

The University of Texas at Arlington

Schubert and his Illustrious Repetitive Nature

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Chapter 1: Introduction

Introduction

Schubert's music is renowned for its repetitive nature; many critics like Dr. Joshua Drake think this is a negative trait of his compositions. When speaking on Schubert's strengths and weaknesses, Drake states, "Haydn's rich use of received forms, his clear melodic and tonal dichotomies, and his tendency for certain resolutions make his music satisfying in a completely different way than the wandering, repetitive, self-interrupting Schubert."¹ Drake faults Schubert on his repetitions; in this thesis, several examples of Schubert's instrumental and piano music will give evidence that counters that claim. On the other side of Schubert's repetition, Jonathan Guez proposes the question: "Are they tied up with now-forgotten generic conventions, a composer's whim, an inability to constrain the creative impulse, or an aesthetic aversion to strict thematic repetition?"² Guez poses the rhetorical question to support Schubert's repetitious nature. One cannot argue that there are cases where Schubert wrote out large sections and small phrases note for note. However, there are several compositions by other famous composers that contain verbatim repeats. The composers of said compositions do not have critics giving negative reviews of their compositions.

By analyzing Schubert's instrumental compositions in various larger forms, one can find an extensive amount of evidence against the stigma some have given his works. The alterations to the repeated sections, themes, and motives varies from small structural changes to two-measure units and larger structural changes that modify the entire piece. Using similar, or the same musical material, Schubert found ways to prolong, deviate, cadence, transition, loosen

¹ Joshua Drake, "Schubert's Weaknesses as Strengths," 2017.

² Jonathan Guez, "The 'Mono-Operational' Recapitulation in Movements by Beethoven and Schubert," *Music Theory Spectrum*, (2018).

theme types, the exposition, and recapitulation in sonata forms and subvert expectations of the overall goal of larger forms and the structure of those pieces. Addressing the stigma of harsh critics step-by-step, moving from the most simplistic structural changes to the more significant changes, will provide the reader with the easiest way to follow the evidence. Presenting the structural changes to each musical example will effectively refute the critics' claims.

Analytical Methods

To analyze Schubert's instrumental music with varying amounts of repetition William E. Caplin's theory of Formal-Functions will be utilized. Caplin's formal-function theory allows analysts both to look at larger forms and to zoom in to the smaller two-measure units. Caplin's theory also can be applied to numerous types of musical forms; his terminology and analytical methods can flow across symphonies to etudes. In doing so, this will permit the thesis to remain current to music theory scholarship. Using the different theme types and smaller units that configure the theme types will help differentiate between original motivic content and the repeats, returns, or rotations. In his compositions, Schubert has repeats where the musical content occurs directly after a cadence, and there are instances where he returns to similar material in later sections of pieces, and there are instances of where he does both. With Schubert, there comes a stigma that he uses repetition more than other composers and has pieces of music that are long just for the sake of being long.³ Some critics like Adorno state that Schubert's compositions lack development but rather have jumped into new sections.⁴ Critics see the repetition as a negative trait, and it's just there, and Schubert dug himself into a repetition hole. Repetitions do not make Schubert a bad composer, his works still meet the expectations of the

³ Scott Burnham, "The 'Heavenly Length' of Schubert's Music," *Ideas* 6, no. 1 (1999).

⁴ Scott Burnham, "Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition," *19th-Century Music* 29, no. 1 (2005), 32.

forms he uses. In impromptus, since there is no set form, he had complete freedom in form, and in a sonata, he reaches goals while also expanding upon those expectations. A bad composition would be one where none of the expectations are met, for example if a sonata misses a cadence, tonally does not resolve, or themes are skipped over entirely, but Schubert does not do that.

Schubert's repetitive nature will be addressed and how he develops themes and challenges formal structures.

Another way to show subtle and significant differences within Schubert's music, score diagrams along with highlights and other guiding aides, will indicate this thesis' aim in all of the pieces. Caplin's terminology is critical for understanding the evidence given in this thesis against the stigma. Historically, although Formal-Function Theory⁵ has been used to analyze Classical works, Caplin has demonstrated his theory's functionality in "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music"⁶ to analyze 19th-century pieces. Since Schubert's compositions do not follow the Classical structures, Caplin determined seven characteristics that changed in the 19th century to how one applies Formal Functions analysis. Those seven significant adjustments are,

(1) a more extensive use of chromaticism and dissonance; (2) a greater emphasis on root-position harmonies; (3) a more uniform harmonic rhythm and harmonic density; (4) a circularity of formal organization; (5) an ambiguity between sequential and cadential harmonies; (6) a lack of cadential closure for thematic units; and (7) an ambiguity between penultimate and ultimate dominants at points of potential cadence.⁷

More terminological verbiage needed to illustrate the structural changes comes from William E. Caplin's theory of Formal-Functions chapter on structural change in sonata forms⁸.

⁵ William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013).

⁶ William E. Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1.

⁷ *Ibid.*, 1.

⁸ William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013), 478.

This thesis's focus is structural changes and how each structural change alters the repeated musical content.

Structural changes as defined by Caplin are:

- "• The deletion of thematic restatements (such as a repeated continuation phrase or an A' section)
- A newly added passage featuring model-sequence technique (a procedure that has been termed a "secondary development")
- An emphasis on flat-side tonal regions (to help alleviate harmonic-tonal monotony)
- The deletion of the home-key cadence (since the home key will necessarily be confirmed later in the subordinate theme)"⁹
- "• Deletions or compressions of passages emphasizing the home-key tonic (to avoid harmonic monotony)
- Additional passages of model-sequence technique (secondary development)"¹⁰
- "• Deleting passages that might be deemed redundant for various reasons (such as those that result from writing a "monothematic" exposition, which, if left unaltered in the recapitulation, would give rise to two home-key statements of main-theme material)
- Expanding the cadential area more than that of the exposition (so that the most powerful cadence in the entire form confirms the home key)"¹¹

Caplin uses those structural changes to describe what happens in a sonata's three main sections. Despite those characteristics applying to sonatas, those structural changes can be applied to the smaller theme types and two-measure units as well. There are correlations between

⁹ William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013), 478.

¹⁰ *Ibid.*, 478

¹¹ *Ibid.*, 479.

the expectations of sonata sections and the expectations for theme types. Periods and sentence theme types do not contain a developmental section, but the terminology associated with structural changes within sonata developments can still be applied to those theme types. That is why within both sonata and theme types, one can see the similarities of structural changes. One example of a parallel between the sonata structural changes and the theme type structural changes is a missing cadence. If there is a missing cadence in sonata theory, an analyst cannot move into a new section or onto a new theme type. If there is a missing cadence in the case of a theme type, typically, the theme type has to be changed (period, sentence, c.b.i, small ternary, etc.) or orphan the previous units to make it fit functionally to the new theme type. Those structural changes that come from the sonata form section of Caplin's formal-function book will be used as a guide to help categorize the structural changes found in Schubert's instrumental music at the all-different levels.

Many, if not all of those seven characteristics from "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music" that are often found in the 19th century, are what Caplin could be alluding to in his book *Analyzing Classical Form* as loose formal organizations.¹² Looking at Schubert's instrumental works from the examples to come, most of them contain more elements from the loose end rather than the tight-knit. Taking those findings into consideration, there was almost no way that there would be a simple period or sentence theme type, but those theme types were still present, just in more obscure ways. Having compositions that lean toward the loose end does not mean that material was not repeated or

¹² William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1-26; William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013).

reused. Having a reference point of what typical expectations for theme types will guide what the expectations for Schubert's compositions "should" be.

	TIGHT-KNIT	—————→		LOOSE
tonality	home key (I)	subordinate key (V)	distant keys (III, ♭VI)	modulating
harmony	prolongation of I	prolongation of I ⁶	prolongation of V	sequential
	diatonic		modal mixture	chromatic
cadence	PAC	HC	cadential evasion	no cadence
grouping structure	symmetrical (4 + 4)	symmetrical (6 + 6)		asymmetrical (4 + 3 + 5)
functional efficiency	efficient	redundant (via extensions, etc.)		ambiguous
motivic material	uniform			diverse
thematic conventionality	period	sentence		nonconventional types

Example 1: Formal-function table outlining loose vs. tight-knit table characteristics¹³

Schubert's larger formal structures will be analyzed, two different sonata types will be analyzed, and their special characteristics are categorized. The large forms will help find where to look for repeated material and where to look for those deviations. Knowing the "road map" of the Type 1 sonata and the Type 4-1 sonatas is crucial for how repetition should be treated in these compositions. Rotations in sonata forms occur in type three and type four sonatas, since sonatas have very rotational sequences in material, the use of the word rotation, especially in sonata type four-one, will help delineate between the first, second, and third appearance of the main theme.

Another tool that will be put to use is voice-leading graphs to provide a visual aid. The use of the voice-leading graphs permits the reduction of a score to show structural changes in

¹³William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013).

similar motivic theme types. Voice-leading graphs also help illustrate harmonic changes that cause dramatic shifts in theme types and large sections like expositions or recapitulations. Complete Schenkerian graphs are not necessary to establish the deviations in Schubert's music. Localized graphs will suit the needs of this thesis.

In this paper, two main musical forms will be analyzed; the impromptu and varying types of sonatas provide vast amounts of material where Schubert uses repetition for several different functions within each composition. Thus, the argument of ornamental versus structural changes in repetition becomes obvious. Just to be clear: ornamental changes are just surface-level note changes, like adding sixteenth note scalar passages, often thought of as simple repetition. There are also verbatim repeats; this is where each note of a passage is used again; verbatim repeats are the most simple and easiest for a composer to use. My argument is that Schubert's use of repetition in his instrumental music supports structural change to a much higher degree than it serves mere ornamentation; Schubert's music shows cerebral, deeper thinking in the act of composition.

Literature Review

One article that seems to do a bit of both, justifying the repeats and damning them, is "The 'Heavenly Length' of Schubert's Music" of Scott Burnham¹⁴. The following quote correctly portrays the overall feel of the article. "If the lengthiness of Schubert's instrumental music cannot be justified in the way that it can in Beethoven's music—where length seems necessary for the completion of an imposing process—how can it be? One could argue that, in Schubert, the great length is just there."¹⁵ Having various articles that hold extreme views for Schubert's "bad"

¹⁴ Scott Burnham, "The 'Heavenly Length' of Schubert's Music," *Ideas* 6, no. 1 (1999).

¹⁵ *Ibid*

instrumental compositions does inspire one to find more evidence. One section from the article has negative comments about Schubert's lengthiness.

The acknowledged lengthiness of many pieces by Beethoven is said to be justified by an often-monumentalized process of development and transformation—Beethoven needs his great expanses in order to establish and then complete a momentous global agenda. Schubert's lengthiness enjoys no such global justification. In fact, it is often considered to be his telling flaw. Some fifty years after Schumann's review, in 1892, Eduard Hanslick put the case sharply when he said, "If truth be told, everything about this symphony except its length may be deemed heavenly." About fifty years after Hanslick, the influential English critic Donald Francis Tovey helped perpetuate the popular idea that Schubert could not in fact handle large forms—that he substituted odd digressions and even mere repetition for the type of consequential and evolving substance one finds in the compositions of Beethoven and Brahms.¹⁶

Comparing Schubert to other composers provides a benchmark for what these critics deem acceptable. Despite all three composers having different styles, they all get compared to one another. The three composers are proficient in various compositional areas, meaning it is extraneous to compare them to each other.

In the article by Brian Black, "The Functions of Harmonic Motives in Schubert's Sonata Forms," Black addresses Schubert's repetitive nature by stating that it was a part of his style and a hallmark of his compositions. He categorizes them into three separate functions, referential, modulatory and gestural.¹⁷ The focal point of this article is to show how harmonic motives structurally unify the form of a piece. Black uses the String Quartet in D minor D.810 Death and the Maiden to show the function of those harmonies as I use that piece to show how one motive is used with several different formal-functions. Throughout his paper, Black looks at instrumental works and vocal works, showing how both genres of music use harmonic sequences to have a gestural function. Black, in closing, states that the failings of his compositions were

¹⁶ Scott Burnham, "The 'Heavenly Length' of Schubert's Music," *Ideas* 6, no. 1 (1999).

¹⁷ Black, Brian. "The Functions of Harmonic Motives in Schubert's Sonata Forms." *Intégral* 23 (2009), 1-63.

actually the strengths that cohesively brought together his pieces.¹⁸ Black notes that the harsh critics find flaws in Schubert's compositions that to them make place his works at a lower quality, and also some people who defend Schubert still point out flaws within his sonata works.

The stigma linked with Schubert's instrumental music is quite harsh, but some articles are less damning. One example of this is Jonathon Guez's article "The 'Mono-Operational' Recapitulation in Movements by Beethoven and Schubert." Schubert's music repeats sections but being "boring or tedious" may be misplaced. Guez defends Schubert's compositional style by giving evidence about Schubert and Beethoven's sonata recapitulations. As seen above, the quote "Are they tied up with now-forgotten generic conventions, a composer's whim, an inability to constrain the creative impulse or an aesthetic aversion to strict thematic repetition?"¹⁹ defends Schubert and his repetitions. The very last sentence of this article vigorously defends repetition at an intellectual level, "Sontag once wrote, 'the work is, almost literally, not perceptible and therefore, at the same time, not intelligible. It is the perception of repetitions that makes a work of art intelligible' (1965, 35)."²⁰ That statement from Susan Sontag gives an outside point of view on repetition. Since Sontag was not a musician but rather a philosopher, it provides us with an example of scholarly debate on repetition that isn't music. Following Sontag's logic, repetition is necessary for understanding.

In an article by Lawrence Kramer, "Franz Schubert: Sexuality, subjectivity, song," Beethoven and Schubert's connection is pointed out again. The connection is the dichotomy that is Schubert is structurally weak and that Beethoven is the musical form structure "juggernaut".²¹

¹⁸ Ibid., 61.

¹⁹ Jonathan Guez, "The 'Mono-Operational' Recapitulation in Movements by Beethoven and Schubert," *Music Theory Spectrum*, (2018).

²⁰ Jonathan Guez, "The 'Mono-Operational' Recapitulation in Movements by Beethoven and Schubert," *Music Theory Spectrum*, (2018).

²¹ Lawrence Kramer, "Franz Schubert: Sexuality, Subjectivity, Song," in *The Ganymede Complex* (2003), 97-99.

The perception that Schubert was somehow lacking is related to his presumed homosexuality.²² Being compared to Beethoven Schubert was on a lesser level, and critics seemingly had a prejudice to his compositions. "Beethoven's reputation was a juggernaut; anyone getting in its way was bound to be mowed down." Despite the critics finding fault with Schubert's music, there still was a wide appeal for his compositions.²³ Those failings in his formal structure and Schubert's repetitiveness can be linked to the deviations in his music. Further in the article, a quote from Donald Tovey states, "how even a fool could see Schubert's shortcomings in form." All of these negative allegations about Schubert and his compositions lead one to want to investigate to see if they are if they are true or false.

²² Ibid., 93-99.

²³ Lawrence Kramer, "Franz Schubert: Sexuality, Subjectivity, Song," in *The Ganymede Complex* (2003), 97-99.

Chapter 2: Schubert Impromptus

The impromptu historically is a piece that does not have a particular formal structure, and they typically are improvisatory in nature. The composer has free reign of what formal structure they use and all other aspects of the composition. Repetition is not a required trait of impromptus; since they have no preexisting compositional conditions, all impromptus have a unique component to them. The following three impromptus were chosen because, in each piece, there are different levels of repetition. These impromptus have varying examples of structural changes to theme types, links, and sections that use similar or the same motivic material. Each piece has an example of some structural change where the material is either immediately repeated or returns at a later section.

Formal-function theory will help illuminate the different types of theme types used for repeated motivic material. The main critique that will be addressed in this chapter is local repeats how Schubert structurally changes those theme types. There is one example of a return of a section that also will be analyzed.

Subsection 1: Small local Structural Changes

This subsection will look at Impromptu in A-flat, op. 90, no. 4 D. 899 and the minor structural changes in motivic content. This piece is the only one out of the several that will be looked at that only has one kind of formal function change. The melodic content stated in m. 1 does not change for the following 30 measures; this repetitiveness, presented immediately at the opening of the work, seems to be an example of the very quality that Schubert's critics found deficient. Yet, I will argue, though the opening motive repeats, the section does have structural change. Having evidence stack toward this piece being too repetitive does seem counterproductive, but of Impromptu in A-flat, op. 90, no. 4 D. 899 has structural change.

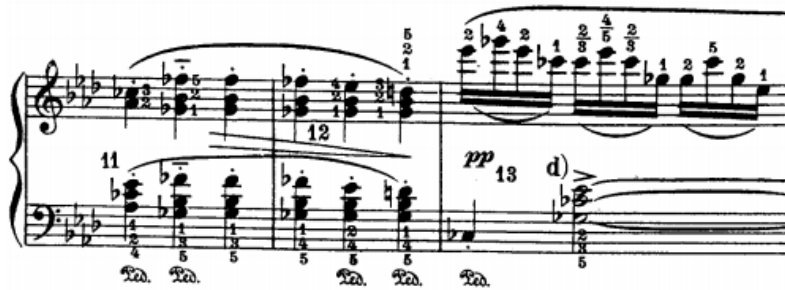
Schubert misdirects the expectation of cadential goals; using the cadence structurally changed the phrases in this piece. Schubert used a two-measure link to destabilize the cadential progressions and modulate them to unexpected places. There are four utterances of the linked material that each have their own "goal." The first "goal" of the link is to prolong the key of A-flat tonality at m. 5, and the second "goal" is to modulate to the chromatic mediant C flat major at m. 11, thirdly, it is used to move to the foreign key of b minor (which enharmonically is C flat minor) at m. 17, and finally, Schubert used the link to return to the home key. The last link could also be analyzed as a continuation because it sequences its way back to A-flat at m. 31. Those four seemingly insignificant links provided Schubert's way to reuse the same musical content but with other musical goals in mind.



Example 2: m. 5 and m. 6 of Impromptu in A-flat, op. 90, no. 4 D. 899

Following the prolongation of A flat minor m. 1 to m. 5, a similar link appears, but this time the link was used as modulatory material to the chromatic mediant C flat major. This second link is the first case of the cadential goal not being reached and subverted to a different key. C flat as the key is certainly not the expected key to modulate to; having a foreign key appear in the opening measures indeed characterizes as unstable. The only stable thing is the melody that returns after the two-measure link. Since the main motivic material is very sequential, using it repeatedly in the new key brings back some stability lost in the key change. Unifying the first large section of this piece with the sequential melody is how Schubert

maintained stability while coinciding having instability in the key; the cadences threw the key areas in different directions.



a) The sixteenths fast, light, smooth and even.

Example 3: m. 11 and m.12, the first modulating link.

Looking at this piece superficially can lead one to conclude that it is simple and repetitive. The notes all look similarly spaced; there are little to no rhythmic changes or changes in motivic material, but that small link above is the key to this entire section. Using the link as a modulatory device for structural change to the motivic material is why this piece can be removed from the tedious and repetitive to the interesting and challenging. Although it is a minor structural change, it impacts the expectations that one may have for cadential goals. Of the four times the link is used, only one reaches the "expected" key goal; the first one is the only one that is not used in modulation. One could argue that the fourth link also reaches the key goal by returning to A-flat, but from a local level, since it is in the key of B minor, the two typical or expected goals for that passage would either have been staying in that key or moving to F sharp. Schubert uses the same motivic phrases with the different links to key areas is where the melody's repetitiveness can be overlooked for a more interesting key and modulation used.



Example 4: m. 17 and m. 18 uses an enharmonic dominant chord G-flat that leads to b minor.

The C-flat major section moves to B minor, which is still slightly more stable than moving from A-flat major to C-flat major. The relationship between C-flat to B minor is much closer than A-flat to C-flat. Due to their enharmonic relationship of relative major and relative minor, the third link's key change is not as drastic as it seems on paper but is still quite the modal shift; it has become expected to do the unexpected. Just as the first two links prolong A flat, this link prolongs C-flat but in a minor modality. If written out, the key of A-flat minor would have many double flats, but Schubert chose the cleaner way of writing it out in b minor. Schubert disguises that parallel relationship that is easily seen in the first two links. This first section goes from a modality perspective to A-flat minor – A-flat minor – C-flat major – C-flat minor (b minor). The mixture of key and modality changes are the only structural changes within the first section of this piece. The table and voice-leading graph below will illuminate the key changes that the link takes the piece through.

Units	Bi(basic Idea)	bi		bi	bi		bi	bi	
			2m link			2m link			2m link
Measures	1	3	5	7	9	11	13	15	17
Key	A-flat minor		A-flat minor			C-flat major			

Bi	bi	
(C-flat minor)		8m link
19	21	23
B minor		To A-flat Major

Table 1: Formal-Function units showing the modulations and modality changes.

m.1 m.13 m.19 m.31

A flat m - C flat M - B m - A flat M

Example 5: Visual representation of the key movement and how they are connected.

The last prolonged link that moves to A-flat major is used similarly to a one-more time used after a deceptive cadence.²⁴ It is as if Schubert wanted to emphasize the arrival of A-flat major. Harmonically the modal shift to A-flat major is not that drastic, but the major sound does bring some brightness into the melody. This link could also be labeled as a transition if this was a sonata, bringing us back to the corrected main theme. One could argue that this link is a continuation; it has one of the four prescribed characteristics of a continuation. “4. Sequential

²⁴ Janet Schmalfeldt, “Cadential Processes: The Evaded Cadence and the ‘One More Time’ Technique,” *Journal of Musicological Research* 12, no. 1-2 (1992), 1-52

harmonic progressions (with the added possibility of model-sequence technique).”²⁵ The chordal progression for m. 24 to the downbeat of m. 25 is as follows: B minor triad (i) – A dominant ninth (V⁹/III) – F-sharp minor (v) – A dominant seventh (V⁷/III) – B minor triad (i). As a model sequence, this chord progression harmonically does not follow any typical logic applied with harmony. Measure 25, m.26, and downbeat of m. 27 have a more logical chordal progression F-sharp dominant ninth (V⁹) – F-sharp triad (V)– F-sharp dominant seventh (V⁷) – G-sharp minor (vi). If one looks at the function and voice leading of these two particular phrases, similarities can be found. Both phrases function as dominant prolongation, and the deceptive motion from F-sharp to G-sharp is used as a common chord modulation to A-flat minor, which then is corrected to A-flat major. The use of this link as a "one-more-time" and the actual deceptive chordal motion at m.27 solidify the return to the A flat modality.

Example 6: m. 23 to m. 31 sequence back to A-flat

These measures are set up the same way as the smaller links and could have stopped at the second measure and continued the cycle of moving to a different key; instead of doing that,

²⁵ William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (2013).

Schubert prolongs the link by repeating it and coming back to the home key. Once Schubert finally resolves to A-flat major at m. 31, he brings back the same melody, which is the stable aspect of this section. While the link started small, the final link was expanded upon greatly. That itself is another structural change and shows how Schubert develops his ideas through repetitious motives in unconventional ways.

Subsection 2: Structural Changes within Compound Theme Types and Theme and Variation

Schubert's Impromptus contain many ambiguous theme types; in this section I will consider the themes in Impromptu Op. 90 No.3 D.899. This piece is in G-flat major, the overall form is ternary, and that form in and of itself has repetition built into it. There are repeats at the local level in both A sections, and also returns of the same material after the B section. Identifying structural changes within repetitious material that Schubert uses, we will look at this Impromptu first 24 measures and m. 53 until the end. Comparing both A sections of this piece together and separately will show the most evidence against the stigma. Opening this subsection by looking at the first 24 measures and the complexities within that are composed into it. The first sixteen measures make a very tight-knit tonally close compound sentence, but the following eight measures throw that idea into doubt. The first sixteen measures are both a compound sentence and a period plus hybrid theme type. Labelling m. 17 through m. 24 as an extended or abandoned continuation best fits the function of those measures in this theme type. The compound sentence ends at the P.A.C. (Perfect Authentic Cadence) at m. 16, but the continuation is repeated without the presentation phase. Melodically and harmonically, the two continuations are very similar, but there are some noticeable changes. Some changes are ornamental, and some are structural changes, but the register shift in the bass falls into the

ornamental category, and changes in chordal resolution fit into the category of structural changes.

Theme type	Small Binary									
	A (Period)					B (Hybrid)				
Units	bi	ci	bi	ci	cbi			Conseq.		
Cadence		HC		PAC					P.A.C. into 16	
Measure	1	3-4	5	7	9	11	13	15	16	
Key	G Flat major									

B Section repeat			
cbi		Conseq.	
			PAC
17	19	21	24

Table 2: M. 1 through m. 24.

Taking a closer look at m. 1 through m.8, one can see that both basic ideas are almost a complete verbatim repeat, and where Schubert makes deviations to the theme type is in the contrasting ideas. There is half cadence (H.C.) at m. 4, and it can be interpreted as an internal cadence to the theme type. In m. 8, the cadence is stronger due to the dominant lasting longer and the delayed resolution of the tonic. By delaying the tonic resolution, the cadence at m. 8 sounds more satisfying when the dissonance clears. The contrasting ideas are close to being a

written-out repeat but with four chordal differences in the consequent, using the contrasting idea to lead the cadential progression to different places is typical of a period. It is formally intriguing how, although the first eight-measure looks very close to tight-knit due to the chord changes in the second consequent, this theme type leans more toward the loose end of Caplin's categorization. Schubert uses the antecedent as a solid base for deviations in the consequent. The first consequent harmonically has more motion, but the second consequent holds onto the dominant longer giving a slightly stronger cadence due to the dominant prolongation.

Theme Type	Period			
	Ant.		Consequent	
Units	bi	ci	bi	ci
Cadence		HC		PAC
Measures	1	3-4	5	7
Key	G Flat major			

Table 3: Schubert, D. 899 Impromptu Op. 90 No.3. m. 1 through m. 8²⁶

²⁶ Schubert, Franz Peter. *Impromptu Op. 90 No.3.*

Theme type	Cont. repeat				
Units	cbi		conseq.		
			bi	ci	PAC
Measure	17	19	21	23	24
Key	G-flat major				

Table 5: Hybrid theme type m. 9 through 16.

Despite both continuations having the same smaller units, there are still deviations to m. 17 to 24. There are harmonic and melodic deviations plus some fragmentation of the consequent phrase. The repeat is much more than just a copy-paste. If there were no changes to the second continuation, this piece would fit the stigma that critics label Schubert's music. In the sixteen measures, the two Hybrid theme types only share similar concepts, and the second time it is written, there is much more harmonic diversity. There are only three measures where Schubert did not change something harmonically; one of those measures is the ending P.A.C. and the other two ornamental changes that take the bass to a lower register. In the upcoming example, colors will be used to show different structural and ornamental changes. The blue corresponds to the red and green with green. The green is just an ornamental change, and the red and blue are to show structural changes and melodic shifts.

m.9

This musical system shows measures 9 and 10. The right hand features a continuous eighth-note pattern, while the left hand provides a steady bass accompaniment. Two overlapping blue rounded rectangles highlight the right-hand melody in measures 9 and 10.

m.17

This musical system shows measures 17 and 18. The right hand continues with eighth-note patterns, and the left hand has a more active bass line. Two overlapping red rounded rectangles highlight the right-hand melody in measures 17 and 18.

m.11

This musical system shows measures 11 and 12. The right hand has eighth-note patterns, and the left hand includes a *cresc.* marking. A green rounded rectangle highlights the right-hand melody in measures 11 and 12.

m.19

This musical system shows measures 19 and 20. The right hand has eighth-note patterns, and the left hand includes a *cresc.* marking. A green rounded rectangle highlights the right-hand melody in measures 19 and 20.

m.13

m.21

m.15

m.23

Example 10: M. 9 through 24.

There are five significant structural changes (that were created by deviations) and one ornamental change. Even though these two hybrids do share many similarities, there are many distinguishing differences. Although it does seem that the repeat may be unnecessary, the second occurrence does bring more harmonic diversity than the first time around, and there are melodic changes in the red squares as well. The opening twenty-four measures of this piece return at m. 55. The opening period theme type from measure one returns without any structural or harmonic changes. Still, after m. 57, there is a combined version of the two Hybrid theme types. Combining the two Hybrid theme types does create some expansion to the length of the consequent/ continuation, extending the consequent from eight measures to twelve measures.

Unlike the first large A section where the hybrid theme types have two P.A.C.s, this return only has one P.A.C. At m. 69, the cadential progression from measures thirteen through fifteen is complete, but Schubert resolved it with a deceptive chordal progression, but the phrase does not stop there. It moves through a failed cadential progression to m. 70, where the closing section begins. Although the voices do step upward in the bass and give the feeling of an evaded cadence, it moves to a IV^6 chord which is why one cannot classify this as an evaded cadence. Even though Schubert did use measures from the opening section by mixing up the order of the measures and using the ones that have more harmonic motion did structurally change this hybrid theme type. While it does have repetition, the fusion of the two theme types does take away from the tedious nature that Schubert's critics complain about. Example 11 shows this failed cadence. The red boxes indicate to which specific measures in the opening reacg measure in this passage corresponds.

(m. 13) (m. 14) (m. 15)

m. 67 m. 69 m. 71 (m. 21)

V^7 IV^6 m. 70 with the evaded resolution

Example 11: M. 63 through m. 71

Type	Hybrid							
			consequent		expanded	Consequent repeat		
Units	c.b.i		bi	ci	new material	bi	ci	P.A.C.
Corresponding measures	(17)	(19)	(13)	(15)	No resolution	(21)	(23)	PAC
Measures	63	65	67	69	70	71	73	74
Key	G-flat major							
	V		V	IV ⁶		V	I	

Table 6: measures in the brackets represent where Schubert got the return for the consequent.

Measure 70 is the only new content that Schubert introduces in the return of the A section. Despite the first eight measures being the same, the new formal structure for the consequent seems like new material. The lack of cadential closing at m. 70 is one of the characteristics that Caplin elaborates on in his article "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music"²⁷. Disrupting the B section's original order makes the hybrid's return seem less obvious and more creative.

Throughout this D. 899 no. 4, the most commonly used deviation is harmonic change; those harmonic changes remove the "boring" repetitive nature. The harmonies in the closing section do not stick to the typical tonic, dominant motion. Schubert only does the standard dominant, tonic movement from m. 81 through the end. The double flats, chromatic movement, and enharmonic changes from m. 75 were used to add some modal mixture and prolong the dominant harmony until that m. 82 P.A.C. From m.82, it stays tight-knit to the end, with stereotypical codetta phrasing.

²⁷ William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1-26

When looking at Impromptu Op. 90 no. 1 D. 899 in C minor from a formal standpoint, the form can be easily recognized as a theme and variation. All of the variations in the first A section are period theme types. At first, there was some consideration that the theme and first variation were to be combined into a compound theme type, similarly to the third Impromptu, but that is not the case. The consequent of the theme fills out the chords where the antecedent just implies chords through melodic contour. As referenced and stated in the article "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music"²⁸ by Caplin, the seventh of the chord for a dominant seventh can be present in a half cadence. As seen in the first musical example of D. 899 Impromptu Op. 90 no. 1, the P.A.C.s have sevenths, and the chord choices makes this piece fit into the 18th century style.

Theme type	Period				
	Antecedent		Consequent		
Units	bi	ci	bi	ci	
Cadence		Implied cadence			V ⁷ -I
Measures	1	4	6	8	9
Key	C minor	HC	P.A.C.		

Table 7: Formal-function analysis of the theme.

²⁸ William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1-26

Allegro molto moderato.

The musical score is in B-flat major and 2/4 time. It features a treble and bass clef. The first system includes dynamics *ff* and *pp*. The second system includes *staccato* and *ten.* markings. Fingerings are indicated by numbers 1-5 above or below notes. The piece concludes with a final cadence in the treble clef.

Example 12: M. 1 to m. 9 period theme type.

The first three variations are very similar to the theme, but they generally keep a similar rhythmic content. There are rhythmic deviations; there are textual changes and register changes, the melody shifts from hand to hand. There are other looser aspects like modulation and chromaticism that make it still in the style of the 19th century. Variation four has the most structural changes to the theme since the opening theme.

The image displays four systems of musical notation for a piano piece. Each system consists of a treble clef staff and a bass clef staff. The first system is crossed out with a large red 'X'. The second system features a *pp* dynamic marking. The third system includes *mf* and *decresc.* markings. The fourth system also features a *pp* dynamic marking and is partially crossed out with a red 'X' over the final two measures. The notation includes various rhythmic values, accidentals, and fingering numbers.

Example 13: Variation four at m. 41, where the melody and the accompaniment change significantly from the theme.

At variation four, Schubert completely changes the accompaniment pattern and also moved to a different key. Schubert moved from C minor to C-flat minor, a foreign-key relationship. Instead of the accompaniment sticking with the straight rhythms, Schubert uses triplets and broken chords. The change in accompaniment gives a more lilting feel. It drives the melody forward to the cadence rather than having a broken-up feeling.

At variation four, the melody was changed rhythmically. In the place of the dotted sixteenth, thirty-second, there is a half note. The technique of rhythmic prolongations does not subsequently alter the theme type. The theme type is extended by two measures, the consequent

phrase is extended, and the cadential progression also fails. The phrase begins in A flat major, and at m. 51, the failed cadential progression lands in C-flat minor. It fails as a cadence due to the fact that the tonic chord at m. 51 is inverted. This lack of cadential closing is one of the seven characteristics of Caplin's article "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music."²⁹ Since there are several structural changes to m. 51, the repetitious nature can be ignored. Between the opening theme and this variation, there is quite a different texture, a new key center, modal shift, and a cantabile feel which the opening lacked. This specific variation's shortcoming is not having the closure of the other variations, but at the end of variation five, there is a strong P.A.C. that returns the cadential stability.

Throughout this piece, the theme undergoes several transformations. Schubert uses several compositional devices to deviate the variations from the themes; Schubert changes keys, changes the register, changes the texture and timbre, changes the rhythms, and changes the melodic shape. Those types of transformations are expected in that type of composition.

With the home tonic return at the pick-up to m. 161, the left hand holds the melody while the right hand serves as standing on the dominant. One deviation from the theme is that the tonic now is major instead of minor. It is sort of a Picardy third ending section, and the return is set up by a variation in the key of C minor.

²⁹ William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 6.

165

Example 14: m. 165 showing the I.A.C. and the right hand standing on the dominant.

Schubert's impromptus have a lot of repetitions embedded in them; within the examples shown above those repetitions have varying structural changes. These impromptus provided various small forms to look at and how each one has different ways to change the repeated material structurally. This section focused on how the theme types were kept the same, but there was some kind of structural change within them. As shown in table five, Schubert took material from the first A section of Impromptu Op. 90 No.3 D.899 and rearranged it to change its structure.

Chapter 3: Schubert's Sonatas

Sonatas have a varying amount of repetition built into their formal structure. When Schubert was composing these sonatas, repetitions were still within the standard expectations for the form.³⁰ There are two main components of sonatas that are repeated internally. Those repeats can be referred to as rotations, and the repeated segments are exposition and recapitulation.

In Caplin's formal-function theory, Type 1 sonatas have only these two rotations of motivic material, the exposition and recapitulation. These sonatas do not have the middle development section. The end of the exposition in Type 1 sonatas leads directly into the recapitulation. In doing so, such sonatas present the listener and analyst with the recurrence of the exact same main and subordinate theme already presented. With the return of the material so close to the first iteration, some might wonder if the music would seem overly repetitive. Yes, Mozart, Beethoven, and Haydn—the most well-respected pillars of the Classical era canon—are well known for writing Type 1 sonatas.

Hepokoski and Darcy's Type 4-1 sonatas involve even more structural repetition. Their "problem" is the number of times that the main theme returns with little to no structural changes. In the Type 4-1 sonatas, the main theme returns three times, yet unlike the Type 1 sonata, there is a contrasting B section that breaks up the main themes. In a conventional Type 4-1 sonata, the return of the main theme launches each rotation in the tonic, whereas in a Type 3 sonata, the launches coming off the main theme often start the 2nd rotation (development) in a different key. Schubert composed several Type 4-1 sonatas, when starting rotation 2 he does not stay in the

³⁰ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, (New York, New York: Oxford University Press, 2011); Paul Wingfield. "Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History." *Music Analysis* 27, no. 1 (2008): 137-77.

tonic key, but rather modulates to a non-tonic key, creating a non-tonic section. These non-tonic sections are not development sections.

Schubert employs structural change to the overall form to break from its repetitive nature. Four pieces in which Schubert uses unconventional compositional techniques are String quartet in G minor D. 173, and the piano sonatas in A minor D. 537, in D major D. 74, and in G minor D. 112; all of these compositions make use of sonata form.

Subsection 3: Type 1 and Type 4-1

A grievance people have with Schubert's compositions is that they were too simple and lack formal development. One could paraphrase those critics to say that he lacked the knowledge and ability to handle larger forms and his pieces were more suited to the salon-style. Taking into consideration Schubert's successes in the salon-style, his sphere was known as "Schubertiades" and the beginning of salon-style and culture. He even went on to popularize the genre of Lied, having composed over 600 lieder in his life time; this shows that he had the knowledge and ability to handle form and even be flexible in what genres to compose in.³¹ Though critics often forget these accomplishments and only focus on his "shortcomings" and his repetitive nature. Looking at larger forms and how Schubert uses similar themes while also making structural changes during the repeats and returns will address those comments on his larger form failures/ shortcomings. If, as mentioned above, repetitions are built into the form itself, why is Schubert's stigma of being too repetitive placed on his works and not all composers who compose sonatas? Although this rhetorical question about Schubert's understanding of form is aligned with the stigma that he lacked compositional skill, the evidence in these pieces will show that it is not

³¹ Christopher Howard Gibbs, *The Cambridge Companion to Schubert* (Cambridge University Press, 2006).

true. Schubert departs from standard form and changes the overall structure of some sonatas, and does some unexpected key changes.

In sonata form, the main theme does not typically appear in any key other than the tonic of the movement or piece. Examples of rotations where the main theme appears in a different key are relatively uncommon, though composers increasingly use such off-tonic rotations in the 19th-century. Such deviations within the overall form can lead to quite a few questions. If the main theme of a sonata is returned in a different key, does that destroy the whole sonata? Does the off-tonic rotation defeat the purpose of a return? Or does the new key provide the same musical material to hear but with a creative flair? These are just a few examples of the types of questions one should ask themselves when analyzing these kinds of pieces. Schubert challenges the Classical-era norm of tonic-key exposition recurrences by using dominant and subdominant key recapitulations and rotations.

If you counted the 2nd rotation of the main theme as the development, it would be quite a disproportionate type 3 (stereotypical sonata type, exposition, development, recapitulation) sonata. Not that proportions mean much in sonatas. Still, one cannot return the main theme (even in a different key) and continue the development. Although the idea of modulating to a foreign key for the repeat of the main theme may seem drastic, Schubert keeps it rather conservative in key choice for the new keys.

The focal point within the Type 1 sonatas is the dominant key recapitulation, also called "the Salieri recap." A Salieri recap is where the main theme returns in the dominant key in the recapitulation. For example, if the exposition is in C major, the recapitulation begins in G major. Perhaps Schubert, who studied with Salieri, paid homage to his teacher by writing recapitulations in the dominant key into his compositions. Some Salieri recapitulations have a corrected return

to the tonic key, but that is not a definite requirement that has to be met; those compositions that have a correction often look more balanced in overall form than those with an off-tonic return. Either sticking in or moving to the dominant key in the recapitulation challenges the structure of the composition. There must be enough of the main theme that returns in the second rotation to grasp what Schubert is trying to achieve fully.

To answer the formal structure question and whether the new key destroys the second rotation, I will analyze two examples String Quartet D.173 no. 9 in G minor and piano sonata D 537, in A minor of the off-tonic sections in sonata 4 – 1. The sonata 4 – 1 itself, by nature, is very repetitive and has more rotations due to the three returns of the A theme. Using a new key for the recap does create some continuity problems and stability problems. In the case of String quartet D. 173, Schubert has an almost verbatim repeat of the original A section but down a fifth to deal with the problematic new key. Using the minor subdominant as the key for the second A section is not typical, but Schubert used subordinate recapitulations more than any other composer. Schubert more than likely had to have a very close repeat of the first rotation so that the listener would know the theme was returning. Even with the notes mainly just being moved around, the repetition was structurally changed and did something unexpected. With that one key change, the whole trajectory of the piece shifted. In the second rotation of A, the transition is quite different from the first transition, and there is a cadence much sooner and to a foreign key (a minor). Compared to the first rotation, the transition stays around B flat and F major's key areas, closely related to g minor. The changes in the transitional section create the possibility to have another off-tonic section. Still, Schubert did not do that, instead of giving a regular return of the main theme. Since the transitional area does not lead to a specific key, it is not unsurprising that Schubert changed the cadences, and modulated to the subdominant. Especially since the

return of the main theme was extremely clean-cut, saying the main theme's thematic units remained unchanged from the opening (except the key).

Period/ Hybrid					
Main theme					
bi	ci	bi	ci	SOD	HC
Same	for both HC		H.C.		
1	3	5	7	9	12
G minor					
C minor					

Table 8: Formal-function comparison of both main themes.

The image displays a musical score for Schubert's String Quartet D.173 no. 9 in G minor, fourth movement. The score is in 2/4 time and marked 'Allegro.' It features a main theme in G minor. The first system shows the beginning of the piece with a piano (p) dynamic. The second system shows a first ending (1.) and a second ending (2.) with a piano (p) dynamic. The score includes staves for violin I, violin II, viola, and cello/bass.

Example 15: The main theme of the first A section in Schubert's String Quartet D.173 no. 9 in G minor, fourth movement.

C minor

Example 16: The return of the main theme in the minor subdominant.

In String quartet D. 173, the off-tonic recap does not destroy the sonata form. Instead, it just adds some unexpected turns in the main theme's repetitions. There are some cadential changes in the transition, but they are there to lead back to the home key of G minor.

In piano sonata D 537, A minor, the third movement is another Type 4-1 with an off-tonic recap. Instead of the first return of the main theme being in A minor, it is E minor. There is very little difference between the two A sections note-wise except the transition's ending moving into the B section and the key. Toward the end of both transitions, there are block chords that lead to the sub-theme. In the first transition, the chords lead to a non sequitur cadence, and in the return of the main theme, that same block chord passage occurs but twice as long and has a sequitur cadence that leads to the sub-theme being played in g minor. Although that may seem insignificant and only a couple of added measures, it changes the flow and feel of the restated main theme into the sub-theme. From a cadential standpoint, the extra measures redirect the transition and bring the themes closer together tonally.



Example 17: Non sequitur cadence, going from an F sharp major cadence to D major.



Example 18: The expanded transition with the D major cadence that leads to a G major.

From a functional perspective, the change from non-sequitur to sequitur cadence is the other large structural adjustment that Schubert implements in this piece. It seems insignificant, but formally that change is quite significant. The main themes must be close to verbatim repeats, and Schubert finds subtle ways to put structural changes into his works—once more, this finding subverts the standard expectation that Schubert was unable to develop and that his music was boring. As stated previously about the other sonata Type 4-1, the new key placed into the recap

does not destroy this piece's form. It seems that Schubert is putting his skills to the test by changing keys in the main theme and varying both transitions to get back to the home key in different ways.

Schubert steers away from being too repetitive in other sonata types. Going against the expectations of what a sonata should do is by far the least repetitive trait of Schubert's music. Challenging the boundaries of larger formal structures must be done carefully, and Schubert demonstrates how to handle those complications in the following two types one sonatas. Schubert uses dominant (Salieri) recapitulations in D. 74 and D 112; these two off-tonic sections are handled similarly in some features and very different in others. In string quartet D. 74 no. 6 in D major, the first movement has a dominant recap. The main theme strongly is stated in D Major at the beginning of the piece, but when the main theme returns in the recapitulations it is in the wrong key, A major.

Schubert moves to that dominant recap by using the retransition section after the subordinate theme to modulate to the "incorrect key" A major at m 247. The subordinate theme itself is quite unstable and has a few harmonic sequences that use the head of the subordinate theme. The expectation after the subordinate theme in a Type 1 sonata should return the home key and continue with the unstable nature of the subordinate theme the retransition does not reach its cadential goal. After the essential exposition closure (E.E.C.) in the closing section of the exposition, a second transitional-like section is used to bring the exposition to a close, but the transitional material is used to keep us in the same key as the subordinate theme. Due to the exposition ending on a rather unmistakable and loud, large V perfect authentic cadence, Schubert could have used similar transitional content to return to the home key immediately. Still, he chose not to and restated the main theme in the dominant key. Schubert takes what could have

been an easy way to return to the home key of D major into a pivot point to stay in A major. By staying in the dominant and not having a sudden shift back to the tonic, the music has a nice flow and not an abrupt switch to the tonic, which helps the movement's overall continuity. The return of the home key does not come for quite some time. At m. 408, we finally have D major's return; the correction to the home key completes the rotation. Completing the rotation back to the tonic key increases the stability of the piece. By having tonal closure, Schubert's loosening was moved to more a tight-knit finish in how key relationships were handled. Nearing the end of the recapitulation, Schubert uses the same ending as the exposition with the A major chords. Schubert modulates back to the tonic key in the recapitulation, bringing that tight-knit nature back to this piece.

Allegro ma non troppo.

The image shows the opening measures of Schubert's D.74 in D major. The score is for Violino I, Violino II, Viola, and Violoncello. The tempo is marked 'Allegro ma non troppo.' The key signature is D major (two sharps). The time signature is common time (C). The Violino I part begins with a melodic line marked 'p dolce'. The Violino II, Viola, and Violoncello parts provide a rhythmic accompaniment with repeated eighth-note patterns. The score includes dynamic markings such as 'pp' (pianissimo) and 'fp' (fortissimo-pianissimo). The music is written in a standard musical notation with staves and clefs.

Example 19: Opening measures of D.74 in D major.

Example 20: M. 236 to m. 256 end of exposition to the beginning of recap at m. 247.

In string quartet D.112, the second movement begins in g minor; it is another Type 1 sonata, and the recapitulation's expected key is also g minor, but in this piece of music, the recapitulation begins in the dominant, d minor. Unlike the D major string quartet D.74, the main theme returns in g minor toward the end of this movement as an extra fixed recapitulation before ending the piece. The subordinate theme in this sonata goes to B flat major, which is the expected key. Then there is a second subordinate theme in F major, and the exposition ends in F major. The recapitulation begins in d minor, and looking back at the F major section is the minor relative key to d minor. The first section of the exposition moves to the relative major of g minor, and the second has to go to the dominant of B flat, which is F sets up the d minor recapitulation with a sort of palindrome of key relationships. This palindrome only applies through the exposition to the beginning of the recap. Not only is the exposition a palindrome, but Schubert employed a similar technique as he did for D.74 in moving from exposition to recapitulation. In D. 74, he used the same key for both subordinate theme and recapitulation, and in D.112, the subordinate theme and recapitulation have the same key signature. Despite their different

modalities and different tonics, the similarity in approach is evident. By keeping these formal changes to a minimum, one can recognize and categorize those sections much quicker. If Schubert had modulated in an unconventional sequence or process and forced a Salieri recapitulation, the sections that divide this piece would have made no sense, and putting labels on the pivotal moments would have been impossible.



Example 21: Opening measures of D.112 in g minor.



Example 22: The second rotation of the Main theme in D minor.

Corrected

Example 23: The corrected Main theme return toward the end of the movement. (D.112)

In the above examples of D.112, the key changes are easily visible, but any change in notes and rhythms relative to one another is slim to none. If those drastic changes were stated previously, these sections would have to be relabeled as some other part of the sonata form. Keeping them as closely related in motive shape and rhythm is why these off-tonic sections flow and fit these compositions well.

In those examples of Type 1 sonatas, the recapitulation that begins in the dominant could not be classified as or mistaken for a development section for various reasons. They are almost verbatim repeats of each other, just adjusted to the dominant key. Having the main theme returning in the dominant key in some ways weakens the recap and gives a feeling of disclosure. The closure of hearing the main theme again in tonic does not always occur. Still, in all the examples, eventually, they return to the tonic before the end, finally giving closure tonally to the pieces. Therefore, one can have tonal closure, but melodic closure is not guaranteed. It also must be noted that these new keys are still main theme sections and not developments or recapitulations.

The main theme's return in a different key was not explicitly connected to one type of composition. Schubert used that compositional technique across at least two types of sonatas: Type 1 and Type 4-1. Other composers like Beethoven and Mozart also used the dominant or off-tonic recap/ section in their compositions. Beethoven's Coriolan overture, a type 3 sonata, Beethoven, like the Schubert examples above, has a dominant recapitulation. The theme does dissolve, but it is stated clearly in the "wrong key." Mozart also used a dominant recapitulation La finta semplice #12, "Un marito." It is evident that there is not one particular sonata form where dominant recapitulations or off-tonic sections can be implemented.

All the above examples from Schubert are extremely rotational even though they do not remain in the tonic. Schubert follows the rotational form with the repeat of the main theme but does not follow the rotations harmonically. Looking at these off-tonic selections displays an excellent example of Schubert's capability to handle large forms and challenge sonata forms' expectations. The above evidence is enough to dispel the critics and how boring and repetitive Schubert was while also addressing how he handles larger forms and stretches their limits.

Looking back at the different approaches to the off-tonic sections and implementing a new key, the new key does not destroy the main theme return. In contrast, it gives another dimension to the piece and a little bit of an unexpected journey. Even if the music does set up the new key area like in string quartet D.112, it still is a surprise to the listener to hear the main theme in the "wrong" key. Schubert smoothly transitions into the "wrong" key, and it can be almost as if it was meant to be in that key from the beginning. In all examples, they eventually return to the correct key (That is the only thing they all have in common), but whether there is a correction of the main theme or just a modulation before the end is dependent on each composition. Schubert did stick to one overall plan for these compositions, as we can see that

nothing is promised or taken away. There was no formula used to create these compositions, so the off-tonic sections all have slight variances, making them all unique, and it is not just used with specific genres.

Subsection 4: Small Ternary Themes within Sonatas

A Small ternary theme type within a piece of music sets up either a verbatim return of the opening theme or a return with ornamental or structural changes. For terminology purposes, A is referred to as the exposition, the B section is called the contrasting middle, and the return to A is called the recapitulation.³² Like other formal structures (sonatas, theme and variation, and rondo) in music, repetition in this theme type is necessary. Similarly, the structure of many theme types has built-in returns of basic ideas as repetitious material; one example is the period theme type and how an antecedent and the consequent repeat the same motive at the beginning of each phrase. The theme type would be classified as a different theme type or a new section within a piece without repeats, verbatim or, otherwise.

There is a small ternary theme type in Schubert's Symphony no 2 in B flat after the MC in the exposition. Typically, there is a simple period or sentence in the exposition of the small ternary theme type. In this symphony, Schubert expanded the expectation to have a compound period in both A sections. It is not necessarily a significant structural change to prolong the exposition and recapitulation, but it certainly is a trait of Schubert and how he deals with many of his compositions. This small ternary theme type is an example of a clean-cut return of the A or recapitulation with some added ornamentation. The contrasting middle does subvert some expectations and norms but still has enough characteristics of the contrasting middle to be

³² William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998); William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013).

classified as one.

Theme type	Small Ternary										
	Period							Period	Period		
Units	bi	ci	bi	ci	bi	ci	ECP				
	A (exposition)							B (contrasting middle) Cadence	A (recap)		
Measures	80	82	84	86	88	90	92	96	98	110	
Key	E Flat							HC	A Flat	E flat	

Table 9: Close look at the exposition and theme types for all sections with cadences.

One of the most interesting features of this Small ternary theme type is the key choice for it; along with this theme type being in an interesting key, this theme type is the subordinate theme. Coming from an exposition in the key of B-flat, one would expect the subordinate key to be F major, but the subordinate theme begins in the major four key of E-flat. The contrasting middle section of the small ternary theme type moves to the major four key of A-flat from E flat. With the modulation to A-flat, it makes this exposition a three-key exposition. Typically for both the subordinate theme and the contrasting middle section, the expected key to move to is the dominant, and in both cases, Schubert move to the major four key. Sections in the "wrong key" are not an uncommon trait of Schubert's compositions, and he has several sonatas that have a section written in what is considered the "wrong key."

Although this contrasting middle does not necessarily meet all of Caplin's criteria for the theme type, it still has enough of a contrasting style that it may be classified as such. Because the contrasting middle does not stay on the dominant, nor does it begin on the dominant, those two

main factors can be arguments against this being a contrasting middle. Although the parameters for a contrasting middle are limited, it does fit where there are contrasting melodic patterns and accompaniment figures. Comparatively to the first exposition, the contrasting middle, more instruments are playing in a polyphonic style, which created a denser texture.³³ Combining factors leads to classifying the contrasting middle even though the two main characteristics are not used. In example 25, the main melody from the exposition is highlighted in red. Each color represents a separate melody line.

The image displays a musical score for a piano piece, specifically the exposition of a small ternary theme type m. 80. The score is written in 3/4 time and features a piano accompaniment with a prominent bass line. The main melody is highlighted in red. The score is arranged in two systems, each with a grand staff (treble and bass clefs) and a separate staff for the piano accompaniment. The first system shows the beginning of the theme, and the second system shows the continuation of the theme. The red highlighting is used to distinguish the main melody from the accompaniment.

Example 24: The exposition of the small ternary theme type m. 80

³³ William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 210.

F. S. 2.

Example 25: Contrasting middle m. 96

There are subtle things here that subvert from the stigma of Schubert and his lack of compositional understanding. Schubert used three functional devices in symphony no. 2, the use of the major four key, expanding a theme type, and the added ornamentations in the recapitulation make the repetitions from an analytical standpoint not tedious or boring. The recapitulation uses the same accompaniment figuration as the exposition, but contrastingly, it is implemented from the beginning of the phrase rather than the middle. Then directly following at m. 96, the contrasting middle begins with polyphonic melodic lines and thicker accompaniment. Although there are lines of unison, there are at least three different melodies. Polyphony is a new compositional device to this section, that would fall into structural change, and this is because in the exposition, the melodies were homophonic, and in the contrasting middle, the melodies were polyphonic. Once again, since these all fall into theme types with repetition, it is hard to avoid

repeats. Schubert uses different key areas as those structural changes that create unique versions of different theme types.

Subsection 5: Death and the Maiden String Quartet N. 14 D. 810, Tri-modular Block

The first movement of this string quartet in D major is a type 3 sonata; here, we will look at just the exposition of this movement. This piece uses the same motive for both subordinate themes, but it has the most significant structural changes to a singular motive. That string quartet uses the same motive in five different formal function ways. Looking at the exposition of the first movement provides ample evidence to solidify the argument against the stigma. Although the focus of this paper has generally been looking at motivic material and how Schubert changed each one structurally, he uses the same motive in various ways in this string quartet. He does this with a tri-modular block which, in his compositions, he often returned to similar material from different modular blocks.³⁴

The motive is used in period and sentence theme types and in closing, transition, *monte*, and *Fonte* sequences and sections. At m. 62, Schubert uses the motive in several contrasting ways to keep it sounding new and not overly repetitive. First, the motive appears in a compound sentence. Then Schubert transforms the motive at m. 84 into a *monte*, then at m. 90 the motive is used as a *fonte*. At m. 102, the theme type is changed into a sentence, finally at m. 134 after the E.E.C, Schubert uses the motive as closing material. Schubert used the one motive to develop the subordinate theme in a similar style to how Beethoven used the negation theme in symphony no. 9. The theme in symphony no. 9 was developed by coming out of the cellos, and this string quartet uses all the instruments to develop the motivic material. In Death and the Maiden, this subordinate theme starts much less stable until the second MC, where we arrive in the dominant

³⁴ Graham Hunt, "Three- key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms." 74.

key, A major, in m. 102. From m. 102, the motive is only used in two more functional ways, structurally changed to a sentence by repeating the motive in the presentation phase. Lastly, the motive is used as coda, or as closing material. This motivic example from Death and the Maiden demonstrates once again that Schubert can develop a theme while using similar if not the same motive.



Example 26: M. 62 motive

The motive that begins after the M.C in m. 60 is the crux of this section. The first iteration and use of the motive are in a Compound Period theme type.

	<i>Sub-theme</i>									
Theme type	Compound period									
	Ant.				Conseq.					
Units	bi	ci	bi	ci		bi	ci	bi	ci	
		H.C.		H.C.	deviation					PAC
Measures	62	64	67	69	71	72	74	77	79	83
Key	Fmaj		Fmaj		A flat			Fmaj		

Table 10: First compound period

Schubert used the contrasting idea from m. 64 as a way to modulate away from expected keys but keeping the same basic idea motive, and in doing this creates a new sound. Schubert's flexible use of the antecedent set up the rest of the exposition by having the half cadence then

modulate to the chromatic mediant. From that point onward in the exposition, the "overused" thematic material kept driving the music forward. Immediately after the P.A.C. in F major in m. 83, the basic idea is thrust into a *monte*. That *monte* leads to imperfect authentic cadence (I.A.C.) in m. 90 that transforms that same basic idea into a *fonte*, the *fonte* that leads to the second MC in m. 99. The largest of formal function changes occurs at m. 102 for this motive before it was used in the compound period theme type and fragmented into harmonic sequences. From m. 102, the theme type becomes a sentence, and the contrasting idea is removed. Although it used the same opening motive as the compound period, the structural change brings a new feel to the piece after the second MC. The drive forward comes from a switch in key to A major and a change in theme type, but by using the same motive, the transition to a new section could be missed.

The stability in the second subordinate derives from its stable key center and stronger cadence, the E.E.C. One major difference between the first time the motive is used and its appearance in m. 102 is the key change. The motive modulated back to the second key of the exposition, F Major. F Major relates to the home key of D minor as the mediant; in the first, more unstable appearance, the modulation moves to the flat mediant of F major, A-flat, which is foreign to both D minor and F major. From a formal standpoint, one could argue that the compound theme type after the first MC could be removed and replaced with the sentence from the second MC. This is because from m. 102, there is satisfactory material to establish the subordinate theme fully, and also there is the E.E.C., not another transition. There is one final structural change to the motive that occurs after the E.E.C. at m. 134, after m. 134, the motive is used as closing material.

Theme type	Sentence						
	Presentation				Continuation		
Units	bi	bi	bi	bi	cont.		
			repeat		return to the second key		
Measures	102	104	106	108	110	114	
Key	A Major				F Major		

Table 11: M. 102 sentence

Returning to the key of F for a brief time brings back the second key of the three-key exposition. The whole section starting from m. 102 is much more stable of a return than the previous MC at m. 62. This three-key exposition moves through the keys D minor, F major, and A major/ A minor. The first time we hear the motive that is used extensively, the key is less stable than the m. 102 entrance. There are several factors that make the first subordinate theme at m. 62 less stable, the instability comes from motive being used as modulatory sequences. It modulates freely between several foreign keys, which creates looseness in its formal function. After the second MC, the stability of the motive is much clearer, and it is not used in a modulatory or transitional way but rather as a sentence theme type or closing gesture. It seems that this is done to tonally correct what the first compound period's irregularities were. The structure of this exposition is quite complex. Moving through the three keys in the exposition and adequately cadencing, and setting them up harmonically definitely displays a great level of understanding of larger form and development. Displaying such an understanding of the overall form and structure should dispel Schubert's stigma as a lesser composer.

Conclusion

This paper investigates how the repetitive themes, phrases, and motives in several of Schubert's instrumental works are compensated for with structural changes. Schubert made alterations in small two-measure units that change theme types, as well as whole sections where the entire piece's structure is transformed. Critics state that Schubert's compositions have a repetitive nature that leans toward showing him to be lacking ability in composition. The evidence in this paper goes against what Burnham and other critics say by providing evidence and analysis to argue that the repeats served a functional purpose, and his compositions were not "boring and tedious." Rather they are complex, creative, deliberate, and sometimes subtle, well-thought-out, and constructed compositions.

With Type 4-1 sonatas Schubert expands the limits of formal structures. Schubert incorporated structural change to sonata forms where repetitions and tradition generally set the rules. The standard sonata uses repetition as a tool to bring back familiar themes and delineate sections. Not only did Schubert expand upon larger form expectations, but he also used similar motivic material in varying theme type structures to create originality. These traits show that Schubert was adept at developing themes, challenging form, and creatively using repetition. After looking at several instrumental works and their structural repetitions, one could look into his Lieder to see how repetition is treated in those compositions. His Lieder do contain repetition, and it is possible that one could find similarities in the treatment of themes and overall form; the different generic and formal expectations of the Lied make such a comparison outside of the scope of this thesis. As demonstrated throughout this paper, structural changes to the repetitious material turn what some have labeled "boring and tedious" into an interesting formal

analysis and being music that is attractive to the casual and discerning listener and student of music alike.

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