. 331.

²¹ EST, p. 332.

²² EST, p. 340

There is no mention of D. 887 here, although clearly it falls into this category. The choice of a nontonic key for the slow movement is normative. In the present case of the G major Quartet, the key is vi, E minor, which is the fourth-level default after the subdominant, the dominant, and the tonic minor (Hepokoski and Darcy provide six default levels).²³ It is the choice of B minor for the scherzo, then, that carries the greater hermeneutic burden. The overall tonal plan for the Quartet is therefore I-vi-iii-I, with the inner movements, both in the minor mode and spanning a minor and major third, respectively, either side of the central tonic, relating to each other by a perfect fifth. This carries the potential to be a large-scale example of one of Clark's theoretical ideas in *Analyzing Schubert*: that 'fifth-space' is often, in Schubert, repositioned *around* the tonic, rather than *from* it.²⁴ Although Clark does not mention this idea with explicit reference to movements within a broader work, confining her observation to keys within a movement, there is still a strong point to be made here about key organisation in Schubert's large-scale works. Further to this, the unusual key choice for the Scherzo also transfers a burden of responsibility onto the finale to reassert the tonic after its lengthy absence during the internal movements.

One important aspect of the third movement, given the unusual tonal plan, is the unassuming trio section with its understated return to G major. This is arguably the only uncomplicated musical statement in G major during the whole work, but its musette topic and pastoral colourings do not generate a sense of homecoming normally associated with a return to the tonic: there is rather the effect of a wistful fantasising of a simple, peaceful, and uncomplicated experience of G major, free of the torrid entanglement of opposing modes in the first movement, and the shattering harmonic ruptures in the second. It is 'fantasised' because of the thick topical overlay that is so completely out of character with the rest of the work, and 'wistful' because of the formal inevitability of the

²³ *EST*, p. 324.

²⁴ Clark (2011), pp. 228-246.

return of the Scherzo and B minor. The topical layering here is ironic in the strict sense that it says one thing (nostalgic return to the overall tonic) but means another (thinly disguised statement of a fantasised tonic that was never properly established in the first place). The fact that the tonal variety in the trio is generated by a move to B major (III) is also a signal that the music here is in a separate, fantasised world, cut off from the tonal concerns of the outer movements, which refer to the more tightly knit argument of D major versus B_♭.

1.2 Formal Ambiguity

The second and fourth movements of the quartet demonstrate a kind of formal ambiguity in that they both contain areas where two clearly distinct formal readings can be shown to function in parallel. The second movement contains the simpler of the two examples. It consists of two rotations and one half-rotation, to use the language of Sonata Theory, but clear thematic boundaries are blurred by the tonal layout. The central dominant plateau during the restatement of the first theme that begins rotation 2 (b. 82) can be heard to function simultaneously as a cyclical rebeginning as well as a closing afterthought following the preceding second theme. This is owing both to the choice of key (the dominant is the generic resting place at the end of the first rotation) and a subtle change in harmony (the diminished 7th sonorities suggest an afterthought rather than a new beginning). This means that the movement could be considered either as a kind of Type 2 plan with two main rotations, the first that moves away from the tonic, and the second which, from that point of destination, moves back towards the tonic. Alternatively, it could be considered to have a more rondo-like flavour, with an anomalous central presentation of the main theme in the dominant instead of the tonic.

The finale demonstrates a similar illusion, but in the more complex terms of a much longer movement. It is the most formally problematic movement of the quartet and has

Rotation	Bar	Module	Key
1	1	Introductory gesture	V _A
	3	Pa	i
	19	Pb	VI/i
	32	Pa'	i
	43	S	iii⇒V/III
	63	S	ii⇒V/v
2	82	Pa	v
	98	Pb	VI/v⇒V/v
	111	Pa'	v
	123	S	♯vii⇒V/III
3	141	Pb	VI/ii
	154	Pb	VI/V/ii⇒V
	167	Pa	i
	174	Pa	I
	183	Pb	VI/i
	196	Pa	I
	204	Pa	i

Table 1.1: Schubert, String Quartet in G, D. 887, second movement.

received the fiercest criticism from Schubert's detractors in the twentieth century. Harold Truscott describes a descent from the 'sublime' of the first three movements into the 'grotesque',²⁵ and Maurice Brown describes it as 'overfacile'.²⁶ Judy Gillett refers to the movement's 'inane and relentless motion',²⁷ and even Walter Frisch, ordinarily an

²⁵ Harold Truscott, 'Schubert's String Quartet in G Major' in *Music Review* Vol. 20 (1959), p. 140.

²⁶ Maurice Brown, *Schubert: A Critical Biography* (New York: Da Capo, 1966), p. 240.

²⁷ Judy Gillett, 'The Problem of Schubert's G Major String Quartet (D. 887)' in *Music Review* 35 (1974), pp. 287.

apologist for Schubert's music, describes the movement as 'sprawling'.²⁸ He goes on to remark that

The formal outline [...] is much less clear than the preceding movements. The finale has elements of rondo, sonata form, and variation form, without adhering to any one of them closely. The thematic material is so homogeneous or undifferentiated, especially because of the perpetual motion rhythms, that it is often hard to orient oneself formally.²⁹

The finale certainly demonstrates homogeneity of material, and the perpetual motion recalls similar finales of large works such as the 9th Symphony and, especially, the Piano Sonata in C minor, D. 958, and the Quartet in D minor, D. 810. It can be demonstrated that the movement is structurally ambiguous. In my plan of the movement, I aim to show how it can be equally understood as an expanded Type 1 sonata, or as a Type 4 sonata-rondo. If understood as a Type 1, the exposition proceeds relatively normally, without repeat, but the second rotation incorporates significant expansion within the primary zone in bb. 280-373, after which the music begins to correspond as if to pick up from where it left off, offering more generic recapitulatory material and driving towards a tonic imperfect cadence at b. 459. From this point, the rotation continues in close correspondence to the exposition. The coda, as is typical in the expanded Type 1 sonata, is an enlarged and rhetorically enforced relaunch of the primary zone.

A more complicated reading can be offered if the movement is to be considered as a Type 4 sonata-rondo hybrid. Once again, the exposition is normative, more so, even, because of the primary theme's tonally closed rounded binary structure and 'light,

²⁸ Frisch (2000), p. 597.

²⁹ Frisch (2000), p. 597.

Rotation (Type 1)	Module	Bar	Key	Rotation (Type 4)	
1 (Exposition)	Pa	1	i/I	1 (Exposition)	
	Pb	16	♭III		
	Pa'	44	i/I		
	TR	71b			
	I: HC MC	89	V/I		
	S	93	V		
	EEC	133	V		
	C ¹	133	V⇒ modulatory		
	C ²	209	iii		
	C ³	231	V		
2 (Recapitulation)	Pa	256	i/I	2 (Development)	
	end of Pa'	266	♭II		
	P-based development	280	vi		
	Pb⇒TR	298	III		
	♯iv: HC MC	320	V/♯iv		
	New Theme	323	♯iv		
	New Theme repeated ⇒ end of Pb	339	♯iv⇒V/V		
	Pa'	374	v⇒V		3 (Recapitulation)
	Pa'	406	♯iv⇒I		
	TR	441			
I: HC MC	459	V/I			
S	463	I			
ESC	503	I			
C ¹	503	I⇒modulatory			

Rotation (Type 1)	Module	Bar	Key	Rotation (Type 4)
	C ²	579	vi	
	C ³	601	I	
3 (Coda)	Pa	627	i/I	4 (Coda)
	Pb	642	♭III	
	Pa' ⇒ extended	650	♭iii	
	Final cadence	679	I	
	end of Pa' (codetta)	679	I	

Table 1.2: Schubert, String Quartet in G, D. 887, finale.

square cut' nature.³⁰ Complications arise after the expositional rotation when we begin to consider the expanded section to encompass an independent rotation (bb. 256-373). In such a scenario, these bars would comprise a developmental episode. This scenario is further supported when the internal events of this section are analysed. It opens by referencing the main theme at b. 256 which soon becomes developmental. The first-theme-and-transition complex generates this section's own half-close medial caesura effect in C_# minor before a new theme is presented in that key, \sharp iv, at b. 323. The new theme in this scenario behaves as an episodic substitute for the missing secondary theme, as well as fulfilling a retransitional role as a structural neighbour to the dominant, preparing the resumption of the main theme and the recapitulatory rotation. This reading is perhaps slightly weakened by the presentation of the main theme in the dominant rather than the tonic at b. 374. This can either suggest a structural elision of retransition and recapitulation, supporting the Type 4 reading, or else a picking up of the main theme 'from where it left off' before the expanded section, suggesting an ex-

³⁰ *EST*, p. 405.

panded Type 1. The coda rotation is the same in both cases as the main theme returns in the tonic minor/major.

In each of the two movements the music seems to escape an easy formal categorisation. It is clear that they can both be read as essentially bi-rotational structures, which I shall construct as being characteristically Schubertian in Chapter 4 of the thesis, and might correspond to Dahlhaus's lyric-epic construction. But they can equally be read as corresponding to the more Beethovenian Type 4, which is perhaps more relevant to Dahlhaus's dramatic-dialectic form.

1.3 Tonal Ambiguity

Similarly, the handling of tonality within the quartet offers a glimpse of a deep ambiguity. On the largest scale of the overarching formal and tonal plan of the first movement, G major and G minor are treated as equally valid tonal centres. This is expressed in the secondary zone by the key in which closure is delivered, D major, enveloping a central B₇ section (b. 110). While Schubert is widely acknowledged as one of the most important contributors to the practice of problematising major and minor versions of the same root, he is by no account the first. In Schubert's music, however, and in particular the work presently under discussion, a much more thoroughgoing exploration of the structural implications of surface alternation of major and minor expressions of the tonic is in evidence. Approximately contemporaneous examples of the employment of modal shift can be heard in much of Beethoven's chamber music, in particular his violin and cello sonatas. This can be heard in the first movement of the middle-period Cello Sonata in A major, Op. 69, whose transition plunges into A minor with dramatic results. In an earlier example, Boccherini can be seen to experiment with sudden modal shifts in the Type 2 first movement of his Symphony in D, Op. 37, No. 3. Spitzer, who consid-

Bar	Module	Key
1	P ⁰	I/i
15	P ^{Theme}	I
24	P ^{Var 1}	I
33	P ^{Var 2}	I
54	P ^{Var 3}	I
63	III: HC MC	V/III
65	S ^{1.1Theme}	⇒V
78	S ^{1.1 Var 1}	⇒V
90	S ^{1.2}	V
109	I: HC PMC	V/I
110	S ^{1.1 Var 2}	⇒ _b III
122	S ^{1.2}	_b III
141	III: HC PMC	V/ _b III
142	S ^{1.1 Var 3}	⇒V
154	EEC	V
154	C ¹	V
164	C ²	V

Table 1.3: Quartet in G major, D. 887, first movement exposition.

ers the work to be ‘one of the high-points of Boccherini’s maturity’, writes that the major/minor opposition is ‘a patchwork of contrasts.’³¹ While striking in its own right, so much so, Spitzer argues, that ‘the quality of the mode is rendered thematic in itself’, it never returns (owing to the movement’s Type-2 construction, which dispenses with the retrogressive referencing of the start of the exposition). Boccherini’s treatment of the opposition of major and minor here is, as Spitzer writes, organised in ‘textural and tonal blocks’.³² But the movement, unlike Schubert’s quartet, ultimately expresses a fairly

³¹ Spitzer (2013), p. 150.

³² Spitzer (2013), p. 150

normative composing out of D minor: the exposition moves to F major for the second group (III of D minor), and is recapitulated in D major in comparable fashion to Haydn's practice (but not, incidentally, Mozart's), before D minor is confirmed once again in the coda. In Schubert's practice, the antagonism between major and minor is not only presented in dramatic and colourful outbursts, but also penetrates to the core of the structure.

The secondary zone in Schubert's Quartet presents a problem for Schenkerian analysis, in the first place because Schenkerians have been unable to agree where the prolongation of D major begins, and in the second place because of the large amount of material that occurs after the initial cadence in the dominant at the end of the second theme's first appearance, which can be thought of as excessive. Webster's graph of the exposition (Fig. 1.2) captures the ternary essence of the secondary theme quite well, with the two D major tonal stations enveloping the central B \flat major patch.³³ Beach (Fig. 1.3) and Burstein (Fig. 1.4) attempt to absorb the B \flat section into a much broader process of prolonging D major, rather than to afford it equal footing in the composing out of the two expressions - major and minor - of the tonic G.³⁴

The opposing view would attempt to demonstrate that D major is normative for a sonata in G major, that B \flat is normative for a sonata in G minor, that both are equally valid tonal goals, and that in generating this structure, Schubert accounts for a double-tonic complex that governs the quartet. This would be along similar lines to the tonal theory proposed by Kinderman and Krebs in *The Second Practice of Nineteenth-Century Tonality*, wherein the authors offer along Schenkerian lines the idea of 'directional tonality'.³⁵ That is to say, a piece may begin in one key and end in another, usually

³³ Webster (1978), p. 21.

³⁴ See Beach (1993), p. 17, and Burstein (1997), p. 56.

³⁵ William Kinderman and Harold Krebs, eds, *The Second Practice of Nineteenth-Century Tonality* (University of Nebraska Press, 1996).

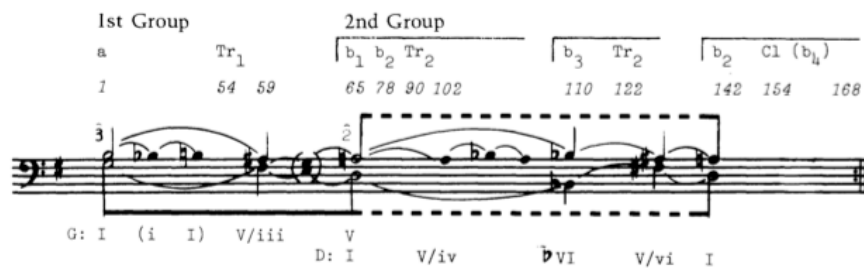


Fig. 1.2: Webster's graph of the exposition of D. 887. Webster (1978), p. 21.

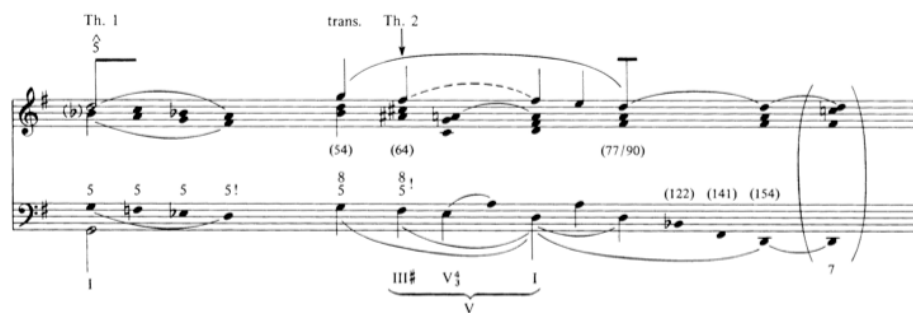


Fig. 1.3: Beach's graph of the exposition of D. 887. Beach (1993), p. 17.

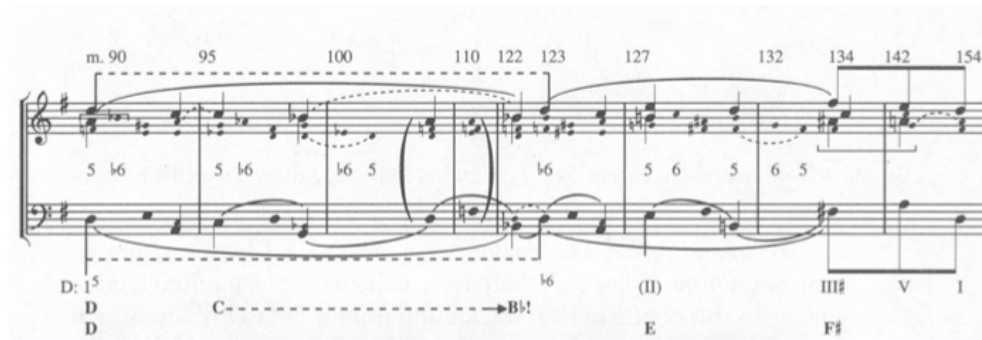


Fig. 1.4: Burstein's graph of the expositional secondary and closing zones of D. 887, first movement. Burstein (1997), p. 56.

separated by the interval of a 3rd. While this cannot be said of Schubert's Quartet in G major, it is still logical to talk of two distinct tonics operating within a broader nexus, since major and minor versions of the same tonic bring with them their own distinctive structural properties and generic associations.

We are also presented with a hexatonic relationship between two keys that are also normative secondary-theme keys for major and minor sonatas respectively, one of which is diatonic and accessible to a Schenkerian approach (D major), and therefore potentially 'dialectical' in Dahlhaus's terms, and the other which is chromatic and resistant to Schenkerian theory - Dahlhaus's 'lyric-epic' (B \flat major). The 'missing' key from the hexatonic orbit is found at the point of the III: HC medial caesura, whose F \sharp emphasis completes the cycle of major 3rds.

1.4 The Work as a Whole

Much is to be made of the section in Chapter 15 of *Elements of Sonata Theory* on the three- and four-movement sonata cycle sub-headed 'The Role of the Listener'.³⁶ In this short passage, the authors assert the centrality of the listener to the construction of a coherent text spanning a multimovement work. They write:

It would be short-sighted to presume that locating coherence within a multimovement work is only a matter of being able to locate properties thought to be objectively 'in' that work. Coherence is not primarily a property of 'the notes themselves.' On the contrary, making the piece, or any portion thereof, into an integrated whole is largely the task - and to a significant extent the creation - of the listener. Any consideration of the 'coherence' problem that does not acknowledge this is inadequate. This takes us out of the empirical realm (scientific knowledge) and into that of hermeneutics (interpretation), a different mode of thinking altogether.³⁷

Tracing the 'conditions of what is currently being sounded' at any given point backward through the work toward its logical conclusion, we arrive at the introductory module of the first movement which begins the whole quartet - the initial declaration of the conceptual harmonic canvas which the remainder of the work is set against. At the bare

³⁶ *EST*, pp. 340-342.

³⁷ *EST*, p. 340.

minimum, this is a work which is concerned with the opposition of the major and minor modes. More specifically, it is concerned particularly with major and minor expressions of the tonic G. Given the popular sonata narratives of the early nineteenth century, which often, particularly in Beethoven, but also to an extent in Mendelssohn, Schumann, and later composers, tend towards an effect of synthesis and apotheosis in the finale, one potential conceptual aim at the beginning of the G major Quartet might be to attempt a synthesis of G major (the thesis) and G minor (the antithesis). This is something that reaches beyond the Classical generic norm of the sonata, since the thesis-antithesis opposition is usually understood to be between the first and second themes (and their associated tonal centres) with the synthesis occurring in the recapitulation, and the second theme sounding in the tonic. The modal conflict in the first movement is the governing force which generates the tonal scheme of the secondary zone. I use the term 'modal conflict' because, in this case, the way some more commonly used terminology has been employed has been inadequate. David Beach's term 'modal mixture' has Schenkerian undertones, not necessarily problematic *per se*, but the term suggests the modes can be freely mixed and are inert with regard to one another, with the suspect proviso that one of them prevails in the end (usually the major), and always at the expense of the other (the minor).³⁸ Terms such as 'modal equality', 'modal colouring', and 'modal fluctuation' are also frequently used to describe some of Schubert's harmonic practices, but, again, the terms are inadequate for the present work.³⁹ Perhaps in a work such as Schubert's Symphony No. 5 in B_♭, such a term would be appropriate: the minor mode is used frequently to colour cadences, but in a way that sug-

³⁸ See Beach (1998). The reverse of this happens rarely. In the eighteenth century, minor-mode finales of major-mode works typically turned to the major in the recapitulation. Examples where the minor persists to the end are considered by Hepokoski and Darcy to be primarily a nineteenth-century phenomenon. The principal two examples of major-mode multi-movement works with minor-mode finales that do not turn to the major in the recapitulation or the coda are the A minor Saltarello of Mendelssohn's Symphony No. 4 in A major, Op. 90, 'Italian', and the B minor finale of Brahms's Piano Trio No. 1 in B major, Op. 8. Even more remarkable than these are perhaps Schubert's Impromptu, D. 899, No. 2 in E_♭ major, as an example of a major-mode work that ends in the parallel minor, and his *Moment Musical*, D. 780, No. 6 in A_♭ major, which ends on an open 5th, but is nevertheless strongly suggestive of A_♭ minor.

³⁹ See Wollenberg (2011), pp. 10, 17, 24, 29, 46, 86, 100, 155, and 158.

+ = major mode - = minor mode

The two signs within the braces refer to parts 1 and 2 of a two-part exposition: especially the onset of P and all of S / C.

	<i>Exposition</i>	<i>Recapitulation</i>
1. Major-Mode Sonata I-V	{+ +}	{+ +}
2. Minor-Mode Sonata i-III option with positive recapitulation	{- +}	{- +}
3. Minor-Mode Sonata i-III option with negative recapitulation	{- +}	{--}
4. Minor-Mode Sonata i-III option with mixtures in part 2: positive outcome within sonata-space	{- [- +]}	{- [- +]}
5. Minor-Mode Sonata i-III option with mixtures in part 2: negative outcome within sonata-space	{- [+ -]}	{- [+ -]}
6. Minor-Mode Sonata i-III option with mixtures only in recapitulatory space: positive outcome	{- +}	{- [- +]}
7. Minor-Mode Sonata i-III option with mixtures only in recapitulatory space: negative outcome	{- +}	{- [+ -]}
8. Minor-Mode Sonata i-v option	{--}	{--}

Fig. 1.5 Hepokoski's and Darcy's table of modal options in major- and minor-mode sonatas around 1800. *EST*, p. 313.

gests that minor would be just as adequate as major for the cadential preparation. Unlike the Baroque *tierce de picardie*, the change of mode is not totally arbitrary in these cases - it is a conscious choice which invites some hermeneutic reflection, and is related to Tovey's concept of the 'purple patch' - but it is not a structural determinant in the same way as it is in the G major Quartet. Here, the two modes are set against each other, generating a conceptual conflict which the initiated listener would expect to be addressed in one way or another during the course of the first movement, and the work as a whole. Indeed, to follow Hepokoski and Darcy in the above quotation, it is largely the task of the listener to hypothesise future events in the musical text based on an accumulation over time of past ones. Such a hypothesis at the start of the work might include a struggle between major and minor that is eventually resolved, i.e. one will triumph over the other. In such a scenario a conclusion in the major mode would symbolise a positive outcome, whereas a minor-mode conclusion would signal a negative one - a 'reversal of fortune' as Hepokoski and Darcy have put it.⁴⁰ Another hypothesis might be that some sort of synthesis or 'breakthrough' might occur later in the work that

⁴⁰ *EST*, p. 336.

serves to settle the score between the two opposing forces, although it is unclear at the start of the work exactly how this would manifest itself.

For more assistance on the potential broader sonata trajectories, the analyst can turn to the basic scheme set out in *Elements of Sonata Theory* (Fig. 1.5) which delineates the fundamental options available to the composer around 1800. It is clear that this tabulation goes a long way to charting the diversity of routes through which sonata space can be negotiated. The work presently under consideration, however, pinpoints the shortcomings of such a tabulation. Ostensibly, the first and last movements share the basic shape of the major-mode sonata (exposition, {+ +}; recapitulation, {+ +}), but it seems obvious that describing the music in such simplistic terms does not begin to approach the hermeneutic complexities that are so central to the quartet. The centrality of the double tonic that its hermeneutics invites of the listener ought to be considered axiomatic in this case, rendering the system of quantising tonalities into designations of positive and negative an analytical instrument with too little theoretical precision to cope with the demands of the music.⁴¹

Modern criticisms (in the prosaic sense) of Schubert's handling of form and tonality are rare.⁴² J.P.E. Harper-Scott's view of various handlings of tonality constructs a startling reappraisal of the situation which flies in the face of the inherited story of the New Musicology of the early 1990s. He remarks that:

Modern musicologists are quite clear that while Beethoven's musical techniques formed the basis of theories like Schenker's, as well as our listening practices, those of Schubert, formerly considered aberrant or unrefined, actually present a

⁴¹ This is not the only, or even the first, case where a simple positive/negative trajectory is inadequate. Haydn's Quartet in G minor, Op. 20, No. 3, first movement, contains a failed exposition in which the outcome is decidedly neither major nor minor, coming to rest on a diminished seventh, a 'chordal emblem of baffled perplexity', as Hepokoski and Darcy put it. (*EST*, p.178.)

⁴² By modern, I mean in the era after 1978 when derisory commentary began to decline and become outmoded as new analytical techniques (neo-Riemannian theory and hexatonicism, for example) were rapidly accepted into Schubert scholarship.

critique of our assumptions about musical practice in the nineteenth century. But in a specific sense, it is Beethoven - and Haydn - who are the ideology critics and Schubert - far from being the willing embracer of the musically deviant, the gay composer who does not follow Beethoven's alpha-male models - who is the mystifier of the interpellative violence of tonality.⁴³

What Harper-Scott is arguing is that it is Beethoven and Haydn, albeit in separate ways, who present a critique of the hegemonic structuring of tonal music from Bach to Schoenberg. It is Beethoven who declares his challenges at the outset, which are to be violently conquered, thus bringing the interpellative violence of the tonal system into clear view (i.e. Beethoven is not the source of the violence, as claimed by McClary, but tonality itself - the violence is systemic, rather than symbolic). Haydn, on the other hand, exposes the arbitrariness of the structural ordering of tonality by exposing it as such - as something to be 'toyed' with. This is clear from the example Harper-Scott provides (see Fig. 1.6) in which the B₂ in b. 10 is not harmonised in the usual way, as the leading tone in the context of a G major dominant harmony, but as a 'zany' B major harmony leading to a 'confused fermata'. Unlike Beethoven, this challenge to the structural order is not violently conquered, but left unresolved. Beethoven, then, is the revolutionary who exposes the violence in the system, and Haydn is the satirist, pointing to its arbitrariness. Schubert, on the other hand, is the collaborator who, through hexatonic modulations, equal treatment of major and minor, opening fifth space *around* rather than *from* the tonic, and so on, who aims to show that genuine freedom can be found in the tonal system.

Harper-Scott does not give a completely accurate picture of Schubert here. In his comparison with Haydn, for instance, he tries to construct Schubert as the composer who indulges and enlarges the tyranny of the tonal structural order, and Haydn as the activist who 'toys' with its inherent arbitrariness, making a mockery of the system, as he

⁴³ J.P.E. Harper-Scott, *The Quilting Points of Musical Modernism* (Cambridge: Cambridge University Press, 2012), p. 243.



Fig. 1.6: Haydn, Piano Sonata in C, Hob. XVI:50, finale, bb. 1-16.

demonstrates in the brief analysis of the C major Piano Sonata. Schubert, however, can be found doing comparable things - at the end the finale of his Piano Sonata in A major, D. 959, for example (Fig. 1.7).

In the final statement of the theme, its fabric begins to disintegrate as bar-long rests are introduced. The harmony also begins to unravel, with the German augmented 6th chord at b. 342 resolving straight to the tonic, rather than to its proper destination, the dominant. It would seem that Haydn and Schubert are experimenting with the same idea. But notwithstanding this comparison with Haydn's unpicking of the structural order of tonality, the point is still to be made that the impression given by Haydn is one of the awkwardness of the ideological structuring, enacting the role of the court jester who creates an ideological space where normal social and, in this case, tonal norms are suspended, often with comedic effect. The case in Schubert's music is quite the opposite. The events that would otherwise be considered odd or socially deviant are brought into the fantasy, presented seriously and earnestly as genuine normality within the structural order.

Although Harper-Scott is discussing the broader implications of tonality, and the present discussion concerns the much narrower field of the sonata, his comments do



Fig. 1.7: Schubert, Piano Sonata in A, D. 959, finale, bb. 328-346.

just as well to illuminate the sonata practices of the three composers as their handling of tonality. It is possible, and perhaps beneficial, in the current instance to go even further than Harper-Scott. Not only does Schubert perpetuate the hegemonic structuring of tonality (and sonata), but he actively gulls the listener into believing that he is doing the opposite. That is to say, he overtly constructs the ‘challenge’ at the start which cuts to the core of the tonal system - that major and minor are in conflict - and then attempts to convince the listener not only that genuine freedom can be found in the tonal/sonata system through an experimental and progressive exploration of sonata space, but furthermore that by the end of the musical utterance he has conquered the problem and successfully synthesised the opposing modes. Far from Beethoven’s sonata practice, which ritualistically declares its challenges before violently conquering them, or Haydn’s, in which inconsistencies are whimsically ‘toyed’ with, therein exposing the arbitrariness of the ideological structuring, Schubert’s practice serves not to expose the arbitrary imposition of symbolic tonal and sonata goals, but further to mystify them (through expanding the tonal map, introducing foreign forms like variation into the sonata, and so on) and thereby to identify with the hegemonic symbolic order rather than to present a critique of it. We are led to believe that equality between major and

minor is a case of Schubert breaking the rules by opening up a welcoming new ideological space. This critical failure, it could be argued, is a case of 'saying too much', to which I return in Chapter 6 of the thesis. By understanding this modal conflict as an example of 'Schubert the non-Beethovenian', yet more meaning is prescribed onto such structures.

Clark is right to point out that the sacred arc of Sonata Theory is a dubious concept, but she is wrong to dismiss the theory as a result. What this thesis is concerned with is not the observation that Sonata Theory is a house of cards built on quicksand, but the sacred aura that allows the house of cards to remain standing. This is what Lacan constructs as 'fantasy', a term that will be given careful clarification in the course of the thesis, and a concept that is essential to the experience of the human subject within social 'reality', which extends to the subject's experience of music as being consistent and meaningful.

After a critical review of the present state of Schubert scholarship in Chapter 2, the next task is to set out the theoretical framework and how Schubert's forms relate to it. Chapter 3 provides a brief rationale behind the employment of *Elements of Sonata Theory* in the course of the thesis. There will not be sufficient space here to afford an exhaustive appraisal of the theory at hand, but there will be enough scope to provide an elementary foundation as well as any specific aspects of theory that relate to the repertoire in question. The chapter then provides a critical survey of Schubert's sonata forms, using the theoretical basis already established. The purpose of this exercise is to establish a broad context for the detailed examination of specific works later in the thesis.

In light of the analytical observations of Chapter 3, an evaluation of *Elements of Sonata Theory* will be an essential component of the thesis, provided in Chapter 4. Within the

theory itself, there is no complete analysis of any one work. Therefore, the thesis will aim to make a strong scholarly contribution both to the criticism of Sonata Theory as well as to the expansion, development, and deployment of it in the context of the analysis of complete works.

The next task will be to establish a critical lens through which the initial analytical survey, as well as more specific examples, can be focused into a discussion of a more humanistic nature - that is to say, a discussion of the human subject and its psychology. The analytical survey of Chapter 3 lends itself strongly to an intertextual approach, which is discussed in Chapter 5 through the critical lens of the psychoanalytic interpretative approach which the thesis puts forward. The Lacanian aspect of this discussion is also developed in its own right, through the work of Slavoj Žižek, in order to construct a new psychoanalytic basis for music analysis.

The practical application of the newly theorised approach to Schubert's sonata forms is then developed in a more focused way. Chapter 6 is a microanalysis of Schubert's treatment of the medial caesura across a number of works. The most commonly accepted interpretation of Schubert's excursions to distantly related tonal regions is that of the 'dream sequence', involving the association of modulation to a mediant key with a lyrical, song-like thematic area. This reading is deeply entrenched in Schubert criticism and can be traced in the analytical literature at least as far back as Tovey in the early twentieth century. This chapter demonstrates that the medial caesura which deflects the tonal trajectory of a sonata exposition, and not the themes themselves, should be identified as the locus of this aspect of Schubert's compositional voice. Drawing on ideas developed in the course of the thesis, the aim is to demonstrate how the Lacanian concept of the *sinthome* reveals a deeper, more fundamental intertextuality in Schubert's compositional project which has hitherto remained hidden.

The final Chapter 7 returns to the Quartet in G major, D. 887, and aims to answer the questions set out above by drawing on the full array of intertextual, sonata-theoretical, and interpretative tools developed over the course of the previous chapters. The central theme of the analysis will be the way that fantasy acts as a regulatory agency for reality, and the chapter will present a traversal of this fantasy, with the aim of constructing a model for the way human subjects understand such musical works to be meaningful.

2. From Somnambulist to Non-Beethovenian

Some of the first serious writing on Schubert in English - there are numerous studies in German from the nineteenth century - began in the centenary year of 1928 with Donald Francis Tovey's lecture *Franz Schubert* published in *Music and Letters*.¹ In this article, Tovey provides an interpretation of some more distinctive elements of Schubert's tonality through the employment of conventional chordal analysis and in doing so he can be credited as being a seminal figure in analytical study of Schubert's music. His comments are perceptive and he addresses many of the analytical issues that arise from Schubert's treatment of form and tonality, although the tools at his disposal are extremely limited. In the intervening 85 years the place of Schubert's music has grown in musicology from merely the work of a composer of songs and non-professional piano music to a level of aesthetic accomplishment and historical importance comparable to Haydn, Mozart, and Beethoven.

There was an explosion of writing on Schubert's music in 1928. Other than Tovey's essay, Theodor Adorno's 'Schubert' has been recently translated into English and scrutinised at some length in *Nineteenth-Century Music*.² With these two exceptions, the tone of the writing on Schubert's music in the decades around the Second World War was largely journalistic, and frequently derisory or otherwise patronising. For example, Samuel L. Lacair's 'The Chamber Music of Franz Schubert' is brimming with disparaging remarks such as the following:

Haydn used [the quartet] for his experiments with the duo-thematic side of the sonata-form and Schubert as a means of trying to master the principles of musical form - a task in which he never entirely succeeded. His early quartets show great deviations from form, some of them fatal to their unqualified acceptance, despite their wealth of musical ideas. These first quartets are very uneven, passages of

¹ Donald F. Tovey, 'Tonality' in *Music and Letters* 9/4 (1928), pp. 341-363.

² T. W. Adorno, 'Schubert' in *19th-century Music* 29/1 (2005), pp. 3-14.

entrancing beauty frequently standing beside others which are utterly unworthy of the genius of Schubert; moreover, many of the movements are hopelessly verbose. This failing, thus early manifested was, with some notable exceptions, to remain with Schubert almost to the close of his life, for some of his most mature chamber-music works, such as the Octet for strings and woodwind instruments, Op. 166 and the string quartet in G major, Op. 161, require about an hour to play, a fact which has largely barred them from public performance.³

Other comments within the article are remarkable not only for the author's appraisal of the music, but in his willingness to dismiss it. For example, he remarks that 'The first six quartets (1812 and 1813), may be disregarded musically, as they are very immature.'⁴ Still other comments are so outrageous by contemporary standards as to prompt an entirely separate investigation into the tastes of the day: 'The G major quartet and the later piano sonatas must be excluded [from Schubert's greatest works] because of their length and, in the case of the sonatas, their weakness of structure.'⁵ Eric Blom wrote, in another essay of 1928, that in Schubert's music, 'Energy certainly is not his strong point, nor truculence a defect of his art. Any attempt of his at a heroic style rings a false note of empty bombast.'⁶ These authors' most typical strategy is to level charges of formal disorganisation, contrapuntal inadequacy, and long-windedness against Schubert in general, but then to single out a few works as being worthy of praise as much as they have, against odds, overcome these apparent shortcomings.

The tone of such articles continued long after the war, and it has only been in the last thirty-five years that Schubert scholarship, particularly along theoretical and analytical lines, has blossomed into a fully developed academic arena. Some Schubert scholars have taken a special interest in the instrumental music, particularly in the experimental

³ Samuel L. Laciár, 'The Chamber-Music of Franz Schubert' in *The Musical Quarterly* 14/4 (1928), p. 516.

⁴ *Ibid.*, p. 518.

⁵ *Ibid.*, p. 537.

⁶ Eric Blom, 'The Middle-Classical Schubert' in *The Musical Times* 69 (1928), p. 980.

way in which the tonal structures of some of these works function. In many instances the *modus operandi* of this research is purely analytical, drawing on well-established Schenkerian and Riemannian theoretical principles and often expanding and developing these theories further in order adequately to account for the wide variety of structures that Schubert's tonal innovations generated. Suzannah Clark's recent *Analyzing Schubert* makes one of the most significant contributions in this field.⁷ More recently, a far more loosely organised hermeneutic methodology has been chosen for discussion of these works, often only relating to technicalities of musical structure in passing, and with an emphasis more firmly on the way in which these works might have a more far-reaching impact of a humanistic nature. Between these two extremes of approach, there are a number of studies which seek to follow a medial path, employing analytical methods in order to support interpretative or otherwise humanistic arguments. It is scholarly work of this sort that forms the core of the bibliography, and it is fuelled by a wide range of academic writing from the more distantly related spheres of semiotics, narratology, psychology, gender studies, philosophy, and historical musicology, to name but a few.

The default analytical method adopted by modern Anglo-American analysts of Schubert's instrumental works is Schenkerian reduction. It is from this analytical basis that James Webster produced his seminal essay of 1978 on Schubert's instrumental structures, 'Schubert's Sonata Form and Brahms's First Maturity',⁸ one of the first modern analytical appraisals to quantify some of the typically Schubertian procedures - the 'three-key exposition' being the central focus - that had previously attracted largely de-

⁷ Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011).

⁸ James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', in *Nineteenth-Century Music*, 2 (1978/1979), 18-35.

risory or patronising criticism from musical analysts.⁹ In this paper, Webster argues that, far from Schubert being unable to organise musical form in a coherent way, a more complex struggle between an essentially Classical form (i.e. sonata structure, however defined) and a Romantic sensibility is in evidence, generating the largely unprecedented structures that are, in Webster's view, in prototype in Schubert's instrumental works and come to full fruition in Brahms's F minor Piano Quintet, Op. 34. It is in this work that the dominant as a self-contained tonal region is banished altogether from the exposition and only becomes crucial for large-scale structure in the retransition. This argument is clearly demonstrated in Webster's opening statement: 'Sonata Form was more congenial to Classical than Romantic temperaments'.¹⁰ From this starting point, a number of traits common to Schubert's conception of sonata form are delineated, with special focus being placed on the strong correlation between lyrical secondary thematic areas and off-dominant flat-side tonal relations. This is an observation that had been made before, but with this article it took on a new level of importance and incisiveness. It is not only the procedures that are demonstrated in Schubert's structures that are important here, but the striking consistency in the way they operate. Webster's second main point, which is inseparable from the first, is that Schubert's music, rather than modulating in the Classical fashion from one tonal centre to the next, tends to juxtapose distantly related keys through common-tone relationships. It is observations such as these that have provided the foundation for analytical discourse on Schubert's music. These observations have continued to spark debate on alternative modes of analysis and, latterly, the basis of a musical hermeneutics for Schubert's instrumental works.

⁹ 'Schubert's Short-Cuts' by Malcolm Boyd in *The Music Review* 29 (1968) is another example from a plethora of disparaging and unflattering appraisals of Schubert's music from the decades around the Second World War.

¹⁰ Webster (1978/79), p. 18.

Following from Webster, another Schenkerian - David Beach - has been of particular importance for Schubert studies. The main focus of his 1993 article, 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure', threw yet more focus onto formal procedures that were perceived to be peculiar to Schubert's sonata structures.¹¹ In this case it was the off-tonic (often subdominant) recapitulation and the ways in which it might affect 'deep-level structure from a Schenkerian perspective' that was of primary concern.¹² One of the major challenges of this line of enquiry is that Schenker himself never did publish an analysis of a Schubert sonata form with an off-tonic recapitulation - a point made by Gordon Sly in his 2001 article 'Schubert's Innovations in Sonata Form', in which the argument surrounds the various ways in which the Schenkerian model of form might be able to accommodate a disjunction between the thematic and tonal components of recapitulation.¹³ Although the article is primarily analytical, there is some element of a meta-analytical subtext here in raising important questions of the perceived value of various analytical decisions, while keeping the territory of the article strictly technical in scope. A similar challenge is met by Beach in the title of his 1993 article by pitting 'underlying structure', here understood explicitly as the Schenkerian conception of background voice leading, against 'formal-tonal design' which is utilised in order to accommodate some of Schubert's more idiosyncratic formal processes, understood to operate in the Schenkerian middleground.

A later article by Beach argues towards an analytical appraisal of one particular procedure that is generally regarded to be quintessentially Schubertian: modal mixture.¹⁴ It is here that one of the main strengths of Schenkerian theory becomes apparent. The

¹¹ David Beach, 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure' in *Music Theory Spectrum*, 15/1 (1993), pp. 1-18.

¹² *Ibid.*, p. 1.

¹³ Gordon Sly, 'Schubert's Innovations in Sonata Form: Compositional Logic and Structural Interpretation' in *Journal of Music Theory* 45 (2001), pp. 119-150.

¹⁴ David Beach, 'Modal Mixture and Schubert's Harmonic Practice' in *Journal of Music Theory* 42/1 (1998), pp. 73-100.

middleground prolongational concept of *Mischung* is certainly adequate for accounting for a broad range of structures that modal equality might generate, and Beach demonstrates this through four short analyses of works by Schubert of increasing complexity, culminating in a focused discussion of the G major String Quartet, D. 887. It is clear that Beach has made varied attempts to satisfy a compulsion to account for what is perceived to be peculiar about Schubert's harmonic and tonal practice. There is certainly a lot of success to be drawn from dealing with these Schubertian mannerisms piecemeal, but it does lead to the possible criticism of ignoring a potentially more holistic approach when one could, presumably, choose any number of elements that are perceived to be idiosyncratic and account for them one by one analytically. The success of the Schenkerian perspective, however, is amply demonstrated here and has remained a default instrument in the analytical toolbox. This is in evidence in the work of many other analysts to whom I shall return.

In terms of the more restrictedly analytical scholarship on Schubert, there have been many alternative methods employed to embrace the innovations apparent in his music. One large area of research has focused on neo-Riemannian tonal theory, which I would posit as being in opposition to Schenkerian theory owing to its radically dissimilar conception of tonal hierarchy. Along this line of enquiry Richard Cohn must be cited as the principal exponent. His 1999 article, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert', on neo-Riemannian principles and their application in an analysis of Schubert's B \flat Piano Sonata, D. 960, is only one of the most accessible and incisive articles in a myriad of writings, usually of an even more technical, and mathematical nature.¹⁵ Cohn's engagement with neo-Riemannian theory has proven to be especially useful for analysing Schubert's music because it comprehensively accounts for four procedures which are understood as problematic within conventional

¹⁵ Richard Cohn, 'As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert' in *19th-century Music* 22 (1999), pp. 213-232.

harmonic analysis, and all of which can be said to be central to the harmonic language of many of Schubert's works: modal mixture; modulation by the interval of a major or minor third; crossing the enharmonic seam; and equal division of the octave.¹⁶ These are exactly the elements of Schubert's tonality that Tovey was fascinated by in 1928, but here they are addressed against a more thoroughly developed theoretical canvas. Although typically neo-Riemannian theory is applied to Austro-German music of the end of the nineteenth century - Strauss and Schoenberg, among others - Schubert might be considered to be the first composer for whom these theories really become indispensable. It has been said that the neo-Riemannian approach reacts well to music in which the selection of an overarching tonic can be considered arbitrary, as is the case in much of Wagner's harmonic language. Although this is usually not the case for Schubert, there are elements on both a phrase level as well as in the larger structure of some of these works that entice the analyst to explore the possibilities of this avenue, and at a minimum at least to supplement the Schenkerian theoretical core with some of these ideas.

Along the same lines, but with a different starting point, are the ideas of directional tonality and the double-tonic complex forming the theoretical basis of a path from Classical monotonicity to the pantonicity of Viennese expressionism discussed in *The Second Practice of Nineteenth-Century Tonality*.¹⁷ In this book Harold Krebs takes Schubert's music as the first in-depth case study of tonal pairing, with specific regard to two lieder, *Meeres Stille* and *Der Wanderer*, after which in subsequent chapters other authors scrutinise the music of later composers in depth, namely that of Chopin (Jim Samson), Liszt (R. Larry Todd), Wagner (William Kindermann), Brahms (Kevin Korsyn), Wolf (John Williamson), and Bruckner (William E. Benjamin). As far as the music of

¹⁶ See Richard Cohn, *Audacious Euphony* (Oxford: Oxford University Press, 2012).

¹⁷ William Kinderman and Harold Krebs, eds, *The Second Practice of Nineteenth-Century Tonality* (University of Nebraska Press, 1996).

Schubert is concerned, it is only the two songs that are considered here, both from the early period of 1815-17. Krebs demonstrates how, in each case, alternative Schenkerian readings can be made, taking different key centres to be operating in the *Ursatz*. The thrust of this argument is that this type of music represents both a continuation of and a departure from the Classical tonality of Haydn and Mozart, in that it will support a Schenkerian reading demonstrating harmonic unity, but that it can simultaneously support a conflicting view in rather the same way as Wittgenstein's famous illusion can be viewed either as a rabbit or as a duck (or neither). There is considerable scope to extend these ideas to Schubert's instrumental music. One of the main characteristics of the double tonic complex is that the two tonics are most frequently a third apart - a characteristic that is well-represented in Schubert's mature works and that will be addressed in Chapter 6 of this thesis. Another possible avenue to be explored would be to consider the two tonalities to share a single tonic, but to be polarised in terms of mode - a central theme that was visited in Chapter 1 and to which I shall return in Chapter 7.

Related to these individual theoretical approaches to Schubert's compositional procedures are those that concentrate on the inner workings of sonata form. The typical approach taken in such studies is to find trends in the repertoire dating from the second half of the eighteenth century and sometimes, but not always, extending their findings to comment on the development of the form in the nineteenth century. An early attempt at this type of writing is *Sonata Forms* by Charles Rosen, which attempts a survey of how the form developed and operated in the eighteenth century and after.¹⁸ The book is arguably aimed at a university undergraduate level or even a general readership, and it succeeds in covering many of the most important aspects of the form while providing concrete examples from works predominantly by Haydn and Mozart. Rosen's chapter on sonata form in Beethoven and Schubert has something to offer, but is far

¹⁸ Charles Rosen, *Sonata Forms* (New York: Norton, 1988).

from a comprehensive (or even elementary) discussion of Schubert's engagement with the form. Instead, moments of interest are carefully selected from the repertoire and are presented primarily as a perceived departure from Classical procedures, the main one being the idea inherited from Tovey of Classical balance and symmetry. This view is reflected in Rosen's chapter in *The Cambridge Companion to Schubert*, 'Schubert's Inflections of Classical Form'.¹⁹ The chapter invites the reader to consider what Rosen might mean by an 'inflection' of form and, therefore, what he considers to be the 'norm'.

Rosen's personal approach to this music is largely informed by his long career as a pianist and performer of this repertoire, lending his arguments an anecdotal flavour. The appraisal of sonata form in the more recent *Elements of Sonata Theory: Norms, Types and Deformations in the Late-Eighteenth-Century Sonata* by James Hepokoski and Warren Darcy offers significantly more critical distance.²⁰ In this monumental study the formal modules of a sonata as conceived by the authors are discussed piecemeal, but with a set of strong overarching arguments which thread the ideas together in a highly convincing way, and drawing on Schenkerian ideas to situate the theory in analytical perspective. The idea of 'norms' and 'inflections' hinted at by Rosen in *Sonata Forms* are here systematised into a very tightly-knit theory which aims to account for the multifarious routes from the beginning to the end of the sonata structure. Ideas about audience expectations are of immediate importance here, as well as a large amount of statistical information: it is again supported by numerous examples from the repertoire, this time even more restricted in scope for the vast majority of the discussion to only Haydn, Mozart, and Beethoven, making occasional excursions into music of the nineteenth century and often glancing at the music of Schubert only in passing. There is certainly a lot to be gained from pursuing Sonata Theory along purely

¹⁹ Charles Rosen, 'Schubert's Inflections of Classical Form' in Christopher H. Gibbs, ed., *The Cambridge Companion to Schubert* (Cambridge: Cambridge University Press, 1997), pp. 72-98.

²⁰ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006).

Schubertian lines owing to the rich variety the analyst finds in this repertoire. The concept of the medial caesura, for example, is clearly demonstrated in Schubert's sonata forms to be an integral component of the structure, but the ways in which this component is treated could represent a clearly defined 'deformation' from the Classical 'norm'. The way that sonata form is treated here - as a protean 'theory' rather than a prescribed 'form' as A.B. Marx had argued - lends it a special ability to be more rigorously exposed to different repertoires and, I would say, has the potential to generate far deeper conclusions and more convincing results than any other appraisal of the form to date.

The other aspect of *Elements of Sonata Theory* that is of special importance here is the whimsical language employed by the authors, which surfaces periodically in the discussion with the result that certain procedures within the form are given a character beyond their purely structural and technical function. One representative example of this is found in the discussion of the medial caesura, the compositional options available to the composer and specifically the type of cadence that precedes it: 'No! We won't use this I: HC MC [tonic half-close medial caesura] option! Let's select something else instead! Onward!'²¹ This ventriloquising of the music produces some pleasing results and puts some flesh on the bones of what is, in all other respects, a restrictedly theoretical, analytical, and statistical project. But, the way this is done is not in itself satisfactorily theorised and tends to rely more on rhetorical charm than theoretical rigour. It conjures a comparison with the way Bernstein treats Beethoven's Piano Sonata, Op. 31, No. 3, in *The Unanswered Question: Six Talks at Harvard*, a book directed at a middlebrow readership who need not necessarily be musically literate.²² It is a curious juxtaposition in *Elements of Sonata Theory* that such a rigorously theoretical

²¹ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types and Deformations in the Late-Eighteenth-Century Sonata* (Oxford University Press, 2006) p. 39.

²² Leonard Bernstein, *The Unanswered Question: Six Talks at Harvard* (Harvard University Press, 1976).

appraisal of the subject matter should be supplemented by such a loosely organised characterisation of its exemplars. This has attracted criticism, notably from Paul Wingfield in his 2008 article 'Beyond "Norms and Deformations": Towards a Theory of Sonata Form as Reception History.'²³

With specific regard to Schubert, the various theoretical approaches discussed above have been used to generate hermeneutic readings of his music in a wide-ranging way and with various levels of success. Nicholas Marston's 2000 article 'Schubert's Homecoming' presents a compelling appraisal along Schenkerian lines of Schubert's last sonata in B \flat , D. 960, a work which has proven to be a favourite among analysts owing to the rich concentration of typically Schubertian structures in their mature form.²⁴ Marston starts by quoting Webster on lyricism in off-tonic regions and the perceived importance of dominant retransition in Schubert's sonatas. The article focuses on 'the metaphorical identification of tonic key as "home"', and the special way that this is manifested in the B \flat sonata. Marston's article is another example of a Schubertian mannerism (the well-crafted retransition at the end of the recapitulation) being discussed analytically. This time, however, it is set in context within a discussion of musical metaphor. The fact that 'homecoming' is the subject of the article allows Marston to discuss the whole movement and the ways in which his analysis is supported by Webster's argument that Schubert is only comfortable writing lyrical music in three circumstances: in the tonic; in a distantly-related key; and on (rather than 'in') the dominant. The approach allows Marston to discuss the music in terms of musical 'meaning', to which scholarly weight is attributed through a theoretical underpinning.

²³ Paul Wingfield, 'Beyond "Norms and Deformations": Towards a Theory of Sonata Form as Reception History' in *Music Analysis* 27/i (2008), pp. 137-177.

²⁴ Nicholas Marston, 'Schubert's Homecoming' in *Journal of the Royal Musical Association*, 125/2 (2000), pp. 248-270.

The idea of 'homecoming' in this sonata is also discussed in an article by Peter Pesic, in which the sonata movement is read against Schubert's short literary work 'Mein Traum'.²⁵ Here, Pesic constructs a reading in which the narrative of the literary work is mapped onto the musical form of the sonata. This methodology is similar to the one put forward by Lawrence Kramer, who to a large extent paved the way for this sort of study. His 'hermeneutic windows' which are a key feature of his 1990 book *Music as Cultural Practice: 1800-1900* provide a very clear, if broad, basis for making a reading from a purely musical perspective through to a more humanistic interpretation.²⁶ The hermeneutic windows work on three levels. 'Textual inclusions' include titles and text settings which are particularly important for songs and piano miniatures where the subject of the work is clearly cited. 'Citational inclusions' are less specific and relate the work more loosely to a historical moment, image, another composition, or a literary text, in the way that Pesic treats Schubert's B \flat Sonata. Finally, 'structural tropes' are 'procedure[s] capable of various practical realizations that also function [...] as a typical expressive act within a certain cultural/historical framework'.²⁷ His 'strategic map for musical hermeneutics' is both broad and flexible, and as a result it can be employed in a vast number of ways and can generate a variety of readings.

Another analysis of the B \flat Sonata, this time by Charles Fisk, attempts to perform the jump from analysis to narrative, again from the perspective of a liberal use of Schenkerian ideas.²⁸ His reading begins with a very general analysis of the unexpected trill found near the beginning of the work at b. 8, and continues with the tonal web that the initial trill generates. He then goes on to develop a narrative that, as he argues,

²⁵ Peter Pesic, 'Schubert's Dream' in *19th-Century Music* 23/2 (1999), pp. 136-144.

²⁶ Lawrence Kramer, *Music as Cultural Practice: 1800-1900* (University of California Press, 1990).

²⁷ Kramer (1990), p. 10.

²⁸ Charles Fisk, 'What Schubert's Last Sonata Might Hold' in Jennifer Robinson, ed., *Music and Meaning* (Cornell University Press, 1997), pp. 179-200.

'bring[s] to specific awareness the kinds of meaning-generating faculties that music can engage in us'.²⁹ Fisk's basic conception is the narrative of a social 'outsider [...] who undertakes a quest for acceptance'. He openly admits that in some sense he relies on the shared imagination of the reader in accepting that terms such as 'insider' and 'outsider' are analogous to tonal stations - the 'insider' being represented by the tonic or another closely-related tonality, and the 'outsider' by a tonally remote key. This certainly chimes with Pesic's reading published two years later, and also relates to the gender narratives constructed by Susan McClary. It is important to realise, however, that Fisk's approach to the music is not only as an analyst but also as a 'performer and listener'. It certainly seems to be a trend in this discourse that the analyses that venture beyond the purely musical are written by scholars who are also active as performers. Furthermore, the analyses tend to be of piano music and hence within the analyst's own performing capacity. This may in some way account for the relative abundance of solo piano works and relative scarcity of orchestral and chamber works which are usually beyond the immediate performance capacity of one scholar-performer.

Another seminal work in musical hermeneutics is Edward T. Cone's 'Schubert's Promissory Note' which provides a reading of the *Moment Musical* in A_♭, D. 780/6.³⁰ In this essay Cone invokes a new concept - the promissory note - to account for the highly unusual structure of the work. His argument proceeds along the lines of the idea of *Auskomponierung* (composing-out) in that the anomalous E_♯ near the beginning of the piece is understood as the initial seed that 'promises' the large-scale tonal shape of the music. In Cone's hermeneutic assessment of this, his primary tool is personification. He asks us to hear the music as the story of a subject at first enticed by a new path - a temptation - which leads him down an avenue which later comes to be his un-

²⁹ *Ibid.*, p. 183.

³⁰ Edward T. Cone, 'Schubert's Promissory Note: An Exercise in Musical Hermeneutics' in *Schubert: Critical and Analytical Studies*, ed. Walter Frisch, (University of Nebraska Press, 1986), pp. 13-30.

doing. Cone quotes two lines of Shakespeare to furnish his argument, and finishes the article with a rhetorical question. At the end the reader is asked to make a decision to either agree with or to reject Cone's reading of this piece. Although his analytical findings are compelling, the extent to which the reader is willing to side with Cone is in this case, again, a matter of rhetorical prowess rather than theoretical rigour. That said, however, this is an important early article for the construction of musical subjectivity.

Kramer's hermeneutic windows are lent further support from the backdrop of musical semiotics. V. Kofi Agawu's *Playing with Signs* is crucial for any analytical study that aims to discuss music in terms of meaning.³¹ It is written in the tradition of Leonard Ratner's *Classic Music* and his discussion of musical topics - discrete musical entities with a prescribed musical or extramusical meaning - but Agawu theorises this by introducing semiotic theory of the sort pioneered by Umberto Eco in a highly rigorous and systematic way.³² His book is in two parts. The first addresses what Agawu refers to as 'Extroversive Semiosis' - the way in which elements of a musical work are understood, either by hearing them or by reading the score, as referring to an extramusical meaning. It is in this part that the discussion of Ratner's topics is covered, and Agawu treats the subject in a systematic and scientific way, often representing his ideas as formulae. Part two is more complicated, and deals with what Agawu calls 'Introversive Semiosis' - the way that music constructs meaning in its own purely musical realm. This is done through a liberal employment of a number of analytical systems, including Schenkerian theory. Agawu's primary aim in this book is stated unambiguously and emphatically at the outset - to ask the question 'How does music mean?' The emphasis here is on the curious 'how' rather than the more obvious 'what'. Agawu and other subsequent practitioners of a similar orientation would argue that the question of what a piece of music

³¹ V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton University Press, 1991).

³² See Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (London: Collier and Macmillan, 1980).

means is an easy question to deal with. *How* it constructs that meaning is the more salient question that has been addressed continually through the 1990s and 2000s.

Robert Hatten's work is broadly along these lines, and it is with this author that Schubert, as opposed to Haydn, Mozart, and Beethoven, is taken as one of the main focuses of study. Again, Hatten is a scholar-performer who demonstrates a highly personal view of the repertoire in question, which is dominated by solo piano works. The frequent issue of the analyst's hermeneutics being reliant on the reader's congenial approval and acceptance is not completely put to rest here, but it is at least acknowledged by Hatten when he writes that 'These works require not only our intelligence, but our empathy and our poetic imagination as well.'³³ This suggests a development from the type of semiotics we find in Agawu's conception of musical meaning. Agawu's understanding of the musico-semiotic system is, largely speaking, a Saussurian one. In Umberto Eco's terms, Agawu would argue that the actual musical symbols have an arbitrary relationship with the meanings they conjure, and that a meaning is derived through 'listener competence', as he puts it. In this way, as listeners we are constantly decoding the messages buried in the music as we hear it. Hatten seems to suggest a development of this - that rather than receiving an encoded meaning, we are in some sense constructing a meaning onto the music. Yet a further development of this type of scholarship can be found in Michael Spitzer's *Metaphor and Musical Thought* in which he argues towards an understanding of musical meaning as a system of metaphors rather than symbols.³⁴ This helps to move away from the problems of the Saussurian conception of signs and signifiers and aims to encompass ideas such as musical onomatopoeia in which a Saussurian approach becomes more problematic. By incorporating the notion of metaphor into the discussion of musical meaning, Spitzer develops a

³³ Robert Hatten, *Interpreting Musical Gestures, Topics and Tropes: Mozart, Beethoven, Schubert* (Indiana University Press, 2004), p. 290.

³⁴ Michael Spitzer, *Metaphor and Musical Thought* (University of Chicago Press, 2003).

welcome bridge between what used to be considered 'the autonomous work' or 'absolute music' and the wider world. Again, Spitzer's object of study is conservative: the focus is on canonic works of the eighteenth century by Bach, Mozart, Haydn, and Beethoven, and his mode of analysis is primarily score-based. This is a common thread among the scholars discussed so far. One reason for this is that their approach, to apply a broad-brush evaluation, is fundamentally linguistic in character and scope and as such regards the treatment of the score as a 'text' to be not only valid, but essential. A key defence of this approach is that the analogue of language, especially the philosophical proposition, was exactly the manner in which this music was discussed at the time of its composition by theorists such as Koch and Riepel, and can be furnished with other analogies such as the string quartet as an academic discussion between four learned individuals.³⁵ This is not to say that these authors are not concerned with the ontological matters arising from this perspective. On the contrary, they often take great pains to satisfy the reader of the verisimilitude of their methods.

One staunch critic of this sort of analytical outlook is Carolyn Abbate who provides an argument in her 2004 article 'Music: Drastic or Gnostic?' which throws into question the very idea of score analysis and instead proposes that analysis and criticism of music *in performance* should become the new paradigm of musicological discourse. Although it is increasingly the case that aspects of performance are being accepted into what is seen to be a conventionalised analytical tradition, such authors still aim to account for the 'work' *per se*. Robert Hatten cautiously proceeds along this path in his 2004 book, while maintaining the centrality of score analysis. Abbate, however, adopts a far more radical stance, arguing that it is favourable to 'write about performed music [...] About

³⁵ See John Daverio, 'Beethoven's Chamber Music for Strings' in Glenn Stanley, ed., *The Cambridge Companion to Beethoven* (Cambridge: Cambridge University Press, 2000): 'The four-voice texture was the ideal medium for the presentation of lofty musical ideas' and the string quartet served as an analogy to 'a conversation among intelligent speakers.' p. 149.

an opera live and unfolding in time and not an operatic work.³⁶ Her work along these lines can be credited for highlighting the potential benefits of performance analysis, but the way in which she makes her point can be criticised for being rather too single-minded. She seems to suggest that the music in question - in her case this is predominantly opera - ought to be discussed as a performative phenomenon at the expense of the score. In Carl Dahlhaus's discussion of the 'twin styles' of the nineteenth century he remarks that the two key figures of Beethoven and Rossini, as identified by Raphael Georg Kiesewetter, represent the 'far-reaching rift in the concept of music'.³⁷ In Dahlhaus's reckoning, Beethoven's symphonies represent inviolable 'texts', whereas an operatic score of Rossini is 'a mere recipe for a performance, and it is the performance which forms the crucial aesthetic arbiter as the realisation of a draft rather than an exegesis of a text'.³⁸ For Dahlhaus, then, Abbate's approach to musical analysis is far more satisfactory for works which hinge on performance - Dahlhaus mentions Liszt and Paganini as being influenced by the Rossinian operatic tradition - than on the Beethovenian-symphonic-influenced figures of Wagner and Verdi.³⁹

Nattiez's concept of 'tripartition' is of particular relevance here as a way of integrating the diverse components of the musical 'work' into a single system. In *Music and Discourse* Nattiez dismisses the linear and simplistic conception of communication as a transmission from 'producer' to 'message' to 'receiver' in favour of the more nuanced model of the 'trace', which is created by the producer through the poietic process and from which a meaning can be constructed by the receiver through the aesthetic pro-

³⁶ Carolyn Abbate, 'Music: Drastic or Gnostic?' in *Critical Inquiry* 30/3 (2004), p. 505.

³⁷ Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson., (University of California Press, 1989), p. 8

³⁸ *Ibid.* p. 9.

³⁹ *Ibid.*

cess.⁴⁰ This leads to the issue of what, in terms of the object of discussion in analytical discourse, this 'trace' actually comprises. There is insufficient space here to discuss the countless ontological questions that continue to fuel an ongoing musicological discussion. I would briefly, however, like to expound on Nattiez's positioning of the score within the overarching work-concept.

In a climate in which the score as the work is under constant and heavy scrutiny, it is refreshing to find such a compelling defence of the score's relative standing in the constellation of 'traces' that the musical work generates. Nattiez situates the score in a central position, arguing that it is the score 'that renders the work performable and recognisable as an entity, and enables the work to pass through the centuries'.⁴¹ He is broad-minded in his argument and is keen to emphasise the fact that his position is neither reactionary nor ideological, but he nevertheless boldly states that 'If we conceive of the work as an entity comprised of relations that are fixed by the score, the graphic sign (the score) *is* the work, and the aesthetic process begins the instant the performer *interprets* the work.'⁴² It has been a noticeable shortcoming of the literature cited above that the relative weight given to the score and performance respectively has been inequitable. The closest to a balance that has been achieved, I would say, is found in Robert Hatten's work which is primarily score-focused, but which refers to the potentialities of performance where it is pertinent. However, the main shortfall in Hatten's writing, as observed above, is that he focuses almost exclusively on solo piano music. A continuation and development of Hatten's approach in the context of chamber and orchestral music is, I would say, an obvious way forward.

⁴⁰ Jean-Jaques Nattiez, *Music and Discourse: Towards a Semiology of Music*, trans. C. Abbate, (Princeton University Press, 1990).

⁴¹ Nattiez (1990), p. 71

⁴² *Ibid.* p. 27

One musicologist who has thus far been named only in passing, but who is interested primarily in orchestral music and to whom I shall now turn is Susan McClary. Widely acknowledged as a key figure in what was the New Musicology as well as in Schubert scholarship, her main contribution to the area under discussion has been to introduce sexuality and gender-studies into the analytical discourse on Schubert's instrumental works. Her project has been commonly regarded as a challenge to the conventionalised analytical establishment. The works under discussion are always central to the Austro-German symphonic canon, with the assumed intention of exploiting the potential for controversy. Although arguably her most controversial remarks pertain to Beethoven's Ninth Symphony, McClary has also published on Brahms's Third Symphony and Schubert's Eighth, the 'Unfinished'.

The main thrust of her argument with regard to Schubert in her chapter in *Queering the Pitch* is that traces of his homosexuality documented by Maynard Solomon in 1989 are evident in his musical text.⁴³ She provides a reading of the second movement of Schubert's Eighth Symphony with a loosely organised analytical method, but with a consistent hermeneutic thread running through it. The analytical aspect of McClary's work on Schubert is not theoretically groundbreaking. Her work might reasonably be compared with that of Walter Frisch, both of whom have published on Brahms's Third Symphony and whose commentaries on the first movement bear a striking resemblance.⁴⁴ Both essays are appraisals of the musical structure which superimpose a narrative onto it. In each case this is based on the fundamental dichotomy of the musical struggle between A₂ and A₁, which unfolds during the course of the movement. The similarities that are present between these two analyses are brought even more sharply

⁴³ Susan McClary, 'Constructions of Subjectivity in Schubert's Music' in Philip Brett, Elizabeth Wood, and Gary C. Thomas, eds, *Queering the Pitch: The New Gay and Lesbian Musicology*, (London: Routledge, 1994), pp. 205-234. See Maynard Solomon, 'Schubert and the Peacocks of Benvenuto Cellini' in *19th-century Music* 12/3 (1989), pp. 193-206.

⁴⁴ See Walter Frisch, *Brahms: The Four Symphonies* (Yale University Press, 2003), pp. 91-100.

into focus when one considers the respective agendas of the two authors. Frisch's analysis is found in a contributing volume of the Yale Music Masterworks series which, as the series editor, George B. Stauffer, states, is 'devoted to the examination of single works, or groups of works, that have changed the course of Western music by virtue of their greatness',⁴⁵ and Frisch himself modestly appeals for the patience of his readership in 'hop[ing] the result will not seem too superficial to specialists, nor too forbidding for general readers'.⁴⁶ This traditionalist approach sharply contrasts McClary's politicised and polemical stance. But despite the fact that McClary is not breaking significant new ground from an analytical perspective, she does succeed in probing the potential of whether musical analysis and sexual politics can be synthesised.

McClary, however, is just one author among many who seek to analyse such works with a hermeneutic agenda in mind. The fact that her work was considered controversial in the period immediately after its publication attracted attention to her methods, but the idea of analysis supporting hermeneutic readings of musical works is not new with McClary and continues today, both within the realm of gender studies and without. Recent studies by Harper-Scott of Elgar, for instance, are more solidly grounded in music theory, both analytically and philosophically.⁴⁷ His protean application of Schenkerian voice-leading analysis is integrated into a Heideggerian reading of Elgar's First Symphony - an interpretive approach which is both critical and defensible and whose success does not rely simply on rhetorical charm alone. The fact that the music in question here, understood by Harper-Scott as early modernism, 'inhabits a troublesome gap between idiolects' (i.e. it is not classically tonal, but not yet post-tonal) generates some analytical challenges that are not so far from those that might be encountered by an analyst of Schubert's music. Schubert too occupies a gap between

⁴⁵ *Ibid.*, p. ix.

⁴⁶ *Ibid.*, p. xiii.

⁴⁷ J.P.E. Harper-Scott, *Edward Elgar, Modernist* (Cambridge University Press, 2006).

two musical worlds - the Classical world of Haydn, Mozart, and Beethoven, and the nineteenth-century world of Schumann, Brahms, Wagner, and Bruckner. The problems articulated by Charles Rosen that are generated by this situation, which are as much analytical as they are historiographical, are brought more sharply into focus when theoretical models such as Schenker's are applied. I would not claim that the musical language of Elgar's First Symphony is more congenial to Schenker's *Ursatz* than Schubert's musical language. But it would be an understatement to say that Schubert's musical style is sufficiently distant from Beethoven's heroic style to render Schenkerian analysis problematic. This is perhaps a contributing factor to the reason why musical hermeneuticians in their choice of repertoire opt either for Classical works of the eighteenth century, or for the early modernism of the late-nineteenth and twentieth centuries, this being crystallised in the work of James Hepokoski who has published on the eighteenth-century sonata and on the work of much later composers such as Sibelius, but by whom the music of the nineteenth century is underrepresented.

One conclusion that can be drawn from this is that among musicologists there is little agreement on the academic interpretation of musical texts beyond the restrictedly analytical starting point at which Schenkerian thought is well-established and well-represented, but certainly not unanimously accepted. Among Schenkerians there is no model or systematised methodology for engaging with musical works beyond the narrowly analytical one, and conclusions that make claims to extended meanings in instrumental music are often open to repudiation. This situation demands further investigation, inviting a more thoroughly systematised interpretative basis. With this in mind, a major task of this thesis will be to establish an interpretative lens through which to bring interpretations of analytical observations more sharply into focus.

Two recent publications have, in their separate ways, drawn the different threads of analytical interest in Schubert together. Susan Wollenberg's *Schubert's Fingerprints: Studies in the Instrumental Works* attempts a consolidation and expansion of the work achieved by Tovey, Webster, Cone, Beach, Fisk, Pesic, Marston, and others through an extended codification of musical features that she constructs as 'Schubertian'.⁴⁸ The result is a catalogue of musical observations which, while successful in its own terms, lacks a certain critical dimension. This is something that I attempt to address in Chapter 6 of the thesis. Suzannah Clark's *Analyzing Schubert* is far more ambitious than Wollenberg's book.⁴⁹ Clark also draws heavily on the work of the authors mentioned above, but her overarching argument is more complex: that Schubert's music is invaluable as a critical lens through which to scrutinise the theoretical machinery that analysts have historically relied on, and that he can be characterised as proudly 'non-Beethovenian', putting a positive slant on his divergence from Beethovenian form. Clark's is the most comprehensive and far-reaching study to date, carrying considerable critical weight. It is this that sets the immediate background to the present study, which attempts an assessment of Schubert's engagement with sonata form along a similarly critical line of enquiry, while aiming to make an investigation of a more humanistic nature, that is, an interpretative view of the music through the human subject and its psychology.

⁴⁸ Susan Wollenberg, *Schubert's Fingerprints: Studies in the Instrumental Works* (Ashgate, 2011).

⁴⁹ Suzannah Clark, *Analyzing Schubert* (Cambridge University Press, 2011).

3. Schubert's Sonata Forms

'Sonata Form was more congenial to Classical than Romantic temperaments.'¹ This is James Webster's opening remark in his seminal 1978 article on Schubert's sonata form in which he explores a wide range of themes - formal, tonal, and structural - that have continued to dominate the discussion in recent years. Schubert's music has frequently sparked this sort of comment, owing to the uncomfortable historical and aesthetic position that it occupies: his music sits directly between the Classical world of Haydn and Mozart, and the Romanticism of Chopin and Schumann, while always occupying a curious era - the time of Beethoven - which is clearly between two worlds (musical, aesthetic, social, political) but which has too strong an identity of its own, and too imposing a legacy, to be regarded merely as transitional. The basis for this discussion until now, however, has continued to be ill-defined and nebulous. Opinion had been divided between Schenkerian and Riemannian theories of form and tonality, between those who use Beethoven as a model and those who reject this. What has been absent is a thoroughly worked out, comprehensive, and protean theory of sonata form which can be employed in a manner that not only accounts for the various structures found within the music, but which also provides a foundation for addressing the resultant hermeneutic burden therein. James Hepokoski's and Warren Darcy's 2006 publication, *Elements of Sonata Theory*, provides a context to do just this.

One of the main objectives of *EST* is to establish an adequately robust framework, analytically, interpretatively, and historically, around which to perceive sonata form. There is a clear symbiotic relationship between the nature of the theory and the repertoire it most frequently references - that is to say, instrumental music of the late-eight-

¹ Webster (1978), pp. 18-35.

eenth century. It was in these decades that sonata form emerged and crystallised as the dominant procedure in symphonic, chamber, and solo piano music, and the theory draws from a vast body of diverse repertoire, while always demonstrating ways of accounting for perceived anomalies, whether musical or statistical. One of the main challenges in applying *EST* to Schubert's music, then, is satisfactorily to demonstrate that it can be practically applied to music of composers outside the main focus of the study. Of course, there are many examples of this within the book itself - there are frequent references to Brahms, for example - but always in isolation and usually to demonstrate an exception to the rule, or the way in which a particular structure had undergone change or reinterpretation in a subsequent era.² Another challenge specific to Schubert is that *EST* draws from Schenkerian thought and, therefore, not from Schubertian but from Beethovenian compositional models. This does not routinely surface explicitly in Hepokoski's and Darcy's prose, but the traces of Schenkerian thought are often present and provide a broad and adaptable underpinning of their analytical observations, the most obvious example of this being their heavy reliance on cadences both to define and to articulate form. As I shall discuss below, Beethovenian paradigms of form have been commonplace for decades and still hold a certain value when discussing Schubert's music. This does, however, demand scrutiny in its application and care when drawing conclusions.

One of the main successes of *EST* is to remove terms that are overloaded with pre-conceived meanings and to replace them with more neutral ones. For example, the tripartite sonata form with exposition, development, and recapitulation that has variously and unhelpfully been referred to as 'sonata-allegro form', 'first-movement form', or simply as 'sonata form' is, in *EST* referred to as 'Type 3'. This restricts it neither to first movements, nor to allegro movements, but the term sets itself apart from other variants

² This becomes central to Hepokoski's and Darcy's overarching idea of 'deformation', which is discussed at length in *EST* and which I shall return to in the present discussion.

such as bipartite forms and rondo mixtures. This is one basic example of many which serve to reduce the confusion and redundancy of an entire nomenclature of outmoded terms. By doing this, the authors have generated an analytical system in which outdated prescription has been removed, but which can be reinvested variously with new analytical and interpretative potential.

A broad application of *EST* across the entirety of Schubert's instrumental output serves as a basis for further discussion. On performing an appraisal of Schubert's chamber music for strings, for example - that is to say, his Overture in C minor, two trios, fifteen quartets and the Quintet in C - the striking feature is the overarching consistency of his compositional practice across the whole of his career. From the earliest of the quartets dating from around 1812 through to the works he composed at the end of his life - the Quartets in D minor and G major (1826) and the Quintet (1828) - there is relatively little change in Schubert's compositional principles. Yet notwithstanding an essential continuity of compositional method, it is clear that within these works' self-defined limits, the general trend is one of formal expansion. In simple terms, movements tend to become longer and more discursive in the later works.

There are several explanations for this. Some may be common to many composers: as their compositional practice develops, composers often experiment with a more fully realised and developed sense of form. There are other aspects, however, that are more specifically Schubertian and which prompted Robert Schumann famously to refer to Schubert's 'heavenly lengths'. Increasingly, for example, variation becomes a characteristic ingredient of Schubert's sonata practice. It is certain that variation became more important in other composers' styles, not least for Beethoven. In his case, however, this was typically in the context of a variation movement - one in which variation is the over-

riding structural principle. Notable examples of this include the 'Eroica' Variations, Op. 35; and the 'Diabelli' Variations, Op. 120. Although Schubert was also a prolific composer of pieces in variation form, he departs markedly from Beethoven by introducing significant variation structures into pieces that are governed overall by sonata form. This imbues what in other respects are normative sonata structures with a sense of vastness, while at the same time diminishing some of the dynamic qualities of the eighteenth-century form: the blurring of the eighteenth-century focus on the twin harmonic pillars of tonic and dominant is a central element of this. The variation element of the G major Quartet, D.887, is most frequently cited, but the principle can be traced back to earlier string quartets, most notably in the Quartet in B_♭ major, D. 36. This is not, however, the case in other instrumental genres such as piano sonatas and symphonies, in which variation structures are reserved only for 'pure' variation movements rather than sonata-variation hybrids.

There are many more aspects of Schubert's practice that are common across his entire sonata output. I shall detail these below, but must first open up a more broadly historical context. Schubert, stereotypically regarded as a composer of songs and non-professional piano repertoire, was incredibly prolific during his relatively few years of activity. This stereotyping is partially owing to raw statistics - his output of around 600 Lieder is a clear demonstration of this. It cannot, however, fully account for an inadequate branding which has the undesirable side-effect of marginalising the other genres in which Schubert was engaged. It is curious, then, that the so-called serious genres of the symphony, string quartet, and piano sonata were for so long sidelined by the apparently less serious domestic genres. Schubert wrote just as many symphonies and string quartets as Beethoven, yet it is Beethoven who is constructed to represent both the symphony and the quartet in this era, with opera dominated by Mozart and Rossini. Where there is a statistical or aesthetic basis for foregrounding a particular type of work

in a composer's output, it should inform reception and analysis. However, such a simplistic view alone of these composers is not beneficial to a broader view of their music.

Schubert produced a steady output of chamber music for strings from his formative years right up to the end of his life in 1828. This is wholly antithetical to the critical commonplace of the Beethovenian paradigm, i.e., early (Op. 18), middle (Opp. 59, 74 and 95), and late (Opp. 127, 130, 131, 132, 133, and 135) works which are clearly analysable in such terms both owing to their stratified chronology and their development of musical language (digestion of Haydn and Mozart in relatively orthodox sonata form in the 'early' period, formally expansive and revolutionary heroism in the 'middle' period, heightened *Innigkeit* and a switch of focus onto less dynamic structures such as fugue and variation in the 'late' period, and so on). Schubert's output in the genre, by contrast, presents problems if one is to divide it into discrete periods. He did not explicitly conceive of string quartets in sets of three or six as was the standard practice of the eighteenth century, nor was there for him any period of creative drought. And although there is a clear general trend of change in his musical output, it does not by any means plot a smooth curve. This is demonstrated by the fact that Quartets Nos 8 and 9, two well-developed and, in some ways, formally experimental works are chronologically followed by the two trios which are on the whole formally conservative.

If a watershed were to be constructed for Schubert's sonata output, it would fall in 1820 with the *Quartettsatz* in C minor. It is this work, composed in Schubert's 'years of crisis' that really marks a change of style from the Haydnesque and Mozartian eighteenth-century inheritance to something more idiosyncratic which belongs firmly in the post-

Classical world of the nineteenth-century.³ Various critical attempts have been made to periodise Schubert's music. Leo Black, for example, argued that it was beneficial 'to look for four periods resembling the four seasons.'⁴ There is some mileage in this, the most obvious being the composition of *Winterreise* in Schubert's 'winter' period. The metaphor is by no means consistent, however. Such works as the B \flat major Piano Sonata, D. 960, and the C major String Quintet, D.956, were also written at that time, not to mention darker works like the *Quartettsatz* and the B minor Symphony being composed during Schubert's 'summer'. Maurice J.E. Brown also uses a seasonal metaphor to describe some of Schubert's music, referring to 'the May-time of *Die schöne Müllerin* and the December of *Winterreise*'.⁵ Although such metaphors add a certain palpability to some carefully selected works, they are not strong enough to form a proper basis for discussion, and there is no evidence that they are based on any kind of analytical enquiry. Schubert did not have a 'late style' - certainly not in the Adornian understanding of the concept, which is to say that Schubert did not have a late style in the sense that Beethoven or Brahms did. Instead, I would argue that Schubert's last works are more reasonably analogous to the works of Beethoven's middle period, not least in their exploration and expansion of new and experimental tonal structures.

While Schubert's final works of the 1820s have received as much critical attention as almost any other music of the century, the early quartets have not, suffering from prejudicial judgements of their stunted, disorganised, or juvenile nature. Yet their contribution to Schubert's ongoing engagement with sonata form merits closer consideration. Notwithstanding this, they have not yet been the subject of any rigorous analysis with

³ On the 'years of crisis', see Thomas A. Denny, 'Schubert's operas: "the judgement of history?"' in Christopher H. Gibbs, ed., *The Cambridge Companion to Schubert* (Cambridge University Press, 1997), p. 230. See also Elizabeth Norman McKay *Franz Schubert: A Biography* (Oxford University Press, 1996), p. 164.

⁴ Leo Black, 'Schubert's Ugly Duckling' in *The Musical Times* 138 (1997), pp. 4-11.

⁵ Maurice J. E. Brown, 'Schubert's Piano Sonatas' in *The Musical Times* 116 (1975), pp. 873-875.

an application of the Sonata Theory as promulgated by Hepokoski and Darcy.⁶ The applications of their theory of sonata form to these earlier works of Schubert will therefore cast illuminating new light on their relation to the more familiar works of the 1820s.

3.1 Why Sonata Theory?

Of all the theories of sonata form that are currently available, why should it be Hepokoski's and Darcy's *Elements of Sonata Theory* to form the theoretical backdrop for the present study? This question is especially important given the recent polemical exchanges between Hepokoski and Caplin, which were published in 2009, and which demonstrate that sonata form, far from garnering widespread agreement on its parameters, is still the subject of lively and sometimes fierce debate on even its most fundamental principles.⁷ The current array of analytical and theoretical works on the subject is diverse, drawing on a wide range of theories. A complete survey of the extant theoretical work on sonata form is beyond the scope of the present study - a fully developed project along these lines would be a PhD in itself. But it is profitable here to consider a representative group of theories, demonstrating the sorts of questions each raises, and the mode of hearing that each invites analysts to adopt. These examples each have their own preoccupations, which inevitably foreground particular components of musical structure, and therefore necessarily relegate others to a lower status. Clearly, to reduce an entire theoretical framework to just one analytical consideration can do a disservice to the theories in question, and this is not my intention here. However, for the present circumstances, it is convenient to give an emphasis to a collection of ideas that each provides to a discussion of a given work.

⁶ One notable and welcome exception is Anne M. Hyland's 'Rhetorical Closure in the First Movement of Schubert's Quartet in C Major, D. 46: A Dialogue with Deformation' in *Music Analysis* 28/1 (2009), pp. 111-142.

⁷ William E. Caplin, James Hepokoski, and James Webster, *Musical Forms, Form, and Formenlehre*, Pieter Bergé (Ed.), (Leuven University Press, 2009).

Since its original publication in 1980, Rosen's *Sonata Forms* has proven to be an enduring and central text. One of its principal achievements has been to develop the Toveyan concept of a tonal drama, leading to the important concept of the large-scale structural dissonance (i.e., the latter part of an exposition is presented in a non-tonic key, and is therefore characterised as a 'dissonant section', requiring large-scale resolution in the recapitulation). Rosen writes that

The Exposition of a sonata form presents the thematic material and articulates the movement from tonic to dominant in various ways so that it takes on the character of a polarization or opposition. The essential character of the opposition may be defined as a large-scale structural dissonance: the material played outside the tonic (i.e., in the second group) is dissonant with respect to the centre of stability, or tonic. Sonata style did not invent the concept of a *dissonant section*, but it was the first style to make it the generating force of an entire movement.⁸

The theory is presented in an approachable prose style, which can similarly be traced to the work of Tovey, and the examples chosen to make a particular point are varied within a reasonable remit. Stock examples come from Haydn, Mozart, and Beethoven, with welcome alternatives offered in the works of C.P.E. Bach, J.C. Bach, Boccherini, Clementi, Hummel, D. Scarlatti, Wagenseil, and others.

One of the overarching ideas in *Sonata Forms* is borrowed from Edward T. Cone, the 'sonata principle'. It was an attempt by Cone to provide a unifying backdrop to sonata procedures in which anything presented in the exposition outside the tonic (and, therefore, as a large-scale structural dissonance) needs to be presented later in the sonata, usually in the recapitulation, either in the tonic, or in a key closer to the tonic. This principle would seem to cover a vast amount of ground. Not only does it cover the majority of sonatas in either major or minor keys whose recapitulations present the previously nontonic second group in the tonic, but it can also account for recapitulations which eschew part or all of their first group (it is not needed because it was structurally con-

⁸ Rosen (1988), p. 229.

sonant in the exposition), other themes that are missing from the recapitulation (they were heard in a key closer to the tonic during the development), and lengthy codas (which present, in the tonic, the 'new theme' from the development, as in Beethoven's *Eroica*). The sonata principle can even account for the more complex structures we find in Schubert's music: for example, in the recapitulation of the first movement of the 'Unfinished' Symphony in B minor, D. 759, the second theme, originally presented in G major (VI) is recapitulated in D major (III), now sharing a key signature with the original tonic, and therefore, arguably, 'closer' to it.

The 'sonata principle' has come under pressure more recently from Hepokoski, who argued, initially in his pointedly titled article 'Beyond the Sonata Principle' and later with Warren Darcy in *Elements of Sonata Theory* itself, that the idea is a problematic one. Although the principle is acknowledged 'to cover all normative situations' in *EST*, the following criticisms are levelled.⁹ Firstly, the claim that off-tonic new material presented in a development section can be brought closer to the tonic in a coda is rebuffed by the authors since there is an abundance of development sections containing new off-tonic material that is never revisited in the sonata. Secondly, the idea that all material presented in the second group needs to be resolved to the tonic, the authors argue, is evidently not true. They give the examples of the first movement of Mozart's Symphony No. 34 in C, K. 338, whose first closing module never reappears elsewhere in the movement, and the first movement of Haydn's Quartet in C, Op. 33, No. 3, 'Bird', some of whose expositional secondary material is omitted in the recapitulation.¹⁰ But perhaps the most pressing criticism is the one developed at length in 'Beyond the Sonata Principle', which pertains to the assertion that *any* of the off-tonic material of the exposition requires structural resolution to, or towards, the tonic. Hepokoski's example from the repertoire here is Beethoven's 'Egmont' Overture, Op. 84, whose recapitulation does

⁹ *EST*, p. 243.

¹⁰ *EST*, p. 243.

not resolve the second theme (originally in A_b, III) to the tonic (F minor or F major), but to D_b major (VI). Not only does Beethoven not present the material in the tonic, the material is not even closer to the tonic - it is further away, notwithstanding the relation of the keys by 5th and its ostensible appeal to Classical conceptions of tonal symmetry and balance which are central to Rosen's work. Comparable examples can be found in Schubert's music too. The second theme of the C major Quintet, D. 956, for example, is first presented in E_b major, but is recapitulated further away in A_b. Are we, therefore, not to regard these structures as sonata forms, notwithstanding their thematic layout? It does not seem entirely clear what Rosen's or Cone's interpretative conditions should be when confronting such a movement. It could be that Schubert's handling of '5th space', as it has been described by Clark, is entirely compatible with the Toveyan conception of tonal balance. Even when 5th space is arranged around rather than from the tonic, one could argue that a sense of tonal balance is still achieved. My own view is that this is the case, although in the tradition of Tovey and Rosen the sense of tonal balance is a specifically Classical one that overwhelmingly pertains to 5th space from tonic to dominant, and from subdominant to tonic. Schubert's arrangement of 5th space from flattened submediant to flattened mediant, for example, does not rest comfortably in the Classical sense of tonal balance and represents, I would argue, a nineteenth-century reinterpretation of such a principle.

It is noteworthy, then, that Rosen has persuasively discussed such tonal schemes elsewhere as being particularly Schubertian. In his discussion of Schubert's *Gretchen am Spinnrade*, D. 118, he remarks that 'The originality of the conception lies not only in the series of waves that persistently drop back into the tonic and start up again until the passion has exhausted itself, but also in the poetry phenomenologically - that is, through Gretchen's sense both of the present reality of the spinning and of the memories of the past, the gradual disappearance of her awareness of the present action.'¹¹

¹¹ Rosen (1997), p. 77.

This is perfectly plausible in the context of a discussion of Schubert's non-Classical tonal strategies in his *Lieder*, but when he does this in a sonata are we to regard such a procedure as outside of the bounds of the genre? Hepokoski argues that, despite its usefulness as a rule of thumb, 'When the sonata principle is isolated as a topic in itself [...] it stands revealed in its utility and reliability as an interpretive tool within the repertory [...] We have surely learned by now that in the most interesting cases it is inadequate to the task at hand.'¹² Such 'interesting cases' that arise in the repertory, and especially in Schubert's sonata forms, might be treated as particularly expressive deformations within Sonata Theory, perhaps even with a particular communicative function that can be inferred from them. But such cases would never be at risk from Sonata Theory of resting outside of the generic thresholds of sonata form.

The more recent, and certainly the more clearly opposed alternative to Hepokoski's and Darcy's Sonata Theory is William E. Caplin's *Classical Form*, which emerged in 1998. The two approaches differ markedly. *Elements of Sonata Theory* takes as its starting point a constellation of generic options, organised into a hierarchy of norms, defaults, and deformations, that are expressed in five paradigms of sonata form - the five 'Types' - which are considered always already to be there as a frame of reference in the minds of composers and audiences. The authors write that

Our intention is not to lay down binding laws or invariant rules concerning either of the parts of a sonata or the sonata as a whole. Instead, we are trying to sketch the outlines of a complex set of common options or generic defaults. It is not that any attempt to recover standard patterns is a flawed enterprise; rather, it is that prior attempts have been inadequately conceived.¹³

In Sonata Theory, the generic map of sonata form is present from the outset as an interpretative tool against which the music can be heard, and in which listeners can orientate themselves formally. By contrast, Caplin's approach in *Classical Form* is to take

¹² Hepokoski (2002), p. 151.

¹³ *EST*, pp. 8-9.

as the starting point not a pre-existing system of generic formal expectations in the minds of composers and listeners, but the initial idea, the seed, which is then treated, within the conditions of the particular set of syntactical conventions of the era, as the basis for the rest of the movement as it grows organically from its starting point. Such an approach is situated in the analytical tradition of Schoenberg and Ratz, and their influence is acknowledged in the book's introduction. One of the theory's main accomplishments is to take principles that emerged in the earlier part of the twentieth century, and combine them with clarity into a unified set of apparatus. These 'formal functions', as Caplin refers to them, include the most fundamental building blocks of music within the Classical style, the most basic of which are the 'sentence' (an idea, its continuation, and a cadential point of punctuation), the 'period' (an antecedent and its consequent), and the 'small ternary'. The theory itself, like the music it is designed to analyse, grows from these small, elementary formal functions, through smaller musical forms (in which such passages can take on 'framing functions', as in the case of introductions and codas), up to the constituent parts of sonata form, and finally to sonata form itself.

Notwithstanding the elegance of the theory, expressed, not least, in the parallelism it demonstrates between small-scale formal functions and complete movements, Hepokoski and Darcy are dismissive of it:

Its opening paragraph proclaimed the need for 'a new theory of classical form,' one that avoids 'ill-defined concepts and ambiguous terminology derived from theories that have long fallen into disrepute.' [...] In the end, what was provided was an elaborate taxonomy of different kinds of phrase-and-section juxtapositions.¹⁴

Although *Classical Form* certainly does provide such a taxonomy, it is inaccurate to reduce it only to this one achievement. It might be said, however, that it is reliant on, and takes most of its ideas from, pre-existing theory (that, primarily, of Schoenberg and Ratz), and essentially develops them in a way that makes them applicable not only to

¹⁴ *EST*, p. 6.

specific thematic ideas and passages, but also to complete movements and complete works, something that never appeared to be Schoenberg's intention.

However elegant Caplin's theory might be, when directed at Schubert's music it will always be at risk of allegations of analytical anachronism, owing to the narrow historical window to which the author limits his investigation. Caplin writes in his introduction that

My investigation is limited to the instrumental music of Haydn, Mozart, and Beethoven as representing the core repertory of the high Viennese classical style (ca. 1780-1810) [...] Though extraordinarily individualistic in melody, rhythm, and dramatic expression, works in this style are grounded in a highly sophisticated set of compositional conventions, what are identified here as formal functions [...] Although tonal music from earlier and later periods (baroque, early classical, romantic, and late romantic) also exhibits formal functionality in a variety of ways, form in these periods is considerably less conventional, thus frustrating the establishment of general principles.¹⁵

So although such principles might be applied to later music - and here we assume Schubert to be a 'romantic' composer (Caplin does not provide dates or definitions for the other musical periods, but I assume 'late romantic' to cover the post-Wagnerian sound world), the risk we run is anachronistically, or even erroneously, to apply his system of terms to a music for which it was never intended, thereby 'frustrating the establishment of general principles.' And although there are clear examples from the later period which may readily lend themselves to Caplin's approach (the opening bars of Brahms's Piano Quintet, Op. 34, for instance, seems to be a perfect example of Caplin's 'sentence' function), the extremely limited historical focus of the study, and the strict adherence to these limits in his musical examples, strongly implies that Schubert's output rests outside the limits of the theory, and that a blanket application of Caplin's formal functions to this repertory would be inappropriate. An example of this can be shown with regard to Schubert's treatment of some of his secondary themes. Caplin writes that the subordinate theme 'is normally thought of as a formal unit' and

¹⁵ Caplin (1998), p. 3.

'ends with a perfect authentic cadence in the subordinate key.'¹⁶ It would be difficult to square this with much of Schubert's later music, whose subordinate themes (to use Caplin's term) begin and end in different keys. Which would we consider to be the subordinate key, the key in which the theme is launched, or the one established by the cadence (i.e. the EEC)?

A similar criticism can, of course, be directed at my employment of Hepokoski's and Darcy's theory, which is, after all, concerned with a similarly narrow repertory which at first seems to precede, and therefore exclude, Schubert's music. I would argue, however, that Hepokoski's and Darcy's Sonata Theory is considerably more flexible than Caplin's theory of formal functions, and although Schubert's music cannot be considered to belong to the primary focus of *EST*, it rests well within the limits of the theory. Firstly, its historical boundaries, given in its subtitle as 'the late-eighteenth-century sonata', are soft. Although most of the musical examples come from works by Mozart and Haydn, Beethoven's compositions are also heavily referenced, and most of these originate from the nineteenth century. Schubert's music is also referenced, although to a lesser degree, along with the works of other nineteenth-century composers such as Mendelssohn, Schumann, Brahms, Tchaikovsky, and Bruckner, demonstrating the theory's wide applicability to music from diverse historical contexts.

The other notable difference between the two theories is that Caplin identifies the three composers he is interested in in his book's subtitle ('A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven'). In Sonata Theory, no such prescription is made, with the presumption that the theory is intended for a much wider array of composers, something that is borne out in the long and varied index of works cited. Although *EST* has been criticised for employing a too narrow set of Mozartian exemplars in critiques by Wingfield and Drabkin, it would be difficult to argue that its

¹⁶ Caplin (1998), p. 97.

use is strictly limited to such exemplars - quite the opposite, as has been demonstrated in recent studies of Elgar (Harper-Scott, 2006) and Nielsen (Grimley, 2010), as well as Hepokoski's own work on Sibelius, and Darcy's on Bruckner, which predate *EST* itself, but which emerged during the book's long period of gestation.¹⁷

Finally, I would like to turn to theories of tonal music that are not solely focused on sonata form. The most important of these, and the most consistently employed by analysts, is Schenker's contrapuntal theory of musical structure. The analytical achievements that have been made using the Schenkerian approach are undeniable, and the theory's flexibility in dealing with a wide range of forms composed over a long period of history is one of its most impressive and enduring legacies. The theory has left an indelible mark on a wide range of approaches to music analysis, and its limits have been routinely stretched far beyond Schenker's initial intentions. The opposition between the positions of Schenker, whose *Ursatz* governs the musical form as a primordial basic shape, projected through various levels of middleground diminution, to a foreground which comprises the surface of the music, and Schoenberg, for whom the surface 'idea' of a piece is the point of departure rather than arrival, is only one of an array of differences between the two approaches. For Schoenberg, the 'idea' is fundamental, and constitutes the motivic essence of the work as it grows organically from its starting point. As stated above, Caplin's work is deeply indebted to this model. But so too are other theories that Caplin eschews. Frisch's work on developing variation, for example, is conspicuous by its absence from Caplin's theory, ironically, as the author admits, because the term itself is Schoenberg's.¹⁸ Nor does Schenkerian theory play a significant role in Caplin's work, something the author admits when he writes that 'The relationship

¹⁷ See Hepokoski (1993), and Darcy (1997).

¹⁸ See Frisch (1984).

of formal function to Schenker's conception of form and to other approaches influenced by him are barely touched on.¹⁹

Attempts have been made to reconcile the two approaches. Janet Schmalfeldt argued in 1991 towards a reconciliation of Schenkerian approaches to form and the broadly thematically orientated ideas of theorists she identifies as Schoenberg, Ratz, and Caplin.²⁰ She argues along the lines that 'when the "complete musical complex" [Caplin] defines is a harmonically stable, non-modulating theme, then, in Schenkerian terms, a theme frequently projects a complete middleground harmonic-contrapuntal structure.'²¹ While this observation seems unobjectionable in the context of late-eighteenth-century music, it becomes more problematic for nineteenth-century music, and particularly Schubert. To borrow again from the example of Schubert's characteristic treatment of his second themes in later works, while Schenkerian theory remains supple to the challenges presented in the music, the fixed Schoenbergian definitions of formal archetypes appear to be a less efficient analytical instrument. While many such 'themes' are experienced as just that - as components of a complete musical utterance with a self-contained identity - they do not always conform even to the 'Looser Formal Regions' identified by Caplin, frequently opening in one key and closing in another in a quite un-Classical way.²² Caplin gives some indication in his introduction as to how the analyst ought to handle such a situation:

Although many situations can easily be seen as exemplars of a given category or procedure, many others defy simple classification. In such cases, one can present the range of options and identify which individual characteristics of the musical

¹⁹ Caplin (1998), p. 5.

²⁰ Schmalfeldt (1991), p. 237.

²¹ Schmalfeldt (1991), pp. 237-238.

²² See Caplin (1998), pp. 97-124.

passage to conform to, and depart from, the definitions of established formal conventions.²³

In this short quotation we can observe the extent of the opposition between Caplin's position and that of Hepokoski and Darcy. In *EST* the authors explicitly state that their position is specifically not about conformity to or departure from a proposed model, but the dialogue that results from such departure.

Conversely, Hepokoski's and Darcy's Sonata Theory actively seeks Schenkerian support for important form-defining structures such as 'essential expositional closure' and 'essential structural closure'.²⁴ The Schenkerian model has also found a permanent home in the kind of semiotic mode of analysis, whose principal text is Agawu's *Playing with Signs*.²⁵ The other important point of style to consider, and which may at first seem slightly tangential, is that the Schoenbergian school is not, on the whole, interested in whole movements, but rather with the way in which small ideas are built into larger works, the four-note motif of Beethoven's Fifth Symphony being a favourite example of this sort. Schoenberg never produced an analysis of a whole movement, and most of his analytical work operates on the level of a few bars of music. By contrast, the Schenkerian approach is reliant on pieces of music being experienced as unified wholes, and is commonly interested in complete movements. Since the remit of the present study relates to Schubert's engagement with sonata form, it is from theories which are interested in complete movements and complete works that the analytical system can most profitably be drawn.

The different questions that each of these analytical approaches aims to answer are diverse. Where an analysis of the motivic working in a piece, perhaps borrowed from

²³ Caplin (1998), p. 4.

²⁴ See *EST*, pp. 147-149, ('Some Schenkerian Implications').

²⁵ See Agawu (1991).

Schoenberg, can demonstrate a certain unity of thematic material, it will be difficult to give an overall impression of form and tonal function with that apparatus alone. Likewise, while a purely Schenkerian approach is extremely flexible, is capable of demonstrating a harmonic-contrapuntal underlying structure, shows how a piece is tonally unified, and even demonstrates what Schenker considered to be the underlying structure of sonata form (the interruption principle), it can underplay important aspects of thematic arrangement that Rosen, Hepokoski, and Darcy are interested in, and the topical discourse that interested Ratner and Agawu. It would appear that of the two more recent theoretical contributions on sonata form, it is Hepokoski's and Darcy's that is the most congenial to combination with the theories of others, acting as a meeting point for analyses primarily interested in motif and topic, those interested in thematic and modular layout, as well as those whose priority is the projection of a governing underlying contrapuntal structure. The authors seem to be quite calm about this, repeatedly emphasising their enthusiasm for further contribution and nuance. They write, in their introductory chapter, that

The proposed construct is intended only as a beginning, as a work-in-progress - not as a fixed set of finalized dicta. As an assemblage of separate subparts, each of which should be subjected to constant testing and refinement, the utility of Sonata Theory as a whole does not rest on the unexceptionable validity of any correctible subpart.²⁶

It is for this reason that, in my view, Sonata Theory offers the most flexible and protean analytical approach to Schubert's sonata forms. Where it alone cannot adequately account for a particular compositional procedure, influences external to the theory can easily be brought to bear on it without sacrificing its own inherent logic. This, I would argue, cannot so easily be said of Caplin's theory of formal functions, in which he rejects alternate theories at the outset, preferring to remain within the much narrower confines of his chosen contexts and repertoire. Above all, Caplin's theory provides a

²⁶ *EST*, p. 9.

precise language for discussing musical syntax in works by the three canonical Viennese classicists, to the exclusion not only of Schubert and the later works of Beethoven, but also of Hummel, Dussek, Clementi, Boccherini, C.P.E. Bach, and others.

Sonata Theory is particularly appealing for a study of Schubert's music for a number of reasons. In the first place, Schubert does not figure large in *EST* as it stands, notwithstanding his importance as a sonata-form composer. One of the aims of the thesis will be to claim a more central place for Schubert with regard to Sonata Theory. More specifically, Sonata Theory identifies a set of musical cruxes which the authors load with structural and rhetorical importance, and many of these small moments have been the enduring topics of debate in the literature on Schubert. One of these is the perceived importance of Schubert's second themes, which in *EST* are rhetorically loaded, charged with the task of achieving expositional and structural closure (EEC and ESC, respectively). Another of these moments is the junction between transition and secondary theme which has so often been a topic of discussion in Schubert's music. The concept of the medial caesura provides a context to discuss just this, and where this moment is given special significance in *EST*, it is downplayed by Caplin, who suggests that such caesuras supervene upon a more continuous formal process. Schubert's idiosyncratic treatment of this moment is widely acknowledged, so much so that Wollenberg considers it to be a 'fingerprint'.²⁷ This is not even to mention that a separate paradigm is offered in *EST* - the 'continuous exposition' - which covers structures in which the medial caesura does not occur. This is extremely rarely encountered in Schubert's output, with only the earliest of the chamber works employing it, which suggests a high degree of importance for the caesura break in Schubert's conception of the form. It is for these reasons that considerable discussion is directed at this concept in Chapter 6 of the thesis.

²⁷ See Wollenberg (2011).

3.2 A Note on Terminology

Deformation is a term which Hepokoski and Darcy take great pains to define in a way that disassociates it from any pejorative connotations ('deformity' and 'deformed' being the most emotionally charged - the authors prefer the construction: 'subject to deformation'). In their own words, 'Deformations are compositional surprises, engaging forays into the unanticipated.'²⁸ The authors' choice of vocabulary might attract a sceptical response. Why, in a study in which a primary goal is to clear away confusing or misleading terminology, would the authors choose a word with a vast array of pre-existing and potentially unhelpful connotations as a central paradigm? The word itself carries diverse meanings that are, on the whole, negative. If something is deformed then it is misshapen, with the assumption that it is imperfect in some way. The obvious example from this standpoint is deformities found in nature, and most commonly in human physiology. There are, however, other more neutral connotations that the word carries. There is the linguistic connotation in which a word is subject to deformation in order to avoid profanity (as is the case with examples such as 'dang' or 'feck'), and in some instances there is an implication that physical pressure has been applied, or that work has been done in order to change something. This might relate to a geological definition in the sense that the application of pressure to rock over time leads to its deformation and metamorphosis. In terms of a definition relating to *Elements of Sonata Theory*, I would suggest that the geological slant would provide a good starting point. The implication that work has been done - that pressure has been applied over time - can serve as a powerful metaphor for an art form whose 'generic options are themselves taken socially to be self-defining.'²⁹ The metaphor is compounded when the definition of deformation is taken to relate to an action or process, rather than a static object. Deformation is something that is ongoing, part of a culture, and the musical works that

²⁸ *EST*, p. 617.

²⁹ *EST*, p. 616.

demonstrate its outcome are better regarded as snapshots of the ongoing process rather than as finished products or immutable artefacts.

3.3 Schubert's Sonata Forms

Chamber Music for Strings

Form in Opening Movements

Among the chamber works for strings, Schubert's first movement sonata structures demonstrate the widest variety of his compositional palette. They deploy a broad range of Classical topics such as *Sturm und Drang*, pastoral, and singing style inherited from the late-eighteenth century, and on the whole they behave formally in a manner that is in line with the Classical [P TR S / C] rotational principle as Hepokoski and Darcy conceive it.³⁰

The Type 2 Opening Movement

The most striking initial observation to make is the relative prevalence of the Type 2 sonata. Six of the nineteen works under scrutiny open with a sonata structure that is, either explicitly or implicitly, in some way related to the Type 2 category.³¹ Often this is quite unequivocally the case and at other times there is room for argument: the *Quartettsatz*, for example, is by no account a textbook case. In *EST* it is described as being 'most fundamentally in dialogue with the Type 2 principle.'³² The work is not easily categorised in simple terms owing to its sophisticated and irregular deployment of

³⁰ For more detail on Classical topics see Ratner (1980), and, especially, Agawu (1991).

³¹ These are the Quartets D. 18 in G minor, D. 46 in C major, D. 74 in D major, D. 94 in D major, D. 173 in G minor, and D. 703 (the *Quartettsatz*) in C minor.

³² *EST*, p. 364.

	P	MC	S	EEC/ESC
Rotation 1	i then ♭VI	i:HC	V	V
Rotation 2	♭VI, ♭II, ♭VII, ♭III	iv:HC	I	I
Rotation 3	i	-	-	-

Table 3.1: Schubert, *Quartettsatz*, D. 703.

keys and thematic material, as well as the relatively clearly articulated developmental space, which is more suggestive of the Type 3 form.

When discussing Schubert's Type 2 first movements, the Quartet in D major, D. 74, is a problematic case. It does not neatly fall into the category owing to the lack of development in the second rotation, even though rotation 2 opens with the primary theme in the dominant (if rotation 2 had opened with a tonic statement of the primary theme, the movement could have been neatly categorised as a Type 1 sonata). There is a clear contradiction in *EST* regarding the categorisation of this movement. It is labelled plainly as a Type 2 movement during a broader discussion of the Type 2 sonata,³³ but earlier in the book the movement is clearly labelled as a Type 1 sonata with a non-normative recapitulatory opening.³⁴ This is an issue that I shall return to below at length. It is no coincidence that this example might easily be dubbed Schubert's 'Pastoral' Quartet. A point made by Robert Hatten concerning the G major Piano Sonata, D. 894, is that the pastoral topic presented on the musical surface is reflected in the broader trajectory of the sonata as a whole.³⁵ One element of this is the relatively simple and nondevelop-

³³ *EST*, p. 364.

³⁴ *EST*, p. 275.

³⁵ Hatten (2004), pp. 53-67.

mental sonata structure of the first movement, which, I argue, is equally the case in the String Quartet in D major, D. 74.

Between the extremes of the concise form found in D. 74 and the more progressive form of the *Quartettsatz* is a continuum of structures which to a greater or lesser degree stray from the standard formula characterised thematically as [A-B|A-B] and tonally as [I-V|V-I]. The Quartet in C major, D. 46 is a highly unorthodox case which follows exactly this tonal plan, but must be regarded as a Type 3 sonata owing to its relatively substantial development section.³⁶ The recapitulatory rotation begins with the primary theme in the dominant and the remainder of the rotation is relatively unchanged, save the necessary adjustment of the tonal trajectory. In this way, Schubert follows Mozart's model of a clearly articulated crux and substantial number of correspondence bars rather than the root-and-branch overhaul of recapitulatory thematic material more typical of Haydn.

Another particularly noteworthy moment in this movement is the strong MC effect at b. 42, establishing what appears to be a I: HC MC. The expected secondary theme in the dominant does not materialise, however, and instead there is a presentation of further P-based material in the tonic, which is closed with a perfect authentic cadence in b. 54 before the tonal argument of the movement is allowed to progress further. The caesura effect would have been an example of the 'bifocal close' that Winter associates strongly with late-eighteenth-century Viennese sonata composition, and especially Mozart.³⁷ D. 46 can not be considered to belong to this practice, however, on the grounds that the MC effect is not followed by a convincing secondary module away from the tonic.

³⁶ See Anne M. Hyland (2009), pp. 111-142.

³⁷ See Robert S. Winter, 'The Bifocal Close and the Evolution of the Viennese Classical Style' in *Journal of the American Musicological Association* 42/2 (1989), pp. 275-337.

	P	MC	S	EEC/ESC
Rotation 1	i	III:HC	III	v
Rotation 2	III	i:HC	i (iv)	i

Table 3.2: Schubert, String Quartet in G minor, D. 173, first movement.

The Quartet in G minor, D. 173, is a potential candidate for the Type 2 sonata set in the minor mode. Thematically, it follows the standard sonata structure with a moderately short developmental retransition after the exposition. But where the exposition plots a normative tonal trajectory from i for P, through III for S, and closing late in the exposition in v, the return of the primary theme at the outset of the recapitulatory rotation is set in III, not the strongly normative i. This is followed by a modified transition and finally the secondary and closing themes are set in the tonic minor. Understanding this movement as being in dialogue with the Type 2 sonata is therefore central to defending it against charges of disorganisation or eccentricity, and, more importantly, provides a framework for making interpretative points about the music that are not reliant on the restrictive, prescribed, and, in this case, potentially counterproductive Type 3 paradigm. The interlude between the end of the exposition and the onset of rotation 2 is too short to be considered a rotation in its own right. It consists solely of thematic material borrowed from the C-theme and therefore should be regarded as conceptually belonging to the end of rotation 1.

The first movements of the Quartets in G minor, D. 18, and D major, D. 94, are also demonstrations of essentially Type 2 sonata trajectories, but which demand special attention as they do not clearly follow the *EST* paradigm of [P TR S / C]. The early G minor Quartet appears to establish a tonic half-close medial caesura (I: HC MC) effect at the end of the continuous exposition which is then repeated. This corresponds to a

similar tonic half close at the end of the recapitulation which is also repeated and followed by a short coda-like section. This is an example of a 'failed sonata' in which the recapitulation does not achieve a satisfactory tonic perfect authentic cadence (i: PAC) and tonal closure is deferred to the coda with a final perfect cadence at bb. 216-217. There is no secondary space in this structure and the formal trajectory is articulated through half-close effects rather than any emphatic perfect authentic cadence until the very end. There is no essential expositional closure, which leads to the sense of a more continuous form that relates retrospectively to the rounded binary forms more common in the eighteenth century.

The tonal scheme in the first movement of D. 18 is particularly strange, given that it is nominally in G minor. The slow introduction begins with a presentation of the main theme in the subdominant, C minor, before a brief turn to the tonic in b. 9 which proves merely to be on the path to d minor (v), where the main theme is presented again, with an accompanying change of key signature from three flats to one flat. The music only begins to settle in the home key of G minor at the change of tempo at b. 40. This kind of exceptional tonal play is not new in and of itself - a similar game can be seen to be played out in the slow introduction of Beethoven's Symphony No. 1 in C - but the changes of key signature do seem remarkable, especially given the smaller scale of the movement compared with the Beethoven symphony.

Related to this, and to cast a more positive light on this work, rather than referring to its 'failed sonata' status, it can be read as a very early example of the kind of directional tonality that Kindermann and Krebs are interested in.³⁸ The first movement does eventually close in G minor, but the finale is not grounded in the tonic at all (major or minor),

³⁸ See Kindermann and Krebs (1996).

but in the relative B \flat major. This is reflected in the Deutsch catalogue, where it is described as being in 'g/B'. This work is important in this regard because the only other early-nineteenth-century works cited by Kindermann and Krebs are the two songs by Schubert, and all the examples of instrumental music come from much later in the century - a demonstration of Schubert's pioneering attitude towards instrumental composition.

The D major Quartet, D. 94, is more thoroughly problematic as the thematic structure is suggestive of a normative form, but this is denied at every stage by the tonal trajectory, which is the source of considerable difficulty if we are to consider the movement to be a sonata structure at all. The movement is multi-modular, of a fully developed length, and is thematically varied. Simply tracing the tonal layout, however, leads to the conclusion that the entirety of the exposition up to the double-bar remains very firmly grounded in the tonic with only the most tentative of references to the dominant at the very end of the expositional rotation, almost with the flavour of an apologetic suggestion of an alternative that was never realised. Throughout the exposition there are allusions to such things as transitional space, secondary themes, a P-based closing zone, and there is even a tonic half-close medial caesura (I: HC MC) at b. 82 which simply relapses into the tonic once again. The only real sense of tonal variety is through modal mixture in what might be considered a pseudo-transitional space (one which neither leads to modulation nor to the opening of a satisfactory secondary theme). The unfolding of a D minor section at b. 64 functions as a contrast to the D major dominance of the exposition. It does not, however, lead to a B \flat or F major theme as one might expect of Schubert, but simply reverts back to D major once again. Determining the tonicisation at the end of the exposition is difficult. There is a G \sharp present, although there is no obvious dominant perfect authentic cadence (V: PAC), and one senses that the exposition, at the very last moment, is left open-ended rather than closing in the dominant.

The recapitulatory rotation is even more problematic. The initial primary theme is set in C major (♭VII!) which even by nineteenth-century tonal standards is exceptional. This is quickly 'corrected' through an obvious resetting of the tonality soon after the onset of the primary theme (bb. 192-196) and followed by an expanded developmental transition as is common in Type 2 sonatas. Again, the sonata achieves a satisfactory tonic perfect authentic cadence essential sonata closure (I: PAC ESC), but deep questions are still raised regarding the *EST* [P TR S / C] model's application in this unusual case.

The Type 3 Opening Movement

The majority of Schubert's opening movements under scrutiny here fall into the Type 3 sonata category. It is in these movements that we find the more fully worked out structures to which a greater musical value historically has been attached. This has been largely as a result of the work of a musicological tradition that constructs Beethoven's music as an aesthetic yardstick against which the work of other (perceivedly lesser) composers is criticised. The roots of this are clearly visible in Schenkerian theory, and continue to be manifested, however critically, in recent anglophone scholarship such as Scott Burnham's *Beethoven Hero*.³⁹ Although Schubert's sonata style remained distinct from Beethoven's, there is a clear shift in compositional method in the works of the 1820s. After the *Quartettsatz* there were no more first movement Type 1 or Type 2 structures, only Type 3, and it is in these pieces that we encounter Schubert's famous 'three-key expositions' of which he is considered a pioneer. Schubert's Type 3 sonatas, as might be expected, tend to be slightly longer than their Type 1 and Type 2 counterparts, and they tend not to demonstrate the expositional difficulties noted above to quite the same extent. The rotational principle with its [P TR S / C] formula is usually

³⁹ Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 1995).

more easily suited to these works, and instances that require a nuancing of this formula involve expanding rather than abridging it.

Type 3 sonatas from the earlier period tend to follow a strongly normative trajectory with only a small number of exceptions. The least developed of this group is the Quartet in C, D. 32, which features a monothematic continuous exposition. After an excursion to the subdominant, the dominant is introduced very late in the exposition and consequently risks entering into some of the compositional complexities already seen in the Type 2 sonatas mentioned above. But in this movement the gravity of the tonic is eventually overcome and the dominant is firmly established with a perfect authentic cadence essential expositional closure (V: PAC EEC) at b. 73, without any need for S space. The only other notable exception to the rule in this period is found in the Quartet in E major, D. 353. The exposition is essentially normative with the secondary theme deployed in the dominant. However, the recapitulatory secondary space is deployed in G major (♭III), which may be interpreted as a foreshadowing of the tonal experimentation to come in the later works.

The four later string chamber works (the Quartets in A minor, D minor, and G major, plus the Quintet in C) each exhibit a unique and highly developed Type 3 first movement. Nevertheless, there is a commonality between them that is in each case expressed through a different structure. With the exception of the A minor Quartet, each of these is a different example of the so-called three-key exposition, and all four works contain at least some element of modal equivalence. For now, a brief overview of some of their salient features would be beneficial before a more in-depth analysis.

	P	MC	S	MC	S	EEC/ESC
Exposition	i	III:HC	III	V:HC	V	v
Recap.	i	I:HC	I	♭VI:HC	♭VI	i

Table 3.3: Schubert, String Quartet No. 14 in D minor, D. 810, 'Death and the Maiden', first movement.

The Quartet in A minor follows a broadly normative sonata trajectory, with the secondary theme deployed in III in the exposition and recapitulated in I. The main initial point of discussion is the primary theme which is presented at first in i and then immediately in I, the tonic major. In a Classical work by Haydn, for example, this strategy would usually be reserved for the recapitulation, rather than 'spilling the beans' at the outset. By making this statement, Schubert is openly declaring the free interchangeability of major and minor, rather than attempting to generate a tension between them. S is recapitulated in the tonic major, as is the rotational closure (ESC) and with very little closing space, but then follows a P-based coda, which closes the movement firmly in the minor mode. The observation of modal interchangeability here is significant because it was not truly normative until at least the second half of the nineteenth century in the Wagnerian sound-world, and later in the early modernist music of Mahler, Strauss, and early Schoenberg. Schubert is distinctive here as the only composer of the first half of the century to experiment with modal equivalence so thoroughly.

The Quartet in D minor, D. 810, features a three-key exposition, which moves from tonic to dominant minor through a secondary theme in the mediant major. It is important to highlight that the second level default v is selected for the essential expositional closure (EEC) rather than the more normative III and that, according to *EST*, in such a case 'the sonata experience unfolds as something to be endured or struggled against,

grimly, determinedly, or stoically.⁴⁰ The extra-musical considerations of this quartet - 'Death and the Maiden' - coupled with this structural observation invite the analyst to investigate further the hermeneutic opportunities within this movement. One of the most important structural elements here is the presence of two medial caesuras in each the exposition and the recapitulation - one for each of the secondary tonal areas. This should be treated within Sonata Theory as an example of the 'trimodular block' (TMB).⁴¹ The secondary theme is presented in III as expected, but does not simply collapse into a dominant minor perfect authentic cadence essential expositional closure (v: PAC EEC). Instead, the secondary theme comes to a close with a mediant perfect authentic cadence (III: PAC), which might be mistaken for an early essential expositional closure. This is followed, however, by a second transition leading to a dominant half-close medial caesura (V: HC MC) followed by a second presentation of secondary material in V. The cadence is subsequently deflected a number of times before establishing a dominant minor perfect authentic cadence essential expositional closure (v: PAC EEC). In *EST* the typical behaviour of the trimodular block is one in which the first secondary zone fails to reach a satisfactory essential expositional closure (EEC) and is 'converted into the preparation for a new MC, possibly including the establishment of a dominant-lock and other features of MC-preparation.'⁴² The present example differs from this scenario as the first secondary zone is successful in securing closure (III: PAC EEC), but this is subsequently rejected in favour of the more fatalistic dominant minor (v: PAC EEC). The resulting expositional rotation therefore takes the expanded form of [P TR¹ MC' S¹ / TR² MC' S² / C].

⁴⁰ *EST*, p. 315.

⁴¹ *EST*, pp. 170-177.

⁴² *EST*, p. 171.

The three-key exposition was not new with Schubert. There are many examples of this type of structure from the eighteenth century. These were present, however, overwhelmingly in minor mode works. Beethoven and Schubert share in equal measure the credit for establishing this possibility in major mode sonata movements, and the G major Quartet, D. 887, and the C major Quintet, D. 956, are two prime examples of this. Both pieces assume a high degree of modal equivalence both as an immediate sonority as well as a structural principle.

The G major Quartet, in a similar vein to the D minor Quartet, prepares each of the tonal stations with its own medial caesura. In this case, there are in fact three medial caesura instances within the exposition alone, generating the expanded rotational plan of [P TR MC' S /^{IV} TR MC' S /^{III} TR MC' S /^V C]. Each medial caesura is of the half-close variety on iii, I, and iii respectively, outlining a strongly mediant flavour. The secondary theme in each case is tonally unstable from the outset but firmly closes in each instance a minor 3rd above the tonality that was promised by the preceding medial caesura - that is to say, in V, \flat III, and V respectively. By the end of the exposition a dominant essential expositional closure (V: PAC EEC) is firmly established. Throughout this long expositional rotation, the principle of variation is constantly in evidence and provides a strong and audible subplot to the overarching expanded sonata trajectory.

The workings of the String Quintet are comparable in a number of ways. There is only one tonic half-close medial caesura (I: HC MC or, arguably, i: HC MC), but this is followed again by an unstable, modulatory secondary zone which opens on \flat III but achieves closure in the dominant (V: PAC EEC) followed by an S-based closing zone. In each of these cases it is the secondary theme which marks the specifically Schubertian unfolding of the expositional trajectory. The secondary theme is particularly notable

in the Quintet for derailing the tonal trajectory established by the preceding medial caesura: the unison G which has been emphatically articulated as the dominant, i.e. the fifth scale degree of C major/minor, is reconfigured at the outset of the secondary zone as the third degree of E_b major, creating a remarkably emotive effect which has been widely commented on.⁴³ The converse of this occurs in Schubert's B_b Piano Trio, D. 898, in which the transitional space leads to a mediant half-close medial caesura (iii: HC MC) resting on the fifth degree in D minor. This is promptly reinterpreted as the third degree in F major as the secondary theme ensues, set in the normative V. Both medial caesura options serve to defamiliarise the subsequent tonal deployment of the secondary zone, which then is responsible for securing the dominant essential expositional closure (V: PAC EEC) in both cases.

The Type 1 Opening Movement

Although the overture in C minor, D. 8, is a stand-alone piece, it is right to treat it alongside opening movements of multi-movement works since the genre of the overture is most akin to such pieces. That said, in the present case this overture represents the only Type 1 sonata structure outside of slow movements and finales. This piece is an excellent example of Schubert's idiosyncratic attitude towards key schemes within sonata structures: the exposition charts a trajectory from i through VI (for the secondary zone) and then IV, establishing the essential expositional closure in that key. There then follows a short closing zone which quickly becomes retransitional. The second rotation (recapitulation) begins normatively in i, but deploys the secondary theme,

⁴³ See: Webster (1978/1979); Peter Gülke, 'In What Respect a Quintet? On the Disposition of Instruments in the String Quintet, D. 956' in Eva Badura-Skoda and Peter Banscombe, eds, *Schubert Studies* (Cambridge, 1982), pp. 173-185; Beach (1993); David Beach, 'Harmony and Linear Progression in Schubert's Music' in *Journal of Music Theory* 38/1 (1994), pp. 1-20; N. Rast, 'Schubert's C major String Quintet, D 956' in *Schubert Durch die Brille* 21 (1998), pp. 111-125; John Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet' in *Musical Quarterly* 84/4 (2000), pp. 619-634; Susan Wollenberg, 'The C Major String Quintet, D956: Schubert's "Dissonance" Quintet' in *Schubert Durch die Brille* 28 (2002), pp. 45-54; and James William Sobaskie, 'The "Problem" of Schubert's String Quintet', in *Nineteenth-Century Music Review* 2 (2005), pp. 57-92.

which was given in VI in the exposition, in V and eventually moving to iv, cadencing in that key for the essential sonata closure, producing a 'failed' sonata. The anticipated tonic perfect authentic cadence (i: PAC) is deferred to the coda. The *EST* formal paradigm of [P TR S / C] is clearly evident in both rotations, but is significantly impacted by the non-normative key relationships that it outlines.

Form in Slow Movements

Ternary Form

A large number of the slow movements we are considering here are heavily in dialogue with the ternary principle. Notwithstanding this, however, a significant number exist somewhere on the continuum between a true ternary structure (ABA') and something nearer to sonata form. Very common in such movements is an A section structured as an internal binary form II:a:II:b a:II which is followed by a tonally more unstable section before the return of the opening, usually in a modified form. The initial internal binary structure closes in the tonic and there is little emphatic tonal motion or cadencing until the dominant preparation for the return of the tonic. The crucial exception to this simple form is the second movement (Adagio) of the C major Quintet, which charts a vast ternary structure of 94 long bars. The A section is closed in the tonic, but contains a modulation to the dominant. The B section is closed in the Neapolitan minor and contains its own articulated modulations. The following A' section is a relatively straightforward variation of A with added deposits of figuration picked up from the stormy central area.

Type 1 Slow Movement Form

	P	MC	S	EEC/ESC
Rotation 1	I	V:HC	V	V
Rotation 2	I, ♭III, ♭iii, III	I:HC	I, IV	I

Table 3.4: Schubert, String Quartet No. 13 in A minor, D. 804, second movement.

Three slow movements in the repertoire at hand follow Type 1 logic. They often exhibit a primary theme in a rounded binary structure and tend to be far less dramatised in terms of strong directed motion towards medial caesura effects, although the principle still underlies the thrust of the music. Frequently in such movements the initial a section is not repeated, generating the form $||a||:b a:II$. These movements comprise two rotations, the first establishing a perfect authentic cadence in the dominant and the second closing in the tonic. In each case a short retransition precedes the second rotation. The slow movement of the A minor Quartet is a notable example of Type 1^{exp}. This is a double-rotational structure in which the first rotation outlines the trajectory of an exposition. The second rotation is regarded as a recapitulation and starts normatively with the primary theme in the tonic. Soon after this, usually between the start of the primary theme and the middle of the transition, a significant developmental interjection occurs, which can vary in length and which usually reaches a ‘crux’, at which point the music begins to correspond to that of the exposition in preparation for the medial caesura. The crux in the slow movement of Quartet No. 13 in A minor occurs very late, to the extent that the entire transition is recomposed and the music only begins to correspond with the onset of the secondary theme. This gives the expansion the flavour of a rondo episode and might easily be mistaken as such, but on the application of *EST*, this is subsumed into the established [P TR S / C] complex of rotation 2.

Type 2 Slow Movement Form

Rotation	Key for P	Key for S
1 (Exposition)	I	VII
2 (Recapitulation)	IV	III
3 (Coda)	I	-

Table 3.5: Schubert, String Quartet in G minor, D. 173, second movement (in B_♭, major).

A more complex version of Schubert's slow movement sonata structures occurs when Type 2 logic is introduced. In the G minor slow movement of the Quartet in B_♭, D. 112, rotation 2 begins in v and moves through VI before returning to the tonic. Conversely, in the B_♭, major slow movement of the Quartet in G minor, D. 173, rotation 2 is deployed starting on IV and charting an identical tonal trajectory to rotation 1: down one semitone over the course of the rotation. The coda half-rotation closes in the tonic, which finishes an overall tonal layout that is quite exceptional (see Table 3.5).

Two Special Cases: Quartet in D minor, D. 810, ii; and Quartet in G major, D.887, ii.

The vast set of variations that comprises the slow movement of the Quartet in D minor, D. 810, is the only example of pure variation form to be found in Schubert's chamber music for strings. Variation form does occur in the other media in which he worked - the Trout Quintet variations as well as variation movements in many solo piano pieces and some of his symphonies - but it does seem to be exceptional in this case and is therefore worthy of note.

The other piece to consider here is the complex second movement of the G major Quartet, D. 887. This is best considered as an extreme example of the Type 2 sonata

with two rotations, the second beginning at b. 83 off the tonic in v and containing a significant amount of development. This development is taken from the transitional material of the exposition and interrupts the rounded binary structure of the opening theme, which is then returned to in the tonic at b. 167. The movement might equally be regarded as an episodic form with three presentations of the theme in i, v, and I respectively, and the main question for the analyst is whether bb. 119-166 should be considered as an independent episode or as an interjection within the overarching trajectory of rotation 2.

Form in Finales

With the exception of the Minuet and Trio type movement, Schubert's finales exhibit the least diversity of any type of movement in that repertoire. Many can be considered to be set in two multi-modular rotations and often with a P-based coda, which lends them the flavour of a rondo or sonata-rondo (Type 4) form found frequently in chamber and symphonic works of Haydn and Beethoven. An alternative view, however, is that the majority of these movements are best regarded as being in dialogue with Type 1 or Type 2 sonata form.

An important observation to make regarding these finales is that they are unified not only structurally, but also topically. There is a striking preponderance (56%) of finales in the 2/4 Polka topic, opening with a primary theme in rounded binary form with double bars and repeat marks. Often, these themes have a Slavic flavour, which has been commented on by Susan Wollenberg in her discussion of the affinities between the instrumental music of Schubert and Dvořák.⁴⁴ The second most common topic for finales (31%) is the presto compound metre type that I shall refer to as the 'scherzo' topic.

⁴⁴ Susan Wollenberg, 'Celebrating Dvořák: Affinities between Schubert and Dvořák' in *The Musical Times* 132, (1991), pp. 434-437.

This is antithetical to the predominant flavour of finales from the period in question: although the Allegro vivace and Presto finales inherited from the previous generation of composers did continue to be well-represented in the era of Beethoven and Schubert, it is clear that tastes were changing and that the more lyrical and leisurely Allegro moderato finale was increasing in popularity. Paradigm examples of this can be found in Beethoven's Allegro ma non troppo finale of his 'Spring' Sonata, Op. 24, with its Type 4 'Rondo' movement, and also in the Allegretto finale of Schubert's Piano Sonata in A major, D. 959. The finales of the works currently in question, however, are notable for the absence of this more leisurely topical flavour in which Schubert indulged in some of his other instrumental genres.

Simple Finale and Rondo Form

The true rondo finale is relatively common in chamber works by Haydn and Beethoven and the concertos of Mozart, but is rare in Schubert's output. The only example of this in his chamber music for strings is the finale of the Trio in B \flat , D. 581. Other than this one example, all of the finales in Schubert's chamber music for strings exhibit at least some sonata element. The Type 3 principle is also rare, with only three examples in the repertoire at hand - Quartet No. 2 in C, D. 32; Quartet No. 8 in B \flat , D. 112; and Quartet No. 10 in E \flat , D. 87. Type 3 finales occur at about the same frequency in the piano sonatas and are more common in the symphonies and mixed chamber works. Type 3s, therefore, should be regarded as a lower level default option for Schubert's finales.

Type 1 Finale Form

Movements with Type 1 logic are a well-represented option (38%) for finales in Schubert's chamber music for strings. Type 1 is represented in a concise way in some earlier works, but more commonly this type of finale is criticised as having large amounts of diverse musical material sprawling across an unnecessarily long movement. It is these movements that have, more than any others, attracted criticism from some analysts in the twentieth century. That said, these pieces are still versions above all of a double-rotational structure that adheres to the central tenets of the Type 1 sonata. It is on this issue that my view of these movements most significantly diverges from the view expressed in *EST*, in which such structures are regarded as fundamentally in dialogue with the Type 4 sonata with some elements of Type 1 logic. I would argue the converse of this: that they are most fundamentally in a double-rotational form with some flavour of the Type 4 sonata-rondo form.

The form follows the basic [P TR S / C] rotational paradigm with some nuances that are common among the extant examples in the repertoire under discussion. The primary theme is invariably structured as a closed binary form with internal repeats. Furthermore, these themes have the character of a rondo refrain and it is these aspects that lead the listener to anticipate a rondo movement. The music after the second half of the binary structure plunges directly into transitional material and achieves a medial caesura in the typical way. The secondary theme is usually deployed in the dominant, achieves a dominant essential expositional closure (V: PAC EEC) and is followed by C material which becomes retransitional and can vary quite widely in length.⁴⁵ Some C⇒RT zones merely introduce a flattened 7th into the prevailing dominant tonality to

⁴⁵ The main exception here is in the finale of the Quartet in A minor, D. 804, in which S is deployed in iii but eventually achieves a V: PAC EEC.

forge a straightforward retransition, as is the case in the A minor Quartet, D. 804.⁴⁶ Some, by contrast, feature a more elaborate and developmental closing zone that slowly winds its way towards an active dominant preceding the onset of rotation 2.

The second rotation in the Type 1 finale always begins with an undeveloped tonic statement of the primary theme, this time without double bars and repeats marks. It is frequently the case at this point for the transition to undergo significant and lengthy development, making the second rotation substantially longer than its predecessor in most cases. This is another aspect of the form that might lead the listener into misunderstanding the movement as a rondo since it is at this point that one might expect the second episode, i.e. the developmental 'C' episode in the traditional analytical nomenclature.⁴⁷ The developmental aspect of this space is often based on primary thematic material, but no matter how lengthy it is, there is always a crux point and correspondence bars which invariably lead to a medial caesura and the secondary theme. Normatively at this point, the secondary theme is deployed in the tonic. There are two exceptions to this. The first is in the A minor Quartet, D. 804, in which it is first deployed in vi before moving to the tonic. The logic here surrounds the transposition down a fifth from the original rotation 1 deployment of the secondary theme in iii leading to the dominant. The second and far more exceptional case is in the B_b major Quartet, D. 68, in which the secondary theme is deployed in C major (III) and is in due course realigned into the tonic before establishing a tonic essential sonata closure (I: PAC ESC). This represents a transposition *up* a fifth from its original deployment in rotation 1. After the essential sonata closure has been secured, closing material ensues and once again becomes retransitional. The P-based coda is central to this form and is yet another false indicator that we are dealing with a rondo structure.

⁴⁶ A forward arrow in *EST* notation indicates 'becomes'.

⁴⁷ See *EST*, pp. 388-403.

Rotation 1	P ^{rf} TR ' S / C RT
Rotation 2	P ^{rf} + developmental episode then RT
Rotation 3	P ^{rf} TR ' S / C RT
Rotation 4	P ^{rf} ⇒

Table 3.6: An orthodox sonata-theoretical reading of Schubert, Quartet in G major, D. 887, finale.

This type of movement is very close to being a rondo, but might better be considered a Type 1 sonata for the simple reason that it has only two rotations. In *EST*, such movements are codified as Type 4¹ or Type 4^{1-exp} in cases where the transitional material in rotation 2 is significantly expanded. These designations, it can be argued, are misleading because they imply that the structure is most fundamentally in dialogue with the Type 4 sonata with some elements of Type 1 logic. A more appropriate label for this sort of sonata structure might be Type 1⁴ simply because it articulates the fundamental double-rotational nature of the form while acknowledging the infiltration of Type 4 flavour.

There are a number of finales in the repertoire under discussion that do not fit so convincingly into the Type 1 category, but nevertheless demonstrate strong evidence of Type 1 strategies which arguably outweigh elements of the other sonata types as delineated in *EST*. The finale of the G major Quartet, D. 887, is a good example to choose when confronting the difficulty of easily categorising Schubert's finales into discrete sonata Types. An orthodox *EST* reading of the form might proceed as shown in Table 3.6.

Rotation 1	P ^{rf} TR ' S / C RT
Rotation 2	P ^{rf} (developmental expansion ending with P
Rotation 3	P ^{rf} (coda)

Table 3.7: An alternative interpretation of Schubert, String Quartet in G major, D. 887, finale.

This demonstrates in a very precise way the form that defines Hepokoski's and Darcy's Type 4 sonata (i.e. the Type 3 Sonata-Rondo Mixture). This is not, however, without its complications. The developmental episode in rotation 2 is enveloped in P^{rf} material and, furthermore, is consistently referencing P^{rf} in a number of varied ways until it is finally resumed in its original form. There are two issues here. Firstly, at the point at which the third rotation begins in the orthodox reading, there is actually very little P^{rf} material deployed before the music launches into the transitional zone. The retransitional effect we are presented with is strongly analogous to the moment within the opening rounded binary form at which the refrain theme is resumed after the first double bar (b. 44). This was neatly summarised by Robert Pascall, who noted that

The form is of a type found rarely in the Classical period, but with examples in the finales of Schubert's C minor and B_♭ sonatas, the G major String Quartet and the String Quintet. After the end of the exposition, the first subject is recapitulated in part, leading to development; the first subject is then resumed at about the point it was previously abandoned.⁴⁸

This, I would argue, leads to a more fluid chain of events and fewer independent rotations. Secondly, the return of P^{rf} at the onset of rotation 3 (in an orthodox reading) is deployed in the dominant, not the tonic. This is not a default option and adds to the overarching trajectory of the music from the start of rotation 2 until the onset of the

⁴⁸ Robert Pascall, 'Brahms and Schubert' in *The Musical Times* 124 (1983).

transition in rotation 3. One alternative interpretation might be to consider this section of the piece as all belonging within one overarching rotation as shown in table 3.7.

There is something to be lost from this reading. The rondo aspect of the piece is significantly diminished, and it may seem to be too liberal an application of *EST* simply to incorporate a relatively significant episode into an overarching rotation. What is gained, however, is that the supposedly expanded primary space in the second rotation reflects in terms of length the very large P^{rf} in rotation 1 which has its own fully realised and lengthy binary structure with repeat marks. Furthermore, aurally, the expansion of the $[P \Rightarrow TR]$ complex is experienced, arguably, as an interjection, possibly even in parentheses, before the resumption of a broader musical argument originating from the onset of rotation 2.

Type 2 Finale Form

Finales containing Type 2 logic are also well-represented in the repertoire we are currently concerned with (31%). Again, it is fundamentally a double-rotational structure very similar in many ways to the Type 1 finale discussed above. The crucial point of difference here, however, is that at the onset of rotation 2 the primary theme is deployed away from the tonic. An early version of this form is demonstrated in the D major Quartet, No. 7, D. 94, in which rotation 1 charts a relatively normative trajectory until midway through the secondary zone where the music unexpectedly veers off to cadence in E major (V of V). This, which must be regarded as the essential expositional closure (EEC), is then followed by a presentation of the primary theme in the same key, which is then developed into a significantly expanded version of the $[P \Rightarrow TR]$ complex. The tonal trajectory remains unstable as the secondary theme is deployed in F major (♭III) before a final tonic coda statement of the primary theme, also adding to the rondo

effect of the music. This movement is tonally erratic and the combination of the off-tonic onset of primary material in rotation 2 with the significance of the developmental expansion thereafter is enough, in my view, to define it clearly as a Type 2 structure.

Type 3 Finale Form

As stated above, Type 3 form is rare in these finales. When it does occur, it is relatively straightforward in its deployment of thematic material and tonal space. The best example of this is the finale of Quartet No. 10 in E_b major, which might very easily pass for a first movement given the sonata structure, the nature of the musical material it contains, and the fact that the exposition is repeated - a rare facet even in the Type 3 finale.

Type 4 Finale Form

There is no example in Schubert's chamber music for strings of a Type 4 sonata-rondo mixture as delineated in *EST* that is completely without complications. A brief overview of the inner workings of the finale of Quartet No. 11 in E major will serve to demonstrate this. Although clearly a Type 4 sonata, there seem to be 5 rotations. Also, the key structure borrows heavily from the tonal strategies found in many of Schubert's Type 3 first movements, as shown in table 3.8.

Rotation 1	P TR MC' S / C RT
	I V: HC V V
Rotation 2	P'
	\flat III \Rightarrow V/IV
Rotation 3	P TR MC' S / C RT
	IV I: HC I V/IV
Rotation 4	P'
	\flat VI \Rightarrow
Rotation 5	pCODA
	I

Table 3.8: Schubert, String Quartet in E major, D. 353, finale.

This map of the movement demonstrates that the principal recapitulatory weight of the movement is found in rotation 3 - another example of the 'subdominant recapitulation' found frequently in Schubert's sonata structures. There is, in addition to this, a secondary tonal axis based on G major/C major whose framework is found in rotations 2 and 4. In this sense, Schubert has manipulated the intrinsic facets of the sonata-rondo in order to construct two simultaneous tonal discourses. The construction of a musical argument across two simultaneous tonal axes is to be considered a characteristic of Schubert's compositional style, particularly in his last works.

Orchestral Works

A survey of Schubert's orchestral works - the nine symphonies and three overtures - results in a similar narrative to that told by his development as a composer of chamber music. These works are spread quite evenly across his years of activity and demonstrate a fairly smooth trend of formal expansion. Again, most analytical attention has

been directed at the symphonies composed later in Schubert's career, namely the 8th ('Unfinished') in B minor and the 9th ('Great') in C major. Analysts have largely ignored the earlier symphonies, and so a comprehensive appraisal will be a valuable asset for reference.

Form in Opening Movements

Schubert's symphonies are much more compositionally conservative than his chamber works. This can be said of most composers who write in both genres and can be attributed to socio-economic factors: symphonies are pushed out to a wider and often less well-educated audience, with the result that they require more widespread and generic appeal. This can be contrasted with chamber music, which is often more experimental owing to the more private and potentially more specialist audience to which it is more frequently directed. The symphonies' relative compositional conservatism is amply demonstrated by the distribution of sonata types within his symphonic opening movements. Seven of these movements are in relatively unproblematic Type 3 structures with the remaining two - No. 4 in C minor ('Tragic'), and No. 5 in B \flat , both of 1816 - structured in two rotations. Symphonies nos 1, 3, and 6 are largely normative. Symphony No. 6 has a secondary theme beginning normatively in the dominant, but with an internal excursion to \flat VII, which is worthy of note. Symphony No. 2 in B \flat is striking because of the tonal plan of the exposition. Starting in the tonic, the music moves through a normative primary zone before becoming more tonally unstable, signalling a potential transition. This turns out to be a false indicator, however, as the music halts the transitional drive to establish a secure tonal station in E \flat , the subdominant. This seems to be a counterproductive strategy from a structural point of view because, after this fairly lengthy and leisurely excursion to the subdominant, the music has to do work to modulate back to the starting position of B \flat from which point the primary theme is sounded once again before the modulation to the dominant can begin.

The first movement of the Eighth Symphony has received as much analytical attention as any symphonic work of the century. The discussion has been varied, but can be largely attributed to four main features:

- 1) the introduction that is at the same tempo as the rest of the movement and which returns twice during the piece;
- 2) the reversed choice of tonality for the secondary zones, the exposition establishing G, the submediant, and the recapitulation establishing D, the mediant (normatively the relative major is sounded in the exposition, which makes the tonal plan of this movement unusual);
- 3) the emphasis on E minor throughout the development section; and, connected to this,
- 4) the swift deflection into E minor soon after the onset of the recapitulatory rotation.

It is no coincidence that the slow movement of this symphony is also in the subdominant, albeit in the major mode - a matter to which I shall return below.

The two birotational first movements are slightly more debatable than their Type 3 counterparts. Hepokoski and Darcy make a tentative argument that the Fifth Symphony is a Type 2 on the basis that the 'development' is purely an expansion of the P^0 idea that leads to P^1 in the subdominant. It could also be argued that the movement is a Type 3 with a 'subdominant recapitulation' - an established deformation. Either scenario seems plausible. The 'Tragic' C minor Symphony, No. 4, seems to be another case in which the secondary tonal stations are reversed, first establishing the submediant for the exposition, and later the relative major for the recapitulation. The tonal plan of this

piece, together with the Type 2 sonata structure betrays a striking similarity with the later *Quartettsatz*, and this is not to mention that both works share the same tonic.

Form in Slow Movements

There is far more variety in the slow movements of Schubert's symphonies compared with his chamber music for strings. In the earlier works, episodic forms seem to prevail, typically based on a simple ABACA or ternary structure. The theme and variations from the second symphony clearly owes a great debt to the slow symphonic movements of Haydn, and is the only one of its type within Schubert's symphonic output. From the Fifth Symphony onwards, however, Schubert elects in each case to set the slow movement in a Type 1 variant which can be considered a strong default for the period. Given the strongly normative position accorded to the Type 1 slow movement, within that framework Schubert undertakes some wildly experimental compositional choices. I refer here specifically to the slow movement of the Eighth Symphony, which undergoes some extremely progressive tonal transformations and has as a result attracted attention from neo-Riemannian analysts in particular. The topics found within these slow movements are predominantly lyrical, with the exception of the expanded Type 1 slow movement of the Ninth Symphony, which has the character of a procession.

Form in Finales

Most of Schubert's symphonic finales are essentially Type 3 structures veiled with themes that are more suggestive of a rondo - that is to say, in Hepokoski's and Darcy's words, 'light, square-cut, and memorable [...and] almost always tonally closed.'⁴⁹ This is not to say, however, that these pieces do not demonstrate some of the unorthodox

⁴⁹ *EST*, p. 405.

Fig. 3.1: Schubert, Symphony No. 2 in B \flat , D. 125, finale, bb. 86-98.

and experimental procedures found in some of Schubert's symphonic opening movements.

One striking example can be found in the finale of the Second Symphony. The tonal plan has echoes of the first movement, with the expositional trajectory first establishing the subdominant rather than the dominant. The medial caesura in this scenario is subject to an unusual deformation that is extremely rare in the first half of the nineteenth century. The music comes to a fermata on IV, a structural emblem to which Hepokoski and Darcy might attach the exclamation 'Brakes on!' as it seems to halt the dynamic progress of the transition before the music 'starts again' at b. 92.

The secondary zones of the exposition and recapitulation are initiated in the subdominant (IV) and submediant (vi) respectively, but the essential expositional closure (EEC)

and essential sonata closure (ESC) reach their goals of dominant and tonic in both cases, further demonstrating Schubert's attraction to the strategy of deploying the unstable secondary zone in the 'wrong' key and allowing a process usually restricted to the transitional module - that of structural modulation and the establishment of the new key via a medial caesura - to encroach into the secondary zone.

There are some equally experimental procedures in the finale of the Third Symphony. Again the exposition establishes the subdominant for the secondary zone before modulating to the dominant for the essential expositional closure. The recapitulation in this case, however, begins with the primary theme in the dominant, not the strongly normative tonic, leading to an overall tonal plan of [I-IV-VIV-I]. This suggests some infiltration of Type 2 tonal logic into what is regarded basically as a Type 3 sonata.

The finale of the Fifth Symphony is by degrees less adventurous in terms of sonata deformations. It is a relatively normative Type 3. The finale of the Ninth Symphony is remarkable, however, for its recapitulatory primary zone being deployed in the flattened mediant (\flat III). It is a Type 3 structure whose developmental zone features a substantial retransition on the dominant (V_A - an active, non-tonicised dominant) which brings the entrance of the primary theme in E_{\flat} major even more sharply into focus. Here, as in the C major String Quintet, we can observe Schubert's late interest in the structural potential of E_{\flat} major in the context of C major.

The Overtures

Schubert's three orchestral overtures are predictably structured as double-rotational sonata forms. The Overture 'In the Italian Style', D. 591, has an unusual tonal plan for Schubert as it establishes A major, the submediant, as the secondary tonal area in the

exposition, rather than the flattened submediant, which is far more common. Other than that excursion to the sharp side, the tonality of the work is normative. Equally, the Overture 'Rosamunde', D. 644, has a broadly normative tonal plan with the exception of the submediant half-close medial caesura (vi: HC MC) in the exposition.

Mixed Chamber Music

The mixed chamber works, as one might expect, are much more heterogeneous than the quartets and the symphonies, certainly owing to their diverse range of instrumental combinations. This observation can be made of many composers who work in diverse genres: the form of a piece of music is often directly related to its instrumentation, with the result that symphonies are most frequently substantially longer than piano sonatas. The principle that form and instrumentation are inseparable is most clearly demonstrated in the genre of the concerto, which Hepokoski and Darcy invoke an entire sonata type to accommodate. Owing to the fact that, by their nature, the forms found in the mixed chamber works operate in diverse instrumental contexts, I shall address them individually as works rather than by treating first movements, slow movements, and finales as unified categories. The works that I shall be referring to, in chronological order, are: the three Violin Sonatinas (1816); the Piano Quintet in A major, the 'Trout', (1819); the Octet for wind and strings in F major (1824); the Arpeggione Sonata in A minor (1824); and the two Piano Trios in B \flat and E \flat (both 1827). The *Notturmo* for piano, violin, and cello, D. 897, is not considered in the discussion below because it is not in sonata form. It is more reasonably comparable to slow movements such as that of the String Quintet, D. 956, and especially the Piano Sonata in B \flat , D. 960, not least because of Schubert's experimental tonal plan in the context of a relatively simple episodic structure. His employment of the Neapolitan as the principal generator of tonal contrast in this work is striking, and bears direct comparison with the slow movement of D.

956 in this regard. That said, a more detailed discussion is beyond the scope of the present study.

Whereas with the chamber music for strings there is a sense of an overarching trajectory, a cohesive project within one genre, the mixed chamber works are better understood as individual studies of the potentialities inherent in specific, unusual, and, in some cases, bizarre combinations of instruments. The motley ensembles of the 'Trout' Quintet (violin, viola, cello, bass, and piano) and the Octet (clarinet, bassoon, horn, 2 violins, viola, cello, and bass) were unprecedented, and although the piano trio can be regarded as a standardised ensemble in the 1820s, Schubert's treatment of the instruments established a new path for the genre in the nineteenth century. If there is to be a unifying factor to be drawn from the instrumentation of these works, it is the various methods used to emancipate the cello part from its duties as a bass instrument. The addition of a double bass part in the A major Quintet and the Octet is one way of doing this. The piano provides ample bass support in the two trios, and there is even evidence of this technique in the chamber music for strings, with the addition of a second cello in the C major String Quintet, and the careful scoring in the G major Quartet, D. 887, particularly in the slow movement during long passages with the viola playing the bass line. Other Schubertian techniques specific to scoring are found in the piano parts, a favourite texture being to score the piano melody in octaves in the upper register of the instrument, as if it were the primo part of a piano duet.

Piano Quintet in A major 'Trout', D. 667

Schubert's Piano Quintet in A is a five-movement work whose first, second, and fifth movements are in sonata form, the third being a Scherzo and the fourth a theme and variations. None of the sonata movements in this work can be said to be normative.

The first movement is a Type 3 with a relatively standard exposition and development, but with a characteristic subdominant recapitulation. The finale in terms of tonal trajectory is the opposite of this, charting a path from I to IV for the exposition, and from V to I for the recapitulation. This tonal plan is exceptional. Although we have seen that Schubert has an attraction to the subdominant within the course of his expositions, in this movement the exposition actually comes to rest there in the same manner as the Second Symphony's finale. The second rotation is of a more or less equal length to the first and there is no link, signalling a Type 1 structure. It begins, however, by plunging straight into the dominant, having just firmly cadenced in the subdominant. This gives the impression of a rift setting the two rotations apart. The music simply starts again and plots a reverse course down a perfect 5th. This tonal plan is to the best of my knowledge unprecedented.

The second movement of this Quintet is more complex tonally. It is another example of a birotational structure best understood as being in dialogue with Type 1, owing to the absence of significant development in its second rotation. In a similar vein to the finale, the second rotation seems to begin in ignorance of what has preceded it. The tonal plan of the exposition charts a course from F major for the primary theme, through F# minor for the secondary zone and to G major for the essential expositional closure and closing zone. The second rotation begins in A \flat and again moves through its own Neapolitan (A minor) before resetting itself in the tonic F for the essential expositional closure. This gives the overall tonal plan of: R1: I- \flat ii-II R2: \flat III-iii-I.

Octet in F major, D. 803

This is a six-movement work of which the first, second, and last movements can be said to be in sonata form, similar to the movement order in the Piano Quintet. The fi-

nale is a relatively unproblematic Type 3 sonata with a slow introduction and a stretto coda. The sonata element of the movement exhibits the 'polka' topic that is found most commonly in the finales of Schubert's string quartets. The first movement is a relatively unproblematic Type 3, again with a slow introduction and a stretto coda. The excursion to the supertonic minor and subdominant soon after the onset of the recapitulation is typical for Schubert writing at this time. The slow movement, similarly to that of the Piano Quintet, gives a more complex tonal layout. It is a birotational sonata that is best regarded as an expanded Type 1, which is fairly typical for slow movements of this era. The normative dominant remains the long-term goal for the exposition, although most of the space between the end of the primary theme and the attainment of the essential expositional closure is spent on the flat side in G \flat , D \flat , and E \flat minor. The second rotation begins normatively in the tonic and has a brief excursion to the subdominant - a normal tonal move for Schubert. But after this, the music goes through some quite outlandish tonal transformations through A \flat minor and B minor to D minor, and eventually to establish a dominant pedal signalling the return to the tonic.

Piano Trio No. 1 in B \flat , D. 898

Schubert's two piano trios, both of 1827, have proven to be among the most enduring of his chamber works, to the extent that they have come to define the genre in the nineteenth century. The first of these, in B \flat major, opens with a Type 3 sonata structure brimming with interest from the perspective of Sonata Theory. As has been observed in some of his other works from the same period, the juncture connecting the two parts of the exposition is treated inventively: the transition drives towards a mediant half-close medial caesura (iii: HC MC) at b. 55, a deformation in itself, but is followed by the secondary zone in the normative dominant. Notwithstanding the fact that the key choice for the medial caesura is subject to deformation, the transitional harmonic drive is crafted in an orthodox way, firmly establishing the mediant harmony. The immediate effect of



Fig. 3.2: Schubert, Piano Trio in B \flat , D. 898, first movement, bb. 53-61.

this is that the normative secondary zone in the dominant is made to sound foreign in the harmonic context established within the transitional zone, the common tone between the two juxtaposed harmonies being A, the root of A major and the third degree of F major, an observation to which I return in Chapter 6. This is related to the early move in the exposition to V of G minor at b. 22, whose corresponding moment in the recapitulation serves as the vi: HC medial caesura b. 240 as Schubert dispenses with the original ternary structure of P. This caesura, in similar fashion, is not followed by the vi harmony that is promised, but rather, moves to I for S in the same pattern as the exposition, and with comparable effect. The other main structural deformation in this movement is the off-tonic recapitulation starting in G \flat major (\flat VI), demonstrating that, while Schubert had abandoned this idea in his chamber music for strings after the *Quartettsatz*, he was still employing the strategy in other genres.

The slow movement of this trio is a ternary structure, although it should be noted that the return of the A section begins in the subdominant (IV), an idea shared between Schubert's sonata forms and his episodic structures. The finale is best regarded as a Type 3 structure. Although its tonal layout is broadly unexceptional, the thematic design is characteristically loosely organised, giving the impression of a mere piling up of ideas rather than a cogent thematic plan. This initial impression, however, is not reflective of the underlining rotational layout. The main sonata space of the movement is set in the typical polka-style duple metre, whereas the developmental space, although motivically linked to the transition, is set in 3/2, lending it the feel of an episode rather than a development in the usual sense. The recapitulation begins inconspicuously with the return of the primary theme in the tonic, with the true essence of recapitulatory arrival only becoming apparent at the start of the transition. The quasi-episodic developmental material returns at the end of the recapitulation to form the first half of the coda, the second half being a TR- and P-based stretto.

Piano Trio No. 2 in E \flat , D. 929

The Trio in E \flat is similar in scale and not dissimilar in character to the B \flat trio. The opening movement is a Type 3 sonata strikingly reminiscent of the 'Eroica' symphony: the key is E \flat major, it is in 3/4 metre with some of the characteristic accents on the weak second and third beats, and the scale of thematic material and some of the tonal excursions add further support to the comparison. One of the only formal aspects of the movement that does not bear comparison with the Eroica is the 'development' section, which is actually not a development at all but simply a large-scale sequence of the C³ module. The retransition that follows, however, with its *piano* cello pizzicatos on the third beats of the bar, the diminished harmonies, and the *piano* anticipation of the P theme, is too similar to the equivalent moment in the Eroica to ignore (see Fig. 3.3).

The image shows a musical score for Schubert's Piano Trio in E-flat major, D. 929, first movement retransition, measures 365-389. The score is in E-flat major and 3/4 time. It features a piano part with a pizzicato section and a violin part with an arco section. The score is divided into four systems, each with a vocal line, a piano line, and a violin line. The piano line includes markings for 'pizz.', 'p', 'ppp', and 'decresc.'. The violin line includes markings for 'arco' and 'p'.

Fig. 3.3: Schubert, Piano Trio in E \flat , D. 929, first movement retransition, bb. 365-389.

The second movement in C minor features the processional topic. It is best regarded as an example of Hepokoski's and Darcy's Type 1^{exp} and is similar in structure to the slow movement of the G major String Quartet in that the developmental expansion of the P \Rightarrow TR complex in the second rotation is expansive enough to suggest an entirely separate episode. Added to the P-based coda, this feature may suggest an episodic formal plan rather than a sonata structure. This analytical judgement should be rejected on the grounds that the sonata trajectory continues unhindered from the end of the expanded section at b. 129 to recapitulate the remainder of the transitional, secondary,

and closing zones. The primary theme returns with significant modification at the end of the movement, acting as a coda.

Sonata in A for Arpeggione, D. 821

The first movement of this work is a sonata structure, with the central slow movement in a much freer bipartite form and the finale in a straightforward rondo format. The first movement is a broadly normative Type 3 sonata whose exposition moves from *i* for P to III for S and C. The main intrigue in the expositional layout is the way in which the secondary theme repeatedly evades the ESC through cadential interruptions, a central characteristic of S owing to its cadential sensitivity, as described in *EST*. The recapitulation is normative for a minor-mode sonata, with P in *i* and S in I, followed by a coda in *i*. The movement can be said to be surprisingly normative, given the stage in Schubert's development in which it emerged.

Three Violin Sonatinas

These can be considered sonatas in miniature, and seem to relate to the much earlier sonata practices of Mozart in their structural scope and their thematic content which is, on the whole, concise. We find, again, some deformational tonal stations that are a compositional commonplace in Schubert's earlier works. The strong attraction to the subdominant is in evidence in all three works, particularly in the recapitulatory space, which is often transposed wholesale down a fifth from the exposition. Type 3 sonatas are found in the first movements, and other movements are on the whole either in Type 3 or Type 1. In all cases, the music is structured in a concise and straightforward way without any of the lengthy developmental and retransitional writing that is found in his later works.

Piano Sonatas

Schubert's sonatas for solo piano comprise a diverse array of forms from the more straightforwardly Classical designs inherited from the eighteenth century to the expansive and discursive works of the last years of his life. In a similar manner to the chamber music, Schubert produced piano sonatas regularly for his whole career, culminating with the big three sonatas in C minor, A major, and B \flat major in 1828.

Form in Opening Movements

The strongly normative Type 3 sonata was Schubert's preferred choice, although within the limits of the tripartite structure there are some unusual deformations to be found. In the sonatas in E \flat , D. 568, in A, D. 664, in D, D. 850, in C minor, D. 958, and in A, D. 959 the structure is normative, with the dominant (or the relative major) established for the EEC and the tonic for the ESC. The late sonata in A major, D. 959, is particularly comment worthy in this regard, since one comes to expect a more experimental treatment of form, particularly during the time of composition. The more unusual writing in this movement can be found in the development section which, as Rosen has observed, mysteriously alternates between C major and B major, creating an unusual sense of stasis.⁵⁰

Other forms are evident in first movements. The sonata in A minor, D. 748, moves from i for P, which features a strong subdominant pull as per the Second Symphony, to V for S. This is unusual for the period, since a more common tonal choice for the EEC would have been VI.⁵¹ There are examples from later in the century which follow a path from i to V, such as Borodin's Third Symphony, also in A minor. The effect is a tonally glowing secondary zone which is audibly distant from the dark tonic, owing to the four sharps added to the key signature.

⁵⁰ Rosen (1980), p. 360.

⁵¹ See *EST*, p. 317.

P space structured as a ternary form occurs twice in these movements. The most famous instance is in the B \flat Sonata, in which the tonic P^{1.1} envelops P^{1.2} set in G \flat major (\flat VI), with tonal repercussions throughout the movement.⁵² The less commonly cited example is in the G major Sonata, D. 894, in which P^{1.1} envelops P^{1.2} on an F \sharp pedal (V of iii, or V of III). Admittedly, the structural repercussions are not as explicitly worked out here as they are in the B \flat Sonata, whose secondary theme is deployed in G \flat minor (\flat vi), written enharmonically as F \sharp minor.

Form in Slow Movements

The slow movements of the piano sonatas demonstrate two predominant forms. Simple ternary form is a common choice in early and later works alike. When sonata form is used, it is Type 1 that emerges as the default. Again, within the restrictions of the form, some inventive tonal plans emerge. The D major slow movement of the Sonata in A major, D. 664, moves from D major to F \sharp minor (iii) and finally to G major (IV) during the exposition. Equally deformational is the slow middle movement of the A minor Sonata, D. 784, which moves from F major (I) to C major (V) in the first rotation, and from C major back to F in the second rotation. These Type 1 slow movements tend to be short and concise, contrasting with the sometimes lengthy and discursive ternary structures.

Form in Finales

In the finale movements of the piano sonatas, Type 4 is the default with Type 3 emerging only once, in the Sonata in B major, D. 575, and rondo form only once in the Sonata in G major, D. 894. It is common for these finales to be given the title 'Rondo', even though most of them are a sonata-rondo mixture, which highlights the disparity

⁵² See Pesic (1990), Fisk (1997), and Marston (2000).

between the generic use of the term at the time of composition and its more recent usage as a didactic tool.

The tonal plans of these movements tend to be more loosely arranged than those found in first movements, reflecting the more casually organised and non-obligatory nature of finales in general. Although there are some examples of the presto-type 'whirlwind' finale, notably in the Sonatas in A minor, D. 784, and C minor, D. 958, the default mood in the piano sonatas is the more leisurely and lyrical allegro moderato-type movement. The finale of the C minor Sonata might be compared with the finales of the last two quartets, with their rhythmic and motivic homogeneity.

3.4 Preliminary Conclusions

This exercise has aimed to produce a broad set of data to be called upon in the remainder of the thesis. Certain already well-documented trends have re-emerged in Schubert's handling of sonata form from the perspective of Hepokoski's and Darcy's Sonata Theory, which include, but are not limited to, recapitulations that begin away from the tonic; secondary themes that occur in non-normative tonal regions; mixing of sonata types to create composite forms; introduction of other forms (rondo, variation, episodic forms) into sonata space; and expansion, particularly in the later works, of the *EST* rotational model. The analytical survey has also, more importantly, performed a supplementary role. Schubert's music goes largely unacknowledged in *EST*, owing in large part to the remit of the book stated plainly in its subtitle ('Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata', my italics), notwithstanding the grand claims the authors make of their theory's potential usefulness for analysis of a much wider musical repertoire. After having made a thorough exploration of Schubert's sonata forms in the light of the particular structures that Sonata Theory draws our attention to, it will be beneficial now to outline what more Sonata Theory can add to our understanding of Schubert's treatment of the form than has been available until now.

Rotation is regarded as foundational in Sonata Theory, and figures large in Hepokoski's output more generally - particularly his work on Sibelius.⁵³ In *EST* it is noted that sometimes the number of rotations contained within a given sonata space is difficult to establish clearly. It is interesting, as noted above, that to make this point the authors turn to Schubert's Fifth Symphony in B \flat , as an example of what would previously have been thought of simply as a development section actually being tagged onto the end of the expositional rotation, resulting in a bipartite scheme and not a tripartite one. It turns out that this, for Schubert, is not an exception at all since the observation is a recurrent one. Although examples of this, perhaps owing to their nature, are sometimes not particularly clearly defined, they do seem to arise with relative frequency. The Quartet in G minor, D. 173-i, is one important example, and there are some finale movements which, with some imagination, and keeping in mind the rotational principle, can be regarded as being structured in two parts rather than three. These would include the finales of D. 810, D. 887, D. 956, and D. 958, as well as the *Quartettsatz*. Curiously, some of these movements have been the most prone to suffering from now outmoded charges of excessive length that were outlined in Chapter 2. It seems that the consensus in pre-1978 Schubert scholarship was to view these movements as a mere piling up of ideas, rather than to perceive an overarching rotational plan.

Particular attention is drawn to Schubert's handling of the medial caesura in the course of the survey. Where previous readings have attributed a particular expressive effect to Schubert's exploration of distant and especially 'flat-side' tonal relations, usually paired with lyrical themes,⁵⁴ Sonata Theory invites the listener and analyst to direct attention away from the themes themselves and more towards the moment of punctuation which connects them. This acts as the touchpoint that unifies the group of works which have

⁵³ See Hepokoski (1993).

⁵⁴ See Webster (1978).

attracted the observation that lyricism and flat-side modulation are linked. If this is not convincing in and of itself, attention need only be drawn once again to the Piano Trio in B \flat , D. 898, whose MC effect is comparable with the more frequently cited examples of the String Quintet, D. 956, and the G major Quartet, D. 887, but whose secondary zone, as noted above, is in the normative dominant. This seems to be a clear demonstration that it is not, as was previously thought, a distant tonal region from the *overall* tonic of the work that produces the expressive effect that has been associated with Schubert, but a distant tonal relation with the *local* key in which the MC is grounded.

On a separate but related issue, Schubert's tonal schemes more generally attract comment in light of the above survey. It has been widely acknowledged, as noted above, that Schubert frequently launches his recapitulatory space away from the tonic. However, it has been assumed that the so-called subdominant recapitulation was the principal manifestation of this deformation. This chapter shows that the subdominant does not even occur in a majority of off-tonic recapitulatory launches. Schubert's practice in such situations, when they do occur, is actually far more loosely organised, with recapitulations beginning on \flat III (D. 944-iv), IV (D. 125-i, D. 485-i, D. 667-i), V (D. 74-i and vi, D. 200-iv, D. 667-v), \flat VI (D. 898-i), and even \flat VII (D. 94-i). The structural and expressive effects seem to be different in each of these cases. A recapitulation beginning on the dominant, for example, represents a continuation of the tonal tensions generated in the exposition which are gradually relaxed as the piece moves back towards the tonic - quite different from the effect produced by a recapitulation beginning on the subdominant, which is an even further relaxed tonal relation than the tonic itself. The chromatically inflected keys of \flat III, \flat VI, and \flat VII each produce yet further effects which differ markedly from the diatonic options. \flat III and \flat VI might be understood as yet another step removed from the dominant, as an arpeggiation and neighbouring function respectively. The eccentric \flat VII is more difficult to fathom, but one option might be to perceive it as a yet further extension of the subdominant function, moving one step

further along the flat side of the circle of fifths, and with a correspondingly more powerful 'anti-dominant' effect.

Similarly, commentary on Schubert's choice of key for his secondary themes seems to have been limited to his use of $\flat VI$ in much of the analytical literature, with the important exception of $\flat III$ in D. 956, recapitulated in $\flat VI$. $\sharp v$, the minor-mode enharmonic equivalent of $\flat VI$ does appear in the opening movements of two late works, D. 929 and D. 960. But it has emerged as a result of the above survey that no such limitation to the flat submediant exists in Schubert's palette of alternate tonal options. Although V for the start of the secondary zone (in major-mode works) remains normative for Schubert, and $\flat VI$ remains an important characteristic and expressive alternative, an array of diverse options seem to be equally open to exploration.

Schubert's employment of the supertonic is particularly striking, emerging as a secondary tonal centre in the recapitulation of D. 68-iv. Likewise, the use of the major submediant (VI) in the Overture 'In the Italian Style', D. 590, is an important exception to the general trend in Schubert of modulation on the flat side. The deployment of the secondary zone in $\flat III$ in the recapitulation of D. 353-i might be compared with his well-documented interest in $\flat VI$, although interestingly in this work the choice of $\flat III$ is not paired with $\flat VI$ in the exposition, which charts a normative trajectory from tonic to dominant. The most striking key to emerge as a tonal centre for the secondary zone, however, is the subdominant, which occurs in the expositional rotations of D. 36-iv, D. 125-i and iv, D. 200-iv, and D. 667-iv, and in the recapitulatory rotation of D. 200-i. The subdominant appearing in the recapitulation is perhaps less remarkable since, to borrow an expression from Rosen, it behaves as a kind of anti-dominant (also noted above), helping to balance the dominant weighting of the exposition. This occurs in a number of works of other composers, notably in Beethoven's 'Ghost' Trio, Op. 70, No. 1, first movement, in which the subdominant is briefly visited during the recapitulation of the

secondary theme. What is remarkable is that the subdominant is chosen for the *expositional* plan in the movements noted above. It has been an analytical commonplace that Schubert frequently employs the subdominant in the recapitulation. His use of the subdominant in the exposition is perhaps less firmly established.

All the more remarkable, then, is the fact that the EEC and ESC in Schubert's sonata forms show a strong tendency to occur in the normative locations of V and I (for major-mode sonatas) and III and i (for minor-mode sonatas). This shows that, when S opens in a deformationally distant key, it still usually fulfils the task of securing a relatively non-deformational sort of closure. This might be understood as an extension of Mozart's practice of launching S in a tonally unstable way, particularly in his piano sonatas. Most frequently this is done by launching the S theme over a V^6_3 or (less commonly) V^6_4 harmony. It is then the task of the secondary zone to root itself more firmly in the dominant by achieving a V^5_3 harmony via a perfect cadence. Some examples of this practice include the first movements of Mozart's K. 254, K. 310, K. 457, K. 533, K. 545. Schubert's practice is comparable in that the secondary zone does not function as an harmonically self-sufficient or static unit, but is charged with the task of securing the EEC or ESC from some distance away. In Mozart's case, the work to be done involves rooting an inverted harmony. In Schubert's it is to perform some more distant harmonic transformation, leading to a perfect cadence.

In a minority of cases Schubert's expositions do not close at all, resulting in what Hepokoski and Darcy term a 'failed exposition'. The Classical point of reference here is Haydn's String Quartet in G minor, Op. 20, No. 3, but this does occur in a variety of musics from different historical and generic contexts which include the Type-4 finale of Beethoven's Second Symphony as well as the first movement of Tchaikovsky's Sixth Symphony. The effect is different in each of these cases. In the Haydn quartet the tonal plan is derailed at the end of the exposition, 'remain[ing] stranded on a chordal emblem

of baffled perplexity, $\text{vii}^{\circ 4}_3$ of the original G minor.⁵⁵ In the Beethoven symphony, the secondary zone is not punctuated by a perfect cadence, but blends into the retransition, and Tchaikovsky evades closure in his Sixth Symphony by perpetually resisting melodic descent.⁵⁶ Schubert defies closure in a number of different ways. In his Overture, D. 8A, closure is achieved, but in the 'wrong' key, the subdominant. It is then left to the coda to achieve a cadence in the tonic. The Quartet in C major, D. 32, follows Beethoven's and Haydn's example of bypassing cadential closure and blending the secondary zone with the retransition. There is also the exceptional example of the completely open-ended exposition in the first movements of the early Quartet, D. 18.

Sonata Theory draws attention to certain signposts in any given movement, and the way they are handled in the context of the generic system in which they operate. This survey has shown that there are a number of observable and repeated features in Schubert's forms which Sonata Theory gives special significance to. Schubert's treatment of the medial caesura moment becomes particularly remarkable when viewed through the lens of Sonata Theory, and his tonal choices are also highlighted, and have proven to be a lot more loosely organised than was previously thought. There is also evidence of a relative preference for the bipartite Type 1 and Type 2 sonatas, in contrast to the strongly normative Type 3 in the period under discussion. These observations are in no small part in response to the inclusion of Schubert's early works, and particularly his early string quartets, in the analytical work that has been done. Although this is of benefit in and of itself, it also helps to inform a clearer picture of his later practice.

⁵⁵ *EST*, p. 178.

⁵⁶ See Hepokoski (2001), p. 449.

4. Sonata Theory: A Critique

One of the major successes of *EST* is to establish a comprehensive array of analytical tools which can be applied to a relatively broad range of musics, setting up the framework for more extended interpretation. Notwithstanding this, it is a study that throws a very sharp focus on the (narrowly defined) Classical repertoire and takes numerous works of Haydn and Mozart as its stock examples. The musical structures that are examined here are often presented as taking root in an earlier musical era and stemming from such composers as C.P.E. Bach, J.C. Bach, J.S. Bach, Gluck, D. Scarlatti, and Vivaldi. Haydn and Mozart are taken as the central composers, with the earlier works of Beethoven also being included to a large extent, along with a clutch of lesser composers from the late-eighteenth century. It is the collection of works from this era which forms the backbone of the study both in terms of establishing the foundational principles of the theory as well as nuancing it with counter-examples and identifying instances in which the music departs from the norm, producing deformations. Further to this core focus, the study extends well beyond 1800 and cites examples from a large pool of nineteenth-century composers as diverse as Berlioz, Brahms, Bruckner, Chopin, Dvořák, Franck, Gade, Glazunov, Glinka, Liszt, Mahler, Mendelssohn, Rimsky-Korsakov, Rossini, Saint-Saëns, Schubert, Schumann, Sibelius, Strauss, Tchaikovsky, Verdi, Wagner, and Weber. Some of the figures in this extensive list are clearly more central to the study than others: Mendelssohn, for instance, is of greater relevance to a theory of sonata form than Verdi simply because he worked in genres that more typically engaged with sonata form. Some of the musical citations of such composers are treated in exactly the same manner as those of Haydn and Mozart, that is, to exemplify an aspect of the theory. Other examples, however, are used to show how post-Classical composers increasingly strayed from the normative formula and in ever more inventive ways. At every stage, however, a hierarchy of perceived centre and periphery is

constructed through the concept of 'deformation', which is treated by the authors as foundational. This is worth examining.

4.1 'Deformation' and 'Rotation'

There are two overarching concepts in *EST*, 'rotation' and 'deformation', that are the subjects of a concluding note in the book.¹ Deformation is a term the authors use in the context of the extent to which a composer at any given stage of his composition strays from the perceived norm. This can be at a local level of primary, transitional, and secondary zones, for example; at a broader level of the overall trajectory of an exposition; or at the large scale of a whole movement or even a whole multi-movement work. The medial caesura serves as a good example of this. In any given major-mode sonata exposition the dominant half-close medial caesura (V: HC MC) represents a moderately strong first-level default option. The second-level default is the tonic half close variety (I: HC MC) and finally the rarer dominant perfect authentic cadence medial caesura (V: PAC MC) is the third-level default. Any medial caesura instance other than these three would be regarded as a deformation since it would belong outside the limits of what could reasonably be expected within a late-eighteenth-century sonata. The same logic might equally be applied to the selection of a particular sonata type for a given movement within a multi-movement work. In the opening movement of a given late-eighteenth-century three-movement piano sonata, for example, the Type 3 structure would be an extremely strong first-level default option, whereas in the subsequent movements it would not be so strong, or might even be at a lower default level. The Type 4 sonata is so rare in opening sonata movements that it would in that context be regarded as a deformation in spite of the fact that in finales it is quite common. This idea is central to *EST* since, according to its authors, the methodology is 'dialogic rather than conformational.' The authors continue:

¹ *EST*, pp. 611-621.

It is not the task of a sonata merely to 'conform' to a pre-existing template. On the contrary, a sonata is a musical utterance that is set into dialogue with generic options that are themselves taken socially to be self-defining (establishing the guidelines for composition and reception under the categories of the genre).²

One of the challenges presented, then, is to investigate to what extent the concept of deformation changes in sonata composition after the focal period of *EST*. Do rare practices considered deformational by late-eighteenth-century reckoning become more normative in the nineteenth century? Are there some aspects of sonata form that require composer-specific attention (as is the case with both Mozart and, especially, Haydn and the continuous exposition)? Particularly relevant to the present study is whether these issues specifically affect Schubert, a relatively obscure figure in his own time and many of whose greatest works were published decades after his death, only after their subsequent revival by Schumann and Brahms. In Schubert's case I would like to offer at this early stage the premise that there are some routes through sonata space that are considered deformational in general terms, but that within his own oeuvre have to be considered as more normative or even as a composer-specific default in some instances. This surely is the case with many composers. Haydn has already been cited as an example owing to the frequency with which he departs from generic norms and the industriousness and inventiveness of his approach to challenging such norms. To take another example, Mendelssohn's use of the so-called 'de-energising development' or 'de-energising retransition' which denotes the way in which the point just before the recapitulation is, contrary to the inherited Beethovenian expectation, the point of lowest dramatic tension.³ This is in direct contradiction of the established norm at the end of the retransition, dramatising the onset of the recapitulation

² *EST*, pp. 615-616.

³ See Rosen (1988), p. 364.

through a progressive building of tension. The de-energising strategy is, however, a relative commonplace within Mendelssohn's own self-constructed system of norms and default levels. There may indeed be scope to approach this issue from the opposite perspective: if a composer engages in one deformation so regularly that it becomes normalised within his own oeuvre, does this mean on the rare occasion that he engages with the respective global default procedure that it has a redoubled meaning in that context by summoning a basic and normative poetic form?

Julian Horton and Paul Wingfield have explored this phenomenon extensively in another example from Mendelssohn, that of the abridged recapitulation.⁴ For Horton and Wingfield, the significantly telescoped recapitulatory space in many of Mendelssohn's forms casts doubt on the very concept of deformation. If these structures are employed with such considerable regularity as to become the norm, in what sense can one talk of norms and deformations as fixed points of reference? For Schubert, as I shall argue, there is a particularly strong case to be made for considering his compositional mannerisms both outwardly in the context of the wider repertoire as well as inwardly in the more limited context of his own compositional output. The principle of deformation is the enabling factor in this regard, but it must be employed with care in such circumstances that are outside the primary focus of *EST*.

At any given point in the course of a piece of music, the analyst can relate what is occurring to a hierarchy of expectations that are derived from the statistical frequency with which they occur within the wider repertoire. Typically, there will be a 'norm', which is the most statistically frequent option. This is followed by a hierarchy of defaults that

⁴ Julian Horton and Paul Wingfield, 'Norm and Deformation in Mendelssohn's Sonata Forms' in Nicole Grimes and Angela R. Mace, eds, *Mendelssohn Perspectives* (Ashgate, 2012), pp. 83-112. See also the discussion of the abridged recapitulation in the first movement of Haydn's String Quartet in B \flat , Op. 64, No. 3 in James Hepokoski, 'Beyond the Sonata Principle' in *Journal of the American Musicological Society* 55/1 (2002) pp. 91-154.

become progressively less likely. At the extreme end of the spectrum the analyst arrives at deformation. Richard Taruskin offers a line of criticism specific to Sonata Theory with regard to this concept. His argument resides on the boundary of the effectiveness of the term. He argues, 'I have always wondered [...] whether there is a point at which "deformation" no longer serves to account for difference, and, if anywhere, Hepokoski would locate that point.'⁵ He goes on to say,

When, having described a monothematic exposition, an elided recapitulation, a coda that's all new material, and [a purely episodic] middle section...Hepokoski is still confident that we are dealing with something traceable to a Beethoven first movement, I have to wonder whether the tracing, like so many of the factitious or adventitious connections that form the conventional tale of music history, has not been drawn retrospectively and then narrated progressively.⁶

There are a number of responses that can be offered to Taruskin's critique. Firstly, he demands that we should accept that the various sonata attributes that he lists are all deformations of one sort or another. This is simply not true - the monothematic exposition is treated in *EST* as a new paradigm, not a two-part exposition subjected to deformation. Secondly, if we are to accept the idea of such an outrageous collection of supposed deformations all to coincide in one movement, there is nothing to say that such a piece exists. It could be argued that the notion of a purely episodic development and an elided recapitulation in the same movement is impossible, since the two structures are mutually exclusive. Then, if we are to accept all that Taruskin says in this short passage, does it not highlight one of the central benefits of having the concept of deformation in the analytical toolbox? Were such a piece of music to exist (and I do not

⁵ Richard Taruskin, 'Speed Bumps', in *Nineteenth-Century Music* 29/2 (2005), p. 200. This comment pre-dates *EST* and is based on work published in the preceding years, especially in James Hepokoski's contribution, 'Beethoven Reception: The Symphonic Tradition', Jim Samson, ed., *The Cambridge History of Nineteenth-Century Music*, (Cambridge: Cambridge University Press, 2001), pp. 424-459.

⁶ Taruskin (2005), p. 201.

know of one, not from the years around 1800 at least), then the deformation principle is the factor that enables the analyst to comment on the outrageousness of the composition and to offer an interpretation of its structure. No piece is composed in a generic vacuum, and a reading of this piece that invokes the concept of deformation would be particularly effective, it could be argued. Finally, on his comment regarding 'retrospective' tracing narrated 'progressively', I would ask, what is the problem with this? Theory and analysis are, after all, current activities that are continually evolving, and do not necessarily owe such a debt to the past as Taruskin is suggesting here.

The second term I shall address is even more nebulous than the deformation principle and is certainly more universal since it has an impact on every sonata movement in existence as well as the majority of other forms from the period in question. The foundational principle of 'rotation' forms the basis of most instrumental forms of tonal music. Rotation is the term used in *EST*, and by James Hepokoski in his broader writing, to denote the way in which a lot of music cycles through material from the outset only to return to its point of departure and cycle through the material a number of subsequent times, often modifying the material as it unfolds.⁷ In this way, rotation is more than a simple repetition scheme. It is grounded, as Hepokoski and Darcy put it, 'in a dialectic of persistent loss (the permanent death of each instant as it lapses into the next) and the impulse to seek a temporal "return to the origin," a cyclical renewal and rebeginning.'⁸ This principle is clearly evident in simple musical structures such as strophic songs and variation movements, as well as in more complex multimodular structures such as rondo and ritornello forms. Indeed, it might be regarded as so universal that one would be challenged to find a piece of tonal music that did not express at least some rotational element: simple ternary form (ABA') describes one rotation (AB) fol-

⁷ See James Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: CUP, 1993).

⁸ *EST*, p. 611.

lowed by a modified half-rotation (A') and even in some pieces of music that might be considered unitary in form - some of Chopin's *préludes*, for example - there is often at least the tacit potential for the music to continue on to another rotation, even if it is not practically realised in the piece itself.

The principle of rotation has a special significance in sonata form in determining the particular type which governs the structure of a given movement. In *EST* a comprehensive discussion of the five sonata types forms a large part of the study - 259 pages in length - and the authors insist throughout the book that the number of rotations in any given sonata structure is the overriding factor in determining which sonata type is in evidence. It is the foundational principle of rotation and its impact on Hepokoski's and Darcy's Sonata Types, as well as the overarching principle of deformation that I would like to explore in the remainder of this chapter. Both are clearly crucial to an appraisal of any composer's compositional strategies in sonata form, and Schubert's music offers a unique opportunity to reflect on some of the issues raised by these principles.

4.2 The Sonata Types and the Preponderance of Types 1 and 2

One of the best-documented issues that musical analysts have grappled with since the mid-nineteenth century is the problem of constructing a definition of 'sonata'. In the years surrounding the inception of the term 'sonata form' it was indeed regarded as a form *per se*. Hepokoski and Darcy cite the years 1824-40 as those in which the term first came into usage in German-language musico-theoretical discourse.⁹ A. B. Marx's conception of sonata form still exists in the *Formenlehre* dictionary-style definition which contains some principles which are still generally upheld (such as an exposition

⁹ *EST*, p. 343.

which modulates to a related key) but which also stipulates some very restricted and contemporaneous ideas such as gendered thematic material.¹⁰ One point of issue here is that clearly to define any aspect of sonata form is to create a situation where the rule is outnumbered by its multifarious exceptions; however, to evade this problem is to produce a definition so general as to descend into meaninglessness. Neither option is attractive.

English-language scholarship in the twentieth century regarded sonata as more a principle than a restricted form. Hepokoski and Darcy cite Tovey, Ratner, and especially Rosen as representative of this idea. Rosen's 'sonata principle' is based on the construction of 'a large-scale dissonance [...] the material played outside the tonic (i.e., in the second group) is dissonant with respect to the centre of stability, or tonic.'¹¹ This dissonance is then resolved in the recapitulation by transposing all previously non-tonic material into the tonic, or a key closer to the tonic. Although the idea of 'sonata-as-principle' offers a more flexible framework for analysis than the rigid textbook definition, it is not without its own restrictions and has been rejected by Hepokoski partially on the grounds that there are many examples of sonata forms whose recapitulations do not resolve the tonal tensions generated in the exposition.¹² There is also the problem in *Sonata Forms* that the book is almost solely reliant on a relatively restricted selection of works that are chosen at the author's delectation which do not provide an appropriately sized data sample, and which are loosely coordinated, providing an easy reading experience at the expense of theoretical rigour.

¹⁰ James Hepokoski critiques the gendered conception of sonata form in 'Masculine. Feminine. Are Current Readings of Sonata Form in Terms of a 'Masculine' and 'Feminine' Dichotomy Exaggerated?' in *The Musical Times*, 135 (1994), pp. 494-499.

¹¹ Rosen (1988), p. 229.

¹² James Hepokoski, 'Beyond the Sonata Principle' in *Journal of the American Musicological Society*, 55/1 (2002), pp. 91-154. See also 'Back and Forth from "Egmont": Beethoven, Mozart, and the Nonresolving Recapitulation' in *Nineteenth-Century Music*, 25/2 (2002), pp. 127-154.

The solution offered in *EST* to this notoriously slippery subject is to regard sonata neither as a prescribed form nor as a principle but as a 'regulative idea guiding analytical interpretation.'¹³ It is this openness and flexibility that leads to the five types which, in their various ways, invite analysis that is guided above all by generic expectations and the extent to which at each juncture of the form the music strays from them. That said, the method of codifying sonata form into various discrete types is common between Rosen and Hepokoski and Darcy.

It is clear, however, that the sonata types described in *EST* are far more nuanced than the assessment provided in *Sonata Forms*. Rosen's four sonata types 'correspond fairly well to whichever movement of the sonata as a whole [that] employs them most frequently',¹⁴ as he puts it. That is to say, Rosen's first type, 'First-Movement Sonata Form', corresponds to *EST* Type 3; Rosen's second type, 'Slow-Movement Form', is akin to *EST* Type 1; and his fourth type, 'Finale Sonata Form', corresponds closely to *EST* Type 4. Rosen's third type, 'Minuet Sonata Form', does not adhere closely to any of the *EST* Sonata Types, but would probably exist somewhere on a continuum between Type 1 and Type 3. *EST* Type 5 has a place in *Sonata Forms* but Type 2 is scarcely mentioned.

Hepokoski and Darcy treat their sonata types in a way that attaches them less to specific movements within the multi-movement sonata than Rosen does (although they by no means ignore the statistical preponderance of certain types for certain moments). It is the authors' intention to lay the foundations for a more neutral nomenclature for dis-

¹³ *EST*, p. 343.

¹⁴ Rosen (1988), p. 98.

cussion, hence assigning numbers to their types rather than words. However, they do ally their types to particular composers who exemplify them. This tactic is primarily founded on a statistical basis but, where statistics cease to make a stand-alone case, a certain amount of judgement plays a part. A case where statistics alone are enough to make a convincing argument, and also the case in which the composer is most explicitly cited, is in the Type 5 sonata (sonata-ritornello mixture). Mozart is clearly regarded as the central composer here, primarily owing to the large corpus of Type 5 sonatas he composed and the relatively low level of competition he is perceived to have, with his piano concertos alone dwarfing the combined concerto output of Haydn, Beethoven, and Schubert.

There is proportionately less of a case to be made when assigning a particular figure to the other sonata Types, since they are broadly used by lots of different composers. The Type 4 sonata-rondo mixture was also used commonly by Mozart, one of the stock examples given in *EST* being the Allegro grazioso finale of his Piano Sonata in B \flat , K. 333. It is also clear that both Beethoven and Schubert also used this form regularly enough to warrant significant comment. But the composer who is singled out as the foremost proponent is Haydn, specifically in relation to the sonata-rondo finales of his 'London' symphonies. Much of the special attention given to Haydn in this regard is on the grounds of his inventiveness. Haydn generally suffers as a result of this characteristic in *EST* since his music tends more frequently to diverge from established norms rather than to exemplify them. The authors comment that 'While Haydn's high-pressure, bar-to-bar originality is a source of delight for attentive listeners, the same quality makes him a difficult composer to use as a frequent source for paradigms on form.'¹⁵ The principal virtue that Hepokoski and Darcy read into Haydn's Type 4 finales is the versatility and fluidity with which he treats his material. The typically 'naive' and 'problem-

¹⁵ *EST*, p. 413.

free' thematic content is continually reorganised in inventive, unpredictable, and in some cases turbulent ways, but which in each case underpins the Type 4 strategy which is itself considered to be one of the more fluid sonata types (as opposed to, say, Type 1 which is perceived to be more rigid and therefore less in need of lengthy clarification and nuance).¹⁶

As for the Type 3 sonata, it should be stated at the outset that it is regarded as the basic default setting in *EST*, as well as historically. A. B. Marx's definition is most akin to the Type 3 sonata, and one has only to look at the arrangement of *EST* and *Sonata Forms* to realise that the starting point of the study of sonata form is the three-part structure with exposition, development, and recapitulation. Indeed, both studies mentioned above give dedicated chapters to the three broad sections, and *EST* only starts to direct attention towards other sonata types in Chapter 16, more than halfway through the book. From a statistical perspective, the Type 3 sonata is extremely common in outer movements of multi-movement works from Haydn onwards. There can be few composers in the period in question who do not engage in Type 3 structures as a matter of course (excepting those who have dedicated their careers to programmatic, miniaturist, and vocal genres). This makes the assignment of a particular composer to Type 3 on a statistical basis alone an impossibility. With that in mind, however, the key facet of the Type 3 sonata which sets it apart from the others is its fully worked-out central development. Historically, the composer who has attracted the most attention in this regard is clearly Beethoven. This was the case for Tovey as well as Schenker, and Hepokoski and Darcy follow suit, locating the Type 3 paradigm squarely with Beethoven.

¹⁶ *EST*, p. 413.

So where does this leave Types 1 and 2? Both are double-rotational structures and are given considerably less attention in *EST* than the Type 3 paradigm or the Type 4 and Type 5 sonatas, which are regarded as expansions of Type 3 in their respective ways.¹⁷ The Type 2 sonata is regarded as having its complications, and is given a dedicated chapter to address some of these (although it is considerably shorter than the space given to Types 3, 4, and 5). That said, the Type 2 sonata is generally considered to be a more primitive form than Type 3, perhaps because it has fewer rotations, added to the historical issue that it had fallen out of favour by the high-Classical period having once been the default option for first-movement form and subsequently being all but replaced by the Type 3 form. The Type 1 sonata, however, is only afforded seven pages of attention, presumably on account of the fact that it has largely been dealt with in the preceding chapters and is regarded as a reduction of the Type 3 paradigm that has already covered the essential aspects of exposition and recapitulation. Hepokoski's and Darcy's opening remark on the Type 1 sonata reads:

Sometimes referred to as a sonata form without development, this pattern is the most elementary type of double-rotational sonata. The essence of the Type 1 sonata lies in the minimal retransitional link (or lack of a link) between the two large-structural blocks: the expositional and recapitulatory rotations.¹⁸

Type 1, then, is defined more by the absence of certain components than as a point of origin for Sonata Theory.

¹⁷ The basic Type 4 sonata-rondo mixture in full should be notated as Type 4³ since it is an expanded version of Type 3. There is also a rondo-inflected version of Type 1, which is always notated as Type 4¹.

¹⁸ *EST*, p. 345.

As far as it is possible to tell from the two short chapters of *EST* dealing with Type 1 and Type 2, apparently regarded as primitive, deficient, or inferior alternatives to the basic Type 3 sonata, no single composer is assigned to either type. Typically reserved for opera overtures, Mozart's Overture to *The Marriage of Figaro* is cited as a stock example of Type 1, along with 'most of Rossini's overtures.'¹⁹ Other composers cited include Beethoven, Schubert, and Brahms, particularly in relation to finale form and concert overtures. As for the Type 2 form, a much more conscious effort is directed towards situating it historically as an outgrowth of the Baroque form used by Scarlatti in his keyboard sonatas. The development of Type 2 is charted from the 1730s and 1740s and then through the music of J.C. Bach, C.P.E. Bach, Stamitz, and early Mozart, all the while establishing the statistical consideration that it was used in comparative frequency as an option for first movements with the Type 1 and Type 3 forms, before gradually being replaced altogether by the Type 3 sonata around 1770.²⁰ It is partially as a result of this that the Type 2 option, when it does appear in music after 1770 and into the nineteenth century, has caused some controversy and has even been maligned as eccentric or deficient. Hepokoski and Darcy cite Type 2 instances from Mozart, Haydn, Schubert, Mendelssohn, Brahms, Wagner, and Mahler. But even though the authors accept that scholars have viewed Type 2 through 'the Type 3 sonata-form lenses that the analytical tradition has given us to perceive these later works - the wrong lenses, we would argue', they still regard the Type 2 sonata to be a point of issue.²¹ This may simply be down to its relative statistical underrepresentation (and therefore significance), but it is also as a result of their fresh view of the form after decades of controversial scrutiny in its treatment in musicology.

¹⁹ *EST*, p. 344.

²⁰ See *EST*, p. 363: 'A wider view of European practice demonstrates that Type 2s occurred less often than did Type 3s. This was increasingly the case as the decades passed, and it was particularly the case after 1770, by which point the Type 2 format was becoming a far less frequently employed choice. As composers grew to favour the perhaps more dramatic Type 3 structures (with full recapitulations), the Type 2 option was pushed to the margins.'

²¹ *EST*, p. 364.

If we are to further Hepokoski's and Darcy's alliance of the various sonata types with their significant exponents, should Schubert not be a principal candidate for Types 1 and 2? Unlike the majority of composers who reserve these Types (Type 1 especially) for overtures alone, Schubert uses these forms explicitly in outer movements of multi-movement works. Although it has been acknowledged that double-rotational structures are found in a minority of finales, particularly by Brahms, they seem to be especially rare in opening movements composed after Hepokoski's and Darcy's proposed watershed date of 1770. One slightly later example of the moribund Type 2 is found in the first movement of Mozart's D major Piano Sonata, K. 311, of 1777, but it declined quickly thereafter and was largely rejected by the high-Classical generation represented by Beethoven, who strongly favoured the drama of the Type 3 development and double-return model. It seems that the only significant concentration of double-rotational opening movements is found in the works - particularly the chamber music - that Schubert composed in the second decade of the nineteenth century. Not only this but, as I have argued, Schubert was introducing elements of Type 2 logic into structures that are also partially governed by the more common Types of the era.

4.3 The Off-tonic Recapitulation and the Underplay of Tonality in the Rotation Principle

One of the most commonly discussed and widely acknowledged Schubertian structures is the off-tonic recapitulation. This is most often discussed in relation to recapitulatory rotations that begin in the subdominant, and Schubert is allied with Mozart in this regard, who is another frequent exponent of the strategy. This proved to be a problem for Schenker. Although he published no analysis of any piece by Schubert featuring this characteristic (or an off-tonic recapitulation in any other key), Schenker did publish a graph of Mozart's Sonata in C major, K. 545 (1st movement), in *Free Composition* (Fig.

124, shown here as Fig. 4.1). This sonata has a recapitulation beginning in IV (for the primary theme) and moving to I (for the secondary and closing zones), and is discussed by Clark in *Analyzing Schubert*, in which she remarks that where as late as 1923 Schenker regarded the return of the primary theme as the start of the recapitulation, he later asserted that the subdominant delayed 'the onset of the recapitulation, which had for Schenker come to be inextricably associated with the retaking of the primary tone and tonic.'²² The absence of bar numbers after the end of the exposition in this graph is revealing in regard of this.

The subdominant was not Schubert's only alternative key to open the recapitulatory rotation, and was not even in the majority of cases. Up to the watershed work regarding his chamber music for strings - the *Quartettsatz* - pre-dominant harmonies were options (II and IV) and also the more unusual \flat VII is in evidence. Another option used a number of times is to open the recapitulation in the dominant itself, generating a tonally symmetrical form that is rare by nineteenth-century standards. The minor mode equivalent is also an option used, as observed above, in which the recapitulation opens in the relative major. Of the string quartets, six have opening movements which feature off-tonic recapitulatory rotations, four of which demonstrate the type of tonal symmetry described above. In the works after the watershed Schubert abandoned the off-tonic recapitulation for first movements in his chamber music for strings, although the strategy continued to influence music in other media (especially mixed chamber works) and in his finale composition.

Schubert is a leading proponent of the off-tonic recapitulation. Hepokoski and Darcy cite this option within the Type 3 sonata explicitly as a deformation.²³ The authors have

²² Clark (2011), p. 209.

²³ *EST*, p. 260.

Mozart, Sonata in C Major, K. 545, 1st mvt. (cf. Fig. 124, 5a)

1. m. 4 12 14 28

A 3 A 2 A 1

I (Exd.) (div.) V 5 (8 - - 17) Dev. - I Recap.)

Fig 4.1: Schenker's analysis of Mozart, Piano Sonata in C, K. 545, first movement, from *Free Composition*, supplement, Fig. 47/1.

a specific interpretation of the recapitulation starting on the dominant as a 'splaying of two ideas normally kept separate [...] dominant preparation and thematic return.'²⁴ This may equally be a valid understanding of some of the pre-dominant keys that Schubert chooses to launch the recapitulation in, albeit a further step removed from the normative double-return. In some cases the tonality is quickly reset after the onset of the primary theme, but in other instances entire sonata modules are sounded in the 'wrong key', as it were. Hepokoski and Darcy cite Schubert as being a leading proponent of this type of deformation, using the pithy but emotive terminology of 'tonal alienation' to capture the hermeneutic potential of this compositional strategy.²⁵

This raises a very specific problem for Schubert's music in particular. He frequently adopts this strategy, in spite of the fact that it is subject to deformation. I would argue that the strategy is borrowed from the Type 2 logic of starting a rotation away from the tonic - indeed, this is a central feature of the Type 2 sonata.²⁶ Hepokoski and Darcy tentatively allude to this similarity in a brief discussion of Schubert's 5th Symphony, which is made even more complex owing to its relatively short development, which is under-

²⁴ *EST*, p. 276.

²⁵ *EST*, p. 278.

²⁶ Most developmental rotations start away from the tonic, but are usually not designed to balance the exposition, unlike the second rotation of the Type 2 sonata.

stood as 'a vast expansion of the P^{1.0} idea'.²⁷ By making this assessment, the authors are attempting to telescope the development section of this perceptibly Type 3 movement into the broader trajectory of the second rotation of a Type 2 structure. Their reason for this, presumably, is that by their own theory Type 2 can only ever have two rotations.²⁸ And herein lies a potential shortfall of *Elements of Sonata Theory*. The overarching principle of rotation is a fluid one. It is triggered by the return of material whether or not it is intact and, crucially for Schubert, whether or not it has been transposed. This makes it an extremely versatile global principle, but it is in the end, essentially, blind to tonal factors, which therefore demand external nuance.

The problems that are encountered from the Schubertian perspective continue. In Chapter 17 of *Elements of Sonata Theory*, Hepokoski and Darcy write: 'The differing characteristics of their second rotations distinguish the Type 1 from the Type 2 format. In the Type 1 sonata [...] the second rotation, following a non-repeated exposition, begins with an intact P sounded *in the tonic*.'²⁹ Their italicisation of the tonal element of this description suggests that it is, if not an essential aspect of the form, strongly normative. In the earlier chapter on non-normative recapitulations, however, they provide a pre-emptory caveat that is worth quoting in full:

In its simplest manifestations a dominant recapitulation can be a variant of the Type 1 sonata [...] such a variant is counterdefinitional to our view of the normative Type 1 sonata which we regard as identifying itself with a *tonic* return to P [...] This produces a bi-rotational scheme in which a two-part exposition moves from I to V and the immediately succeeding recapitulation reverses this course, moving from V (for P) to I (for S and C), and in which there is no significant developmental expansion

²⁷ *EST*, p. 267.

²⁸ The option of a third P-based coda rotation is a common aspect of the form also.

²⁹ *EST*, p. 353

within the recapitulatory rotation. (If there were - for instance, if P^{1.2} or TR¹ were enlarged into a development - we would classify it as a Type 2 sonata).³⁰

The authors cite the example of the first and last movements of Quartet No. 6 in D major, D. 74, neither of which contain developmental space and both featuring recapitulations starting on the dominant, as variants of the Type 1 format owing to the absence of any significant developmental expansion of the primary or transitional zones. The technical difference between one type and the next in this case seems to be so slight as to prompt a discussion surrounding the underlying 'digital' nature of the *EST* sonata type categorisation system. The authors have created a system wherein tokens (pieces of music) are pigeonholed as discrete types (one of the five sonata types). Great pains are taken to nuance the tokens under the umbrella of their governing type, and with enormous success, but only the occasional nod is given towards the notion that these types might spill into one another.

One such nod in this direction comes at the end of Hepokoski's and Darcy's chapter on Type 2 under the subheading 'Confronting Hard Cases: Flexibility in Sonata-Type Recognition'.³¹ The authors suggest that their five types are 'not "real" in the normal sense of the word' and they 'do not seek to reify them or make them rigid'. They write of 'occasional gray areas [where] blends and overlaps among the sonata types are possible, even if they are not regularly encountered in standard-repertory works.' If, by 'standard repertory works', Hepokoski and Darcy are referring specifically to Haydn, Mozart, and Beethoven then I am inclined to agree. Where our instincts part company, however, is on the subject of Schubert's music.

³⁰ *EST*, p. 275.

³¹ *EST*, pp. 386-387.

It has been noted before that some of Schubert's instrumental works seem to blur the boundaries of normative musical form. David Beach seeks to articulate the schism between the sonata form element of Schubert's works, specifically the C major String Quintet and the 'Trout' Quintet, and an orthodox Schenkerian reading of these works in his 1993 article 'Schubert's Experiments in Sonata Form: Formal-Tonal Design versus Underlying Structure'.³² Similarly, Nicholas Marston has constructed a persuasive argument about the nature of the tonic in the recapitulation of Schubert's B \flat Piano Sonata, D. 960, as being analogous to the alienation of the protagonist. He writes that 'In the first movement of D. 960, "home", the "homely", is rendered distinctly *unheimlich* at bar 254.'³³ This, it may be argued, creates another sort of schism - a double-meaning embedded in the tonal events of the recapitulation.

I have tried to demonstrate in my employment of *EST* that Schubert more than any other composer before him (even Haydn) was making a considered project across his career out of exploiting the nodes that exist between different sonata types. One of the challenges that Schubert's music presents to *Elements of Sonata Theory*, then, is to address those cases in which the digital framework of the sonata types, perhaps modelled on the three central composers of the First Viennese School, is called into question by the analogue nature of the structures that Schubert's compositional practice demonstrates.

Criticisms of *EST* have fallen into three broad categories. These are firstly a critique of the analytical language that is proposed; secondly, of the theoretical models that are proposed; and thirdly, a critique of the exemplars that are used to demonstrate these

³² Beach (1993), pp. 1-18.

³³ Nicholas Marston, 'Schubert's Homecoming' in *Journal of the Royal Musical Association*, 125/2 (2000), pp. 248-270.

models. The first of these I would broadly dismiss. Far from being an impenetrable jargon, the system of terms has a clarifying effect, and I would argue to preserve them, with the added option of expanding their usage as the object of study demands it. The second set of criticisms - of the substance of the theory - I would also reject on the whole. The system of cadential goals and their achievement (or failure) through the multimodular system of rotations is an elegant theoretical solution to the perceived problems in previous theories of Rosen, Tovey, and others. The final criticism, on the narrowness of the authors' sonata exemplars, being largely restricted to Mozart, I partially sympathise with. Although it is clear that Mozart generated a more readily usable set of normative compositional exemplars than, say, Haydn, the evidential component of the theory stands on too narrow a base. Michael Spitzer has recently highlighted the problems of considering the classical symphonic style on the basis of 'the notion of a "big three" of mature artists', and I would agree that more examples ought to come from a broader practice that includes C.P.E. Bach, J.C. Bach, Sammartini, Boccherini, Alberti, and others, although in a study of this length it would be to the exclusion of a certain number of Mozartian examples.³⁴

One other curiosity that should be noted is that such a vast number of examples from the nineteenth century are cited (although printed examples are rare), notwithstanding the theory's clear remit identified in its subtitle. It is not entirely clear whether the theoretical arguments that are promoted ought to be extended directly to nineteenth-century sonata practices, or whether they demand modification. This is perhaps the most obvious area for the future development of Sonata Theory, but which seems to have been avoided in *EST*, with remarks on works from the period 1870-1900 being made usually in a brief and relatively uncomplicated way. It is not clear, for instance, whether the authors identify the 'late-eighteenth-century sonata' simply as a formal paradigm which

³⁴ See Michael Spitzer, 'Six Great Early Symphonists' in Julian Horton, ed., *The Cambridge Companion to the Symphony* (Cambridge: Cambridge University Press, 2013), p. 133.

persisted for the entirety of the nineteenth century, sharply contrasting with the early-eighteenth-century sonata, which can be traced back to instrumental music of the seventeenth century.

What Sonata Theory can do for Schubert analysis, as I have aimed to show, is to provide a language to talk about his particular engagement with the form, to demonstrate how trends emerge within his output, and to show how these trends operate within the coordinates of a genre system. Schubert's engagement with a bipartite sonata structure (sonata types 1 and 2) is far more extensive than the strongly Beethovenian tripartite arrangement (Type 3), and even in this form, Schubert frequently avoids the heroic 'double-return' model. Schubert's particular handling of the medial caesura, which will be returned to at length in Chapter 6, can also be traced with particular clarity owing to the theoretical models that Sonata Theory offers, and again, trends can be charted which provide a broad basis for discussion.

The next task is to develop an interpretative method that can be applied to analytical observations that reaches beyond the restrictedly formal and analytical scope of Sonata Theory as it stands. The survey of Schubert's forms that has been made in the course of the preceding chapter will help to inform and guide a new interpretative strategy that will be explored at length later in the thesis, and will provide a broad foundation for further discussion. What is missing from this survey, and what Chapter 5 will aim to achieve, is a certain critical distance from Sonata Theory, and music analysis more generally. This will help to guide a more thorough interpretation of Schubert's engagement with sonata form in a general way, as well as more specifically in the case studies at the end of the thesis.

5. Intertextuality, Hermeneutics, and Psychoanalysis

The task now is to carve out an interpretative method with which to address formal analytical observations. Given sonata form's long history, statistical prominence, and the considerable analytical repayment it demands in instrumental music of the period in question, an intertextual model is an attractive option. Since Julia Kristeva coined the term *intertextualité* in 1966, it has acquired many meanings and has been adopted in diverse ways. Kristeva's original intention was to replace the notion of 'intersubjectivity' - the idea that meaning is transferred directly from writer to reader. Instead, Kristeva asserts: 'toute texte est absorption et transformation d'un autre text' (any text is an absorption and transformation of another text).¹ Her work in this area involves a synthesis of Ferdinand de Saussure's semiotics and Mikhail Bakhtin's dialogism.

Saussure's work concerns the way in which signifiers do not refer directly to signifieds, but only to the system in which they operate (be it the English language, a map of Europe, or a set of traffic lights). Bakhtin's dialogism is more concerned with the way in which context (social, political, generic) necessarily bears on the meaning of a word or a text. Bakhtin famously wrote that 'A word is a bridge thrown between myself and another. If one end of the bridge depends on me, then the other depends on my addressee.'² The simple example of the differences in meaning of the word 'gay' in, say, the 1950s (happy, lighthearted, carefree, brightly coloured) and today (a homosexual) serves to demonstrate the centrality of context in the use of language. Bakhtin, then, attempts to address the cultural and social aspects of linguistic meaning, while Saussure addresses the structural aspect. Kristeva's work represents a move away from the

¹ Julia Kristeva, *Sémeiotiké* (Paris: Ed. Du Seuil, 1969), p. 164.

² Mikhail Bakhtin and Valentin Volosinov, *Marxism and the Philosophy of Language*, L. Matejka and I. R. Titunik, trans., (Harvard University Press, 1986), p. 86.

Bakhtinian emphasis on human subjects and the social contexts they inhabit, and puts more focus on the abstract ideas of text and intertext. Since the late 1960s, intertextuality as a term has taken on many more meanings, sometimes being used as a synonym for influence, parody, plagiarism, or allusion, but in its strictest definition, intertextuality commands that any and every text is an intertext, and, following Roland Barthes in 'The Death of the Author', the origins of any text are not in the mind of the creator, but in other texts.³

Sonata Theory is already heavily indebted to the vast field of literary and critical theory, as Hepokoski and Darcy state quite clearly when they write:

[...] drawing upon strands of phenomenology, Gestalt psychology, and current studies in cognition [...] human perception is influenced by a drive to make wholes, coherent shapes and continuities, out of otherwise merely successive, scattered, disparate, or partial information. We seek to fill gaps, to fashion incompleteness into a recognizable totality, to find meaningful patterns in what might otherwise be random - in short, to make the cohesiveness we crave.⁴

This seems to echo Alan Street's argument in his 'Superior Myths, Dogmatic Allegories', a detailed discussion of the same problem of generating coherence in musical works.⁵ Hepokoski's and Darcy's solution is to execute a kind of philosophical turn in the analytical process, away from the empiricism of identifying properties that are located 'in' the work, and towards the realm of hermeneutics and the interpretative process. The authors' invocation of Wolfgang Iser's *The Act of Reading: A Theory of Aesthetic Response* may be enough to put beyond doubt Sonata Theory's literary and

³ Roland Barthes, 'la mort de l'auteur' (1967) in *Oeuvres complètes. Tome II: 1966-1973* (Paris: Seuil, 1993), pp. 491-495 [English Translation by Stephen Heath: 'The Death of the Author' in *Image - Music - Text*. (New York: Hill, 1977) pp. 142-148].

⁴ *EST*, p. 340.

⁵ Alan Street, 'Superior Myths, Dogmatic Allegories' in *Music Analysis 1* (1989), pp. 77-123.

critical underpinning.⁶ But there is also a lengthy discussion in the appendix of *EST* entitled 'Some Grounding Principles of Sonata Theory' in which Hepokoski and Darcy state that 'Sonata Theory is grounded in a blend of many strains of later-twentieth-century thought', and go on to reference the work of theorists as diverse as Mikhail Bakhtin, E. H. Gombrich, Alistair Fowler, Tzvetan Torodov, Hans Robert Jauss, Adena Rosmarin, Fredric Jameson, Thomas O. Beebee, and Margaret Cohen on genre theory; Edmund Husserl, Martin Heidegger, Roman Ingarden, Jean-Paul Sartre, and Maurice Merleau-Ponty on phenomenology; Hans-Georg Gadamer on hermeneutics; and an array of social theories emerging from Pierre Bourdieu, Anthony Giddens, Niklas Luhmann, Jürgen Habermas, Raymond Williams, Theodor W. Adorno, Peter and Christa Bürger, Terry Eagleton, Roland Barthes, Michel Foucault, Jacques Derrida, Jean Baudrillard and Slavoj Žižek.⁷

The most immediately pressing of these for Sonata Theory seems to be the phenomenology of Husserl and Heidegger, which provides the basis for the mindset that Hepokoski and Darcy invite the analyst to adopt: as listeners, Sonata Theory invites us to experience the music as a succession of 'nows', continually retaining and recalling events that have passed, and projecting their likely consequences in the future. But while sonata-theoretical observations point out the generic significance of musical events in a way that invites hermeneutic reflection, there is no explicitly conceived hermeneutic method as such allied with formal music theory. Hermeneutics based on Sonata Theory, as well as in musicology more generally, have so far tended to follow

⁶ See *EST*, p. 342.

⁷ See *EST*, pp. 603-610. See especially pp. 603-604

the author's own predilections.⁸ It is therefore worth exploring the potential for a more explicit application of a theoretically worked out model of intertextuality to sonata form, and to music more broadly, with the aim of generating a general interpretative method that can be applied to musical works through the lens of Sonata Theory.

The statistical underpinning of *Elements of Sonata Theory* is one of its strengths, and why it lends itself so readily to an intertextual analytical approach.⁹ The key to this, in my view, is found in the book's subtitle - norms, types, and deformations - 'norms' and 'types' being represented by the vast statistical majority of works from the period in question, generating the basis for the theory, and 'deformations' accommodating those moments where the theorised trajectory is significantly complicated or even rebuffed, often unexpectedly. For this theoretical structure to function in any useful or meaningful way, it is necessary to invoke the idea that generic norms are consistently present in public consciousness, underpinning the expectations of any given audience.

Whatever *Elements of Sonata Theory* is (and it is a lot of things), it is not a 'how to' guide for musical analysis. While there are moments when the authors offer piecemeal

⁸ See, for example: Edward T. Cone, 'Schubert's Promissory Note: An Exercise in Musical Hermeneutics' in Walter Frisch, ed., *Schubert: Critical and Analytical Studies* (Lincoln: University of Nebraska Press, 1996), pp. 13-30; J.P.E. Harper-Scott, *Edward Elgar: Modernist* (Cambridge: Cambridge University Press, 2006); Charles Fisk, 'What Schubert's Last Sonata Might Hold' in Jenefer Robinson, ed., *Music and Meaning*, (Ithaca: Cornell University Press, 1997), pp. 179-200; Lawrence Kramer, *Music as Cultural Practice: 1800-1900* (Berkeley: University of California Press, 1990); Susan McClary, 'Constructions of Subjectivity in Schubert's Music' in Philip Brett, Elizabeth Wood, and Gary C. Thomas, eds, *Queering the Pitch: The New Gay and Lesbian Musicology*, (London: Routledge, 1994), pp. 205-234; Peter Pesic, 'Schubert's Dream' in *19th-Century Music* 23/2 (1990), pp. 136-144; Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Indianapolis: Indiana University Press, 1994), and *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Indianapolis: Indiana University Press, 2004); James Hepokoski, 'Back and Forth from Egmont: Beethoven, Mozart, and the Nonresolving Recapitulation' in *19th-Century Music* 25/2-3 (2001-2), pp. 127-154; Seth Monahan, 'Success and Failure in Mahler's Sonata Recapitulations' in *Music Theory Spectrum* 33/1 (2011), pp. 37-58; Julian Horton, 'Bruckner's Symphonies and Sonata Deformation Theory' in *Journal for the Society of Musicology in Ireland* 1 (2005-6), pp. 5-17; Steven Vande Moortele, 'Beyond Sonata Deformation: Liszt's Symphonic Poem Tasso and the Concept of Two-Dimensional Sonata Form' in *Current Musicology* 86 (2008), pp. 41-62.

⁹ Paul Wingfield and Julian Horton have been particularly critical of the statistical approach (See Wingfield and Horton (2012)).

interpretative advice to potential students and music analysts for difficult moments, the authors offer no guidance on the potential notation for such an endeavour, and although the theory lends itself to analytical projects that lean towards semiotic and hermeneutic preoccupations, analysts are left to their own devices when deciding exactly how to go about this.

Instances of theories of intertextuality being employed explicitly for musical analysis are of course not new. Robert Hatten's 1985 article is an early attempt to tackle the subject.¹⁰ It is a relatively short account of the theoretical possibilities that intertextual approaches can offer to musicology, raising ideas from such theorists as Derrida, Riffaterre, and Genette, and culminating in a brief analytical discussion of works by Bach, Mozart, Beethoven, Schumann, Mahler, and Berio. The thrust of his argument concerns the necessity of moving away from the established model of intertextual study - that is to say, the method of comparing texts that succeed each other in history - towards what he calls a more 'radical' model. Hatten argues that the success of the established method of observing texts as intertexts 'is purchased at the expense of theoretical inconsistency: the closed set of intertexts limits the openness of infinite intertextuality posited by the theory in its purest (radical) form.'¹¹

The immediate problem that his radical model of intertextuality generates is that of 'infinite regress', as he puts it: by not imposing textual limits onto the field of study, the number of potential texts that are relevant, even crucial, tends to infinity, rendering the object of study unwieldy and making firm conclusions impossible to support with any level of theoretical certainty. Hatten's way out is to impose *contextual* limits rather than *textual* ones. His two parameters for this process are *style* and *strategy*. By the first, he means the semiotic competency assumed by the text of the reader (listener/performer)

¹⁰ Robert Hatten, 'The Place of Intertextuality in Music Studies' in the *American Journal of Semiotics* 3/4 (1985), pp. 69-82.

¹¹ *Ibid.*, pp. 69-70

along the lines of Umberto Eco's *Theory of Semiotics*, in which meaning, successfully transferred, is reliant on a shared code between the sender and receiver.¹² This, Hatten goes on to clarify, 'is comprised of such things as scale systems, metric/rhythmic systems, principles and constraints on organisation (which may interact flexibly), and so forth.'¹³ By the second, Hatten means the ways that the work plays with or against the possibilities afforded to it within a certain style:

Strategies, to the extent they exceed complete formalization or simple predictability, assert a work's individuality even as they rely on a style for intelligibility. Thus, a given work will typically be in and of a style, while playing with or against it strategically.¹⁴

These two limiting contexts, *style* and *strategy*, seem to overlap with and complement the Sonata Theory terminology developed by Hepokoski and Darcy. Style, the overarching generic-historic context assumed by the work, might be compared with the *EST* 'norms' and 'types', which generate the points of reference within the sonata. Strategy, then, which accounts for the individuality of the work through more internal factors, is comparable to Hepokoski's and Darcy's 'default levels' and 'deformations'. The commonality found between Hatten's ideas and Hepokoski's and Darcy's is partly generated by the tension between what is assumed by an overarching style (Hatten) or theory (Hepokoski and Darcy), and the play that is demonstrated in the work as it unfolds. The two approaches are also compatible on the basis of the flexibility of their ideas, the main point of difference being that the role of intertextuality for Hatten is explicitly stated, whereas it is tacitly assumed by Hepokoski and Darcy.

¹² Umberto Eco, *A Theory of Semiotics* (Bloomington: Indiana University Press, 1976).

¹³ Hatten (1985), p. 70.

¹⁴ *Ibid.*

The early 1990s saw a flurry of interest in the role of intertextuality in musicology, as the discipline adapted itself to the professional standards and predilections of the other humanities disciplines. Developments focused predominantly on a subset of intertextuality: influence. This term is itself a broad one with a complex intellectual history. It has come to cover a multitude of nodal points between intertexts and has been widely theorised. A major contribution to this aspect of intertextuality in music is Joseph Straus's *Remaking the Past*, which takes a broad view of intertextual methods and relates them to early 20th-century modernism, specifically the works of Schoenberg, Webern, Berg, Stravinsky, and Bartók.¹⁵

The third and most complex of Straus's categories of influence, 'influence as anxiety', invokes the work of the literary theorist Harold Bloom, who was concentrating his efforts on this subject from at least as early as 1967. His most famous, if not perhaps his most well-read work, *The Anxiety of Influence* (1973), was the first in a long line of publications that he authored on the subject of poetic influence.¹⁶ Bloom advances an argument concerning how texts, and in particular Romantic poems, succeed each other in history, and the theory is ultimately psychoanalytic. Bloom's model for this is a projection of intergenerational Oedipal anxiety in which an agon, or 'struggle', derived from the central Freudian concept of the family romance, is acted out within the text of the belated artist in interaction with one or more precursor texts.

The theoretical machinery involved in this is mapped out in *The Anxiety of Influence* through Bloom's 'six revisionary ratios', each of which is given a flamboyant Greek name. They are: *clinamen*, *tessera*, *kenosis*, *daemonization*, *askesis*, and

¹⁵ Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge: Harvard University Press, 1990).

¹⁶ Harold Bloom, *The Anxiety of Influence: A Theory of Poetry*, 2nd edition (Oxford University Press, 1997).

apophrades.¹⁷ Each ratio acts as a sort of acid test of the ephebe's struggle with the precursor. Bloom's colourful description of this struggle is evident throughout his work, and it demonstrates the predominantly masculinist orientation of much of his writing. An example of this can be found in the introduction of his *Poetry and Repression*, published in 1976, in which he states: 'A poetic text, as I interpret it, is not a gathering of signs on a page, but a psychic battlefield upon which authentic forces struggle for the only victory worth winning, the divinating triumph over oblivion.'¹⁸ This stance is reflected throughout his written style, in which he habitually uses the masculine pronoun 'he' to refer to hypothetical figures, and the poets Bloom is concerned with are exclusively white men from England and America. This clearly has a close relationship with the psychoanalytic basis of his thinking since, if in Freud's Oedipus complex the primary human relationship is between father and son, this does not leave much room for women to enter into his conception of the psychic agon. This is not to say that it should not be attempted, but that a reconfiguring of Bloom's theory would have to precede such a task.

Bloom's term for poetic misreading is 'misprision' - a strong misreading of a precursor poem by the ephebe - which has the result that a new space is established for their own original imagination. It is a term loaded with negative connotations, an aspect of his theory that should be addressed early on. Although its prosaic meaning carries associations of ignorance or incompetence, the more important connection might be with the Latin *prehendo*, with its meanings of 'seizing' or 'grasping'.

Kevin Korsyn made a seminal attempt at a rigorous employment of Bloom's theory for musical analysis in 1991 in his ambitious article, 'Towards a New Poetics of Musical

¹⁷ A very brief overview of the six revisionary ratios is given in *The Anxiety of Influence*, pp. 14-16.

¹⁸ Harold Bloom, *Poetry and Repression: Revisionism from Blake to Stevens* (New Haven: Yale University Press, 1976), p. 2.

Influence.¹⁹ Korsyn took Brahms's Romanze, Op. 118, No. 5, as the belated text and Chopin's Berceuse, Op. 57, as the precursor. This article engages Bloom's theory in an orthodox way with the musical works in question primarily through a Schenkerian analytical approach. One of its major goals is to explore the possibilities for an application of Bloom's theory of influence to musical works. After a very comprehensive exegesis of the theory as it stands, there follows a discussion of its applicability to instrumental music. This may seem to be something of a leap. Bloom's own theory does not even step outside of the narrow poetic tradition with which it concerns itself. Bloom never touches on prose or dramatic forms, but rather, concentrates exclusively on lyric poetry. But rather than electing an intermediate genre such as the German lied as a convenient stepping stone before plunging into the untested and uncharted territory of instrumental music, Korsyn chooses the genre of the piano miniature, which is not only ambitious for the reasons I have just given, but also convenient. The pieces are short and are structurally relatively simple. There are also some deeper reasons for the compatibility of Bloom's theory with music. If in poetry the meaning of a given poem is always another poem, then it would follow that in music the meaning of, say, a symphony can only be another symphony. There is a strong argument to be made for Bloom's theory potentially to be even more effective for music than for poetry. My reasoning here is concerned with the relative non-specificity of musical utterances compared with literary ones. While, following Bloom, the meaning of a poem is another poem, there can be any number of diverse themes, structures, references, and so on, active on the surface of the poem which may serve to decoy the reader away from its deeper theme: its demonstration of the anxiety of influence. In non-programmatic instrumental music, particularly in the common-practice era, structural details usually preclude any such concrete references, instead referring more readily to internal structures. Notwithstanding Kofi Agawu's work on musical semiotics, and particularly his

¹⁹ Kevin Korsyn, 'Towards a New Poetics of Musical Influence' in *Music Analysis* 10/1 (1991), pp. 3-72.

writing on 'extroversive semiosis', I would argue that the relative non-specificity of reference in much instrumental music of the era we are concerned with detracts from the outwardly referential component of meaning and throws a correspondingly increased level of importance on the way in which works of music interact with each other.

Korsyn exhaustively uses all six of Bloom's revisionary ratios in his discussion of the two works and inevitably demonstrates that Brahms's centrality to the canon is well deserved as a result of his text's agon with respect to Chopin's. As a control, Korsyn provides a further analysis - that of Max Reger's *Träume am Kamin*, Op. 143, No. 12. This work, in Korsyn's view, is comparable with both the Brahms and the Chopin, but fails to wrestle with its precursor and fully to engage with the revisionary ratios to the extent that it falls out of the canon.

There is a potential stumbling block here, however, which is pointed out by Martin Scherzinger, who writes that 'By emphasizing the relational character of musical works, Korsyn explores a solution to the possible impasse for music theory [...] without lapsing into the formalism of the musical work as autonomous or self-contained.'²⁰ And herein, argues Scherzinger, lies the fatal contradiction. If we are to follow an intertextual line of investigation, then all texts are intertexts and all readings are interreadings. Texts acquire meaning from their interaction with other texts operating in what Heidegger and Gadamer would call the 'hermeneutic circle'. This is true of lyric poetry and, I would argue, even more true of sonatas. The stumbling block is encountered, according to Scherzinger, when Schenkerian theory is introduced as a means of demonstrating this. It would seem that Schenkerian theory is an overtly intratextual endeavour seeking to demonstrate the organic unity of the work through its relation to the *Ursatz* rather than to establish its place within the hermeneutic circle. As Scherzinger says, 'As a theory of poetic influence, how can Korsyn's analytic findings be conceived of as being grounded

²⁰ Scherzinger (1994), pp. 298-299.

in an intertextual model, rather than in a purely Schenkerian one, when the latter is the means by which the former is articulated? The overtly intratextual nature of Schenkerian analysis does little to moderate this methodological reticulation.²¹

One potential way of attempting to square this circle is to use Sonata Theory to underpin musical observations, which can then be interpreted through the Bloomian mechanism of revisionary ratios. To demonstrate this, I would like to offer a simple and representative example of the influence of Mozart on Schubert. The precursor work is Mozart's 34th Symphony in C major, the belated work is Schubert's String Quintet and the revisionary ratio at work is the first of Bloom's, and the most elementary, *clinamen*, which Bloom defines as follows:

Clinamen, which is poetic misreading or misprision proper; I take the word from Lucretius, where it means a 'swerve' of the atoms so as to make change possible in the universe. A poet swerves away from his precursor, by so reading his precursor's poem as to execute a *clinamen* in relation to it. This appears as a corrective moment in his own poem, which implies that the precursor poem went accurately up to a certain point, but then should have swerved, precisely in the direction that the new poem moves.²²

The moment that this swerve corresponds to is at the respective medial caesurae in each of the works.²³ These medial caesurae are comparable in more specific details - they both demonstrate minor-mode inflection and they both feature a descending inner line filling the void between the end of the transition and the onset of the secondary zone. But whereas in the Mozart symphony (Fig. 5.1) the tonal trajectory continues as expected, launching the secondary zone in the dominant, Schubert's medial caesura

²¹ Scherzinger (1994), p. 307.

²² Bloom (1973), p. 14.

²³ It should be noted that the medial caesura in the Mozart example is articulated by a V: HC, whereas Schubert's is articulated by a I:HC, or, even, a i: HC.

(Fig. 5.2) establishes the cadence in an orthodox way before unexpectedly swerving off to the distant flattened mediant.

The other consideration to make regarding Scherzinger's criticism is whether Schenkerian analysis really is restricted only to intratextual reflection. Yes, the way that it is used on a pragmatic basis is to demonstrate tonal unity and the music's relation to a fundamental structure, but if the structure of tonal music is the same for all works in the Western canon, then presumably the Schenkerian method is among the most profoundly intertextual models of music analysis available to us. It serves, to invoke an idea from Lacan, as a 'quilting point', pinning down the multifarious floating signifiers and giving them meaning.²⁴

As has been noted above in part, some of the main efforts undertaken by musicologists who experiment with Bloom's ideas have been concerned with translating the theories from a literary arena to a compositional one. It seems to me, however, that larger challenges and greater opportunities are presented with regard to some of the political and practical shortcomings of Bloom's theory. As I shall argue, many of these difficulties can be helpfully addressed by situating them in a broader Lacanian context. This can in some cases serve to nuance, or even to replace, Bloom's reliance on Freudian theory as the psychoanalytic foundation of his work. By situating Bloomian ideas in their original form with all their perceived flaws within a Lacanian framework, it is possible to demonstrate that many of these flaws can be theoretically beneficial. This is certainly not to say that the inter-generational conflict central to Freud and Bloom should be abandoned, but that it can in places usefully be situated within a wider Lacanian framework in a way that broadens the discussion and increases the potential versatility of Bloom's theory of intertextuality and influence.

²⁴ See Harper-Scott (2012) for a detailed discussion of the quilting point and its importance within musicology.



Fig. 5.1: Mozart, Symphony No. 34 in C, K. 338, first movement, bb. 35-44.



Fig. 5.2: Schubert, String Quintet in C, D. 956, first movement, bb. 57-64

One of the main practical problems with Bloom is that his theory only allows a very limited intertextuality - from work to work. One of the aims of this chapter is to create a far more open conception of intertextuality, one that can accommodate a network of relations that goes far beyond the narrow Bloomian model. This includes the relationship of specific works to a genre system, which is a central idea in *EST*, and it will also involve a more heavily theorised model of the relationships between work, theory, and analyst.

Above all, what Lacanian psychoanalysis can bring to a discussion about Sonata Theory and Schubert is a theoretical model for our analytical and listening practices that provides a critical distance from empirical evidence gathered from analysis, and a move even further away from the 'compositional process' (of misreading precursor texts) to a meta-analysis of how musical works, and particularly Schubert's sonata forms, register with the human subject.

But why, of all the available interpretative frameworks on offer, should it be Lacanian psychoanalysis that prevails here? This question seems especially pressing since recent criticisms, perhaps most notably from Andrew Bowie, have claimed that much of the discussion resulting from postmodern and poststructuralist philosophy can be read as a reinvention of ideas originating from Romantic and Idealist philosophers such as Hegel, Schlegel, and Schleiermacher.²⁵ The point has also been made by Richard Rorty, who cites Michel Foucault as having said there is a 'danger', to use Bowie's characterisation, that 'philosophers are "doomed to find Hegel waiting patiently at the end of whatever road we travel".'²⁶ Why should we need a Lacanian 'big Other', for instance, when Heidegger's *das Man* serves apparently the same purpose?

Within the musicological sphere, this question is articulated by Spitzer in his *Music as Philosophy: Adorno and Beethoven's Late Style*, in which he positions 'Critical Theory' in opposition to 'Postmodern Knowledge', and puts forward a robust argument in favour of the former.²⁷ Although Spitzer writes that 'critical theory brings together key ideas from Freud and Marx', he argues that it 'springs from the German idealist tradition and has had less impact on Anglo-American musicology than the predominantly French tradition of postmodern theory, associated with writers such as Derrida, Foucault, and

²⁵ See, for example, Bowie (1997).

²⁶ Rorty (1991), p. 96. Cited also in Bowie (1993), p. 2.

²⁷ See Spitzer (2006).

Lacan.²⁸ He argues that critical theory in the twentieth and twenty-first centuries can be understood, broadly speaking, as a continuation of a predominantly German philosophical tradition from Schleiermacher and Hegel to Heidegger and Adorno (and beyond). He argues that, by contrast, the tradition of French thought that is expressed in postmodernism and poststructuralism, and epitomised in the work of thinkers such as Derrida and Lacan, ‘breaks cleanly with the past by predicating subjectivity on philosophies of language.’²⁹

Žižek’s recent *Less Than Nothing* takes the question of the perceived primacy of Hegel as one of its starting points.³⁰ His contention, as suggested in his subtitle (‘Hegel and the Shadow of Dialectical Materialism’), is that it is the era of German Romantic Philosophy which casts a shadow, both forward to contemporary thought, and backward to antiquity, and that this is a ‘key [...] to reading the entire preceding and following tradition as philosophy [...] This moment is the moment of German Idealism delimited by two dates: 1787, the year in which Kant’s *Critique of Pure Reason* appeared, and 1831, the year of Hegel’s death.’³¹ It is interesting, then, that his way into this enormous discussion is to immediately invoke Lacan’s symbolic order on page 1 of his thousand-page study of Hegel.

Žižek’s response to the criticism that postmodern philosophy is a reinvention of the German Idealist tradition is curiously distilled in a banal, improvised list of ‘what Hegel “cannot think,” a series of concepts mostly elaborated by psychoanalysis and Marxism’, which includes terms such as ‘the unconscious’, ‘*objet a*’, ‘antagonism’, and ‘class

²⁸ Spitzer (2006), pp. 263-264.

²⁹ Spitzer (2006), p. 264.

³⁰ Slavoj Žižek, *Less Than Nothing: Hegel and the Shadow of Dialectical Materialism* (Verso, 2012).

³¹ Žižek (2012), pp. 7-8.

struggle'.³² Žižek then quickly clarifies that he advocates a much richer reading - one in which the binary opposition of ability and inability is complicated by 'a tiny, imperceptible line of separation which compels us to supplement the assertion of impossibility with a qualifying "yes, but ...":'.³³ The argument continues along the lines that there are various components of postmodern and poststructuralist thought that are clearly missing from Hegel's work, but that somehow their DNA is embedded, ready to be animated in the twentieth century. Further to Žižek's list, partially given above, we can add 'fantasy' (in the strict Lacanian sense of a screen onto which desire is projected, filling in the inconsistencies in the structural order), and '*sinthome*', to which I return at length in Chapter 6. For Žižek this is not to be regarded as a negative - on the contrary, that such ideas can be traced to the German Idealism of the early nineteenth century is something to be celebrated. Hegel's 'surprising evocation [...] of *jouissance* (*Geniessen*, not just pleasure, *Lust*)' as Žižek explains, is yet another remarkable example of how Lacanian thought is partially embedded in German Idealism, but in a form that does not yet stake the critical Lacanian claim that enjoyment, the Real, is an excess remainder of signification - for Hegel, this 'enjoyment' is the goal of religious ritual and not a 'substance' as Lacan conceives it.³⁴

My own view is that the kind of psychoanalytic thought that is adopted in this thesis, that is to say, ideas predominantly emerging from Lacan in his clinical output, and refined into a philosophically usable body of work by Žižek, is already a synthesis of both the French and the German schools. If, as Spitzer writes, the German tradition of 'critical theory brings together key ideas from Freud and Marx', then Žižek can be credited with synthesising them with key ideas from Saussure and Lacan.³⁵ As he has continu-

³² Žižek (2012), p. 455.

³³ Žižek (2012), p. 455.

³⁴ See Žižek (2012), p. 457.

³⁵ Spitzer (2006), p. 263.

ally asserted, Žižek regards his own writing to follow directly from both Marx and Lacan, whose work has been regarded as structurally homologous for some time now.³⁶

How is this progress useful for music analysis and interpretation? Traditionally, musical hermeneutics has been conducted along the lines set out first by Schleiermacher and Dilthey, and culminating with Gadamer - that is to say, the interpreter seeks to establish a fusion of their own horizon and that of the historically contingent text. This is clearly evident in studies such as Cone's 'Exercise in Musical Hermeneutics', as well as the important 'hermeneutic windows' identified by Kramer.³⁷ More recently, Kramer has investigated the possibilities for psychoanalytically informed readings of Schubert's music, which are neatly characterised by Ian Bent, who writes that '[Kramer's] mode of analysis starts with the *expectation* of inconsistencies, and operates in the belief that inconsistencies not only occupy a rightful place in the work of art, but also have profound things to tell us about that work.'³⁸ While Kramer's work on Schubert is impressive, it is strictly limited to the texted genre of the *Lied*. One of my aims here is to explore the possibilities of an analytical approach to Schubert's instrumental music that presupposes such inconsistencies, which manifest themselves in diverse ways (notably in tonal and formal ambiguity, and in extended motifs with which Schubert's oeuvre is shot through), and which can be read using ideas from psychoanalysis that were conceived and developed by Lacan and Žižek (*sinthome*, *objet a*, fantasy, desire).

Lacan's three orders of the 'Imaginary', the 'Symbolic', and the 'Real' provide a useful starting point, not least because they can help to expand the discussion from one involving two or three texts to one involving the relationship of one text to an entire network. The three orders can also act as a centralising conceptual framework which can

³⁶ See Žižek (2008). See also, Jameson (1977).

³⁷ Cone (1986), and Kramer (1990).

³⁸ Ian Bent in Kramer (1998), p. x.

draw together diverse ideas about human development and behaviour. They engage with, but do not replace, Freud's own tripartite division of the psyche into the id, the ego, and the super-ego, while offering a way of discussing things which is not simply restricted to human motives and actions, but can be related directly to the texts themselves. The technical terminology he uses often draws on common vocabulary and, therefore, requires detailed explanation before plunging into its use.³⁹ Also, many Lacanian concepts underwent substantial change during the decades in which he was active and, as a result, require clarification as to their employment in any particular discussion.⁴⁰

5.1 Imaginary, Symbolic, and Real

While the concepts of Imaginary, Symbolic, and Real were developed chronologically over many decades, they are at their most useful when considered together as interdependent ideas. The visual metaphor of the Borromean knot was used by Lacan in order to demonstrate this, as shown in Fig. 5.3. The three interlocking toruses are used to represent the three orders with the aim of escaping the simplistic notions of 'inside and outside' or 'centre and periphery' which might easily be equated with such ideas as unconscious and conscious, or id and ego. Each individual ring is not interlocked with either of the other two, so the structure is reliant on all three rings performing their function. The uses of this structure will become apparent as the discussion of these concepts develops.

³⁹ Dylan Evans's *An Introductory Dictionary of Lacanian Psychoanalysis* (Routledge, 1996) is a useful starting point and provides a short essay explaining each term.

⁴⁰ A comparison along these lines between Lacan and Schenker, whose theory continued to develop through his career and is often employed through the subsequent secondary literature, is difficult to avoid.

There have been many publications in recent years that have sought to consolidate and explain Lacan's principal ideas.⁴¹ Although this is an insurmountable task to achieve in one volume, many of these have proven invaluable to humanities scholars, particularly in the field of linguistics. With this in mind, however, a concise explanation of some central concepts and themes is a necessary prerequisite to any discussion of how Lacan's work might be useful to a theory of intertextuality when applied to musical works.

The Imaginary was the first of Lacan's three orders and was developed from the mid 1930s.⁴² An initial clarification should be made here that the common usage of the word 'imaginary' to mean 'not real' or 'made up' is not the primary association Lacan attaches to the term (although this association is not completely irrelevant). Rather, it relates to images and the visual element of human experience. It is therefore 'pre-linguistic', the 'primary relation [being] with one's own body, that is to say, the specular image of the body itself.'⁴³ The Imaginary register is necessarily tied to Lacan's concept of 'The Mirror Stage', relating to the period of infant development that occurs between the ages of six and 18 months.⁴⁴ As the child sees its own reflection, either in a literal mirror or in a metaphorically reflective surface (such as the mother's face, for example)⁴⁵ it will develop a recognition that the image has its own properties and is a unified whole. This causes a disjunction between the unified image and the still frag-

⁴¹ See: Malcolm Bowie, *Lacan*, ed. Frank Kermode (London: Fontana Press, 1991); Madan Sarup, *Jacques Lacan* (University of Toronto Press, 1992); Homer (2005); Lionel Bailly, *Lacan: A Beginner's Guide* (Abingdon: Routledge, 2009).

⁴² As has been frequently recounted, Lacan originally presented his paper on 'Le stade du miroir' ('The Mirror Stage') in 1936 at the fourteenth congress of the International Psycho-Analytical Association in Marienbad. There is no known transcript of this paper and the earliest printed version is found in the *Écrits* of 1949 and was only published in English in the Marxist journal *New Left Review* in 1969.

⁴³ Homer (2005), p. 31.

⁴⁴ See Jacques Lacan, 'The Mirror Stage as Formative of the *I* Function as Revealed in Psychoanalytic Experience' in *Écrits*, trans. Bruce Fink (New York: Norton, 2006), pp. 75-81.

⁴⁵ Homer (2005), p. 24.

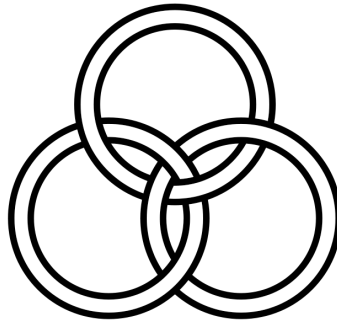


Fig. 5.3: The Borromean knot.

mentary level of control the child has over its own body owing to its relatively undeveloped motor skills. It is in this stage that the sense of self is developed, tied in with the development of the ego and the ability to experience pleasure. It represents a transitional period in the child's understanding of the reflected image from its initial construction as an object that can be controlled ('that is me') to the construction of an independent subjectivity ('I am that'). It is, however, pre-linguistic in its perception of the world and is therefore chaotic and fraught. As Sean Homer describes it, 'The ego is essentially a terrain of conflict and discord; a site of continual struggle.'⁴⁶ It is with the Imaginary register, then, that we would associate Freud's concept of the ego. The child sees the image in the mirror and soon realises that it has (albeit limited) control over the image, and this experience is usually accompanied by pleasure. As Malcolm Bowie wryly observes, 'Lacan remarks upon the child's air of playful jubilation, its fascination with the image and the playfulness of its reaction. In all these respects, it behaves differently from a chimpanzee of the same age.'⁴⁷ In Lacan's assessment, the animal reaction

⁴⁶ Homer (2005), p. 31.

⁴⁷ Bowie (1991), p. 22.

to this, in the case of a lower primate, would eventually exhaust itself.⁴⁸ In the case of the human child, however, the act of jubilation ‘immediately rebounds [...] in a series of gestures in which he experiences in play the relation between the movements assumed in the image and the reflected environment, and between this virtual complex and the reality it reduplicates - the child’s own body, and the persons, and even the things, around him.’⁴⁹ The child is then confronted with the daunting premise that it is a unified whole and a separate entity from the mother, on whom it has been totally reliant. This generates strong feelings of anxiety in the child, and the desire to return to the perfectly happy unified state it seems to have lost. Malcolm Bowie provides this succinct description: ‘The Imaginary is the order of mirror-images, identifications and reciprocities. It is the dimension of experience in which the individual seeks not simply to placate the Other but to dissolve his otherness by becoming his counterpart.’⁵⁰ It is in the Imaginary register, then, that the subject struggles to define and to constantly, desperately, and repeatedly reinforce itself. It is ‘the scene of a desperate delusional attempt to be and remain “what one is” by gathering to oneself ever more instances of sameness, resemblance and self-replication; it is the birthplace of the narcissistic “ideal ego” (*Idealich, moi idéal*).’⁵¹ The myth of Narcissus and Sophocles’s *Oedipus Rex* each provide a convenient classical antecedent to this psychoanalytic category.

⁴⁸ Lacan states that ‘It suffices to understand the mirror stage [...] as an *identification*, in the full sense analysis gives to the term: namely, the transformation that takes place in the subject when he assumes an image - an image that is seemingly predestined to have an effect at this phase, as witnessed by the use in analytic theory of antiquity’s term, “*imago*.” The jubilant assumption of his specular image by the kind of being - still trapped in his motor impotence and nursling dependence - the little man is at the *infans* stage thus seems to me to manifest in an exemplary situation the symbolic matrix in which the *I* is precipitated in a primordial form, prior to being objectified in the dialectic of identification with the other, and before language restores to it, in the universal, its function as subject.’ Lacan (2006), p. 76.

⁴⁹ Lacan, ‘The mirror stage as formative of the function of the I’, p. 1. Reprinted in Bowie (1991), p. 22.

⁵⁰ Bowie (1991), p. 92.

⁵¹ Bowie (1991), p. 92.

If it is in the Imaginary register that the visual element of experience is foregrounded, then it is the Symbolic that prioritises language and speech. In terms of infant development, this is inextricably tied to the Oedipus complex and the breaking of the dyadic relationship of infant and mother by the entrance of the father. As Bowie has observed, the Imaginary has typically been associated with a ‘strong pejorative force,’⁵² owing to its heavy dependence on dyadic relationships. These were viewed with suspicion by Lacan himself, and Bowie suggests that the Imaginary register ‘seems to have been forged [...] precisely in order to discredit them.’⁵³ “All two-sided relationships are always stamped with the style of the imaginary,” Lacan and Wladimir Granoff announce in their co-written paper on Fetishism (1956).⁵⁴

Like the concept of the reflected image in the mirror stage, the father figure does not necessarily have to be, and is usually not, the literal father. It can be anything that diverts the mother’s attention away from the child, breaking the dyadic relationship between the two. Lacan therefore, rather than speaking merely of the father, preferred to speak of the ‘Name-of-the-Father’, a symbol which temporarily interrupts the connection between mother and child. This could be anything from taking a telephone call to feeding the family dog.⁵⁵ The child assumes that it must have lost something that it once had - which the mother desires - and that it must be elsewhere with the father. This symbolic object is the phallus.⁵⁶ The phallus is the primary symbol which throws the child into the symbolic order and the world of language.

⁵² Bowie (1991), p. 92.

⁵³ Bowie (1991), p. 93.

⁵⁴ Bowie (1991), p. 93.

⁵⁵Both of these happen in the recent BBC TV licensing advert: <http://www.youtube.com/watch?v=MZ9wH3-clac> accessed 16/05/2012.

⁵⁶ The phallus is closely associated with, but is categorically not, the penis.

The two stages of infant development described above, which relate respectively to Imaginary and Symbolic registration, remain with the human subject throughout adulthood. The two registers are variously evidenced in musical compositions. Music, particularly written music, is clearly symbolic. It has structure and can register on the level of language which, by definition, is always the language of the Other. The Imaginary is considerably more problematic for our understanding of music - an art form which is associated with sound rather than images. This will be made clearer below as the three orders are developed through the work of Slavoj Žižek, but for now it suffices to say that the Imaginary is associated with dyadic relationships between self and other: the composer and their precursors, the analyst and the composer, and the analyst and the work. The Symbolic by contrast is concerned with the structural order, that is to say, the relationship between the Subject and a more broadly societal Other.

5.2 Structuralism

It is important to clarify what is meant by symbol. By the time Lacan came to direct his attention toward symbols, Ferdinand de Saussure's structural linguistics had been firmly established for some time. The idea that words referred to objects and had concrete meanings had been completely replaced by Structuralist thinking: that signifiers (words) refer to concepts (signifieds), not meanings or objects, and can only directly refer to other signifiers.⁵⁷ This is the root of Saussure's central thesis, that the bond between the signifier and the signified is arbitrary. This is literally demonstrated in the way a dictionary is structured. You go to look up the definition of a particular word, but instead of being presented with its meaning direct from the material world, you are given a definition constructed from other words which themselves can be found in the very same dictionary. This is a system with no beginning and no end (the alphabet, of course, is also arbitrary), and, like the infinity of the universe, it has no centre and no

⁵⁷ Sean Homer refers to the old-fashioned idea that words refer directly to the material world as a "correspondence" theory of language' (Homer, 2005).

edge. Nor is this usually affected by the size of the dictionary: complex words are best defined in more simple terms and you will never come to the end of a system which is, as all complex networks are, cyclical rather than linear.

The Saussurian symbol, then, can be expressed diagrammatically in various ways. The outmoded nineteenth-century model is expressed as a word related to a concept related to a referent, shown in Fig. 5.4.⁵⁸ The Saussurian model conserves the association between the three elements, but removes the direct association of the concept with the referent, as shown in Fig. 5.5.⁵⁹ This demonstrates that when we use the word 'shoe' (by convention, and for the sake of simplicity, I am using a noun in my example, although there is no reason not to use an adverb, say, or even a conjunction), the sound of the word or the configuration of ink on a page or pixels on a screen directly references the abstract concept of a shoe, but the word and the concept have only an arbitrary relationship with the worn out old trainers under my desk.

Saussure's conception of the linguistic sign can also usefully be demonstrated algebraically, shown in Fig. 5.6. The formula shows the signified (the concept) above the signifier (the word), separated by a bar. The bar demonstrates that the signifier is separate from the signified and that their relationship is therefore arbitrary. It also implies that the bar has to be 'crossed' for meaning to arise. But how can the sign mean anything when it does not directly refer to the material world? As in the dictionary, words can only be defined in terms of other words, and signs can only hold meaning in relation to other signs. Signifiers do not refer directly to signifieds or *vice versa*: signifieds can only be understood in terms of other signifieds, and signifiers can only be under-

⁵⁸ Diagram taken from Homer (2005), p. 37.

⁵⁹ Diagram taken from Homer (2005), p. 38.

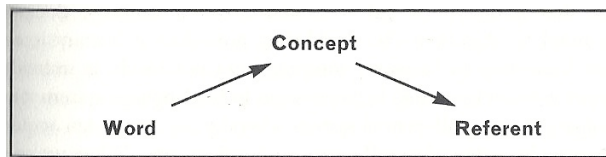


Fig. 5.4: Homer's diagram of a 'correspondence' theory of language which sees language as a system of signs that refer 'directly to objects in the world.' Homer, 2005, p. 37.

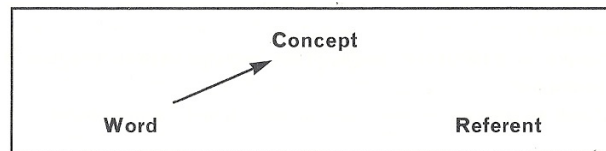


Fig. 5.5: Homer's diagram of Saussure's conception of the structure of language. Homer (2005), p. 38.

$$\frac{S}{s}$$

Fig. 5.6: Algebraic representation of the Saussurian sign.

stood in terms of other signifiers. The formula can therefore be expanded into a signifying chain with no end (Fig. 5.7).⁶⁰

The signifying chain behaves in the same manner as the dictionary analogy, but it also behaves like a thesaurus (which, in the OED is defined as 'A book that lists words in groups of synonyms and related concepts'). The signifier 'shoe' has a meaning with regard to the signifier 'footwear', which, in turn, has a meaning in reference to 'boot', 'sandal', 'flip-flop', 'high-heel', 'clog', 'slipper', 'pump', 'trainer', 'flipper', etc., etc., *ad infinitum*. None of these signifiers can refer directly to a material object, but they gain meaning from the arbitrary relationship they have with the concept to which they relate, and the differences between them, however obvious or subtle (a boot is definitely not a

⁶⁰ Homer (2005), p. 40.

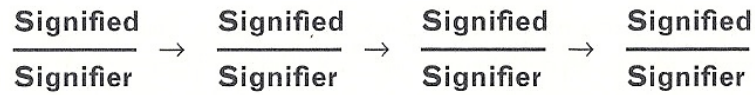


Fig. 5.7: The Saussurian signifying chain. Homer (2005), p. 40.

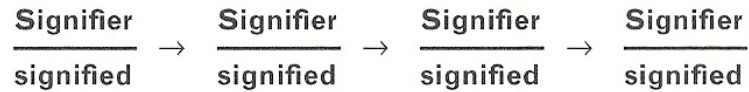


Fig. 5.8: The Lacanian signifying chain. Homer (2005), p. 42.

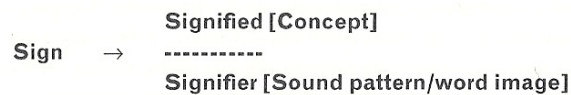


Fig. 5.9: Lacan's formula for the relation between signifier (S) and signified (s).

slipper, and a sandal is not quite the same as a flip-flop). Linguistic signification for Saussure is arbitrary and negative.

Lacan's reformulation of the signifying chain is elegant and subtle, but it has far-reaching consequences (Fig. 5.8).⁶¹ He gives the signifier primacy over the signified by placing it above the bar and giving it a capital letter (Fig. 5.9). Malcolm Bowie explains this lucidly:

[...] his placing of the signified beneath the signifier, and beneath the algebraic bar, suggests that a moral rather than a simple topographical inferiority is at issue: the signified retreats to the lower position, shrinks into the lower case and withers into

⁶¹ Homer (2005), p. 42.

italic type. In this first reformulation of Saussure, the keynote of Lacan's entire approach to linguistics is sounded.⁶²

This may seem like a small and unimportant detail, but Lacan is engineering a fundamental upheaval of conventional linguistics with an ambitious thesis: that words precede objects. In his own words: 'In the Symbolic order, the totality is called a universe. The Symbolic order from the first takes on its universal character. It isn't constituted bit by bit. As soon as the symbol arrives, there is a universe of symbols.'⁶³ As Lionel Bailly goes on to explain, 'Lacan held that the Symbolic order was always there - like a language, it pre-exists in the individual, who has to gain access to it.'⁶⁴ Human beings, then, are born into language, already a complete structure. It is at once completely detached from the material world, while generating the only system with which such a world can be understood as meaningful, as well as the horizons of such an understanding.

Lacan's central thesis - that the unconscious is structured like a language - is a direct result of this Saussurian influence. He states that 'the mechanisms described by Freud as those of the primary process, by which the unconscious is governed, correspond exactly to the functions this school of linguistics believes determine the most radical axes of the effects of language, namely metaphor and metonymy - in other words, the effects of the substitution and combination of signifiers in the synchronic and diachronic dimensions, respectively, in which they appear in discourse.'⁶⁵ What Lacan means by this is that for Freud the dream-work depends on two primary processes - displace-

⁶² Bowie (1991), p. 64.

⁶³ Jacques Lacan, *Le Moi dans la théorie de Freud et dans la technique de la psychanalyse, Le séminaire, Livre II*, 1978 (1954). Paris, Seuil. Translated by Lionell Bailley in Bailley (2009), p. 95.

⁶⁴ Bailly (2009), p. 95.

⁶⁵ Lacan, 'The Subversion of the Subject and the Dialectic of Desire' in *Écrits* (2006), pp. 676-677.

ment, in which one image symbolises or substitutes another, and condensation, in which many images combine to form a composite image which is invested with meaning from its varied constituents. Saussure's linguistic categories map directly onto this: metaphor, in which one image represents another ('he is a monster on the chess board' could rarely be taken literally); and metonymy, in which images are closely associated with each other (when we say 'the kettle is boiling' what we really mean is that the water inside the kettle is boiling, not the kettle itself).

The Imaginary and the Symbolic can usefully be paired and understood as opposing poles. Bowie contrasts them as follows:

[The Imaginary] has a strong pejorative force, and suggests that the subject is seeking, in a willful and blameworthy fashion, to remove himself from flux [...] The Symbolic order, on the other hand, is often spoken of admiringly. It is the realm of movement rather than fixity, and of heterogeneity rather than similarity. It is the realm of language, the unconscious and an otherness that remains other. This is the order in which the subject as distinct from the ego comes into being, and into a manner of being that is always disjointed and intermittent.⁶⁶

The simple issue that the Imaginary is often used pejoratively and the Symbolic is used admiringly, I would say, is a sideline to the central point that dyadic relationships are always Imaginary ones. Lacan talks in definite and committal terms here about something that is also addressed very broadly. Why is this?

Lacan's model of desire serves to flesh out the description of the Imaginary and Symbolic registers, and also demonstrates how they might be applied to live situations. Desire has a central role in Lacanian theory, since it is the driving force behind any given human action. The origins of desire, as Bailly remarks, were the subject of 'intense reflection' for Lacan, and he speculates on three principal reasons for the centrality of the

⁶⁶ Bowie (1991), p. 92.

concept.⁶⁷ The first is an observation of Lacan's own personality. 'Desire seemed to figure large [...] he must have been aware of the strength of his own desires - for nice things, fast cars, beautiful women, recognition, knowledge, and to find the answers to his own myriad questions.'⁶⁸ The second reason is that 'desire is the mainspring of all creativity.'⁶⁹ If there were no desire then humans would be inert and indifferent. We would not experience pleasure or pain, we would have no ambitions or fears, and would essentially cease to be 'human'. Bailly's third reason, closely aligned to the second, is that 'desire [is] a *condition that plays a structuring role in the Subject*, it is a component of other affects - without desire, you cannot have jealousy, anger, disappointment, narcissistic wounding, or enjoyment. Symptoms including repetition compulsion, hysterical conversions, obsessions, and phobias, all arise from desire.'⁷⁰ The concept is of direct importance to the way listeners, who are necessarily desiring subjects, experience music. This will be examined in more depth later in this chapter, and demonstrated later in the thesis, but for now it should suffice to say that desire can be understood to structure two principal modes of musical experience. The first is the phenomenon of music, particularly tonal music, frequently seeming to be 'meaning' something over and above the banal observation (or breaking) of a contingent set of rules and procedures. This relates to the phenomenon of the splitting of demand and need, examined below. The second relates to the 'objects' of musical structure. These are objects in both senses: tasks to be 'achieved' as well as musical events that can be examined conceptually both in and out of their immediate context. Sonata theory opens the way for a particularly explicit psychoanalytic interpretation of sonata form along these lines, and these aspects of desire are central to the case studies at the end of the thesis, but for now they require a more thorough conceptual examination.

⁶⁷ Bailly (2009), p. 109.

⁶⁸ Bailly (2009), p. 109.

⁶⁹ Bailly (2009), p. 109.

⁷⁰ Bailly (2009), p. 110.

Lacan's model of desire is a complex one. It rests on the idea that the Subject is lacking something which is precisely demanded from the Other. Owing to the limits of language, however, the Subject is never able fully to articulate what it is that is lacking or to issue the precise demand. Therefore, as Bailly puts it, 'what is demanded is never what is actually needed, and it is in this space between need and demand that desire appears.'⁷¹ In Lacan's own words: 'Desire is neither the appetite for satisfaction, nor the demand for love, but the difference that results from the subtraction of the first from the second, the phenomenon of their splitting.'⁷² One of the main points here is that desire is inextricably bound with language. When the Subject experiences a lack, it assumes that the Other can satisfy the shortfall. The lack and need for satisfaction, however, can only be articulated 'through the narrow gateway of language' - the Symbolic register - which means that there is always a residue of need that is inarticulate and beyond symbolisation.⁷³ This is where desire is located. Lacan sometimes articulates desire in painful or violent terms:

Desire begins to take shape in the margin in which demand rips away from need, this margin being the one that demand - whose appeal can be unconditional only with respect to the Other - opens up in the guise of the possible gap need may give rise to here, because it has no universal satisfaction (this is called 'anxiety').⁷⁴

Since language can never fully articulate need, desire becomes a perpetual phenomenon of which there is an inexhaustible supply. This is the location of Lacan's *objet petit a*, the fantasised object of desire which can never be attained. The only instances of a need being fully and perfectly satisfied happen in fiction, and are bound up in fan-

⁷¹ Bailly (2009), p. 110.

⁷² Jacques Lacan, 'The Signification of the Phallus' in *Écrits: A Selection*, trans. A. Sheridan (London: Routledge/Tavistock, 1977 [1958]), pp. 281-291.

⁷³ Bailly (2009), p. 111.

⁷⁴ Lacan (2006), p. 689.

tasy, which will be discussed below. The example of this is in the film *Mary Poppins*, in which the Banks children's conception of the perfect nanny, symbolised in the letter they write, is perfectly and completely realised in the title character. A brief exegesis of Lacan's third register, 'the Real', can now be given in light of the limitations of the Symbolic order and the desire that results.

'Real', again, is a term that needs to be unpacked. It is not 'reality' as such, nor 'truth', but that which completely resists symbolisation. This makes it an impossible subject for discussion, since discussion is, by definition, symbolic. But the idea of the Real as something 'outside' the Symbolic order is also to be avoided. Rather, it is sometimes referred to as a 'hard kernel' at which the free flow of signifiers stops. It is the ultimately terrifying, violent, traumatic, or even excessively enjoyable moment at which the Symbolic order is shattered.

For Freud 'reality' is the world external to the human mind, and the 'reality principle' lies in the individual's recognition that this world places limitations upon him as he pursues his pleasures. For Lacan [...] the Real is that which lies outside the symbolic process, and it is to be found in the mental as well as in the material world: a trauma, for example, is as intractable and unsymbolizable as objects in their materiality.⁷⁵

Slavoj Žižek's excellent illustration of the Lacanian tripartition of subjectivity through the metaphor of the game of chess is better than he gives it credit for.⁷⁶ In this metaphor, the Imaginary would register in the way we experience the shape of the pieces, the grain of the wood, their size, how far apart the knight's eyes are, and so on (think about giving a chess set to a baby). In the Symbolic register, the actual physical composition of these pieces, as well as their names, are arbitrary - what matters is their function within the rules of the game, the coordinates that govern their movement and how they

⁷⁵ Bowie (1991), p. 94.

⁷⁶ Žižek (2006), pp. 8-9.

may capture. This is why it is possible to substitute pieces that are missing with other objects - scrabble tiles, salt cellars, and so on - and imbue them with the same symbolic content without it affecting the game. It is also why it would not matter if we replaced knights and bishops with 'jumpers' and 'runners,' as long as their properties remained constant. Chess games can be notated algebraically and even be played by post or telephone. As a party trick, some grandmasters play 'blindfold' chess in which they orate all their moves to their opponent, playing the entire game without view of the board. In this way, the game assumes the structure of a language. The Real in this metaphor 'is the entire complex set of contingent circumstances that affect the course of the game: the intelligence of the players, the unpredictable intrusions that may disconcert one player or cut the game short.'⁷⁷ It is these things that are not registered by the players as they immerse themselves in the symbolic order. In life, as in chess, the subject can only glimpse the Real before beating a retreat back into the symbolic order.

The way in which desire functions varies between each register. In the Imaginary, desire is the desire of the other, that is to say, the Imaginary conundrum that the infant is presented with in regard to its (m)other's desire. The subject is concerned with solving the impossible puzzle of the other's desire in order to return to its original, unified, perfectly happy state. The structure of desire in the symbolic order is rather more complex.

Bowie, in his discussion of 'the other,' addresses head-on Lacan's aphoristic formulation 'the unconscious is the discourse of the Other.'⁷⁸ Bowie explains that:

'The Other' propels, where nature, instinct and nervous excitation do not. It is that which always insinuates itself between the individual and the object of 'his' desire; which traverses those objects and makes them unstable; and which makes desire insatiable by continuously moving its target. And as language is the site of desire -

⁷⁷ Žižek (2006), p. 9.

⁷⁸ Bowie (1991), pp. 80-84.

the supreme mechanism for its production and transformation, the complete tease - the Other takes language as its field of action.⁷⁹

5.3 The Big Other

When we speak of the symbolic Other, we are not referring to an individual (or any number of 'little' others) as we might in an Imaginary sense. We are talking here about a conceptual 'big' Other, an ineffable, omnipresent regulatory agency enacting its influence through language and the unconscious. Here it is worth taking a sideways step into Heidegger and a particular passage that feeds into Lacan's symbolic order and the big Other. *Being and Time*, Heidegger's *magnum opus*, is in large part a forensic examination of the verb 'to be' and more particularly the being of *Dasein* (literally 'being-there'), a being for whom its being is an issue for it. This refers to the nature of human being, exclusive of the being of animals and inanimate objects, but equally inclusive of wildly divergent examples of *Dasein*, even extending to the potential for intelligent alien beings, for example. Towards the beginning of the thesis, Heidegger provides a short section on one of the limiting factors on *Dasein* which he refers to as *das Man*. In German this is literally translated as 'the one,' the third-person impersonal singular pronoun (as in 'one should always wear clean underwear'), but in English it is more commonly translated as 'the they'.⁸⁰ Heidegger postulates that, for the most part, the Being of *Dasein* is essentially being-with (*Mitsein*) 'others' to the extent that the self in its everydayness withers under the enveloping pressure of these others:

As everyday being-with-one-another, *Dasein* stands in subservience to others. It itself is not; the others have taken its being away from it. The everyday possibilities of being of *Dasein* are at the disposal of the whims of others. These are not definite others. On the contrary, any other can represent them. What is decisive is only the

⁷⁹ Bowie (1991), p. 83.

⁸⁰ See Heidegger, *Being and Time*, Joan Stambaugh, trans., Division One, Chapter Four, 'Being-in-the-World as Being-with and Being a Self: The "They"', (Albany: State University of New York Press, 2010), pp. 112-126.

inconspicuous domination by others that Dasein as being-with has already taken over unawares. One belongs to the others oneself, and entrenches their power. 'The Others', whom one designates as such in order to cover over one's own essential belonging to them, are those who are there initially and for the most part in everyday being-with-one-another. The who is not this one and not that one, not oneself, not some, and not the sum of them all. The 'who' is the neuter, *the they*.⁸¹

Heidegger's 'the they' is the direct predecessor of the Lacanian big Other and strongly linked to the Freudian super-ego - an anonymous, obscene agency which makes constant demands of us, issuing impossible orders, ridiculing us on our inevitable failure to accede to these orders, and making us guilty the more we try.⁸² The erosion of the self by the They is not underestimated by Heidegger, who provides this haunting account:

This being-with-one-another dissolves one's own Dasein completely into the kind of being of 'the others' in such a way that the others, as distinguishable and explicit, disappear more and more. In this inconspicuousness and unascertainability, the they unfolds its true dictatorship. We enjoy ourselves and have fun the way *they* enjoy themselves. We read, see, and judge literature and art the way *they* see and judge. But we also withdraw from the 'great mass' the way *they* withdraw, we find 'shocking' what *they* find shocking. The they, which is nothing definite and which all are, though not as a sum, prescribes the kind of being of everydayness.

The they has its own ways to be. The tendency of being-with which we call distanciality is based on the fact that being-with-one-another as such creates *averageness*. It is an existential characteristic of the they. In its being, the they is essentially concerned with averageness [...] This averageness, which prescribes what can and may be ventured, watches over every exception which thrusts itself to the fore. Every priority is noiselessly squashed. Overnight, everything that is original is flattened down as something long since known. Everything won through struggle becomes something manageable. Every mastery loses its power.⁸³

⁸¹ Heidegger (2010), pp. 122-123.

⁸² Lacan, in fact, established a personal friendship with Heidegger. His influence can also be found in Lacan's metaphysical discussion of Being, and his distinction between 'full speech' and 'empty speech'. See Dylan Evans, *An Introductory Dictionary of Lacanian Psychoanalysis*, (London: Routledge, 1996), p. 145.

⁸³ Heidegger (2010), p. 123.

These remarks have a particular potency in contemporary life. In the terms of Žižek's chess metaphor, this provides a clear explanation of why one grandmaster making decisions alone will usually defeat a 'world team' of many grandmasters deciding on moves together: the lone player has a singular, peculiar strategy that can be delivered from start to finish, whereas the team (which succumb to the They) have to negotiate with one another, often resorting to voting for each move as it comes, resulting in a diffuse game plan and a generic, 'average' style of play.

So when we are told that '*one* should take responsibility,' this is not from empirical evidence, nor is it an opinion. It is merely someone acting as an agent of the they. Understood like this, we can see that the Lacanian 'big Other' and the Heideggerian 'They' are not the same as such popular terms as *Zeitgeist* or 'public opinion', both of which are essentially the sum of a great number of 'little' others. The big Other is an agency that dispenses with accountability as soon as it is articulated, having a nullifying effect on the individual Subject. In Žižek's explanation, through examples from Hitchcock films, the closely related concept of the 'gaze' is again something that interrogates and fixes the individual, but emerges from an actual physical presence which is manifested as a blot that allows the Real to intrude. In this way, the gaze is not simply 'the sense of being looked at' on its own, but is something that is returned to the subject from the intrusion of the Real.

5.4 Lacan's Graphs of Desire

It is perhaps clear now, after an introduction to Lacan's three orders, that the entire Bloomian revisionary project, with its emphasis on ego formation, struggle between individuals, sets of binary oppositions, reliance on mistakes and misreading, struggle and sublimation of Oedipal conflict, and so on, is essentially situated in the Imaginary register. A brief reading of Sean Homer's summary of the Imaginary is enough to

demonstrate this - Homer could have been referring to Bloom specifically here, and even his tone in this passage resembles Bloom's: 'The Imaginary is the realm of the ego [...] there is a fundamental disharmony [...] The ego is essentially a terrain of conflict and discord; a site of continual struggle [...] He [Lacan] argues that this loss [of being] is constitutive of subjectivity itself. [The Imaginary] is a realm in which a futile struggle takes place on the part of the ego to once more attain an imaginary unity and coherence.'⁸⁴ It is here in the Imaginary register that the ideal ego is constructed with reference to any number of 'little' others. The difference between Imaginary and Symbolic identification, 'between the ideal ego [*Idealich*] and the ego-ideal [*Ich-Ideal*]' as Žižek says, is:

that between 'constituted' and 'constitutive' identification: to put it simply, imaginary identification is identification with an image in which we appear likeable to ourselves, with the image representing 'what we would like to be', and symbolic identification, identification with the very place *from where* we are being observed, *from where* we look at ourselves so that we appear to ourselves likeable, worthy of love.⁸⁵

This identification with the place 'from where we are being observed' is termed in Lacanian theory as the 'gaze', and who is observing us? The big Other. So, in the Imaginary we are concerned with the relationship between individuals, and in the Symbolic the concern is with a more broadly societal Other.

In order to set these ideas in a framework that is usable for music analysis, it is useful to draw on Lacan's 'graphs of desire' that were constructed for the seminar in 1960.⁸⁶ The graphs provide a model that examines the relationship between the three orders of human experience, and in a context that is difficult to grasp from alternative theoretical

⁸⁴ Homer (2005), p. 31.

⁸⁵ Slavoj Žižek, *The Sublime Object of Ideology* (London: Verso, 2008), p. 116.

⁸⁶ Lacan (2006), pp. 671-702.

perspectives. The graphs also provide a certain critical distance from theories of musical structure - particularly Sonata Theory - which allows a new understanding of the ways in which theory and text interact, and the ways this can be meaningful to the analyst. This is particularly important in the case of Schubert's music, which has, some have argued, suffered as a result of the Beethovenian-Schenkerian-dominated analytical mainstream. It is also important, as the obverse of this, that Schubert's music has become an important gauge of consistency for theories that claim to accommodate both Beethovenian and Schubertian practices. At the various stations and intersections of the graph, it is possible to construct insights into this relationship between theory, text, and analyst from new perspectives, which include the positioning of the text in relation to other texts and other composers (Imaginary), in relation to a musical language (Symbolic), and the complex structures that occur when this structural order encounters the uninterpretable Real. The four successive forms of the graph, growing in size and complexity, chart the 'quilting' of the signifier - the fixing of the signifying chain at a certain point, pinning down its meaning.⁸⁷

The crucial underlying aspect of each graph is that meaning is constituted retroactively. The horizontal vector Signifier→Voice represents the signifying chain. This is 'quilted' by the two intersections of the second vector $\$ \rightarrow I(A)$ where the 'barred S' is the, divided, split subject and $I(A)$ represents the the ego ideal, the symbolic identification of the subject with a signifying feature of the big Other as a result of the traversal of the signifying chain. We can see from the graph that the emergence of meaning is retroactive: the signifying chain, which is temporal, is intersected in the first place at a later stage by the vector of the intentionality of the subject, then intersecting again at an earlier stage. As Lacan points out, this is demonstrable simply in the way that sentences are structured. A sentence 'closes its signification only with its last term [...] sealing [its]

⁸⁷ See Harper-Scott (2012).

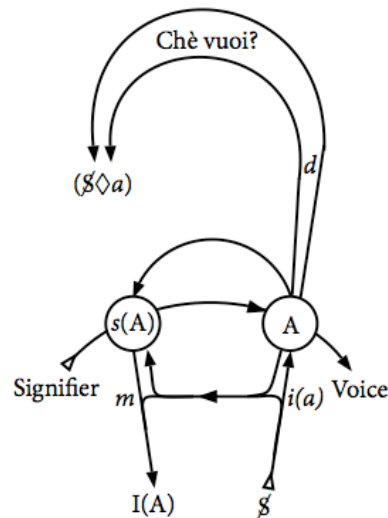


Fig. 5.10: Lacan's third graph of desire. Lacan (2006), p. 690.

meaning with its retroactive effect.⁸⁸ Although this is true in any language, it is perhaps particularly the case in German, where the verb in its infinitive form is often sent to the end of the sentence, quilting the multifarious sliding signifiers that have preceded it.

We can see at the first point of intersection marked A (*Autre*), the big Other, and the second point of intersection marked $s(A)$, its signified, which has meaning conferred on it retroactively. It is here that we can borrow Žižek's favourite model of anti-Semitism and the ideological construction of 'the Jew'. For anti-Semitism to function, it is not enough simply to have a list of things signifying 'jewishness' in an endless chain. It is not enough to say 'the Jews are parasites; they are exploitative both of the labour of the workers as well as the public finances of the State; they are responsible for the death of Christ and embody an anti-Christian, anti-moralistic position; they are tight with money; they are sexual deviants; they corrupt our children; they do not wash frequently enough' and so on and so forth *ad nauseam*. Rather, in order to 'quilt' these sliding signifiers around the ideological idea, 'Jew', we must reverse the way we attach

⁸⁸ Lacan (2006), p. 682.

meaning to it: 'these people are like this (A) *because they are Jewish* s(A).' Once this master signifier was properly quilted, installed in the symbolic order in Hitler's Germany, it did not matter that the little other (the Jewish man living next door) exhibited none of these traits. This is another example of the dominance of the Symbolic over the Imaginary. In a musical context the symbolic order, the big Other, is the arbitrary set of contingent rules which precede us, forming what is essentially a musical 'language'. It is the arbiter of musical structure, deciding what is structurally 'meaningful'.

In Lacanian theory, 'voice' is a very specific term denoting a detached, meaningless 'leftover' of the process of quilting, a partial object. Žižek writes:

The clearest concrete embodiment of this objectal status of the voice is the hypnotic voice: when the same word is repeated to us indefinitely we become disoriented, the word loses the last traces of its meaning, all that is left is its inert presence exerting a kind of somniferous hypnotic power - this is the voice as 'object', as the objectal leftover of the signifying operation.⁸⁹

Another example of this is some of the so-called 'tape-music' of the mid-twentieth century, particularly the early works of Steve Reich - *It's Gonna Rain* (1964) and *Come Out* (1966) - in which the meaning of the words is quilted in the first few seconds of the work, after which they are subjected to endless repetition in which their simple 'meaning' is disintegrated.

m is the matheme for the imaginary ego (moi), connected to $i(a)$, its imaginary other via the new vector inserted below the symbolic level. The reason for this 'short circuit' is in the misrecognition by the subject of the big Other, who is still concerned with mirror images and its own little other. This imaginary registration does not cross the signifying chain - it is 'pre-symbolic'.

⁸⁹ Žižek (2008), p. 115.

With the lower sections of the graph we have a model that is capable of showing how meaning is generated symbolically - it is the order of language. The upper level is introduced to account for the leftover after the quilting has occurred. As Žižek describes it, 'After every "quilting" of the signifier's chain which retroactively fixes its meaning, there always remains a certain gap, an opening which is rendered in the third form of the graph "*Che vuoi?*"'⁹⁰

This is the question that asks of the leftover remnant of the quilting process 'what is it that you *actually* want?' In Lacan's formulation, 'what do you want?', or 'what does he want from me?'⁹¹ And in Žižek's formulation, 'You're telling me that, but what do you want with it, what are you aiming at?'⁹² This offshoot from the big Other accounts for anything for which the demand carries an aim above and beyond its literal meaning. It is the philosophical map of the way in which the subject negotiates the conundrum of a so-called loaded statement. This is where (symbolic) demand and need come apart, and so is the precise location of desire, represented by the matheme *d*.

The question '*Che vuoi?*' is answered by the formula of fantasy ($\$ \diamond a$) which the subject constructs in order to fill out the gap left between utterance and need, the desire of the Other. Fantasy is a screen, conceptually without depth, onto which the subject projects their desires, and an answer to the lack in the Other. But, as Žižek points out:

it is at the same time fantasy itself which, so to speak, provides the co-ordinates of our desire - which constructs the frame enabling us to desire something. The usual definition of fantasy ('an imagined scenario representing the realization of desire') is therefore somewhat misleading, or at least ambiguous: in the fantasy-scene the

⁹⁰ Žižek (2008), p. 122.

⁹¹ Lacan (2006), p. 690.

⁹² Žižek (2008), p. 123.

desire is not fulfilled, 'satisfied', but constituted (given its objects, and so on) - *through fantasy, we learn 'how to desire'*.⁹³

Lacan gives a further nuance to fantasy, stating of the abbreviation ($\$ \diamond a$):

It is no accident that it breaks the phonemic element constituted by the signifying unit right down to its literal atom. For it is designed to allow for a hundred and one different readings, a multiplicity that is acceptable as long as what is said about it remains grounded in its algebra.⁹⁴

It is important not to underestimate the function of fantasy in the way that we experience desire. Fantasy is the mechanism through which the co-ordinates of desire are established and without which we are perpetually faced with the impossible and insufferable '*Che vuoi?*'. The 'objects' that Žižek refers to in the above quotation can quite reasonably equate to the musical 'objects' that are identified by *EST*, which would include, but not be limited to, such structures as 'essential expositional closure', 'essential sonata closure', and 'medial caesura'. It is the 'fantasy', however, which allows the desiring subject to locate and access these 'objects', and to derive meaning and pleasure from them.

Turning to the final, complete form of the graph of desire (Fig. 5.11), we now have a new vector which penetrates desire, and with it a new set of intersections. The new vector, *Jouissance*→Castration, is one of pure, unmediated, Real enjoyment which perforates the desire generated by the symbolic quilting. The 'problem' generated here, as Žižek explains, 'is what happens when this very field of the signifier's order, of the big Other, is perforated, penetrated by a pre-symbolic (real) stream of enjoyment - what

⁹³ Žižek (2008), p. 132.

⁹⁴ Lacan (2006), p. 691.

happens when the pre-symbolic 'substance', the body as materialized, incarnated enjoyment, becomes enmeshed in the signifier's network.⁹⁵

In the upper part of this graph, on the left we have the signifier of the barred Other: $S(\bar{X})$. The Other is 'barred' because of the gaps, inconsistencies, and lack that is uncovered in the signifying process: the pre-symbolic enjoyment perforating the symbolic field can not be fully integrated into the symbolic order. From this perspective, we can see that 'the only possible signifier of enjoyment is the signifier of the lack in the Other, the signifier of its inconsistency.'⁹⁶

Located on the right side of the graph, further along the vector of enjoyment, is the drive: $\$ \diamond D$. In this construction, the matheme 'D' represents symbolic demand. As Žižek describes it, the signifier dismembers the body, emptying out enjoyment. But this process is not completed, resulting in so-called erogenous zones, 'fragments still penetrated with enjoyment' to which the drive is attached.⁹⁷ Žižek's alternative reading of the Lacanian drive, in contrast to the traditional Freudian understanding, is that the drive is the 'impossible junction of enjoyment and the signifier.'⁹⁸ We can see from the graph that the signifier of the barred other and the drive share a similar relationship to the signifier of the big Other and big Other itself - the latter determines the former retroactively. Moving along the vector of enjoyment, going past the drive, the vector moves towards 'castration', the condition reached when the body is totally dismembered, fractured, and emptied out of enjoyment. What this means for music analysis is that at some point there will be an inconsistency in the structural order which registers itself as

⁹⁵ Žižek (2008), p. 136.

⁹⁶ Žižek (2008), p. 137.

⁹⁷ Žižek (2008), p. 138.

⁹⁸ Žižek (2008), p. 138.

upper and lower levels of the complete graph. The lower level structures the co-ordinates of meaning in a literal way, it cannot account for the lack in the Other, which is represented in the upper level and accounted for through fantasy. So, to take an example, we have a young woman (s), properly installed in the symbolic order (A). Moving up the right side of the graph, the inconsistencies in the societal big Other generate a schism between what is demanded of her - certain actions or modes of behaviour, for example - and the need behind the demand, generating desire (d) and the impossible '*Che vuoi?*' The drive ($s \diamond D$) 'quilts' the stream of enjoyment that is penetrated, generating the signifier of lack in the other ($S(A)$). She will never fully satisfy the desire that has been generated because of the inconsistency of the Other, and reaches a state of 'crisis' at this point, owing to the fact that the unfathomable '*Che vuoi?*' can never be answered. Going down the left side of the graph, she 'fills in' these inconsistencies with fantasy ($s \diamond a$), which can expand to accommodate the gaps in the other. Such a fantasy might include, 'having a perfect marriage', for example, or 'being a moral person', or even 'being devoutly religious.' These fantasies flood into the signified of the Other $s(A)$ with which the subject then identifies - the Perfect Christian Wife. In this case, the 'PCW' amounts to the sort of crass cliché that we frequently find in some of the more ideologically dubious Disney films, foregrounded by their frequent reliance on 'fantasy' in the generic sense, as well as the Lacanian one, and at the end of such a fairytale we are given the other well-known cliché '*...and they all lived happily ever after. THE END*' as if to demonstrate that everything is finally concluded in a perfectly happy and contented state: the desire has been satisfied. From the Lacanian perspective we know this end point ($I(A)$) only to be the product of an ever ballooning fantasy, filling in the errors and inconsistencies with symbolic fictions which regulate it and make it appear meaningful.

Viewing musical analysis through this Lacanian lens casts new light on the various objects that are studied and the meanings that are extracted. These are taken for granted to such a deep extent that we sometimes consider them to be 'really there' when, for the reasons detailed above, they are merely fictional constructions. To take one final trip around Lacan's complete graph of desire, we might situate the big Other as the uncomplicated musical language at a purely syntactical level - the music 'makes sense', dissonances are resolved, keys are established with cadences, modulations are enacted, and so on. This is the point at which Harper-Scott locates tonality - the system that governed the antagonism between consonance and dissonance from the eighteenth to the twentieth centuries.¹⁰⁰ Borrowing a term from Žižek, the 'problem' of the musical text arises from the same issue as before - the inconsistency of the Other - and from the resulting desire we ask the impossible question '*Che vuoi?*' Translated into a musical context, the unfathomable question might mean something like: 'Yes, I get it, the syntax of the music "makes sense" and doesn't sound like a random jumble of sounds, but what is it *really* saying? What does it *mean*?' The crisis point is reached at the signifier of the barred Other ($S(\bar{A})$) where we realise that there really is no consistency in whatever symbolic order is governing the particular text (*ars nova*, *seconda prattica*, tonality, serialism). The way out of this, of course, is to patch over the inconsistencies of the symbolic order with fantasy, and it is precisely here for the present purposes that we locate our analytical machinery, Sonata Theory.¹⁰¹

Understanding the analytical system as a screen onto which we project the particular text in question is important in informing the way that we can talk of meaning in music. Firstly, it demonstrates the mechanism through which analysts can talk of deeper 'messages' that can be retrieved from a musical text above and beyond a purely syn-

¹⁰⁰ See Paul Harper-Scott, *The Quilting Points of Musical Modernism* (Cambridge: Cambridge University Press, 2012), pp. 172-178.

¹⁰¹ It is important here to distinguish between 'style', which is a symptom of the symbolic order, and 'analytical system', which is a fantasy that accounts for the symbolic order's inconsistency.

tactical one. In the typical division of meaning into semiotics (the 'how' question) and hermeneutics (the 'what' question) we can see that the 'how' is governed by the effect of fantasy down the left side of the graph of desire, with the work itself located at the signified of the big Other ($s(A)$). The 'what' is located at the bottom of the graph where the identification happens ($I(A)$) in what Gadamer would term a 'fusion of horizons', the point at which the horizon of the text and our own horizon as subjects, whose experience is mediated through fantasy, overlap.

Another point to be made here is just how readily the commonly used theories of music lend themselves to the idea of fantasy. In the present case we have Sonata Theory, whose primary incarnation is Hepokoski's and Darcy's *Elements of Sonata Theory*. The very title implies that it is protean, porous, and open-ended, that it can be added to, adapted to fit any number of situations. It has its 'objects', in both senses. Such things as primary zones and transitions are objects in as much as they are symbolised and referred to as such. Even more crucially we have objects in the other sense - 'the object of the transition is to achieve a medial caesura.' Perhaps the terminal objects of Sonata Theory demonstrate this with most elegance: the essential sonata closure ('...and they all lived happily ever after') and the coda ('THE END').¹⁰² The Lacanian gaze is a useful concept when considering the relationship between such a theory and the way that musical works are exposed to it, and generates two possible interpretations. Firstly, it could be considered that Sonata Theory, through the agency of the music analyst, gazes at the work in a similar manner to the way that Alec and Laura are exposed to the gaze of the conservative British big Other through the agency of their friends and colleagues. The effect of the gaze of Sonata Theory on the work is an oppressive one, disarming it and restricting its individuality. It is the obscene obverse of the fantasy that is demanded from the work. The second interpretation is the way that

¹⁰² See Scott Burnham's account of the coda in Beethoven's 'Egmont' in *Beethoven Hero* (Princeton: Princeton University Press, 1995), pp. 124-142.

the work gazes back 'through' the fantasy at the analyst, constricting their potential observations and immobilising interpretation.

The Schenkerian system can be read in the same way. Not only does it gaze at the works in question, but when met with criticism, it simply morphs into a new version of its own fantasy in order to fill out the logical inconsistencies in the symbolic other. A typical criticism of Schenkerian theory when analysing Schubert's music is its perceived inability to handle the apparent primacy of mediant tonal relationships over the structural dominant. But notwithstanding this apparent inconsistency - the sign of the barred other in the symbolic frame of diatonic structural harmony - the Schenkerian system is nonetheless able to demonstrate its ability to cope with such inconsistencies - an indication of its suppleness and efficacy as a functioning fantasy. As Žižek has emphasised, '*fantasy is a means for an ideology to take its own failure into account in advance*' (his italics).¹⁰³ The way this is expressed in Schenkerian analysis is through such mechanisms as modal mixture and bass arpeggiation, which serve to dispel problems posed by musical structures which rely predominantly on modulation through a 3rd, as is evident in a vast number of sonata structures in the nineteenth century. Owing to fantasy, then, the Schenkerian is able to proclaim the universality of their analytical method, showing how even the most distantly related keys are still part of a fundamental prolongation of an overall tonic, in spite of its inconsistency.¹⁰⁴

And so we arrive at a deadlock. The text as an intertext can be read as an Imaginary ego-forming battleground through the Bloomian revisionary mechanism with its limitations, mistakes, and the frustration of only bearing connections to one text at a time. The way out of this is to break into the Symbolic world of sliding signifiers and desire,

¹⁰³ Žižek (2008), p. 142.

¹⁰⁴ For a more forensic examination of these ideas, see J.P.E. Harper-Scott, *The Quilted Points of Musical Modernism: Revolution, Reaction, and William Walton* (Cambridge University Press, 2012), pp. 239-245.

but in the knowledge that the Other is incomplete, fractured, and ultimately lacking, and that the only way out of this critical situation is totally to surrender oneself to an elaborate fantasy of symbolic fictions in order to project meaning onto an ultimately meaningless text. The way out, I would argue, is to decide on the right vantage point from which to observe this network of connections. From the Imaginary Bloomian perspective (the lower half of the graph of desire) we are merely considering our options at a Kristevian intertextual level: the meaning of any text is another text. We are concerned with images which reflect on the text in an ego-forming way - that is to say, we are situating the text in a matrix of other texts which relate to it, contradict it, imitate it, influence it, and so on. We are considering options in an endless process. This contrasts Kramer's view of Bloomian theory, in which he situates influence as a mechanism supporting the symbolic order. He argues that

The traumatic power of the Bloomian strong poet is a hyperbolic form of the general power of a preexisting impersonal Other over the socialized human subject. This power has been a familiar topic in critical theory since the late twentieth century. It has been embodied in a series of concepts ranging from hegemony and ideology to the Lacanian big Other (a.k.a. the symbolic order) to what Judith Butler calls the 'linguistic vulnerability' revealed by our susceptibility to injurious speech, something that, for Butler, reenacts the primary universal trauma of mere naming. Stories of influence serve to localize and limit such trauma - the dark underside of structures of address - and the power that inflicts it.¹⁰⁵

The problem with Kramer's view, then, is that once an icon has been established ('Beethoven', 'Corelli', 'Palestrina') it becomes immediately imbedded in the big Other *to the exclusion of its Imaginary power*. It is uncontroversial to say that the image we may construct of Beethoven is flawed, mistaken, incomplete, and so on. But a pre-symbolic, Imaginary Beethoven (*i(a)*) can still exist as an ego-forming agency.

¹⁰⁵ Kramer (2011), p. 123.

Beethoven, in this regard, is not simply 'like the air we breathe' - he can still be an individual, 'little' Beethoven.

A more refined perspective, I would argue, would be to take a more holistic view of the entire intertextual structure that Lacan invites us to consider. While Imaginary and Symbolic registration are two discrete yet interdependent entities, we find in Kramer's critical reading of Bloom that the Imaginary registration is preceded by the Symbolic. While in some cases it is beneficial to consider the symbolic order, the big Other, language, to be always already there - to precede us - it does not precede Imaginary registration which is, by definition, pre-linguistic. Therefore, Kramer's account of Bloom, and influence in general (however narrowly he defines it) is always already a symbolic construction. By conceiving a fundamentally Imaginary structure already to be 'within' a symbolic one seems to be directly at odds with a Lacanian understanding of such concepts.

From the perspective of the top of the graph, the signifier of the barred other ($S(\bar{A})$), we are drawn into a reading of the text against a fragmented Other that can only be experienced in a secondary, conditional way, through symbolic fictions that we project through a fantasmatic analytic mechanism. And so our vantage point is best placed at the drive, after we have escaped the Imaginary register and become subjected to desire, but before the stream of *jouissance* has been quilted: the point of the 'impossible' junction of enjoyment and the signifier. What Žižek has to say about the drive is illuminating:

Scattered around the desert of the symbolic Other, there are always some leftovers, oases of enjoyment, so-called 'erogenous zones', fragments still penetrated with enjoyment - and it is precisely these remnants to which Freudian drive is tied: it circulates, it pulses around them. These erogenous zones are designated with D (symbolic demand) because there is nothing 'natural', 'biological', in them:

which part of the body will survive the 'evacuation of enjoyment' is determined not by physiology but by the way the body has been dissected by the signifier (as is confirmed by those hysterical symptoms in which the parts of the body from which enjoyment is 'normally' evacuated become again eroticized - neck, nose...).¹⁰⁶

A challenge to the music analyst, then, is to locate such 'oases of enjoyment', the impossible Real *jouissance*, which emerges fleetingly in the text and is surrounded by a swirling symbolic network.

¹⁰⁶ Žižek (2008), p. 138.

6. Schubert's Deflecting Medial Caesura as Lacanian *Sinthome*

The aim of this chapter is to examine in fine detail one aspect of Hepokoski's and Darcy's *Elements of Sonata Theory* through a Lacanian lens, and in particular to scrutinise its manifestations in Schubert's work. So far, the focus has been on a much broader overview of the results generated from Sonata Theory's interaction with Schubert, and a psychoanalytic repositioning of music analysis in respect to its object of study. The intertextual resonances that are evident when viewed through the lens of psychoanalysis are apparent, but require further detailed scrutiny both from the view of the work, and the gaze of the analytical framework. This detailed scrutiny will focus on a particular Schubertian handling of the medial caesura (MC), and the varied (psycho)analytic study that this repays.

The reason for giving such strong focus to the medial caesura is the remarkable treatment of this moment that we find in a collection of Schubert's overtures and 1st-movement Type-3 sonatas. Sonata Theory, more than any other recent theory of sonata form, I have argued, is the most precise analytical tool for a discussion of this moment and, as I shall argue in this chapter, a Lacanian interpretative strategy is particularly useful when approaching such formal cruxes.

This will not be the first analysis to consider a certain trait as 'Schubertian'. Susan Wollenberg's recent work devotes a book-length study to this topic, entitled *Schubert's Fingerprints: Studies in the Instrumental Works*, the aim of which is the examination of particular traits that can be used to identify Schubert's music.¹ Although Wollenberg's work can be described as intertextual in the sense that the 'fingerprints' she identifies are common across many texts, there are few conclusions drawn, analytic or

¹ Susan Wollenberg, *Schubert's Fingerprints: Studies in the Instrumental Works* (Ashgate, 2011).

hermeneutic, beyond the level of cataloguing of identifying factors. Indeed, this seems to be plainly stated at the outset when she writes that ‘two notions - that of the “favourite device” and the “fingerprint” - have become melded together in my outlook on Schubert as I have continued to study his music closely over the past two decades.’² There seems to be little engagement with any current music theory in her prose, and her comments on what extra-musical themes the devices she identifies might refer to goes little beyond a heightened description. Without overstating the point, here is one such example:

Among the elements that link the two works [D. 887 and D. 956] is the treatment of the transition within the first-movement sonata form. The many attractions - indeed, the beauties - of the String Quintet include, in its first movement, the particularly intimate connection of transition and Theme II, a process already seen in D 887 and earlier works but here reaching new levels of intensity. In combination with the leisurely lyricism of Theme II itself this creates an extraordinary richness and depth. The transition-and-second-theme ‘complex’ that is formed here is again a veritable catalogue of Schubert’s strategies. The Quintet’s first movement builds up towards the arrival of its second theme in analogous fashion to the first movement of the ‘Unfinished’ Symphony, no. 8 in B minor, D 759; both movements display the energy and drive normally associated with the transitional process, in passages that in fact do not leave the tonic. The move to the second key area is then accomplished in both cases with a ‘quick transition’ pared down to essentials.³

It is clear, at least, that what Wollenberg refers to in this passage is Schubert’s particular treatment of the medial caesura. What is absent from her description is that this formal junction contains a harmonic deflection for the start of the secondary zone, which generates various effects of nostalgia, irony, revelation, surprise, and so on. This occurs in the chapter called ‘Poetic Transitions’, and her prose swirls around the particular effects that are generated, focusing, above all, on themes: she describes in considerable detail the transition which led to this point, and in comparable detail the sec-

² Wollenberg (2011), p. 2.

³ Wollenberg (2011), pp. 61-62.

ondary zone which she refers to as 'Theme II'. The discussion continues as she aims to show the way in which this theme moves from key to key, demonstrating a broader parallelism with the work as a whole. She even discusses the way this procedure is used in many other works, thereby generating an intertextual network. But absent from her discussion is the crucial issue that forms one of the core hypotheses of this chapter: it is not the themes that generate this intertext, but the 'structured silence' between them, the medial caesura.

6.1 The Medial Caesura in General

It may be useful at this point to provide in brief a clarification of the medial caesura before assessing any potential Lacanian considerations. In *Elements of Sonata Theory*, Hepokoski and Darcy define the medial caesura as follows:

The *medial caesura* is the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant.⁴

Details are soon given about motion to the relative major in minor-mode sonatas, and their characterisation seems to stand for the vast majority of the repertoire in question.⁵

Hepokoski and Darcy then give the following embellishments to this definition:

The medial caesura has two functions: it marks the end of the first part of the exposition (hence our adjective 'medial'), and it is simultaneously the highlighted gesture that makes available the second part. The MC is the device that forcibly opens up S-space and defines the exposition type [...] The medial caesura provides a firmly established platform from which the secondary theme, launching part 2, may emerge [...] The MC is most commonly the final gesture - the 'break' or 'gap' at the end - of a more complex musical passage constructed around and often sustaining a half cadence (HC) or dominant arrival, in either the tonic key (I:HC) or the domin-

⁴ *EST*, p. 24.

⁵ The main exception to this is the 'continuous exposition' which contains no medial caesura. See *EST*, pp. 51-64

ant key (V:HC). In referring to medial caesuras as often being 'built around' half cadences, we of course distinguish between the point of initial half-cadence arrival and the MC moment itself, in those cases where these two events differ.⁶

Hepokoski's and Darcy's conception of the medial caesura first emerged in their 1997 article 'The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition' wherein they explain that the origins of the idea, which they consider to be 'one of the linchpins of Sonata Theory,' are found in the music theory of the period under discussion.⁷ Their point of departure is Heinrich Christoph Koch's *Versuch einer Anleitung zur Composition* (1778) in which, they explain, Koch emphasises how 'varying degrees of rhetorical articulation - especially hierarchically ordered cadences, pauses, and breaks - are central to the mid- and late-eighteenth century sense of form.'⁸ The authors make clear at this point, nine years before the eventual publication of their complete theory, how important the medial caesura is in the context of their work when they write, 'It is our contention that an analysis of major punctuation-breaks (structural caesuras) leads one into the heart of a productive, defensible sonata-form theory.'⁹ While this claim is not new - the authors mention Ratner, Berger, Rosen, and Rothstein as making important contributions to the model, and to them I would add Karol Berger - the structural caesura they consider to be the most important, the one that sometimes divides the exposition into two distinct parts, takes on a new level of importance, the authors argue.¹⁰

⁶ *EST*, pp. 24-25.

⁷ Hepokoski and Darcy (1997), p. 117.

⁸ Hepokoski and Darcy (1997), p. 115.

⁹ Hepokoski and Darcy (1997), p. 115.

¹⁰ See Karol Berger, 'The First-Movement Punctuation Form in Mozart's Piano Concertos' in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw, (University of Michigan Press, 1996), pp. 239-259.

It is also here that the two authors begin to lay out their conception of the two types of exposition, those containing a medial caesura (the 'two-part exposition') and those in which there is no medial caesura (the 'continuous exposition', also discussed in *EST*, to which Chapter 4 is dedicated). There are important historical considerations to be made with regard to these categories, and which particularly relate to Schubert's practice. The trend over the period of a hundred years, from the mid-eighteenth to the mid-nineteenth centuries, was one in which the two-part exposition gradually superseded the continuous exposition as the norm. In the earliest sonatas and symphonies the continuous exposition could be considered normative, and can be traced back to the binary forms of the late Baroque in which the tonality drifts from tonic to dominant without a sharply focused point of cadential punctuation. Rosen is right to point out precisely that sonata style is an outgrowth of Baroque style, going as far as to write that 'In a sense, sonata style invented no new forms. It merely expanded, articulated, and made public those it found already lying at hand.'¹¹ The many cases of the continuous exposition type can be regarded as a descendant of the 'Baroque drift from tonic to dominant' that Rosen has written of.¹² The continuous exposition was common in the mid-eighteenth century, and was used to great effect by composers such as Sammartini and Stamitz.¹³ But as the century drew to a close this procedure began to wane. Although it is a staple of Mozart's early style, Haydn stands out as the only prominent composer to continue fully to engage with it throughout his career: the first movements of his symphonies No. 13, No. 44 ('Trauer'), No. 45 ('Farewell'), No. 88, No. 96 ('Miracle'), and No. 103 ('Drumroll') each exhibit this type of exposition. In Mozart's mature works this procedure becomes rarer, likewise in early Beethoven, although, as Hepokoski and Darcy have pointed out, 'they do exist.'¹⁴ 1770 emerges, however, as a convenient wa-

¹¹ Rosen (1980), p. 27.

¹² Rosen (1980), p. 133.

¹³ See Spitzer (2013), pp. 134-141.

¹⁴ *EST*, p. 52.

tershed, after which the continuous exposition becomes the exception rather than the rule (except for Haydn). In the thirty years until the end of the century it appears that the two exposition types were both viable alternatives, although the two-part exposition is, in general, favoured by theorists of the period. Hepokoski and Darcy note that it is the two-part exposition that was 'alluded to by Riepel in 1755 and Vogler in 1778; described by Koch in 1793 [...] by Galeazzi in 1796 [...] and by Kollmann in 1799' before listing a collection of nineteenth-century theorists with comparable conceptions of the form.¹⁵ While modern theory need not be overly reliant on contemporaneous theories of form, which were above all composition treatises and not strictly analytical in the modern sense, it is important to note how preoccupied these theorists were with the nature and function of structural caesuras in sonata expositions. After around 1800, and increasingly as the nineteenth century proceeded, the continuous exposition became very rare indeed, being employed principally in works of more modest proportions, sonatinas and the like. By this time, the two-part exposition, which Rosen characterised as 'a violent opposition of tonalities,' was strongly normative, an observation that is confirmed by the survey of Schubert's forms conducted in the present study.¹⁶ Of Schubert's entire sonata-form output, only the first movements of the Quartet in G minor/B_♭ major, D. 18, the Quartet in C major, D. 32, Quartet in C major, D. 46, and the eccentric Quartet in D, D. 94 can be considered examples of the continuous type, and they all emerged early in Schubert's career, the last of them being composed in 1814 when Schubert was 17. After these exceptions, every sonata exposition Schubert composed is of the two-part variety, featuring a medial caesura in some form.

Hepokoski's and Darcy's view of the eighteenth-century conception of form as punctuation is positive, but cautious. Unlike Berger, who elevates the punctuation model above the other three factors of musical form - key, theme, and voice - deliberately aligning

¹⁵ Hepokoski and Darcy (1997), p. 117.

¹⁶ Rosen (1980), p. 133.

herself with eighteenth-century precedents, Hepokoski and Darcy adopt a far more critical stance. They argue that 'original theoretical writings - Koch, Galeazzi, Reicha, and so on - are to be taken into account, but as massively reductive generalizations they ultimately prove to be of secondary importance.'¹⁷ They also note that 'The basic notion of a musical caesura [...] is elementary enough: the term may refer to any break or pause, however mild, in the texture. Our concern here is with the specially privileged, generically stylized *medial caesura*.'¹⁸ This implies, as a minimum, that in their conception of moments of pre-EEC punctuation, the MC is at or near the top of a systematised hierarchy of musical punctuation, and is treated in the repertoire with some degree of uniformity, in contrast to any number of combinations of musical caesuras which emerge in the music of the period. My own view is that late-eighteenth-century punctuation theories, while of paramount historical importance, are best treated as a product of their time, that is to say, as composition treatises and not as analytical theories. In any case, the ones that emphasise the punctuation model most, especially Koch's, emerged decades before Schubert's sonata forms, which are of a quite different mould altogether. The inductive approach advocated in Sonata Theory seems to be significantly more flexible than the much more prescriptive punctuation theory, and it offers a considerably more precise language for discussing structural caesuras. In any case, although Sonata Theory privileges the caesura that separates the two parts of an exposition above other, presumably subordinate cadential cruxes, Schubert's treatment of the MC in a number of cases is remarkable enough to demand special treatment.

What should be emphasised here is that the medial caesura is not the imperfect cadence established by the transition, but literally the resultant empty space that is generated as a rest in all voices within the texture. Nor is the medial caesura the cause of anticipation towards the expected secondary theme, also engendered by the imperfect

¹⁷ *EST*, p. 605.

¹⁸ Hepokoski and Darcy (1997), p. 123.



Fig. 6.1: Mozart, Piano Sonata No. 6 in D, K. 284, first movement, bb. 17-24.

cadence effect. Hepokoski's and Darcy's 'touchstone occurrence of this familiar break' is in Mozart's Piano Sonata in D major, K. 284, first movement, which bears all the normative characteristics of such a structure: an energy-gaining transition; a tonic half close, rhetorically reinforced by three hammer strokes; a silence of one crotchet in duration; and a convincing secondary module that follows.

Three factors require attention here. The first is the frequent occurrence of the caesura-fill which covers over the gap of the medial caesura. Hepokoski's and Darcy's definition and explanation of the caesura-fill is as follows:

The literal presence of the general-pause gap (the brief rest in all voices before the onset of S) is the most normative option at the medial-caesura point, especially in the mid- and late-eighteenth century. Almost as common, however, is the technique of implying that gap but filling it in with a brief sonic link in one voice (or, sometimes, in more than one). One function of this link is to articulate with sound the most important expressive obligation of this moment: the representation of the *energy-loss* that bridges the vigorous end of TR (MC) to what is frequently the low-intensity beginning of S (part 2).¹⁹

¹⁹ *EST*, p. 40.

Fig. 6.2: Haydn, Symphony No. 97 in C, Hob. I:97, first movement, bb. 70-78.

To add my own remarks to this, rather than considering this to be a ‘filling-in’ of the medial caesura, it may be advantageous rather to think of it as a ‘filling-over’. In most cases, the medial-caesura gap is still present underneath the fill which is, conceptually, without ‘thickness’ or ‘density’. The fill is not active like the transition and the secondary zone which surround it. It might be considered as a kind of leftover or excess that is produced by the energy of the transition which needs to be discharged. Such energy is conducted, in a similar manner to a ‘cold sink’, into the medial-caesura gap. There are a small number of exceptional cases in which the caesura fill becomes more than a mere energy-losing link which rests above a more fundamental pause, but these cases are beyond the scope of the present study.²⁰

²⁰ Sarah Moynihan, in an unpublished dissertation (2010), has constructed the compelling argument that the extended tranquil section in the middle of the exposition of Brahms’s *Tragic Overture*, Op. 81, bb. 68-105, is to be considered as an enormously expanded caesura fill. Such examples compose a tiny, and therefore significant, minority of cases.

The second factor which demands attention is the requisite length of the medial caesura in a given exposition, especially in the majority of cases that do not have a caesura-fill. Hepokoski and Darcy write that 'a beat or two [is] the mid-eighteenth-century norm.'²¹ One beat is probably the shortest possibility in duple and quadruple metre, and probably the most common in triple metre. But the presence and effect is significantly increased with longer caesura gaps, in some cases lasting a number of bars. Such an example is found in Haydn's Symphony in C major, No. 97 (Fig. 6.2), in which the caesura (without fill) spans nearly two bars. There is no logical reason why the caesura should not last two beats rather than five, and in performance the pulse is usually imperceptible or relaxed to the extent that it becomes difficult to discern its exact length. Haydn could equally well have written eight beats, or an indeterminate pause here, which demonstrates that while in many cases the metre demands a certain duration of caesura, in some circumstances the pause is free to linger, often conspicuously.

Finally, there is the question of the opposition of grammatical and expressive functions that caesuras serve. Rosen's view is that the motion to the dominant in a sonata exposition is in no way an expressive strategy, and that it was regarded in the eighteenth century as a purely grammatical procedure. He writes that

I cannot believe that a contemporary audience listened for the change to the dominant and experienced a pleasant feeling of satisfaction when it came. The movement to the dominant was part of musical grammar [...] it was a necessary condition for intelligibility.²²

Rosen's view stands for the eighteenth-century norm, identified by Hepokoski and Darcy as any of three options: the I:HC MC, the V:HC MC, and the V:PAC MC. But a ques-

²¹ *EST*, p. 40.

²² Rosen (1971), p. 33.

tion remains regarding the possibility for such aspects of grammar and punctuation to take on, perhaps through a particular deformational treatment, an expressive role, and therefore to demand hermeneutic reflection. Stephen Rumph's dialectical approach to Mozart's music highlights the antagonism between the two poles of the expressive and the syntactical which, I argue, become particularly salient in Schubert's handling of the medial caesura.²³

What can Lacanian theory bring to this element of Sonata Theory? Stephen Rumph has already mentioned, albeit briefly and *en passant*, that a Lacanian reading of particularly deformational musical cruxes might be possible and beneficial. In his discussion of the moment of recapitulation in the Andante of Mozart's Piano Concerto in G, K. 453, he notes the highly unusual return from C# minor to C major, asking if 'the enharmonic shortcut to the reprise represent[s] Mozart Bourgeois submitting to social forces or Mozart Composer indulging in a bit of harmonic *jouissance*?'²⁴ Although the concepts of retransition and medial caesura differ markedly in function and treatment in the repertoire, they are comparable as form-defining moments, and carry potential for deformational treatment. In the Mozart example used by Rumph, and in the set of Schubertian examples I set out below, it is the treatment of surrounding harmonies that invites such a Lacanian reading, and which are, moreover, more readily approachable through a neo-Riemannian conception of tonal space rather than the type of Classical 5th-space set out by Rosen. My view is that such grammatical cruxes, in the instances to which I refer below, become the vessels for a particular kind of expressive end as a result of their deformational treatment, but that such expression remains fluid and, ultimately, elusive.

²³ See Rumph (2012).

²⁴ Rumph (2012), p. 112.

The etymology of 'caesura' (from the Latin *caedere*, to cut down), noted by Hepokoski and Darcy in their 1997 article, seems to lend itself to such a Lacanian reading.²⁵ It does not imply simply that the music stops and resumes after a short silence, but that it has somehow been cut, that there is a conceptual tear in its fabric. The Lacanian response to this is that such a tear is understood as a rupture or inconsistency in the symbolic order, allowing the Real momentarily to intrude.

The medial caesura sets the internal boundaries of the two-part exposition and, therefore, is pivotal to the structure of the piece as a whole.²⁶ Sometimes, the way that Žižek describes the relationship of the Real to the Symbolic could be directly applied to a discussion of the medial caesura and the musical structures that surround it:

Why must the symbolic mechanism be hooked onto a 'thing,' some piece of the real? The Lacanian answer is, of course: because the symbolic field is in itself always already barred, crippled, porous, structured around some extimate kernel, some impossibility. The function of the 'little piece of the real' is precisely to fill out the place of this void that gapes in the very heart of the symbolic.²⁷

Understanding the medial caesura as the 'little piece of the real' which sets the symbolic network into motion may seem counterintuitive. Common sense would suggest that the Real would be located somewhere 'before' or at least 'outside' the space of the sonata, from which point the music could be set in motion. Actually, locating the hard kernel of the Real deep within the symbolic fabric of the sonata is in line with the Lacanian and Žižekian understanding as something that comes 'from within' but is never-

²⁵ Hepokoski and Darcy (1997), p. 123.

²⁶ I acknowledge the significant body of instances in which the medial caesura is bypassed altogether in the 'continuous exposition' (see *EST* chapter 4, pp. 51-64) in many works by Haydn. This has also been documented recently by Spitzer (2013, p. 135) in sonata forms from earlier in the eighteenth century, notably those of Sammartini and Stamitz. Although the medial caesura is not strictly essential for sonata form to emerge, it is so ubiquitous after 1800, and examples of the continuous exposition type are so few, that the two-part exposition can be considered the only realistic option in sonata composition in the nineteenth century.

²⁷ Žižek, *Looking Awry* (MIT Press, 1992), p. 33.

theless detached, foreign. It stands to reason, then, that in *Elements of Sonata Theory* the chapter on the medial caesura, rather than being presented in the chronological order of events within sonata form, is presented at the very outset, before the chapters on the primary theme and the transition. We therefore arrive at the counterintuitive conclusion that the void of the medial caesura, rather than being the result of the surrounding themes, is actually their cause. This is in line with the analogous example, sometimes used by Žižek, of the theoretical differences in physics between Einstein's special and general relativity:

While the special theory already introduces the notion of curved space, it conceives of this curvature as the effect of matter: it is the presence of matter that curves space, i.e. only an empty space would not be curved. With the passage to the general theory, the causality is reversed: far from *causing* the curvature of space, matter is its *effect* and the presence of matter signals that space is curved. What can all this have to do with psychoanalysis? Much more than it may appear: in a way that echoes Einstein, for Lacan the Real - the Thing - is not so much the inert presence that curves symbolic space (introducing gaps and inconsistencies in it), but, rather, an effect of these gaps and inconsistencies.²⁸

To follow this to its conclusion, we may speak of the Real void of the medial caesura as an effect of the fact that sonata space is inconsistent. It signals the fact that there is a rupture. The MC is the Thing in sonata form which, in Sean Homer's words, 'is "objectively" speaking *no-thing*; it is only something in relation to the desire that constitutes it [...] It is the desire to fill the emptiness or void at the core of subjectivity and the symbolic that creates the Thing, as opposed to the loss of some original Thing creating the desire to find it.'²⁹ There was nothing ever in the medial-caesura gap, but the impulse to question it leads us to regard it as a Thing, an objectal presence. The presence of the MC, therefore, can be said to be 'desirable' in the context of the music that surrounds it. The medial caesura is, 'objectively' speaking, an arbitrary void, but we expe-

²⁸ Žižek, *How to Read Lacan* (London: Granta, 2006), pp. 72-73.

²⁹ Homer (2005), p. 85.



Fig. 6.3: Holbein's *The Ambassadors* (1533).

rience it as a positive presence to which the $P \Rightarrow TR$ complex aims, and from which the secondary zone (and the rest of the sonata) results. To use Žižek's terms, we could say that the medial caesura is the Thing, the little piece of the Real, onto which P and S are 'hooked'. The themes are generated by it, rather than the other way around, and from this perspective, we can consider the medial caesura as an extimate object of desire.³⁰

When viewed from this perspective, a remarkable anamorphosis takes place. Lacan's discussion of Holbein's *The Ambassadors* is the normal point of reference here. The painting is rich in symbolism: the two figures pose with the array of objects on the table in the centre, divided into symbolisations of the trivium and quadrivium and standing variously for wealth, power, artistic accomplishment, scientific advancement, and so on. But the skull at the bottom of the painting appears as a meaningless blot unless

³⁰ I acknowledge that the medial caesura may not be the only possible example of the Real in music (see below), but the Real certainly does not extend to all musical convention. The MC is a 'cut' in the symbolic fabric, and such a cut is not merely a matter of phrase articulation, but a form-articulating (and, arguably, form-*generating*) moment. This is not the same as mere convention because conventions do not necessarily have this generating function, nor do conventions typically emerge as a blot or an objectal presence over and above the music's symbolic surface. On the contrary, conventions often go largely unnoticed and do not register as an interruptive gesture or a break.

viewed from a particular angle, from which point the symbolic 'reality' of the painting itself is lost. Lacan explains this with typical opacity:

In Holbein's picture I showed you at once - without hiding any more than usual - the singular object floating in the foreground, which is there to be looked at, in order to catch, I would almost say, *to catch in his trap*, the observer, that is to say, us. It is, in short, an obvious way, no doubt an exceptional one, and one due to some moment of reflection on the part of the painter, of showing us that, as subjects, we are literally called into the picture, and represented here as caught. For the secret of this picture, whose implications I have pointed out to you, the kinships with the *vanitas*, the way this fascinating picture presents, between the two splendidly dressed and immobile figures, everything that recalls, in the perspective of the period, the vanity of the arts and sciences - the secret of this picture is given at the moment when, moving slightly away, little by little, to the left, then turning around, we see what the magical floating object signifies. It reflects our own nothingness, in the figure of death's head. It is a use, therefore, of the geometrical dimension of vision in order to capture the subject, an obvious relation with desire which, nevertheless, remains enigmatic.³¹

The concept of anamorphosis is one of the central themes in Žižek's *Looking Awry* and is particularly useful here as a means with which to focus in on the simultaneously banal and absurd object that is the medial caesura. The 'little piece of the Real', for Žižek, is 'a quite ordinary, everyday object that, as soon as it is "elevated to the status of the Thing," starts to function as a kind of screen, an empty space on which the subject projects the fantasies that support his desire, a surplus of the real that propels us to narrate again and again our first traumatic encounters with *jouissance*.'³² The effective silence that we hear in a sonata exposition is the boring, banal object in its everydayness that is elevated, certainly in Sonata Theory, to the level of the Thing, an objectal presence.

³¹ Lacan, *The Four Fundamental Concepts of Psychoanalysis*, Jacques-Alain Miller, ed., Alan Sheridan, trans., (New York: W. W. Norton, 1981) p. 92.

³² Žižek (1991), p. 133.

What is produced in the medial caesura is not a simple 'nothing', however. Rather, we should talk about what 'remains' after we have scraped away the symbolic network to reveal what is 'behind' the symbolic fictions (i.e. fantasy) that are invoked. Žižek's discussion in *The Sublime Object of Ideology* could easily concern the Real of the medial caesura specifically:

So 'we' (who have already 'gone through the fantasy') can see that there is nothing where the consciousness thought that it saw something, but our knowledge is already mediated by this 'illusion' in so far as it aims at the empty space which makes the illusion possible. In other words, if we subtract from the illusion the illusion itself (its positive content) what remains is not simply nothing but a determinate nothing, the void in the structure which opened the space for the 'illusion'. To 'unmask the illusion' does not mean that 'there is nothing to see behind it': what we must be able to see is precisely this *nothing as such* - beyond the phenomena, there is nothing *but this nothing itself*, 'nothing' which is the subject. To conceive the appearance as 'mere appearance' the subject has to go effectively beyond it, to 'pass over' it, but what he finds there is his own act of passage.³³

What remains problematic in this reading is that an essential characteristic of the Lacanian Real is that it is repellant, and terrifying. The medial caesura at first glance, seems to be the opposite: in Sonata Theory it is a 'goal' that is 'achieved', it is an 'enabling' construction which, in a normative sonata, is produced 'satisfactorily' by the transition. Furthermore, the Lacanian reading that I have offered paradoxically goes as far as to say that it is 'desirable'. There seems to be nothing particularly wretched about it. Understanding the caesura gap as an example of an intrusion of the Real, however, invites us to consider the potential for the MC to be an example of the arbitrariness of the ideological structuring of sonata space *per se*. Given that the caesura gap in any given sonata, whether filled over or not, is comprised of the same material - silence - it can be said that the 'stuff' of sonata form is actually identical and arbitrary for all sonatas which follow the two-part exposition pattern - the vast majority in the period

³³ Žižek (2008), p. 222.

after c.1800. It is not pleasant to think that the fundamental governing principle of so much music of Haydn, Mozart, and Beethoven, is arbitrary. This would be an affront to the inherited Liberal Humanist predilections for authorship, tradition, originality, and so on, and may provide one reason why there has been such an entrenched attitude towards sonata composition that systematically avoids the actual gap of the medial caesura in its arbitrariness and instead focuses obdurately on the material of the transition, the 'fill' (if there is one), and the secondary zone. If it were signalled by some more 'material' musical emblem (a chord or other sonority), it might offer an escape from such a bleak reading, but the reality is that one of the most fundamental structuring elements in the two-part exposition is an emblem of lack and absence which is both universal and arbitrary.³⁴

6.2 The 'Schubertian' Medial Caesura

During their discussion of the caesura-fill, Hepokoski and Darcy make this brief remark:

[The caesura-fill] may even, in rare cases (particularly from Schubert onward), be called upon to accomplish a modulation to the generically proper new key following a deformationally 'wrong-key' or other problematic sounding MC.³⁵

This, in a truncated and partial way, identifies the main object of this chapter: the particular deformational treatment of the medial caesura in Schubert's music, whose preparation is achieved through an imperfect cadential arrival and is followed, usually immediately, by the launch of an otherwise satisfactory secondary zone *in a key other*

³⁴ The Lacanian view espoused here differs from Peirce's 'non-psychological' pragmatism owing to Lacan's own foundations in Saussurian linguistics. For Saussure, the sign has two components only. Peirce insists on a triadic relation between the 'sign' (Saussure's signifier), the 'object' (Saussure's signified), and the third category of the 'interpretant', which is absent from Saussure, and necessarily absent from Lacan, since in his model the signifier slides freely and is not attached to a particular interpretation until it is 'quilted'. Lacan allows us to go further than the Peircian view, broad though it is, because it gives us a language to articulate the presence of an abstract moment which is raised to the level of an 'object' only by the materiality of what surrounds it. See Peirce (1998), pp. 4-10.

³⁵ *EST*, p. 41.

than the one that was prepared by the cadence, hereafter referred to as the ‘deflecting medial caesura’ (DMC). Examples of this occur in the opening movements of the following works: Overture in D ‘In the Italian Style’, D. 590; Symphony No. 8 in B minor, ‘Unfinished’, D. 759; Overture ‘Rosamunde’, D. 797; String Quartet in G major, D. 887; Piano Trio in B_♭ major, D. 898; Symphony No. 9 in C major, ‘Great’, D. 944; String Quintet in C major, D. 956; and Piano Sonata in B_♭ major, D. 960.

Within the category of the deflecting medial caesura, three sub-categories can be identified. In the first sub-category, the transition is normative and achieves a rhetorically reinforced V:HC or, more typically, a I:HC which establishes the medial caesura. The secondary zone that follows is then immediately presented in the ‘wrong’ key, usually at the interval of a major or minor third. It is then, usually, the task of the secondary zone to establish a satisfactory EEC in the normative key (i.e. the dominant). This means that the secondary zone, often of a lyrical nature, does not cadence in the key that it started in, and is likely to give rise to the impression that it is always either ‘searching for’ or ‘moving towards’ the dominant EEC, albeit often in a way that continuously defers this motion. This is the case in the String Quintet as well as the Piano Sonata in B_♭.

The second sub-category is the reverse of the first. It exhibits the ‘correct’ key at the outset of the secondary zone (V in major-mode works and III in minor mode works), but the transition establishes a rhetorically reinforced imperfect cadence in the wrong key, typically a III:HC. The effect produced here is that the normatively ‘correct’ key (the dominant) is cast in a light that is, for want of a better word, *unheimlich*. Nicholas Marston has written about this effect in reference to Schubert’s B_♭ Piano Sonata, D. 960, but in relation to the tonic in the recapitulatory rotation, rather than the dominant in the exposition. This effective ‘unseating’ of the dominant as a stable key, creating the illusion of a deformationally ‘wrong-key’ secondary zone, may lead to repercussions in

	P	TR	MC	S	EEC	C
D. 590	I	I	V: PAC	\flat III	V	V
D. 759	i	i	i: PAC	VI	VI	V
D. 797	I	I	vi: PAC	V	V	V
D. 887	I	I	III: HC	V	V	V
D. 898	I	I	III: HC	V	V	V
D. 944	I	I	I: PAC	iii	V	V
D. 956	I	I	i: HC	\flat III	V	V
D. 960	I	I	I: HC	\flat vi	V	V

Table 6.1: The deflecting medial caesura in Schubert's sonata forms.

the remainder of the sonata. This category addresses the cases of the G major String Quartet, D. 887, and the Piano Trio in B \flat major, D. 898. In the third sub-category the transition does not modulate at all. It concludes with a perfect cadence in the tonic and the caesura fill, through common-tone relationship, accesses the key for the start of the secondary zone. This final category addresses the cases of the two symphonies - No. 8 in B minor, D. 759, and No. 9 in C major, D. 944.

Perhaps an improvement to Hepokoski's and Darcy's short remark above, which effectively addresses the deflecting medial caesura, might read:

The caesura-fill may, in rare cases (particularly from Schubert onward), be called upon to accomplish a modulation to a key other than the one that was prepared by the cadential progression that preceded it. Such cases may involve EITHER establishing the generically proper new key following a deformationally 'wrong-key' medial caesura, OR, conversely, establishing a deformationally 'wrong-key' S-zone following a tonally normative TR and MC.

This description incorporates the first sub-category of deflecting medial caesura (normative TR with S subject to deformation) as well as the second (half-close effect subject to deformation but normative S). Music of the later nineteenth century would demand even further nuancing of this particular sonata deformation. Bruckner, in particular, experimented in his symphonies with the deflecting medial caesura with a doubly deformational structure in which neither the imperfect cadential construction nor the eventual launch of the secondary theme are normative. See, for example, the finale of Bruckner's Symphony No. 7 in E, in which a ♭II:HC is established by the transition, but the secondary zone is launched up a minor 3rd in III (enharmonically written in A♭ major). Cases of the deflecting medial caesura in Schubert's music, however, always exhibit either a normative TR⇒HC complex, or a normative secondary zone launch.

The above formulation of the deflecting medial caesura is, as far as I know, almost entirely unrepresentative of sonata composition before Schubert.³⁶ Even though Beethoven is often (and rightly) compared on equal terms with Schubert for pioneering new expositional plans (introducing intermediate keys between tonic and dominant, for example), his harmonic treatment of the medial caesura moment itself is conventional. The principal examples of this practice are the first movements of the piano sonatas Op. 31, No. 1 in G, and Op. 53 in C, 'Waldstein'. In both cases the tonal trajectory is I⇒III, but S is set in the same key as the medial caesura, and prepared through its own dominant - III:HC MC. Structurally, the tonal plan is innovative and experimental in a comparable way to much of Schubert's music, but Schubert's local harmonic handling of the MC is very rarely seen in the work of other composers. This is supported through reference to the late-eighteenth-century conceptions of musical punctuation mentioned above. Mirka has noted that 'the sense of a phrase can be understood only at its end',

³⁶ The main exception to this is Mozart's Piano Concerto in C major, No. 25, K. 503, 1st movement, which, in the S1 section, generates a I:HC MC with S subsequently launched in ♭III. This deformation seems to be demonstrated in a tiny minority of cases which only become more common in the second half of the nineteenth century.

and she draws on Kirnberger's comparison of musical phrase structure and speech, in which he writes that 'In speech one comprehends the sense [*Sinn*] only at the end of a sentence [...] the same is true in music. Not until a succession of connected notes reaches a point of rest at which the ear is somewhat satisfied does it comprehend these notes as a small unit.'³⁷ In the group of Schubert's forms given above, the structural caesura achieves just this effect - of reaching a 'point of rest at which the ear is somewhat satisfied' - only to be radically undermined and reinterpreted by what follows.

It should be mentioned at this point that Mark Richards's recent study of Beethoven's handling of the MC provides a compelling demonstration of the many and varied innovations made by Beethoven in what Richards coins the 'obscured medial caesura'.³⁸ He argues that Beethoven, increasingly through his compositional life, tends to complicate the medial caesura in various ways, with the effect of creating a stronger sense of continuity in his sonata expositions. As he puts it:

To use a linguistic analogy, if the typical classical-style MC can be likened to the punctuating and anticipatory effect of a colon, then increasingly obscured MC categories would be similar to the progressively softer punctuating effects of the semicolon and the comma. In some cases, the MC might even be compared with a dash that interrupts the flow of a line despite its connectivity.³⁹

The problem in the context of Schubert's music is that the effect described here is to blur the formal lines, making it unclear after the moment has passed whether the music 'really is in the S-zone'. In the Schubert works outlined above the opposite seems to be the case: the formal outline seems to be brought even more sharply into focus. In the C

³⁷ See Danuta Mirka, 'Punctuation and Sense in Late-Eighteenth-Century Music' in *Journal of Music Theory* 54/2 (2010), pp. 235-282.

³⁸ Mark Richards, 'Beethoven and the Obscured Medial Caesura: A Study in the Transformation of Style' in *Music Theory Spectrum* 35/2 (2013), pp. 166-193.

³⁹ Richards (2013), p. 191.

major Quintet, D. 956, for example, the secondary zone in E_b major seems even more distant from the transition, rather than the equivalent in Beethoven where, as Richards argues, the two parts of the exposition are being brought more closely together, overlapping, being joined up, and so forth. So for Beethoven, the effect of 'obscuring' the medial caesura moment is to create continuity, to reduce the punctuative effect of the break, whereas Schubert, by deflecting into an unprepared key, makes the sense of a punctuative break even more apparent.

The narrative that this particular handling of the medial caesura has generated has become deeply entrenched in Schubert criticism and can be traced in the analytical literature at least as far back as Tovey in the early twentieth century. The most commonly accepted interpretation of Schubert's excursions to distantly related tonal regions is that of the 'dream sequence', involving the association of modulation to a mediant key with a lyrical, song-like thematic area.

The tradition of the dream narrative in Schubert's instrumental music is a long one and has been promulgated by a range of contributors. The two strategies that have been used in more recent years are both empirical. The first is to observe a particular musical structure, motif, or other device in a song, and to use the text as a guide to what the equivalent device in the instrumental music might be aiming to communicate. Examples of this can be seen in some of Susan Wollenberg's work on Schubert. She has written that:

It is possible to view selected instrumental movements as textless equivalents to specific songs or song-types, not only in Schubert but in nineteenth-century music as a whole. With Schubert this relationship between song and instrumental music - both between the two genres and between individual works - is very close. His instrumental writing becomes altogether quite unlike that of other composers of the period, so illuminated is it by his own experience as a song writer.⁴⁰

⁴⁰ Susan Wollenberg, 'Schubert and the Dream' in *Studi Musicali* 1(1980), p. 135.

Wollenberg directs attention to various aspects of Schubert's style, formal, melodic, and tonal, but one of her main concerns is that of episodic forms, in which the lyrical, song-like dream episode is enveloped by music of a more dogged, stoic, or violent nature symbolising 'reality'. Although little is said of how this strategy relates to sonata form, it may perhaps be said that the contrast between the more dramatic, rhythmically vital music of part 1 of many of Schubert's sonata expositions contrasts thematically with the more lyrical, dream-like 2nd part, separated by a deflecting medial caesura. The second method, also textual in nature, was demonstrated by Pesic in his article 'Schubert's Dream' in which he equated Schubert's short literary text *Mein Traum* to the structure of the B \flat Piano Sonata, D. 960.⁴¹ Such a reading also hinges on the separation of a dreamy, lyrical theme from a more violent one by means of a deflecting medial caesura.

What is clear by now, then, is that the contrast between the two action zones - the P \Rightarrow TR complex and the secondary zone - is the locus of the dream narrative that has been established. However, as is demonstrated in works such as Schubert's B \flat Piano Trio, D. 898, it is not a foreign key which generates the dream-like effect, but the relationship between the imperfect-cadence construction and the start of the secondary zone, usually separated tonally by a 3rd. What Sonata Theory brings to this discussion, then, is that it is the medial caesura that deformationally deflects the established tonal path, and not the themes themselves, that generates this effect. The principal aim of the remainder of this chapter will be to cast these ideas in an intertextual light.

⁴¹ Pesic (1999), pp. 136-144.

6.3 *Le Sinthome* in Cinema

Le sinthome (English: 'sinthom') is an important concept which emerged late in Lacan's work. It has also arisen at varied levels of theoretical complexity in Žižek's writing. The most succinct evaluation of the term is presented in Žižek's *How to Read Lacan*:

One of the many neologisms in late Lacan is the notion of *le sinthome* ('sinthom', which strikes up a whole series of associations, from 'Saint Thomas' to 'healthy tone' to 'synthetic man'). In contrast to symptoms (coded messages of the unconscious), sinthoms are a kind of atom of enjoyment, the minimal synthesis of language and enjoyment, units of signs permeated with enjoyment (like a tic we compulsively repeat). Are sinthoms not *quanta of enjoyment*, its smallest packages? Are they not, as such, a Freudian equivalent of superstrings, destined to reconcile the two faces of modern physics, relativity theory and quantum mechanics? Although Lacan is often reproached for neglecting the link between psychoanalysis and the natural sciences on which Freud always insisted, this link is alive and well in his work.⁴²

What is to be made of this? Throughout Žižek's work, the point of difference between symptoms and sinthoms is emphasised. A symptom, as he writes in the quotation above, is something that can be de-coded. It is something with a hidden meaning that, when uncovered, gives the analyst a level of access to the unconscious on the basis that it is structured like a language. Far from being coded messages that are registered symbolically, sinthoms determine the end of this symbolic process. They are a kind of 'excess' or 'leftover' which emerge as an intrusion of the uninterpretable Real.

As is typical in Žižek's writing, discussion of the sinthom has been concentrated on cinema, and, in particular, on Hitchcock. Cinematic analogy is useful here because psychoanalytic theories usually rely on secure human agents. As Rumph has pointed out, 'without stable musical agents who can embody the bourgeois individual or its collec-

⁴² Žižek, 'Troubles with the Real: Lacan as a Viewer of *Alien*' in *How to Read Lacan* (London: Granta Books, 2006), p. 78.

tive antagonist, dialectical interpretation becomes more than a little problematic.⁴³ In contrast to opera, *Lieder*, and other literary media, instrumental music is not directly approachable from the perspective of psychoanalysis because the concept of agency is considerably more complex. Given that cinema shares with music an explicitly temporal dimension, and that it is the favoured medium of both Freud and Žižek, it proves to be a useful mediator for the discussion of instrumental music in psychoanalytic terms.

Žižek's distilled offering on the topic of the *sinthom* can be found in his short chapter, 'Hitchcockian *Sinthomes*.'⁴⁴ His aim is to address the presence of a 'continuum of motifs' which persists from film to film in spite of wildly divergent narrative contexts. The few that he cites include 'the woman who knows too much', and 'the glass full of white drink'. The former is the intellectually superior but sexually unattractive woman - a kind of female Poiindexter - who has an advanced insight into events in the film. The latter - the conspicuous glass of white drink, but not, necessarily, milk - occurs first in *Suspicion* (1941), then in *Spellbound* (1945), then soon after in *Notorious* (1946), and finally in *Psycho* (1960). The most important of these extended motifs, however, is 'the person who is suspended from another's hand', which occurs in no fewer than five films between 1942 and 1959: *Saboteur* (1942), *Rear Window* (1954), *To Catch a Thief* (1955), *Vertigo* (1958), and *North by Northwest* (1959). The context of this motif is different each time. In *Saboteur*, it is the villain who is suspended at the top of the Statue of Liberty. In *Rear Window*, by contrast, it is the hero who is desperately clinging on, with the villain trying to push him out of his own apartment window. In *North by Northwest* our hero is trying to save the heroine from falling off Mount Rushmore.

⁴³ Rumph (2012), p. 114.

⁴⁴ Žižek, 'Hitchcockian *Sinthomes*' in *Everything You Always Wanted to Know about Lacan (But Were Afraid to Ask Hitchcock)* (London: Verso, 1992), pp. 125-128.

Žižek dismisses the 'official' reading of Hitchcock's person suspended above the precipice which is offered by some French theorists. Žižek writes:

If we search in them for a common core of meaning (reading the hand that pulls the subject up as a token of deliverance, of spiritual salvation, for example), we *say too much*: we enter into the domain of Jungian archetypes which is utterly incompatible with Hitchcock's universe; if, on the other hand, we reduce them to an empty signifier's hull filled out in each of the films by a specific content, we *don't say enough*: the force that makes them persist from one film to another eludes us. The right balance is attained when we conceive them as *sinthoms* in the Lacanian sense: as a signifier's constellation (formula) which fixes a certain core of enjoyment, like mannerisms in painting - characteristic details which persist and repeat themselves without implying a common meaning.⁴⁵

The way that the sinthom works in film is to create an intertext that exists below the surface, narrative meaning, and also below a deeper symbolic meaning. In Žižek's analysis of Hitchcock's *The Birds*, the birds in question do not merely symbolise the oedipal tension between mother and son. This would be achieved merely by making their presence conspicuous, and the plot would be a simpler one of social relations. Instead, the birds *are* the raw, incestuous energy which literally tears apart symbolic reality, owing to the absence of the Name-of-the-Father - the sign that opens the gateway to the symbolic order, allowing normal social relations - and the resultant vacuum is filled with the obscene maternal super-ego. In this context, we are momentarily subjected to *jouissance*, pure enjoyment in its stupidity and meaninglessness, but in a way that somehow collides with the signifier. For Žižek, 'if we are to take the films seriously, we can only do so if we take them serially.'⁴⁶ He argues that the tension between the immediate 'official' (symbolic) content of the totality of a film and the surplus that is apparent in the small details requires a departure from such an official content. And the 'sudden leap' away from the official content of a text is usually executed intertextually.

⁴⁵ Žižek (1992), p. 126.

⁴⁶ Žižek (1991), p. 98.

'The postmodernist pleasure', Žižek continues, 'in interpreting Hitchcock is procured precisely by such self-imposed trials: one invents the "craziest" possible shift from the film's "official" content (the actual core of *Strangers on a Train* is the circulation of a cigarette lighter, etc.), whereupon one is expected to stand the test by proposing perspicacious arguments on its behalf.'⁴⁷

In his documentary *The Pervert's Guide to Cinema*, Žižek makes a comment concerning the Hitchcockian motif of 'the person suspended from another's hand' with a carefully worded and somewhat opaque conclusion:

I think it's wrong to look for a common deeper meaning [...] I think that what we are dealing with is with a kind of a cinematic materialism: that beneath the level of meaning - spiritual meaning, but also simple narrative meaning - we get a more elementary level of forms themselves communicating with each other, interacting, reverberating, echoing, morphing, transforming one into the other, and it is this background, this, as it were, background of proto-reality, a real that is more dense, more fundamental than the narrative reality - the story that we observe - it is this that provides the proper density of the cinematic experience.⁴⁸

The main thing to draw from this comment is that we are not dealing with something 'meaningful' when we talk about sinthoms - note the way that Žižek carefully avoids the word 'meaning' when he says 'we get a more elementary level of forms themselves communicating with each other' - it is enough that the sinthom is there, that the inter-text exists. This is what is important, and not whatever meaning it may or may not be carrying. Unlike symbolism, which can be interpreted this way and that, the sinthom, which is an intrusion of the Real, is an inert, fixed presence - an excess.

⁴⁷ Žižek (1992), p. 127.

⁴⁸ Žižek, *The Pervert's Guide to Cinema*, Part 3.

Žižek's comment about 'cinematic materialism' is also worth unpacking, as it refers directly to the first part of *The Sublime Object of Ideology* which focuses on the close relationship of psychoanalysis and Marxism. With the concept of the sinthom we arrive at a kind of brute materiality. As Žižek is keen to explore, the dream-form and the commodity-form are strongly linked. He explains that 'there is a fundamental homology between the interpretative procedure of Marx and Freud - more precisely, between their analysis of commodity and of dreams.'⁴⁹ The argument proposed at the outset of the book is that in both cases:

The point is to avoid the properly fetishistic fascination of the 'content' supposedly hidden behind the form: the 'secret' to be unveiled through analysis is not the content hidden by the form (the form of commodities, the form of dreams) but, on the contrary, *the 'secret' of this form itself*. The theoretical intelligence of the form of dreams does not consist in penetrating from the manifest content to its 'hidden kernel', to the latent dream-thoughts; it consists in the answer to the questions: why have the latent dream-thoughts assumed such a form, why were they transposed into the form of a dream? It is the same with commodities: the real problem is not to penetrate to the 'hidden kernel' of the commodity - the determination of its value by the quantity of work consumed in its production - but to explain why work assumed the form of the value of a commodity, why it can affirm its social character only in the commodity-form of its product.⁵⁰

On accepting this homology, we arrive at the conclusion that such an example as a person suspended over a precipice in cinema is an 'excess' over and above the narrative or symbolic meaning of a film, and corresponds closely to Marxist 'surplus-value' and Lacanian 'surplus-enjoyment'. So, sinthoms are an excess, a signifier that is not 'enchained in the symbolic order' and 'without representing anything or anyone.'⁵¹

⁴⁹ Žižek (2008), p. 3.

⁵⁰ Žižek (2008), pp. 3-4.

⁵¹ Žižek (2008), p. 82.

6.4 A Schubertian *Sinthome*?

As I have argued above, there is a certain interpretative value in understanding Hepokoski's and Darcy's concept of the medial caesura as an intrusion of the Real. It is an empty space in its brute reality which is elevated in Sonata Theory to the level of objectal presence, signalling that sonata space is inconsistent, which positions it as an $S(\bar{X})$ concept on the graph of desire - the sign of inconsistency in the structural order.⁵² This formulation does not, however, account for the multifarious ways that the MC moment is treated in the repertoire. To give proper credit to Schubert's idiosyncratic treatment of the MC as a recurrence of the atom of desire, however, it needs to be treated as an example of the Lacanian *sinthome*.

If the deflecting medial caesura is to be regarded as an example of the *sinthome* in Schubert's sonata forms, then, while we can still accept its symbolic function within sonata space, we must simultaneously be able to isolate it, to understand it as a partial object in any given work, echoing and reverberating with its many other instances which are related inasmuch as they hold the same imaginary power of attraction over us, but do not share a common core of symbolic meaning. What this process involves is something quite brutal in the context of the normal, 'official' content of the work - in the case of Schubert, the 'dream', or the concept of escape, or even the parity of lyricism and distant tonal relations more broadly. 'What we must do', to use Žižek's precise words, 'is to *isolate* the *sinthome* from the context by virtue of which it exerts its power of fascination in order to expose the *sinthome*'s utter stupidity. In other words, we must carry out the operation of changing the precious gift into a gift of shit (as La-

⁵² An intrusion of brute reality in a piece of music may also register itself as any number of interruptive gestures, such as a loud noise, not necessarily an empty space. Classical examples can be found in the titular moment in Haydn's 'Surprise' Symphony, No. 94 in G, as well as the interruptive C# in b. 17 of the finale of Beethoven's Symphony No. 8 in F. Although *EST* does not always directly equate medial caesuras with silences, the authors do write that 'The literal presence of the general-pause gap (the brief rest in all voices before the onset of S) is the most normative option at the medial-caesura point' (p. 40). They go on to describe the *caesura-fill* as a 'filling-in of the generically implied silence' (p. 40).

can put it in his *Seminar XI*), of experiencing the fascinating, mesmerizing voice as a [...] meaningless fragment of the real.⁵³

What is contained within the deflecting medial caesura in some of Schubert's sonata forms is a break or gap that is no different from any other medial caesura - a 'silence' in its dumb reality, but which is often elevated to a privileged status in readings which promote the symbolic dimension not only of Schubert's music, but of sonata form more generally. In such readings, the medial caesura is constructed as the arbiter of a modulation which seems to define the 'official' content of the structure (the String Quintet is 'about' the interaction of two tonal axes, C/G and E_b/A_b) whereas when isolated as a Thing that continually returns in other works by Schubert, it can be demonstrated that the exact same Thing is used for quite diverse structural ends. Far from articulating a clear tonal plan for the sonata, in the G major String Quartet the deflecting medial caesura seems actively to derail the tonal plan of the movement, making it difficult to establish the tonality of the secondary zone as it slides evasively between keys. What should be understood when considering the medial caesura gap in these instances of Schubert's music is that, if not considered symbolically (implying an ostensibly official content), they need to be understood intertextually for their registration as little pieces of the Real to become apparent. One of the reasons that such little pieces of the Real are different from other medial caesura gaps is the curvature of tonal space that they generate, which is unsymbolisable and only perceptible in the context of the narrow symbolic corridor through which we hear the surrounding music. And through this deep focus on the Real excess that we perceive in Schubert's sonata forms, we are offered a glimpse of the symbolic economy of a music which dances around its *objet petit a* in a way that cannot be deciphered through symbolisation, but only enjoyed in its utter stupidity.

⁵³ Žižek (1991), p. 129.

The value of viewing Schubert's handling of the medial caesura as an example of the Lacanian *sinthom* is found in the way it charts a medial path between an overdetermined intertextuality, which prescribes certain meanings (supported by fantasies) onto varied musical texts, and an underdetermined one which misses the intertextual thread that links the works together. The deflecting medial caesura, in which the cadence construction and the launch of S-space are in different keys, can not be limited to a single set of meanings established *a priori*, nor can it valuably be described, as Žižek writes, as 'an empty signifier's hull', filled out in each of the works by a 'specific content'.⁵⁴ By examining the deflecting medial caesura as a Schubertian *sinthom*, an elegant solution to these problems - of 'saying too much' and 'not saying enough' - is offered. As a *sinthom*, the deflecting medial caesura is not obliged to 'mean' anything at all, least of all any of the prescriptive meanings that have been associated with Schubert - dreams (Wollenberg, Pesic), somnambulism (Brendel), or homosexuality (McClary). The *sinthom* does not necessarily negate such readings. It merely creates a critical distance from them, allowing an intertextuality that flows freely between the works, but without being restrictive to interpretation. The fact that the Schubertian *sinthom* survived into the late-nineteenth century demonstrates this more clearly. A notable later example can be seen in the first movement of Bruckner's Symphony No. 4 in E_b, whose exposition charts a path from E_b major to a V:HC MC, then D_b major for S and B_b major for the EEC. The *sinthom* persisted long after any prescriptive meanings had faded.

This chapter has aimed to offer an alternate approach to the interpretation of extended motifs in musical works - one which avoids musical signifiers as catch-all prescriptions on the one side, and empty shells on the other. The Lacanian repositioning of the deflecting medial caesura offers a more critical stance toward a number of trends in Schubert scholarship which have claimed that his music is somehow more emancipa-

⁵⁴ Žižek (1992), p. 126.

tory, sometimes with direct reference to biographical details. By concentrating on one detail of Schubert's practice, my aim has been to provide a sharply focused critique of the received wisdom. While the view expounded here is specific to a particular detail that can be traced through a number of Schubert's instrumental works, the theoretical apparatus I have outlined, and the approach I have adopted, could equally well be applied to other works, particularly those that demonstrate a small detail which can be identified in a number of ostensibly unrelated pieces, and potentially a group of works not unified under the output of a single composer - these observations could equally be applied to a group, or a school.

Žižek's own analysis of the finale of Beethoven's Ninth Symphony employs the same theoretical apparatus, although he does not explicitly acknowledge it, in his investigation of how the 'Ode to Joy' has a seemingly universal adaptability: it can 'mean' almost anything, and been appropriated for diverse political ends, from its use in the celebration of public events in Nazi Germany through to its use as a socialist song in the communist regimes of Stalin and, remarkably, Mao in an era when most Western music was prohibited. Today it is used as the unofficial anthem of the European Union.⁵⁵ By treating the Ode to Joy (by which, I mean, only the main theme of the movement, not its entirety) as another example of the *sinthom*, we can add a theoretical underpinning to the observation that there is clearly nothing inherent in the music which compels demagogues to incorporate it into the apparatus of their propaganda campaigns. This would be nonsensical, owing to their sharply polarised ideologies being incompatible with each other. But at the other extreme, it is not enough to say that Beethoven's Ninth Symphony is simply an empty signifier that can be filled with any ideological content. In doing this, we lose the essence of why it is particularly *that* piece that is used, rather than any other. The argument for a simple universal adaptability is inadequate without the concept of the *sinthom*.

⁵⁵ See Žižek's *The Pervert's Guide to Ideology*.

Another example could be the use of seemingly arbitrary musical material borrowed from other sources, which is then used by a composer as the fundamental starting point for a composition. Žižek uses the example of the 'Papillon' motif in 'Florestan' from *Carnaval*, but there could be any number of cases that could be interpreted in this way.⁵⁶ In such examples, the Lacanian reading helps us to understand the extimacy of the external fragment - a little piece of the Real which forms the core of subjectivity. Yet another instance, one more in line with the main subject of this chapter, is the recurrence of a minor detail in a composer's oeuvre. Examples of this might include the 'alternating' figures that we find in Nielsen's music, spanning thirty years of productivity, or various composers' obsession with cryptographic methods of generating musical materials, the main examples of this practice being demonstrable in composers as diverse as J.S. Bach and Shostakovich who, by turning their names into small motifs, produced musical materials that are no more than arbitrary, but which form the hard kernel of large works.

In Schubert's case, the MC in the collection of works I have cited, acts as the arbiter of a crucial modulation. It is the same every time - either a literal or a conceptual silence - but in each case does slightly different harmonic work. The *sinthom* helps to navigate around 'saying too much' or 'not saying enough', and offers the conclusion that such moments are quanta of enjoyment without bearing any particular meaning. They stick out as a positive remainder, an excess, which eludes conventional symbolisation. The way this approach is useful in any application to a given work is in the way it isolates the small details, which can be examined with a critical, intertextual underpinning. In the case of Schubert's deflecting medial caesura, without the *sinthom*, there are two equally undesirable interpretative conclusions: that these moments all share a prescribed meaning, or that each of them can mean anything at all. The *sinthom* limits this

⁵⁶ See Žižek (1997), p. 264.

moment, preventing an infinite (and therefore useless) series of interpretations, but without being prescriptive.

7. Conclusion

In Lacanian psychoanalysis the structure of the symbolic order is fractured and incomplete, represented as the barred Other, \bar{A} , and signified by a symbol of lack in the symbolic order, $S(\bar{A})$, the hole that demonstrates the impossibility of reconciliation between *jouissance* and the signifier. For Lacan, it is in the formulation of fantasy that meaning can be recovered, and through fantasy that the symbolic order can once again be experienced as consistent. Fantasy, a concept which in Lacanian psychoanalysis requires careful theoretical treatment, is not the same as in Freud's conception, in which it simply covers experience which is not considered 'real', such as the cases of daydreaming, for example, or delusional psychosis and hallucination. In Lacan's formulation, fantasy is a universal component of human experience which is fundamental to the way in which we interact in social reality. Fantasy acts as a screen onto which our desires, and the co-ordinates of what we would consider to be 'reality', are projected, filling in the gaps and inconsistencies, and allowing a meaningful experience. Without the fantasmatic support that props up the fractured symbolic order, 'reality' itself is lost. In the context of music analysis, it falls to such fantasies to restore coherence to musical works in which ruptures, discontinuities, and inconsistencies are embedded. Such fantasies serve to crystallise a musical text, pinning down its meaning, and are often elaborate as in examples such as Schenkerian analysis and Sonata Theory. To identify such theories as Lacanian fantasies is not to attack them or to diminish their usefulness; quite the opposite, regarding them as fantasies serves to underline their flexibility and efficacy. Without such fantasies the musical text appears as a freely floating, unquilted stream of desire in sound. The analytical screen onto which this desire is projected enables the analyst temporarily to pin down its meaning.

7.1 Schubert's G Major Quartet, D. 887

Let us return to where this thesis began, Schubert's G major String Quartet. Modal conflict, which Wollenberg identifies as a Schubertian 'fingerprint', can usefully be understood as another example of a *sinthom* that emerges repeatedly in Schubert's music. This theorisation helps to avoid 'saying too much', as I would argue has been the case in much Schubert scholarship - arguing, for instance that equal treatment of the two modes indicates a 'divided character', or mental illness. The *sinthom* allows the connection to be made between works, but is not prescriptive of a common meaning. What Schubert does in his continued treatment of major and minor is to promise something in his music - something more 'open' or 'gay' or 'non-Beethovenian' - only to back down, folding this promise back into the structural ordering of sonata space. So the important thing that the *sinthom* draws attention to here is not the meaning he promises through modal equality, but simply the form of the gesture itself. In a sense both readings of the G major Quartet, the dialectical and the lyric-epic, are valid, but only if the correct fantasy is accepted. A Lacanian reading of this situation can show that a certain group of analysts have sought to tear down one fantasy only to erect another.

Returning to Lacan's fourth graph of desire, repeated as Fig. 7.1, the vector of the barred subject ($\$$) can be followed from the bottom right of the graph to the bottom left, giving an account of the circuit of desire in the work. The various stations that are reached along the course of this vector can be understood as analogous to the effects of the circuit of desire as the horizontal vectors of the signifying chain and of *jouissance* intersect the vector of the barred subject.

At the first intersection, the vector of the barred subject is penetrated by the signifying chain, and at this junction we can locate the Big Other (A), the universe of contingent rules which governs the musical language. The vector leading vertically upwards from

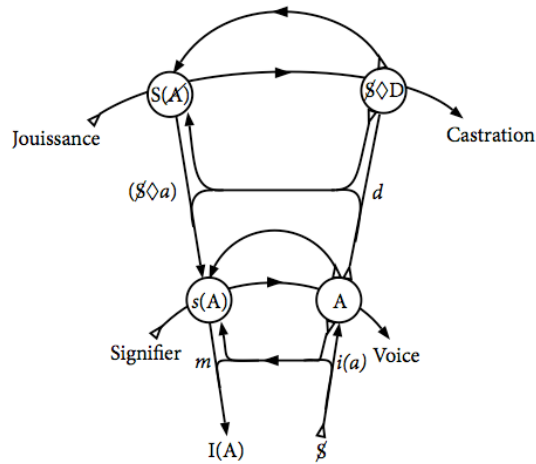


Fig. 7.1: Lacan's complete graph of desire. Lacan (2006), p. 692.

this point, which is the source of Lacan's fathomless '*Che vuoi?*', can be considered to be the genesis of 'musical meaning': not in the sense that the music does not 'make sense' to us, but rather that it holds messages that are more complex and profound than the observation of arbitrarily enforced rules such as tonal resolution can reveal. This can be considered as an offshoot, or an excess. It is something that results from the process of 'quilting' the signifying chain - that which is left over and escapes signification. Here we locate desire (*d*), the phenomenon of the splitting of what is or can be said, and what is meant. This is the location of musical meaning, that is to say, the point at which Hepokoski's and Darcy's 'empirical realm' stops and where 'that of hermeneutics' begins.¹

The point at which this offshoot of desire is perforated with the vector of *jouissance* is the location of the drive ($S \diamond D$), the impossible junction between enjoyment and the signifier. In the standard model, this would be the location of the partial 'erogenous zones' which are arbitrarily shot through with enjoyment. For the present musical example, this could be a signifier of major and minor tonalities existing as one simultane-

¹ *EST*, p. 340.

ous entity, and hence 'impossible'. It is possible to envisage such a situation, but only in a context that is so distant from Schubert's universe as to be utterly meaningless and incompatible with the present work. This might be found in analytical mechanisms such as Allen Forte's pitch-class set analysis, intended for atonal music, in which the major and minor triads are signified by the same pitch-class set (3-11), and therefore incompatible with any meaningful tonal analysis.

It may be the case that we need not even venture into the twentieth century to find an analogue for this. From Wagner onwards major and minor were in many instances regarded as freely interchangeable, and the near collapse of the tonal system can be glimpsed earlier in works by Debussy and Liszt - his *Bagatelle Sans Tonalité*, S.216a, is perhaps the most convenient example of this. The observation that Schubert uses major and minor versions of the tonic so frequently that Wollenberg considers it to be a 'fingerprint' belies a more fundamental observation, however, that when Schubert does this, the two modes alternate - that is to say, one may be substituted for the other, with far-reaching consequences, but they are never fully synthesised and sounded as a unified musical sign. For Schubert, interchangeability of mode is commonplace, but they each still come under the sign of either major or minor which remain in binary opposition to one another, rendering their true synthesis beyond the structural horizon of Schubert's universe.

The point of crisis is reached at the second intersection of the vector of *jouissance*. The sign of the barred other ($S(\bar{X})$) is analogous to the realisation that such an utterance (a simultaneous expression of major and minor tonalities) is impossible within the ideological structuring of sonata form in the 1820s. There is no such sign within the Schubertian universe, and at this point the inconsistency in the symbolic order is exposed as a symbol of lack. The principal $S(\bar{X})$ statement in the G major Quartet is the P^0 module in the first movement, in which major and minor are in close proximity, but can only be

expressed partially and successively. It is here that we are reminded of another of Lacan's more depressing aphorisms, that 'there is no such thing as a sexual relationship.' Harper-Scott explains that '[s]ome enjoyment is possible, albeit outside the bounds of the signifier. But it is fragmented enjoyment, not "happily married sex" as a unified concept but "doing something with this anus, this mouth, this vagina" as a string of partial objects or "erogenous zones" as Lacan calls them.'² To render this in musical terms, we might say that the necessary components for the complete musical statement are present, but they can only be symbolised at a certain level of isolation from one-another, as a string of partial musical objects. Other examples include the Pa module in the finale which expresses the same lack, and the dissonant outbursts in the slow movement that never achieve resolution (bb. 52-56, 73-77, and 131-135).

Moving down the left side of the graph, fantasy ($\S \diamond a$) functions as an ideological support for the fractured symbolic order, accounting for gaps and inconsistencies. In the present instance, the fantasy is whatever theoretical system the analyst chooses to employ as it presents a picture of completeness in the work and accounts for any anomalies, taking its own failures and shortcomings into account in advance, adapting and morphing to accommodate whichever text is exposed to its gaze. Suzannah Clark has expressed a similar view, although not psychoanalytically informed, about Sonata Theory. She remarks that 'The Sonata Theory of Hepokoski and Darcy [...] has a geometry, an arc, that is treated as "sacred," though it is not explicitly labelled as such.'³ This observation may be richer than Clark realises. Like all things treated as sacred - transubstantiation, holy books, cows - it is not only assumed to be beyond critique, but it is mystified such that any reasonable criticism would be seen to be inadequate. Furthermore, such 'sacred objects' are not talked about explicitly, for fear that their mystical aura would wither under the light. More frequently, their power is as-

² Harper-Scott, (2012), p. 139.

³ Clark (2011), p. 219.

sumed, and therefore absorbed into the symbolic order. In this way, such phenomena (religions, political ideologies, social conventions) are always established as prior to the perceiving subject. The establishment of such fantasies is essential to the symbolic order.

The result of the process of filling in the gaps and inconsistencies with fantasy is the signified of the Big Other ($s(A)$) which occurs at the second point of intersection of the signifying chain. This is where the various 'official' readings of the work can be located, such as that of Wollenberg - a reading which proposes that desire has been satisfied, that all loose ends have been tied up, and that these can be demonstrated through observations of structures thought, to use Hepokoski's and Darcy's phrase, to be objectively 'in' the work.

Such impressions are often found in popular cinema in which the and-they-all-lived-happily-ever-after paradigm seems to cover all bases for anything that happens outside of the narrow window through which we view the film - a window that opens both in a spatial dimension (the screen that we view, almost like a literal window through which we observe the events in the narrative) as well as a temporal one (the duration of the film). Anything that exists outside of the viewing experience is taken to be 'fine' because the characters have (usually) successfully negotiated the plot-generating predicaments presented to them. Considering the analogous scenario in music, we might understand the work to be a 'snapshot' of a broader process that exists outside of its formal borders, the equivalent of the edge of the screen, and that was active before the performance began and continues after it finishes. This way, it is possible to imagine a point where major and minor genuinely are synthesised into a cohesive structure outside of the work in question, in the post-Wagnerian world of Strauss, Wolf, Mahler, and Schoenberg.

Following the vector down to its final point we reach the identification with an aspect of the big Other ($I(A)$), the reassurance that the forms found within the work are structured properly - that Schubert 'did it right'. Harper-Scott summarises the effect of the bottom-left section of the graph as follows:

Following the arrows down the left-hand side of the graph we see how fantasy ($\S \diamond a$) is used to conceal this lack and make it seem consistent (so, ultimately, the fantasy of an extraordinary sexual encounter covers over the structural impossibility of the sexual connexion). And since fantasy is the only means by which we can experience the world as meaningful and consistent, this leads further to $s(A)$, the sign that the big Other has produced the reassuringly 'functional' and tranquillizing scripts for our existence. The message is, 'Simply enact the fantasy of the perfect sexual relationship and the hole in this pre-packaged conception of the universe will disappear: you will be doing what *one does*, and' - if we continue the vector down through m to $I(A)$ - 'you can take comfort from the knowledge that you're doing it right, whether "it" is being a mother of two, a City banker, or whatever it is that gives meaning to your life.'⁴

Harper-Scott's glancing reference to Heidegger here ('doing what *one does*') is informative. Traveling down the left-hand side of the graph, the subject is inevitably caught up in the devouring web of *the they*. However, what a Lacanian psychoanalysis shows about this string quartet is that, with the help of Sonata Theory, not only does Schubert 'do it right', but his music actively contributes to the process of mystification of an ideological frame of which he has hitherto been constructed as a principal critic.

The final observation to make of how the graph of desire relates to the G major Quartet concerns the Imaginary level of registration. On this presymbolic level (the vector is never penetrated by the signifying chain) are located the ego, m ('moi'), and its imaginary other, $i(a)$. Along the vector of the barred subject, the imaginary other is encountered before the ego, demonstrating that it is through the other that the ego is formed,

⁴ Harper-Scott (2012), p. 139.

that is to say, the image of the self is formed through the image of the other. It is here that an intertext with other individual works can be constructed.

One potential way of doing this would be along Bloomian lines, envisioning Schubert's attempt, through the text of the G major Quartet, to establish himself as prior to one or more individual texts by Mozart or Haydn, the 'strong' sonata composers of the late-eighteenth century. Precursor texts are not obviously forthcoming, since the G major Quartet is so unlike anything that preceded it, but further to the examples of Boccherini and Beethoven discussed in Chapter 1, candidate works might include Mozart's G minor String Quintet, K. 516, the C major 'Dissonance' String Quartet, K. 465, and Haydn's G minor String Quartet, Op. 20, No. 3. The two works in G minor are important if the 'idea' of a synthesis of major and minor expressions of the tonic G is to be a central 'image' in the reading. Perhaps 'attempted synthesis' is a more accurate description, since, taking the first movements as an indicator, all three works fail in their various ways to do this. It is only Schubert's text, however, that substantially reorganises sonata form to accommodate the task, and which reverses the tonal poles. In Haydn's and Mozart's forms there is the potential for minor to become major by the end of the sonata, whereas Schubert puts the major tonality up front to be undermined by the minor as a form-generating harmonic emblem. In the case of Mozart's 'Dissonance' Quartet, it is the titular slow, intensely dark minor-mode introduction which seems to undermine the tonal fabric, preceding a predominantly sunny C major work - the introduction stays with the listener, colouring everything that follows. In each of these cases, the principal Bloomian category at work is *tessera* - the taking of a fragment (an idea) from the precursor (in this case, the limiting of tonality to two poles, major and minor, and the desire to synthesise them) and the rearrangement of that fragment to use its own terms in another sense, 'as though the precursor had failed to go far enough.'⁵

⁵ Bloom (1973), p. 14.

The most beneficial way to use this under the umbrella of Lacan's graphs of desire is to understand that it is through such mechanisms (Bloomian or otherwise) that the split subject, which functions locally as the Bloomian *ephebe*, is exposed to the imaginary other before the ego can be constructed. This can be understood in isolation, following the vector of the graph underneath the signifying chain, or it can be understood as incidental to the broader symbolic universe. In which case, the imaginary other is encountered before any quilting has occurred, but the ego is constructed after the entire signifying process, and as a result of the subject having gone through the fantasy. This is why it is the symbolic structuring that has the more far-reaching implications for Schubert's music - that is to say, for Schubert's engagement and experimentation with a pre-existing, however untheorised, symbolic order - rather than any imaginary identification. The intertext generated by the symbolic order and its fantasmatic support is the structure which generates the infinite intertextuality that is not in practice possible in the Imaginary realm.

7.2 Conclusions

Clark, in her introduction to *Analyzing Schubert*, makes the following remark:

The impact that the choice of 'lens' of music theory has on the perception of a musical work may be put in the following fantastical terms. Imagine owning a pair of spectacles that allows only a specific shape, say circles, to be perceived by the observer. He or she would enjoy the full moon, see clocks, round tables, and wheels. Then imagine replacing these spectacles with a pair that allows only right angles to be seen. Suddenly rectangular tables would come into view, as would the corners in a room, picture frames, books, and so on. Now imagine walking into a room where everything is circular but our observer is wearing the wrong glasses. The circles are there, but the glasses do not reveal them. The result is chaos or blindness - all because of the choice of lenses.⁶

⁶ Clark (2011), p. 4.

Her point is that the choice of analytical system is crucial. Her 'right angles' are a clear reference to Beethoven's music, with its strongly defined structures, and the lenses that enable the observer to view them are Schenkerian. Her 'circles' are obviously metaphorical of Schubert's more enigmatic mode of composition, and the lenses allowing one to view this are neo-Riemannian ones.

Clark's spectacles, were they to be positioned on Lacan's graph of desire, would be located at the big Other (A), the mechanism through which phenomena appear meaningful. However, in light of the analysis presented above, it pays to remove oneself one more step from the analytical entanglements that Clark is concerned with. Although the lens metaphor is a useful form of meta-analysis, let us consider for a moment that the spectacles, rather than blocking out certain shapes, actually fill in the gaps, allowing them to form a coherent whole rather than appearing as merely partial or successive. Clark's spectacles enact the process of signification, emptying out enjoyment from the subject, perforating it and reducing it to what is symbolisable. Whether you are looking at circles or squares in this scenario does not affect their function. The spectacles that I am suggesting, far from filtering out information, 'fill in' what is missing, or lacking, in the field of view. This posits them as $\$ \diamond a$ objects, without which the text would appear as a purely successive and therefore meaningless utterance.

One of the effects of this is that Sonata Theory, like any functioning fantasy, can grow and change and enlarge itself to be able to cope with whatever ruptures are revealed in the symbolic order. Clark constructs it as a conservatively Schenkerian theory which promotes a masculinist view of sonata form, whereas actually it is capable of growing and changing to accommodate Dahlhaus's lyric-epic chromatic structures at the same time as the 'masculinist' diatonic ones.

Music analysis usually tries to present the work as a unified whole. This is the legacy of

the Schenkerian tradition and it has been consciously absorbed into *Elements of Sonata Theory* by the authors. What psychoanalysis does is to undermine this. Psychoanalysis demonstrates that structures that are ordinarily considered to be complete and unified are, in their brutal reality, fractured and partial. This may be considered objectionable to those who wish to defend analysts against such charges, but as in clinical psychoanalytic treatment, the diagnosis offered by the analyst is not always welcomed by the patient.

In the preceding chapters I have proposed that it is advantageous to consider texts, in particular musical texts, and even more particularly, sonata forms, intertextually. That is to say, Kristeva's idea that a given text is always an absorption and transformation of another text can be taken axiomatically. In this way, we can understand the universe of intertextuality as a cyclic structure in line with the hermeneutic circle. Like a dictionary, the only means of defining a particular term is through other terms which also have to be defined within the same system. Equally, Lacan's own psychoanalytic language is structured in this way. Dylan Evans asserts that 'psychoanalytic theories are languages in which to discuss psychoanalytic treatment.'⁷ The symbolic order is structured like a language in this circular way, and so is Lacan's own work - a fact that he spelled out in his *Seminar XI*: 'My discourse proceeds in the following way: each term is sustained only in its topological relation with the others.'⁸

This is a useful and practical way to approach sonata composition. Sonata form is a means of musical expression that operates within the coordinates of a genre system, and change tends to be expressed in revisionary rather than revolutionary terms. To borrow from Lacan again, we might say that our listening and analytical practices proceed in the following way: the meanings we derive from sonata forms are sustained

⁷ Evans (1996), p. ix.

⁸ Jacques Lacan, *The Four Fundamental Concepts of Psychoanalysis*,. Jacques-Alain Miller ed., Alan Sheridan trans., (London: W. W. Norton, 1981), p. 89.

only in their topological relation with others. The problem with applying psychoanalytic techniques directly to sonata forms, however, is that the languages that they employ, and particularly the Lacanian terms, are often not easily or directly compatible with musical structures.

As I have quoted above, Rumph's position - one that I share - is that without the possibility of locating a secure and stable musical agent, approaches which promote a Marxist or otherwise dialectical reading become problematic. The same can be said for psychoanalytic approaches. Although some authors have engaged psychoanalysis in sometimes very complex readings of musical works, they tend overwhelmingly to be concerned with the texted genres of *Lied* and opera. The attempts at psychoanalytic readings of textless works to date have on the whole been underdeveloped or incidental within a broader frame of reference. These, in the case of Schubert's music, have frequently referred to observations of mental illness in the form of nervous breakdown (as in the slow movement of the A major Piano Sonata, D. 959), the 'split subject' or cyclothymia (in many works, including the G major Quartet, D. 887), and obsession (in cases where a particular motivic cell is ubiquitous for an extended period, in the *Quartett*, for example). These observations tend to refer to Schubert in a pseudo-biographical way, rather than directly to the structures found in his music. Until now there has been little written on the possibilities for Lacanian readings of purely instrumental works, arguably for the reasons given above.

Perhaps even more important than structural observations are the small traces that are left over from the signifying process, and which psychoanalysis invites us to focus on. These are the objects that persist from work to work and that are somehow dismembered from the symbolic fabric to be left as signifiers without a signified. Quentin Tarantino described an 'umbilical cord' connecting his films together, as if the DNA is shared, but the phenotype is expressed differently in each case, and which is demonstrated in

objects like cigarette packets, samurai swords, and women's feet, and in details like camera angles, characters' names, and vocabulary.⁹ We might say the same about Schubert's sonata practice and the traces that are elevated above the symbolic register such as the deflecting medial caesura, which became a more broadly cultural sinthom as it developed in the work of later composers like Schumann and Bruckner.

As much as psychoanalysis can reveal layers of meaning that were hitherto inaccessible, the reverse is equally demonstrable: that psychoanalysis can strip away the fantasies that render phenomena meaningful in the first place. To add yet another perspective to the metaphor of the neo-Riemannian 'spectacles' that Clark uses in *Analyzing Schubert*, and the sonata-theoretical ones that I offer above, 'Lacanian spectacles' behave more like the sunglasses in John Carpenter's *They Live* (1988).¹⁰ In this film, our protagonist is down on his luck, homeless, unemployed, has no prospects, and in a world which seems normal to him, the America he is used to - full of media and advertising. By chance, he acquires a pair of sunglasses which, when donned, reveal in plain text the 'real' messages that are being transmitted. These involve billboard slogans such as 'OBEY AND CONFORM', 'MARRY AND REPRODUCE', 'CONSUME', 'DO NOT QUESTION AUTHORITY', and, on the bank notes, 'THIS IS YOUR GOD'. This, it is possible to say, is the effect that psychoanalysis can have on human behaviour and, in particular, the cultural traces that humans generate in the form of artistic works. Like Žižek's 'third pill' - a reference he makes to *The Matrix* (1999) in *The Pervert's Guide to Cinema* - the spectacles allow our protagonist to separate the 'real world', with its arbitrarily enforced authority, from the symbolic fictions that such authority would not function without. In musical analysis, and in Sonata Theory, these symbolic fictions are strong, and serve as a crucial support for the way we understand musical works to be

⁹ <http://www.bbc.co.uk/news/entertainment-arts-20897866>. Accessed 24/04/2013.

¹⁰ Hepokoski and Darcy also use the lens metaphor in their discussion of the sonata types, remarking that nineteenth-century exemplars of the Type 2 form have been viewed through 'the Type 3 sonata-form lenses that the analytical tradition has given us to perceive these later works - the wrong lenses, we would argue' - *EST*, p. 364.

meaningful. This is heightened in Hepokoski's and Darcy's Sonata Theory by the language they employ, full of whimsical images and metaphors which ventriloquise their musical exemplars. Psychoanalysis lays bare the fantasy as such, enabling its separation from the brute reality of the text.

Sonata Theory is not only a way of situating musical works in a theoretical frame, but it actually structures the way we listen. It highlights the ways that musical works can be informative to the broader experience of human subjectivity. Our desires are not our own. They are other to us, and we have to be taught how to access them. But there is a problem: these desires can never be satisfied. Žižek makes this point when he writes: 'when we encounter in reality an object which has all the properties of the fantasized object of desire, we are nevertheless necessarily somewhat disappointed; we experience a certain "this is not it"; it becomes evident that the finally found real object is not the reference of desire even though it possesses all the required properties.'¹¹ So whether the ESC is properly established or not is not the point in hand, or, as Harper-Scott might say, 'Mozart would have been out of a job centuries ago.'¹² The point is that Sonata Theory teaches the human subject how to locate desire in the musical text. It fixes the coordinates of their desire. To put it in Žižek's own terms, and in ways that are more purely formal than can be found in the cinematic experience, sonatas do not satisfy our desires: they show us how to desire.

The way this affects Schubert analysis is twofold, and performs a kind of double motion. As with any analytical or meta-analytical study, it informs a deeper and more profound structural understanding of the text. The technical clarification that Sonata Theory provides of Schubert's handling of the medial caesura in some of his larger sonata forms not only tells us something about that particular formal junction, but also about

¹¹ Žižek (1989), pp. 100-101.

¹² Harper-Scott (2012), p. 52.

the tonal structures that are generated, and the ways they are played out in the quasi-symmetrical resolution of the recapitulation. This serves to contribute something to a mature tradition of Schubert analysis, a tradition which has constructed Schubert's music as a kind of meta-analytical prism - his music is a critical lens for 'analysing analysis', and has become a crucible of theoretical rigour. This is demonstrated most recently in Cohn's *Audacious Euphony*: his very first musical example is an extract from Schubert's Piano Sonata in B_♭, D. 960, which he uses as a means of undermining the logic of conventional chordal analysis.¹³ But the second part of the double motion creates what Žižek would call a 'radical ambiguity'. This unpicking of music analysis is itself undermined by the final traversal of the fantasy. We arrive at a situation at the end of the psychoanalytic process where the fantasy screen between the desiring subject and the real kernel is completely removed, resulting in a radically new relationship between Subject and Other, one in which language and fantasy are seen for what they are - symbolic constructions of a radical otherness.

This can result in what is sometimes referred to as a 'negative therapeutic reaction'.¹⁴ The result of the process is both successful and unsuccessful. On the one hand, a deeper understanding of the way that music analysis functions has been achieved. This is particularly important when concerned with a composer such as Schubert, whose music has become a barometer of theoretical integrity. On the other hand, after having 'gone through' the fantasy, the structures are revealed to us in all their brutality and arbitrariness. The choice essentially offered by Alan Street in 1989 was whether to beat a hasty retreat and allow the fantasies once again to swell, restoring the support for a meaningful normality, or to embrace the real kernel for what it is, in its arbitrariness, contingency, and in the absence of the support that brings consistency and

¹³ Cohn (2012), p. 2.

¹⁴ Žižek (1991), pp. 86-87.

meaning to our experience of music.¹⁵ He wrote that ‘the fact of the matter is that music analysis is implicitly reliant on the idea of narrative integrity: integrity which automatically suppresses those details that oppose its progress towards narrative integrity.’¹⁶ But the choice, I argue, is not a simple one of whether to accept the results of a particular fantasmatic support, or to fully accept the chaotic premise of an unquilted desire: it is not simply a question of whether to accept or reject a particular ideological edifice. There is a middle path, identified by Žižek, situated precariously between ‘two oppos[ing] types of stupidity’: the position of the ‘moron’ (who accepts the prevailing ideology entirely and unquestioningly) and the ‘idiot’ (who is completely disengaged from it).¹⁷ Lacanianism offers the intermediate position of the ‘imbecile’. If analysts position themselves here, perched precariously on the edge of the structural order they benefit from the meaning generated in it, while not being hopelessly or uncritically reliant on it. Žižek writes that ‘the idiot is simply alone, outside the big Other, the moron is within it (dwelling in language in a stupid way), while the imbecile is between the two - aware of the need for the big Other, but not relying on it, distrusting it.’¹⁸ While the big Other for Žižek, is the guarantor of consistency specifically in language, it can also be extended to guarantee consistency in music. The idiot is unaware of this, and hears random noise, the moron hears whatever the symbolic agency dictates. The imbecile, by contrast, constantly circles around the inconsistencies in the text, putting questions to the analytical system, asking if we can ever be certain about the work’s consistency. In this thesis I have aimed to demonstrate this in two concrete ways, namely: by exploring one way that psychoanalysis can demonstrate a rupture in the symbolic order, showing that it is inconsistent, as is the case with the discussion of the *sinthom*; and by showing how analytical systems in general, and Sonata Theory in particular, act as fan-

¹⁵ See Street (1989).

¹⁶ Street (1989), p. 107.

¹⁷ See Žižek (2013), p. 1.

¹⁸ Žižek (2013), p. 2.

tasies which prop up the structural order, giving it the impression of consistency. The imbecile is 'aware of the need' for these fantasies, but is suspicious and distrusting of them.

While Kramer adopts the position, in *Schubert: Sexuality, Subjectivity, Song*, to expect inconsistencies in Schubert's *Lieder*, drawing explicitly on Lacanian psychoanalysis, his work does not explicitly pave the way toward such a critical stance for the instrumental music. The problem, to which I have returned several times, is that texted genres provide clear and stable musical agents to which psychoanalytic theories can be directed. Where there are no stable musical agents, as in the case of Schubert's sonata forms, a newly theorised approach is required, and this is what I have aimed to demonstrate in the course of this thesis.

Terms and Abbreviations

Sonata Theory Terms

P - Primary Zone

TR - Transition

S - Secondary Zone

C - Closing Zone

RT - Retransition

MC - Medial Caesura

PAC - Perfect Authentic Cadence (root position V-I cadence which concludes a phrase)

HC - Half-Cadence (ending on V)

V_A - Active Dominant (as a chord, not a key, implying an eventual resolution to the tonic)

EEC - Essential Expositional Closure

ESC - Essential Sonata Closure

P^{rf} - Specialised P-refrain theme in the Type 4 sonata

R1, R2, etc. - Rotation 1, Rotation 2

TMB - Trimodular Block

EST - Elements of Sonata Theory

Lacanian Terms

A - The Big Other

\bar{A} - The 'Barred' Other

$a \diamond \bar{s}$ - Gaze

D - Symbolic Demand

d - Desire

I(A) - Identification with the Big Other

i(a) - Imaginary Other

m - Ego

S - The Subject

\bar{s} - The 'Barred' Subject

s(A) - Signified of the Big Other

S(\bar{A}) - Signifier of Lack in the Other

$\bar{s} \diamond a$ - Fantasy

$\bar{s} \diamond D$ - Drive

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