

## The Functions of Harmonic Motives in Schubert's Sonata Forms<sup>1</sup>

Brian Black

Schubert's sonata forms often seem to be animated by some hidden process that breaks to the surface at significant moments, only to subside again as suddenly and enigmatically as it first appeared. Such intrusions usually highlight a specific harmonic motive—either a single chord or a larger multi-chord cell—each return of which draws in the listener, like a veiled prophecy or the distant recall of a thought from the depths of memory. The effect is summed up by Joseph Kerman in his remarks on the unsettling trill on G $\flat$  and its repeated appearances throughout the first movement of the Piano Sonata in B $\flat$  major, D. 960: “But the figure does not develop, certainly not in any Beethovenian sense. The passage... is superb, but the figure remains essentially what it was at the beginning: a mysterious, impressive, cryptic, Romantic gesture.”<sup>2</sup>

The allusive way in which Schubert conjures up recurring harmonic motives stamps his music with the mystery and yearning that are the hallmarks of his style. Yet these motives amount to much more than oracular pronouncements, arising without any apparent cause and disappearing without any tangible effect. Quite the contrary—they are actively involved in the unfolding of the

---

<sup>1</sup> This article is dedicated to William E. Caplin. I would also like to thank two of my colleagues at the University of Lethbridge, Deanna Oye and Edward Jurkowski, for their many helpful suggestions during the article's preparation.

<sup>2</sup> Joseph Kerman “A Romantic Detail in Schubert's *Schwanengesang*,” in Walter Frisch (ed.), *Schubert: Critical and Analytical Perspectives*, (Lincoln: University of Nebraska Press, 1986): 59. Charles Rosen has gone further in emphasizing the trill's suggestive power, proposing that in some way it is the source of the whole work: “The opening phrase of the first theme of this movement ends with a trill in the bass, *pianissimo*, on a G $\flat$  resolved to an F, and the more one plays it, the more the entire work seems to arise out of that mysterious sonority.” See his *Sonata Forms* (New York: W.W. Norton, 1988), 261. For a more recent Neo-Riemannian view of the movement, which also treats the recurring tonal allusions as motivic, see Richard L. Cohn, “As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert,” *19<sup>th</sup> -Century Music*, 22/iii (Spring 1999): 213-232.

form. Here they fulfill three distinct, but related functions: *referential*, *modulatory*, and *gestural*. In their *referential* role, harmonic motives create a web of tonal allusions that foreshadow or recall specific keys or events in the movement. Such occurrences usually highlight a stable harmony that cites the tonic of a referenced tonality. As shall be seen, these cross-references clarify the relative structural weights of certain keys at critical junctures in the form.

Harmonic motives assume a more dynamic character in their *modulatory* role, where they become the fulcrum of the form's principal modulations. In these instances they consist of either a single dissonant chord (such as a diminished seventh or augmented sixth) or a cell of two to three chords. By participating in diverse transitional passages across the form, a harmonic motive can influence how the tonal plan develops, since its particular properties determine a specific type of tonal motion. For instance, the use of different resolutions of the same diminished seventh chord in the modulatory scheme generates movement by a minor third, while the two resolutions of a German sixth as a dominant seventh, then augmented sixth, generates movement by a minor second.

In their *gestural* role, harmonic motives are marked as an extraordinary event projecting a recognizable emotional quality that colors the movement with each of the motive's returns. This quality depends upon a number of factors. In the case of a harmonic cell, its distinctive voice leading creates the effect; in the case of an individual chord, the effect depends upon how the chord enters and is prolonged. Often these gestures occupy moments of arrested motion, which in themselves have a consistent expressive character.

The main topic of this article is the contribution of harmonic motives to the structural and expressive cohesion of Schubert's sonata forms; in other words, how they help to create a unified dramatic whole as active elements in the form's unfolding. I will first fill in the rough outline of the referential, modulatory, and gestural functions I have just sketched out by illustrating each function with a concrete example. I will then demonstrate the way in which these functions work together in a more thorough discussion of the first movement of the String Quartet in D minor, D. 810, "Death and the Maiden." Finally, how harmonic motives

emerge in Schubert's sonata forms is as crucial as what they accomplish. In fact, the composer's idiosyncratic handling of such motives lies at the heart of his personal style. I will thus conclude by dealing with the character of Schubert's harmonic motivic process in general and its effect on the dramatic nature of his sonata forms.

The following analyses are all concerned with the interpretive implications and expressive quality of specific foreground details—elements that are often filtered out in a middleground perspective; thus I do not follow a Schenkerian approach. Instead my view of the structural significance of these details is based upon William Caplin's theory of formal functions.<sup>3</sup> Specific issues of the theory will be dealt with when they arise in the analytical discussions. One concept, that of the *expanded cadential progression* or ECP, is particularly relevant to the understanding Schubert's use of harmonic motives. In such progressions the duration of one or more of the harmonic elements leading up to the concluding harmony is prolonged. Due to these prolongations, the progression can extend across a number of phrases, while still expressing cadential function.<sup>4</sup> ECPs feature some of the most striking appearances of harmonic motives in Schubert's sonata forms. The role of the progression—the confirmation of a key by weighty and definitive cadential closure—provides the vital context for such appearances and their significance in relation to the tonal structure, an idea that will be pursued in more detail in the following pages.<sup>5</sup>

---

<sup>3</sup> *Classical Form: A Theory of Formal Functions for the Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998).

<sup>4</sup> For an in-depth treatment, see Caplin, "The 'Expanded Cadential Progression': A Category for the Analysis of Classical Form," *Journal of Musicological Research*, 7/i-iii (1987), 215-57 and *Classical Form*, 109-11.

<sup>5</sup> See Caplin, *Classical Form*, 97-8, for the importance of such tonal confirmation in the subordinate theme. Here ECPs contribute to the looser structure Caplin considers a characteristic feature of such themes.

## The Referential Function of Harmonic Motives

Referential harmonic motives usually consist of a single consonant chord that recurs prominently in different key regions across the form. The motive's appearance in a new tonal context necessarily involves a change of the chord's harmonic function. However, its structural status also changes over the course of the movement: it is often prefigured as a prominent note of a melodic line before it enters as a full harmony; it then assumes the position of a distinct key at some later point in the structure. Such is the case of the "cryptic" G $\flat$  trill in the passage quoted from Kerman at the beginning of the article. As has been shown by numerous writers, this trill stands at the beginning of a process in which the G $\flat$  is elevated first to a harmonic status (the prolongation of  $\flat$ VI in the home key B $\flat$ , mm. 20-33) then to a local tonality (G $\flat$ /F $\sharp$  minor mm. 47-57), which displaces the home key at the beginning of the transitional process.<sup>6</sup> Thus there is a feeling of outward movement from note through chord to key, with the prolongation of the flat submediant harmony in the tonic B $\flat$  major anticipating the next tonal region of the form.<sup>7</sup>

The process also works in reverse: an established key may be reduced later to a subsidiary harmony within another key—a common occurrence in the concluding passages of Schubert's three-key expositions (see below). Thus a tonality or a specific

---

<sup>6</sup> The modal change from chord to key in this case is unusual with respect to Schubert's normal practice. Usually the key will be in the same mode as its prefiguring chord.

<sup>7</sup> Schubert's projection of an initial melodic configuration onto the tonal structure of a movement has been discussed by a number of scholars, beginning with Miriam K. Whaples's treatment of the first movement of the String Quintet in C Major, D. 956 ("On Structural Integration in Schubert's Instrumental Works," *Acta Musicologica* 40 (1968): 195). Both David Beach and Gordon Sly have dealt with the issue from a Schenkerian standpoint. Beach addresses the unusual form of the *Quartettsatz*, D. 710, in "Harmony and Linear Progression in Schubert's Music," *Journal of Music Theory* 38/1 (1994): 1-20. Sly discusses the early Violin Sonata in G minor, D. 408 in "The Architecture of Key and Motive in a Schubert Sonata," *Intégral* 9 (1998): 67-89. More recently Susannah Clarke has demonstrated how an altered note can become a key in its own right. See "Schubert, Theory and Analysis," *Music Analysis*, 21/ii (2002): 209-43, specifically 231-238.

tonal relationship acquires a motivic character in Schubert's sonata forms. By "motivic character" I mean that, rather than remaining a fixed point within the tonal plan of a form, a key functions as a more fluid musical idea—a motive in its own right—which is developed through recurring harmonic references to it, or to its specific relationship with another key.<sup>8</sup> During the course of this development, the very nature of the key-as-motive remains pliable as it shifts from a confirmed tonality to a tonicized harmony within another key; or emerges from a tonal implication in a melodic line to become a key in its own right. Such tonal allusions help to clarify the relative structural status of different keys in the form. Generally speaking, they can either undermine a key's status by foreshadowing a subsequent tonality or strengthen that status by absorbing a previously established tonality into the key as a constituent harmony.<sup>9</sup> The *Quartettsatz* in C minor, D. 710, provides a good example of this process.

The exposition of this movement consists of a main theme in C minor, a first subordinate theme in A $\flat$  major and a second subordinate theme in G major. (Please refer to figure 1 for the

---

<sup>8</sup> The expressive power of tonal allusions, coupled with the often unsettling workings of memory in the composer's music is an important topic of Schubert scholarship. Among those who have dealt with it are Edward T. Cone in "Schubert's Promissory Note: An Exercise in Musical Hermeneutics," *Schubert: Critical and Analytical Perspectives*, ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 13-30; Poundie Burstein in "Devil's Castles and Schubert's Strange Tonic Allusions" *Theory and Practice*, 27 (2002): 69; and Susan Wollenberg "Dort wo Du nicht bist, dort ist das Glück': Reflections on Schubert's Second Themes," in *Schubert durch die Brille* 30 (January 2003), 91-100. One of the most profound treatments of this issue is found in Charles Fisk's monograph on the late piano works, where he deals with tonal recall within and between movements in the context of the Romantic image of the wanderer. See *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas* (Berkeley: University of California Press, 2001).

<sup>9</sup> Recently Peter H. Smith has identified another important function of harmonic recall, which is not the subject of the present article. He argues that highlighting the same chord in two successive tonalities serves to create continuity across strongly differentiated formal divides, alleviating the threat of self-sufficiency in intensely lyrical thematic regions. See his "Harmonic Cross-Reference and the Dialectic of Articulation and Continuity in Sonata Expositions of Schubert and Brahms," *Journal of Music Theory* 50/2 (2006): 143-179, particularly 157.

tonal plan of the exposition.) Both the middle key ( $A\flat$ ) and concluding key (G) of the exposition are stable tonalities that are confirmed by perfect authentic cadences.<sup>10</sup> Such three-key expositions present a particular problem—the apparent redundancy of two subordinate keys. This criticism is articulated very effectively by the Schenkerian theorist Felix Salzer in a comparison of Schubert’s practice with Beethoven’s. Salzer argues that, whereas with Beethoven one of the subordinate keys is not fully developed, allowing the other to prevail, with Schubert both are equally developed so that “we discover an equilibrium of keys and it is impossible, in comparison to the Beethoven examples, to speak of a predominant key of the subordinate theme. Thus we are dealing here in the exposition with three distinct keys.”<sup>11</sup>

Figure 1. *Quartettssatz in C Minor, D. 703, tonal plan of exposition.*

Main Theme	transition 1	Subordinate Theme 1	trans 2	ST2	closing section	retrans. :
mm. 1-19	19-27	37-61	61-93	93-125	125-39	139-40
C-	C- → $A\flat+$	$A\flat+$	$A\flat-$ → (C-) → G- G+			G+ → C-

In many of Schubert’s three-key expositions, the middle key is an unstable, cadentially unconfirmed tonality through which the music passes before arriving and cadencing in the final key. The cadential confirmation of the second subordinate key thus elevates it to a superior structural position over the middle key.<sup>12</sup> In the *Quartettssatz*, though, *both* keys are confirmed cadentially. Thus,

<sup>10</sup> With respect to the cadential confirmation of  $A\flat$  major, I disagree with Smith’s contention that the sudden forte entrance of the minor mode coupled with the return of the main theme material at m. 61 interrupts, rather than completes, the cadential progression. (Smith, “Harmonic Cross-Reference,” 156, footnote 11.). The melody comes to its conclusion *sforzato* on the  $A\flat$  in violin I, while the cello introduces the beginning of the main theme. I thus interpret this point as a cadential arrival that elides (albeit dramatically) with the beginning of the transition to the second subordinate key.

<sup>11</sup> “Die Sonatenform bei Franz Schubert,” *Studien zur Musikwissenschaft* 15 (1928): 86-125. “daß wir ein Gleichgewicht der Tonarten vorfinden und es unmöglich ist, analog den Beethovenischen Beispielen, von einer Hauptart des Seitensatzes zu sprechen. Wir haben es also hier in der Exposition mit drei verschiedenen Tonarten zu tun.” (102, my translation).

<sup>12</sup> This is the situation in the first movement of The “Great” C-Major Symphony, D. 944 and the first movement of the String Quintet in C major, D. 956.

superficially at least, they exhibit the “equilibrium” condemned by Salzer. Yet on closer examination we see that Schubert has carefully distinguished between the structural weights of these tonalities through a careful use of harmonic references.

The process of subordinating  $A\flat$  to G relies on  $A\flat$  itself as the referential element, which appears on various structural levels across the movement in much the same way as  $G\flat$  does in the  $B\flat$ -Major Piano Sonata discussed earlier.  $A\flat$  first enters as an important melodic component of the initial descending tetrachord from C to G—the movement’s central and most pervasive motive (ex. 1a, mm. 1-2 and mm. 3-4). It then emerges as the exposition’s first subordinate key in a serenely lyrical theme that contrasts with the extreme agitation of the main theme. It is subsequently recalled as a prominent harmony in the final cadences of the second subordinate key, G major, where it helps to clarify the relative status of the two subordinate keys (see ex. 1b, mm. 105-125).<sup>13</sup>

The cadential process here involves two evaded cadences (mm. 112-13 and mm. 120-21), followed by an expanded cadential progression that brings the theme to an end with a perfect authentic cadence in m. 125. The length and relative complexity of the series of cadences in G major alone place considerable emphasis on the confirmation of that key, suggesting that it is the true goal of the exposition. Much of that length is due to the striking prolongations of the  $A\flat$  Neapolitan chord as the predominant in each of the cadences. Here the former tonic of the middle key ( $A\flat$ ) becomes an important harmonic component in the final confirmation of the second subordinate key G. Thus what was potentially a competing tonality is absorbed into its rival as a crucial element in the latter’s grounding. The referential process Schubert initiates in these cadential progressions thus provides a clear tonal perspective that allows the home and second subordinate key to emerge as the main pillars of the exposition; for the middle key is not only demoted to the status of a subordinate harmony within the concluding tonality of the exposition, but, in its new harmonic

---

<sup>13</sup> See Smith, “Harmonic Cross-Reference,” 152, and James Webster, “Schubert’s Sonata Form and Brahms’s First Maturity, Part I,” *19<sup>th</sup>-Century Music* 2 (July 1978): 28, for a discussion of the same passage.

state, it also contributes directly to the cadential confirmation of that tonality.<sup>14</sup>

The prolongation of the A $\flat$  Neapolitan in the cadential process not only refers back to the first subordinate tonality of the exposition—it also bring with it much of the atmosphere of that key's theme: the chord appears at first in its stable root, rather than  $\frac{6}{3}$ , position, thus suggesting its earlier state as a consonant tonic; the music's forward momentum is suspended for two bars on the first violin's sustained E $\flat$ , creating a mysterious intensity similar to the previous theme's lyricism; and finally the E $\flat$  itself, together with the disposition of the three other voices, recalls the head of that theme (specifically mm. 28-29). These tonal reminiscences thus have the quality of a vision that is briefly recalled, then lost, suggesting the ephemeral nature of the key they have summoned up.

### The Modulatory Function of Harmonic Motives

From tonal allusion we now pass to a more direct involvement of harmonic motives in the form—their modulatory function. Here they assume a central role in the structure's modulations, even serving as the linchpin of the modulation itself. Consequently they exert a strong influence over the key structure, first through the individual contribution they make to each modulation, and second through certain of their properties which, when consistently exploited across the movement, determine a specific type of tonal motion or key relation that comes to the fore in the course of the music.

---

<sup>14</sup> Webster and Smith also discuss how tonal references undermine the status of the middle key in Schubert's three-key expositions. They focus, however, on references to the tonic in transitional passages between the first and second subordinate keys. In such instances, the tonal allusions they address arise from the trajectory of the modulatory passage, which passes back through the tonic before continuing on to the second subordinate key. See Webster, "Schubert / Brahms's I," 28, which deals with the *Quartetttsatz* and Smith, "Harmonic Cross Reference," 155-57, which discusses the first movement of the String Quintet, D. 956.



In their modulatory role, harmonic motives can be one of two types: a dissonant chord with multiple key implications, or a harmonic cell that is presented in various harmonic and tonal contexts. Examples of the first type include the diminished seventh, for instance, with its four possible resolutions, or the German augmented sixth which can also function as a dominant seventh. Such a multivalent chord acts as a revolving door between two more distantly related keys, playing a crucial role in the preparation of each key. In the case of the exposition of the *Quartettsatz*, the motivic harmony first acts as the dominant seventh of A $\flat$  major then returns as the augmented sixth of G major. The use of one and the same chord for two or more different modulations necessarily limits the possible choice of targeted keys, and thus the chord becomes an important factor in the tonal plan. Schubert, however, is often freer in his handling of such modulatory motives, which can be transformed into new, but related, harmonies.

The single-chord type of modulatory motives is widely recognized in the literature.<sup>15</sup> The second type, consisting of a harmonic cell involving two to three chords, has received less attention.<sup>16</sup> The cell's voice leading and melodic line are important markers, which are generally maintained. However, Schubert's treatment of it is quite flexible and allows for further development

---

<sup>15</sup> The most comprehensive treatment is found in Hans-Joachim Hinrichsen's monograph *Untersuchungen zur Entwicklung der Sonatenform in der Instrumentalmusik Franz Schuberts* (Tutzing: Hans Schneider, 1994). He refers to the recurring chord as the movement's *Zentralklang*. In tracking the chord's appearances across the movement, he also takes into account its possible transformations. For instance, he includes the A $\flat$  augmented sixth as a variant of the A diminished seventh *Zentralklang* of the String Quintet in C major, D.956 (see pp. 348-51). Peter Smith also looks at similar transformations in Brahms. See his discussion of the Clarinet Trio, opus 114, in "Harmonic Cross-Reference," 173-4.

<sup>16</sup> For discussions of particular harmonic cells in Schubert's late works see Ivan Waldbauer ("Recurrent Harmonic Patterns in the First Movement of Schubert's Piano Sonata in A Major, D. 959," *19<sup>th</sup>-Century Music* 12/1 [Summer 1988]: 64-73) and Hinrichsen, "Die Sonatenform im Spätwerk Franz Schuberts," *Archiv für Musikwissenschaft* 45/1 (1988), 43-5. Waldbauer's cells, though, are much more extensive than what is discussed in this article. See also Brian Black, "Schubert's Apprenticeship in Sonata Form: The Early String Quartets," Ph.D. diss. (Ann Arbor: UMI Dissertation Services, 1999) 216-28.

within different harmonic and tonal contexts while keeping the figure's most salient features.<sup>17</sup> During this process both types of harmonic motives can come into play, for often a prominent chord in the progression is isolated and emphasized further on in the movement. Although the chord thus acquires a motivic life of its own, it usually recalls its connection to the originating cell. This leads us to an important difference between motivic cells and single chords: although one of their members may be altered, chords must maintain their essential pitch-class to be intelligible as motives; cells, however, can be transposed (though they still often return at their original pitch) since it is their specific configuration that gives them their identity.

Of particular interest in the behavior of modulatory motivic cells is the way in which they progress from static to active components of the form. The first appearance of the cell is often a brief, unexpected intrusion that seems to vanish without a trace. This striking event (Kerman's "cryptic, Romantic gesture") brings with it a certain tension arising from the cell's potential for movement, which, like a coiled spring, remains unrealized for the time being. When the cell returns in the transitional process, however, it becomes the driving force of the modulation through the release of its latent energy. One of the best examples of such a phenomenon is found in the first movement of Schubert's String Quintet in C major, D. 956, to which we now turn.

Two passages concern this analysis—the initial appearance of the movement's principal harmonic motive in the main theme and its return in the transitional process.<sup>18</sup> As an orientation for the

---

<sup>17</sup> The use of motivic harmonic cells to achieve the modulation to the subordinate key in Schubert's sonata forms can be traced back to his teenage years, as witnessed by a number of his early string quartets, such as the first movements of the Quartets in B $\flat$  major, D. 36 and D. 68. See Black, "Schubert's Apprenticeship," 144-5.

<sup>18</sup> The opening gesture's significance for the whole movement has been discussed by a number of scholars including Joseph Kerman ("A Romantic Detail") and James Sobaskie ("The 'Problem' of Schubert's String Quintet" *Nineteenth-Century Music Review* 2 [2005]: 93-114), neither of whom deal with its return in the transitional first subordinate theme. Hans-Joachim Hinrichsen (*Untersuchungen*, 348-51) points to the F $\sharp$  diminished seventh in the latter passage (m. 96) as the movement's *Zentralklang* which controls all of the important formal and harmonic

discussion, figure 2 provides an overview of the tonal structure of the exposition, which involves three keys, C, E $\flat$  and G. The middle key, E $\flat$  is unstable and ultimately yields to G major through a perfect authentic cadence in the latter key in m. 100.<sup>19</sup> It is this modulation that relies upon the movement's principal harmonic motive.

Figure 2. *String Quintet in C Major, D. 956, i, tonal plan of exposition.*

Main Theme	transition	Subordinate Theme 1	Subordinate Theme 2	closing section:
mm. 1-33	33-59	60-100	100-38	139-54
C+	non-modulating	E $\flat$ →G+	E $\flat$ →G+ G+	
		PAC	PAC (elides with ST2)	
Motive A (mm. 1-5)			Motive A' (mm. 94-7)	

The motive (marked A in ex. 2a) is the movement's very first gesture—a harmonic cell consisting of the shift from the tonic C-major chord to its common-tone diminished seventh and back (mm. 1-5).<sup>20</sup> The progression stands out as something mysterious—the ominous overshadowing of the tonic by the diminished seventh. Although striking in its effect, the cell is static here, serving essentially as a tonic prolongation. There is, however, an inherent tension in its central diminished seventh, whose C-F $\sharp$  augmented fourth between the first cello and the second violin has a strong tendency to resolve to the B-G of the dominant in first inversion. This resolution, though, is blocked by the cello's C pedal. The complete cell, or its F $\sharp$  diminished seventh component,

---

junctions of the movement, including the turn to G major. However he does not tie it in to the full harmonic cell, nor discuss how the cell generates the modulation (see below).

<sup>19</sup> The underlying presence of the original home key, C major, in this section of the form has been dealt with very effectively by Charles Rosen (*Sonata Forms*, 256-7), David Beach (“Harmony and Linear Progression,” 2-4), and Peter Smith (“Harmonic Cross-Reference,” 159-60).

<sup>20</sup> Previous discussions of this gesture have focused on its specific features and their importance in the movement, in particular the semitone voice leading (E–E $\flat$ –E $\sharp$ ). See David Beach on the projection of the E–E $\flat$ –E $\sharp$  motive onto higher levels of the structure in “Schubert's Experiment with Sonata Form: Formal-Tonal Design versus Underlying Structure,” *Music Theory Spectrum* 15/1 (1993): 1-18. Sobaskie also discusses this motive as generating a network of semitonal neighbor-tone movement (“The Problem of the String Quintet”).

returns throughout the main theme (mm. 1-33) and the transition (mm. 33-58). Each time it maintains the static character of its first statement, either as part of a harmonic prolongation over a pedal point, or, in the case of the diminished seventh alone, as an appoggiatura projected against the dominant chord. (For an example of the latter see ex. 2a, m. 9.)<sup>21</sup>

Example 2. *String Quintet in C Major, D. 956, i.*

a) Main theme, harmonic motive, mm 1-10.

The image shows a musical score for a string quintet, specifically the main theme from the first movement of Beethoven's String Quintet in C Major, Op. 956. The score is divided into two systems. The first system covers measures 1-10, and the second system covers measures 11-14. The instruments are Violin I, Violin II, Viola, Cello 1, and Cello 2. The tempo is marked 'Allegro ma non troppo'. The key signature is C major. The score includes dynamic markings such as *p* (piano), *f* (forte), and *pp* (pianissimo). A bracket labeled 'A (harmonic motive)' spans measures 1-10. A circled '9' is placed above a note in the first violin part in measure 9, which is marked as an 'appoggiatura'. The score also includes performance instructions like 'C: I' and '(CT of 3) I' at the bottom of the first system, and '(07) V' at the bottom of the second system. The initials 'HC' are printed at the bottom center of the page.

<sup>21</sup> Both Hinrichsen (*Untersuchungen*) and Sobaskie (“The Problem of the String Quintet”) track these occurrences.

*Example 2, continued.*

*b) 1st subordinate theme, modulation to G major, mm. 94-100.*

A1 (expansion of harmonic motive)

Violin I  
Violin II  
Viola  
Cello I  
Cello 2

C+: I    G: II6    VII<sup>o</sup>4<sub>3</sub>    I<sub>6</sub>    IV    V<sup>7</sup>.....

cadential

Violin I  
Violin II  
Viola  
Vc. 1  
Vc. 2

G: - I *ppp*  
PAC

*c) Summary, harmonic motive as framework for modulation to G.*

i) harmonic motive

ii) modulation to G major, mm 94-100.

harmonic motive

VII<sup>o</sup>4<sub>3</sub>    I<sub>6</sub>    IV    V<sup>7</sup>    I

cadential    PAC

When the cell returns towards the end of the first subordinate theme, it serves as the mainspring of the modulation to G major and is consequently transformed from a static to a dynamic entity. (See ex. 2b, mm. 96-100. N.B. The theme cadences in m. 79, but is immediately repeated. The following analysis discusses the cadence of the repeat). The modulation is achieved by a perfect authentic cadence in G. The basic framework for the cadence is provided by a variant of the cell at its original pitch level (mm. 94-97 and see derivation in ex. 2c). The cell now occupies four, rather than five, measures and the move from the initial C chord to the diminished seventh is mediated by the use of the 5-6 technique (G-A) in the first violin.<sup>22</sup> The return to the C chord is also varied with an intervening resolution of the diminished seventh to a G<sup>♯</sup>.

The resolution of the diminished seventh represents the cell's most significant change: it releases the chord's inherent energy, which has been blocked to this point by pedal tones. This sets in motion the perfect authentic cadence that accomplishes the modulation by preparing the cadence's initiating tonic (the G<sup>♯</sup>). Of particular interest here is the subtle change in the nature of cell itself. What began in mm. 1-5 as a straightforward tonic prolongation within the home key now acts as a doorway into a new tonal region. The cell's transformation is most evident in the status of its framing harmony. The initial C chord (m. 94) is ambiguous in function, due to the tonal flux preceding it.<sup>23</sup> When it returns in m. 97 within the perfect authentic cadential progression in G, its function is solidified as the pre-dominant IV.

---

<sup>22</sup> The A and ensuing F<sup>♯</sup> surround the G in a double neighbor-tone motion related to the turn figure surrounding the C in violin I of the motive's original statement (m. 4, ex. 2a).

<sup>23</sup> It most strongly suggests a tonic in the home key, but this potential is not realized and other functional possibilities exist. See also Smith, "Harmonic Cross-References," 159-61, for a discussion of the chord's ambiguous status complicated by the repeat of the first subordinate theme.

## The Gestural Function of Harmonic Motives

The gestural function that harmonic motives fulfill in Schubert's sonata forms is the most direct of the three, for it makes tonal/harmonic references emotionally palpable. In general, motives working in this capacity are harmonic cells, although single-chord motives are also possible, especially when one harmonic component of a cell is emphasized in isolation. There are two aspects to consider: the cell's distinctive configuration or voice leading, which in itself creates an emotional response in the listener, and the affective significance that the operations of the cell give to the tonalities involved.<sup>24</sup> To look into this further let us first turn to a texted work by Schubert, his Lied *Die junge Nonne*, where the significance of certain harmonic events can be tied explicitly to the progression of the poem's narrative.<sup>25</sup> We will then look at a similar process in an instrumental work of Schubert's maturity, the first movement of his Piano Sonata in B $\flat$  Major, D. 960.

*Die Junge Nonne*, D. 828, Schubert's setting of a poem by J.N. Craigher de Jachelutta, is a late work, probably dating from early 1825. The text portrays the emotional journey of a novice who is about to take the veil. It begins in the turmoil of life, symbolized by a raging storm, and ends in the serenity of salvation as the bell rings out for the ceremony that will deliver the young woman from the anguish she has experienced. (See text and translation below).

Die Junge Nonne

The Young Nun

Wie braust durch die Wipfel der heulende Sturm!  
the tree tops!

Es klirren die Balken, es zittert das Haus!  
Es rollet der Donner, es leuchtet der Blitz,  
Und finster die Nacht, wie das Grab!

How the howling Storm rages through

The rafters rattle, the house quakes!  
The thunder rolls, the lightning flashes,  
And the night is as black as the tomb!

---

<sup>24</sup> The latter has already been hinted at in the analysis of the *Quartettsatz* by the idea that a specific key (A $\flat$ ) might have a certain "atmosphere." In this case the term atmosphere does not refer to theories of key characteristics, but suggests instead that events within the form may cause a key to become associated with a particular emotion. An important study of key characteristics for this period is Rita Steblin's *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Rochester, N.Y.: University of Rochester Press, 1996).

<sup>25</sup> See Kopp, *Chromatic Transformations*, Chapter 9, "Five Analyses," 254-63, for an excellent discussion of the song.

Immerhin, [immerhin], so tob't es auch jüngst noch in mir Es brauste das Leben, wie jetzo der Sturm, Es bebten die Glieder, wie jetzo das Haus, Es flammte die Liebe, wie jetzo der Blitz! Und finster die Brust, wie das Grab!	On and on [on and on] <sup>26</sup> , so it raged in me but a while ago! My life roared, as the gale does now, My limbs trembled, as the house does now, Love flared, as now the lightning, And my heart was as dark as the grave!
Nun tobe du wilder, gewalt'ger Sturm, Im Herzen ist Friede, im Herzen ist Ruh, Des Bräutigams harret die liebende Braut, Gereinigt in prüfender Glüt, Der ewigen Liebe getraut.	Now bluster, wild, mighty storm, In my heart is peace, in my heart is rest, For her bridegroom, waits a loving bride, Purified in testing fire, Betrothed to eternal love.
Ich harre mein Heiland, mit sehndem Blick; Komm himmlischer Bräutigam, hole die Braut, Erlöse die Seele von Irdischer Haft. Horch! Friedlich ertönet das Glöcklein vom Turm:	I await thee, my Savior, with longing gaze, Come heavenly bridegroom, claim your bride, Deliver her soul from earthly bonds. Hark! peacefully sounds the little bell from the tower!
Es lockt mich das süße Getön. Allmächtig zu ewigen Höh'n. Alleluja!	Its sweet sound draws me irresistibly To the eternal heights. Hallelujah!

Schubert follows the parallelism of the first two stanzas by setting them to the same music (with “Immerhin, immerhin, so tob't es auch jüngst noch in mir,” standing between the parallel passages). The woman's rising desperation as she describes the storm's turbulence is expressed by a particularly striking progression which constitutes the song's central harmonic motive (see ex. 3a and b, mm. 9-17). This consists of a 5-6 move from the tonic in F minor to the submediant in  $\frac{6}{8}$  position, which in turn prepares the minor Neapolitan ( $G\flat$  spelt enharmonically as  $F\sharp$ , I-VI<sup>6</sup>-bII<sup>6</sup>, see example 3a).<sup>27</sup> In its great tension, the semitone

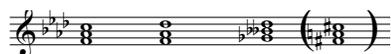
<sup>26</sup> Most translations either ignore immerhin or interpret it as the flavoring particle “all the same” or “anyhow.” Here, though, it is used in its older meaning as a synonym for immerfort. See Johann Christoph Adelung, sv “immerhin” in *Grammatisch-kritisches Wörterbuch der Hochdeutschen Mundart*, F-L, 1363-64 (1786). Digitale Bibliothek – Münchener Digitalisierungszentrum.

[http://lexika.digitale-sammlungen.de/adelung/lemma/bsb00009132\\_4\\_0\\_62](http://lexika.digitale-sammlungen.de/adelung/lemma/bsb00009132_4_0_62)  
(accessed 7/4/2010).

<sup>27</sup> The full progression involves the sequential repetition of a I-VI<sup>6</sup> movement in F minor up a semitone into  $F\sharp$  minor (the final D, VI<sup>6</sup> in  $F\sharp$  minor, is not pertinent to the present discussion and is omitted). See David Kopp's description of the progression and its character in *Chromatic Transformations*, 255-6. Here he gives both a conventional harmonic analysis and an elegant discussion of its semitonal voice leading and shifting functions. The excellent points he makes about its

Example 3. *Die junge Nonne*, D. 825a.

a) Principal harmonic motive (mm. 8-16).



F-: I VI<sup>6</sup> bII<sup>b3</sup>

b) Principal harmonic motive, 1st stanza, mm. 8-35.

Soprano

Wie braust durch die Wipfel die Heule des Sturm!

(1) Principal Harmonic Motive

Piano

F-: 15

S

Es klirren die Balken, es zittert das Haus!

Pno

VI<sup>6</sup> (bII<sup>b3</sup>)

S

es rollt der Donner, es

Pno

Expansion of F# minor, mm. 16-21

bII<sup>b3</sup> 5

S

leuchtet der Blitz! und Fenster die

Pno

model

-----6

emotional effect are particularly relevant to the present study, especially the gathering tension of the sequential move up from F minor to F# minor through rising semitone displacements (256).

## Example 3b, continued.

The musical score consists of three systems, each with a vocal line (Soprano) and a piano accompaniment (Piano). The key signature is F minor (three flats). The first system (mm. 15-17) features the vocal line with the lyrics "Nacht, und fin - ster die Nacht," and the piano accompaniment with the annotation "(2) German aug 6". The second system (mm. 18-20) features the vocal line with the lyrics "wie das Grab! Im - mer-hin im - mer-hin" and the piano accompaniment with annotations "modal shift to F major", "3) IV-I in Major", and "F-II<sup>7</sup> Ger 6 V<sub>4</sub><sup>6</sup> cadential". The third system (mm. 21-23) features the vocal line with the lyrics "So tob't es auch jungst noch in mir!" and the piano accompaniment with annotations "5 3 ) IAC (IV) I" and "PAC".

ascent from F minor to G $\flat$ /F $\sharp$  minor conveys the anguish of the young woman's existence. Furthermore the upper key is maintained for nine bars, allowing this emotional association to dwell in the listener's ear (mm. 15-23). The music then sinks back down directly from F $\sharp$  into F minor.<sup>28</sup>

Two subsequent harmonic events are also important. The augmented sixth of F minor is highlighted in the cadential progression which brings the music back to that key (ex. 3b, m. 25).

<sup>28</sup> The whole process can be summarized in the prominent C-D $\flat$ -D $\sharp$ -D $\flat$ -C movement of the soprano line. This motion outlines what Steven Laitz has called the submediant complex. See his "The Submediant Complex: Its Musical and Poetic Roles in Schubert's Songs," *Theory and Practice* 21 (1996): 123-66.

*Example 3, continued.*

*c) Return of (1) principal harmonic motive,  
(2) German 6 and (3) IV-I gesture.*

Soprano

ich har - re mein Heil - land, mit seh - nen - dem Blick, komm,

Piano

(1) expanded variant of principal harmonic motive (bb. 61-68)

**F<sup>+</sup>: I** **bVI (expanded)**

S

himm - li - scher Brau - ti - gam, ho - - - - le die Braut!

Pno.

**bVI expanded**

S

Er - lo - se die See - le von ir - di - scher Haft!

Pno.

**bVI expanded** **bIIb3 expanded**

S

Horch! Fried - lich er - to - net das

Pno.

(2) German 6 now resolving directly to I in major mode

F: Ger 6 I Ger 6 I

S

Glock - - - lein vom Thurm - - -

Pno.

(3) IV-I in F major

(IV) I (IV) I

*Example 3, continued.**d) Summary of expansion of principal harmonic motive, mm. 62-70.*

F+: I      bVI<sup>6</sup>      bVI (as V/bII)      Ger 6      I

Db:16      II<sup>6</sup> V<sup>6</sup>/V V<sup>7</sup>      I      V      7

F#-: V

bVI expanded      bIIb<sup>3</sup> exoanded

F+: I      bVI<sup>6</sup>      bIIb<sup>3</sup>

Principal harmonic motive

After the cadence, the music brightens fleetingly to F major with a repeated IV-I progression (ex. 3b, mm. 31-32). This last gesture gives a particular poignancy to the words “Immerhin, immerhin,” (on and on, on and on) suggesting her yearning for rest. The song’s ultimate winning of F major will provide the young woman’s true deliverance. Here, though, this key is only a distant vision of release in the midst of the struggles that she still endures.

Both the augmented sixth and the modal change return along with the central harmonic motive at the climax of the song, where they serve to depict the turning point of the narrative in the poem’s last stanza (ex. 3c, mm. 61-74). Here the motive has been intensified by a number of changes. It begins in F major, not minor, which makes the move to F<sup>♯</sup> minor stand out as something all that more dire. Its submediant component is prolonged, which heightens the feeling of yearning for the Bridegroom’s coming as the vocal line rises steadily by step from C to G<sup>b</sup> (ex. 3c, mm. 62-68 and summary, ex. 3d). The concluding F<sup>♯</sup> minor harmony is also prolonged. Thus as the young woman prays for deliverance from her earthly prison, the music dwells on all of the memories of suffering associated with F<sup>♯</sup> minor earlier in the song. The subsequent augmented sixth brings with it the answer to that prayer as it is converted from the dominant seventh of F<sup>♯</sup> minor to the German Sixth of F major (m. 69). Then, as the bell rings out her salvation, the IV-I progression in F major also returns. Before it could only express a yearning for salvation (mm. 31-2), now it depicts her true deliverance.

What we have across the first half of the last stanza, then, is a recall of the harmonic events from the end of the first stanza, with

Example 4. Piano Sonata in B $\flat$  Major, D. 960, i.  
a) Recapitulation, digression to G $\flat$ , mm. 233-55.

The musical score is presented in piano and consists of five systems of staves. The first system (mm. 233-234) shows a piano introduction with a *pp* dynamic. Annotations include "B $\flat$ : V $^7$  PAC" and "I shift to prolongation of bVI (G $\flat$  major)". The second system (mm. 235-236) is annotated with "bVI prolongation (IV)". The third system (mm. 237-238) is annotated with "I etc." and "Prolongation of G $\flat$ 's parallel minor (bVI $\flat$ 3)". The fourth system (mm. 239-240) is annotated with "(IV)" and "Prolongation of A major". The fifth system (mm. 241-242) is annotated with "*pp*".

augmented sixth and the modal change—telescoped together to enact the poem’s crucial moment of salvation. A similar process with the same expressive goal occurs in the first movement of Piano Sonata in B $\flat$  Major, D. 960.<sup>29</sup> The main difference between

<sup>29</sup> This movement has attracted a great deal of attention concerning its motivic make-up and larger tonal plan. See in particular, Rosen, *Sonata Forms*, 261; Kerman, “A Romantic Detail,” 59; Webster, “Schubert-Brahms, I,” *passim*;

*Example 4, continued.*

*b) Summary of events in digression to  $bVI$  in recapitulation and their references to events in exposition.*

233	235-8	238-9	239-52	253-4	255
ref. mm. 19-20		48 etc	58-66	67 -	70

I       $bVI$        $bVI^{b3}$       relative major of  $bVI^{b3}$        $V^7/D$       I

all three elements of the earlier passage—the harmonic motive, the Lied and the Sonata lies in the latter’s lack of a text to give explicit meaning to the references. Yet there is still a strong emotional effect in the tonal reminiscences involved, arising from the careful marking of specific tonalities earlier on in the form.

The passage in question forms part of the motivic development of  $G^b$  mentioned earlier and occurs in the central

---

Hinrichsen, *Untersuchungen*, 272-2; Cohn, “As Wondrous as Star Clusters,” Fisk, *Returning Cycles*, Chapter 9, “Schubert’s Last ‘Wanderer’: The Sonata in  $B^b$  Major, D. 960,” 237-68.

section of the main theme during the recapitulation (ex. 4a, mm. 234-255). Here, rather than maintaining G $\flat$  major, as in the exposition (mm. 20-34), the music darkens after four bars to G $\flat$  minor (spelt enharmonically as F $\sharp$ ). It then emerges into F $\sharp$ 's relative major, A, which is expanded for nine measures. The A chord is eventually converted to the dominant seventh of D in m. 253, which in turn resolves deceptively to the B $\flat$  chord at the end of m. 254, bringing the digression back to the home key. Essentially this series of prolonged chords functions as a gestural harmonic cell which reviews the tonal events in the exposition from the mid-point of the main theme into the core of the transitional process (mm. 19-70)—i.e. the move to and prolongation of G $\flat$  ( $\flat$ VI) in the main theme (m. 19, etc.); the shift to F $\sharp$  minor at the beginning of the exposition's transitional theme (mm. 48, etc.); the subsequent move to A major (mm. 57-8), and its eventual deceptive resolution to B $\flat$  (mm. 69-70, see ex. 4b for a summary of these parallels.)

As in *Die jünge Nonne*, the cell has telescoped the earlier sequence of keys, bringing them together into a more direct relationship. This process illustrates the emotional force of such gestures—a force arising from the established significance of what is recalled and the harmonic context within which it appears. The keys involved are each marked with a strong affective meaning in the exposition through the striking way in which they are generated. The sudden shift into F $\sharp$  minor at m. 48, for instance, is achieved by a dramatic disruption that brings with it feelings of anguish and uncertainty. Such feelings are momentarily allayed by the ensuing slip into A major. Both keys' emotional associations return with them when they are summoned up again in the recapitulation. What is more, the references to the turmoil of the earlier transitional process all occur within what was previously an uncomplicated dream-like prolongation of the flat submediant. In the recapitulation, then, the memory of the prolongation's unclouded character acts as a foil that heightens the emotional impact of the recalled disturbances.

The preceding analyses have illustrated Schubert's use of harmonic motives in three different capacities—modulatory, referential and gestural—through a representative sampling of examples from some of his finest music. Each analysis, though, has

limited its scope to only one function. Now it is time to look more closely at how all three functions come together in one specific sonata form, the first movement of the String Quartet in D minor, D. 810, "Death and the Maiden."

### **First Movement of the String Quartet in D minor, D. 810: Character and Properties of the Principal Harmonic Cell**

All of the tonal regions and the modulations between them in this complex sonata form are marked by one harmonic cell or its derivatives (ex. 5a). In its complete form it suggests a cadential evasion involving the diversion of a  $V_{4-3}^{\frac{6}{4}}$  resolution to a common-tone diminished seventh chord. Although the initial  $\frac{6}{4}$  is an important and prominent feature, above all when the motive occurs in the context of a cadence, the cell essentially consists of the generation of a common-tone diminished seventh from a major chord. Structurally then it is very similar to the cell of the String Quintet in C discussed above, yet its character and how it works in the form are in fact very different.

While the Quintet's cell appears at the very beginning of its movement, the Quartet's occurs later, as part of the concluding cadential passages of the main theme group (ex. 5b). Functioning in its gestural capacity, it defines one extreme of an emotional conflict that marks the whole movement. This conflict is first laid out in the main theme, whose aggressive fortissimo octaves are answered by a hesitant expanded cadential progression which brings the theme to a subdued close in a half cadence (mm. 1-14, not shown here). An agitated continuation phrase then builds in intensity to what promises to be a climactic cadential arrival (mm. 15-25). The cadence is evaded, however, when the music suddenly retreats into a new plaintive theme, whose basic idea essentially softens the movement's ferocious opening gesture.<sup>30</sup> It is here that the principal harmonic cell comes into play in two further cadential evasions.

---

<sup>30</sup> This idea is prefigured in the viola, m. 15.



Example 5b, continued.

Musical score for measures 33-36. The score is for four staves: Vln. I, Vln. II, Vla., and Vc. The key signature is one flat (B-flat). Measure 33 starts with a circled measure number. The Vln. I part features a melodic line with accents and a crescendo leading to a triplet. The Vln. II part consists of a continuous triplet of eighth notes. The Vla. part also features a triplet of eighth notes. The Vc. part has a triplet of eighth notes. The word "cresc." is written below the Vln. I staff in measure 36.

Musical score for measures 37-39. The score is for four staves: Vln. I, Vln. II, Vla., and Vc. The key signature is one flat. Measure 37 starts with a circled measure number. The Vln. I part has a melodic line with accents and a crescendo. The Vln. II part has a triplet of eighth notes. The Vla. part has a triplet of eighth notes. The Vc. part has a triplet of eighth notes. Below the staves, the Roman numerals  $VII^{04}/VII$  and  $VII^{06}/VI$  are indicated, followed by a dashed line and "Ger 6".

Musical score for measures 40-42. The score is for four staves: Vln. I, Vln. II, Vla., and Vc. The key signature is one flat. Measure 40 starts with a circled measure number. The Vln. I part has a melodic line with accents and a crescendo, with dynamic markings  $ff$  and  $fz$ . The Vln. II part has a triplet of eighth notes. The Vla. part has a triplet of eighth notes. The Vc. part has a triplet of eighth notes. Below the staves, the Roman numerals  $V(\frac{6}{4})$ ,  $\frac{5}{3}$ , and  $) I$  are indicated, followed by "PAC".

## Example 5, continued.

c) Half cadence model behind cadential evasion, m. 28.

Violin I

Violin II

Viola

Cello

D: I                      IV<sub>5</sub><sup>6</sup>                      V<sub>4</sub><sup>(6</sup> - <sub>3</sub><sup>5)</sup>

HC

The first of these evasions consists of a failed half cadence in which the concluding dominant slips down into its common-tone diminished seventh (ex. 5b, m. 28 and 5c). A new cadential progression is immediately initiated, but it also fails due to the cell's intervention (mm. 31-2). In both instances the music seems to lose its way as it collapses in on itself, a gesture that defines the emotional character of the cell in its appearances throughout the movement. Its mingled sense of loss and resignation stands as the polar opposite to the forcefulness of the main theme's opening. These feelings are concentrated in the sonority of the diminished seventh itself, which dominates the cadential evasions, then launches the powerful expanded cadential progression that both closes the main theme group and leads to the return of the movement's initial fortissimo octaves (Ex. 5b, mm. 32-41, and summary ex. 5d).<sup>31</sup>

From its identity as an expressive gesture, we now turn to the cell's referential and modulatory functions. Both depend upon the

<sup>31</sup> The PAC in m. 41 relieves the frustrated expectation of cadential evasion in m. 25. In fact the whole intervening passage could be excised and still create a compelling climax, but this would cut out the heart of the movement's tragic persona, which lies in the intervening digression.

symmetrical construction of the diminished seventh. The most important referential property arising from this is the cell's ability to generate the same diminished seventh when transposed to keys a minor third apart, specifically D-F-A $\flat$ -B (ex. 6a).<sup>32</sup> Schubert exploits this feature to bring the A diminished seventh back as a conspicuous sonority in different tonal regions over the whole movement.<sup>33</sup>

*Example 6. Properties of the principal harmonic cell.*

*a) Generation of the same diminished seventh chord.*

D-: F+ Ab+ B-

*b) Principle harmonic cell as CT<sup>07</sup> embellishment of V.*

D-:  $V \frac{6}{4} - \frac{5}{3} CT^{07}$  common-tone resolution back to V  
cell

*c) Redirection of CT<sup>07</sup>*

*i) in original CT<sup>07</sup> function*      *ii) redirected up -3<sup>rd</sup>*      *iii) redirected down -3<sup>rd</sup>*

D-: V (CT<sup>07</sup>) V      D-: V CT<sup>07</sup> F+: V      D-: CT<sup>07</sup> B-: V<sup>7</sup>

<sup>32</sup> Only the D-F and F-A $\flat$  relationships are developed in the movement.

<sup>33</sup> These are the recurrences of the *Zentralklang* Hinrichsen enumerates. See *Untersuchungen*, 271. Only the diminished seventh is discussed. The cell is ignored.

Concerning the principal harmonic cell's modulatory role—this occurs when, instead of returning to the cell's central major chord as its common-tone embellishment (ex. 6b), the concluding diminished seventh veers off to a different harmony, generating either a local tonicization, a tonal digression within a key or a full-fledged modulation. Such instances involve one of two different types of progressions. In the first, the diminished seventh resolves as an applied VII<sup>67</sup> to one of its four possible target harmonies—B $\flat$ , C $\sharp$ , E or G, if we take the A diminished seventh as an example. In the second, the diminished seventh moves on by common tone to a major chord built on one of its members (ex. 6c). The harmonic progression from the cell's originating harmony, through the diminished seventh to the goal harmony thus connects major chords whose roots are related by a minor third. When these chords are both dominants or dominant sevenths the result is a particularly smooth shift between adjacent keys in a circle of minor thirds—something Schubert uses to great effect in the form's local tonal digressions.

In the course of the movement, a derivative of the principal harmonic cell emerges. It also features semitone motion in parallel thirds, but outlines either a V-VI or VI-V progression in the minor mode—A minor in the exposition and D minor in the recapitulation (ex. 7).<sup>34</sup> I will refer to it as the “submediant motive,” since it often defines a tonic-to-submediant relationship between successive tonalities in which the tonic of the first key becomes the submediant of the next whose dominant it prepares. Like the cell, the submediant motive serves in both a modulatory and referential capacity. It is an agent of some of the primary modulations, where it becomes a key-defining progression, while its implicit tonal references help to distinguish between structural and “digressive” keys. In order to understand how both this motive and its parent cell function in the form we must first sketch in the tonal outlines of the movement and its broad modulatory scheme.

---

<sup>34</sup> 7b shows the common semitone element of the cell and the motive, not the motive's actual voice leading, which avoids parallel fifths either by a reduced texture or use of first inversions

*Example 7. Connection of submediant motive to harmonic cell.*

a) harmonic cell in 1<sup>st</sup>  
subordinate theme

b) submediant motive's  
relationship to cell

The musical notation consists of three staves. The top staff shows a sequence of chords: F major (I), C major 7 (CT 07), A minor (I), and A minor (A-: VI), V, or V, VI. A dashed line under the first two chords is labeled 'cell's core'. The middle staff, labeled 'reduced texture', shows the first two chords (F major and C major 7) with the label 'or' below them. The bottom staff, labeled '1st inversions', shows the first two chords in their first inversions with the label 'or' below them.

**Overview of the Tonal Structure**

The first movement of the “Death and the Maiden” Quartet presents another example of Schubert’s three-key expositions. As figure 3 shows, modulation by a third predominates. The tonic-submediant relationship spanning a descending major third is particularly prominent. It is established in the latter half of the exposition between the keys of A minor and F major and is taken up in the recapitulation between the home key D minor and its submediant B $\flat$  major. In both cases, the submediant motive plays a crucial role in clarifying the relative status of the two keys involved: subordinating F major to A major/minor in the exposition and B $\flat$  major to D minor in the recapitulation (see discussion below). The ascending minor third or tonic-median relationship occupies a secondary, though important position, as seen in the exposition’s initial modulation from D minor to F major.

This unusual modulation forms part of an overarching scheme that uses an important variant of the principal harmonic cell to link the move to F in the exposition’s first transition to the reaffirmation of D in the parallel transition of the recapitulation (ex. 8). When the cell’s variant enters in the modulation to F, its

Figure 3. *String Quartet in D Minor, D. 810, i, tonal plan.*

<b>Exposition (1-140)</b>					<b>Development Section (141-97)</b>		
Main Theme	1 <sup>st</sup> trans.	1 <sup>st</sup> Subordinate Theme	2 <sup>nd</sup> trans.	2 <sup>nd</sup> ST			
mm. 1-41	41-60	61-83	83-101	102-40	141-5	150-6	173-97
D-	D- → F+	F+	F+ → A-	A+ (102-113) A+	(C → D- → C♯) F♯ → (E-) → D-	sequential	
<b>Recapitulation (198-298)</b>					<b>Coda (299-341)</b>		
Main Theme/1 <sup>st</sup> trans.		1 <sup>st</sup> ST	2 <sup>nd</sup> trans.	2 <sup>nd</sup> ST			
mm. 198-217		218-41	241-59	260-98			
D-	→	D+ D+	D- → B♯+	B♯+ (260-72) D- D-			

initial  $\frac{4}{4}$  harmony suggests an imminent cadence in D minor (m. 50). The expected resolution to  $V_3^3$ , however, is suddenly deflected to an F-major chord (mm. 51-2, see ex. 8a [1] and comparison with the cell in ex. 8b for the motivic derivation). This harmonic surprise marks the entry into the new key.<sup>35</sup> At the parallel point in the recapitulation, the initial  $\frac{4}{4}$  resolves properly to the  $V_3^3$  within a successful PAC in D major, thus prominently “correcting” the previous deflection (m. 207).

This scheme both establishes the main tonal relationships of the movement and determines to a large extent the relative structural weights of the keys involved. The unusual modulation to F major in the exposition initiates the F-major–A-minor submediant relation by generating the first key—the submediant—of the pair. The cadential reaffirmation of D in the recapitulation’s first transition (m. 209) confines the submediant relation (transposed to B♭-major–D-minor) within the tonic sphere by confirming the second key—the tonic—of the pair. In fact, the digressive status of the second subordinate theme’s B♭-major section is made explicit by closely enfolding B♭ within the home key D. Thus, out of its variety of confirmed tonalities, the movement is carefully constructed to project the primacy of only two keys—the tonic-dominant axis of D and A, with A major/minor as the firm

<sup>35</sup> An important melodic correspondence reinforces the reference to the original cell in this modulation. The head of the melody in F major that follows the sudden shift (mm. 53-4) is a clear derivative of the head of the plaintive melody in D (ex. 5b, mm. 25-6) that preceded the cell’s first appearance in the evaded cadence m. 28.

Example 8. *String Quartet in D Minor, D.810, i.*  
 a) comparison of 1st transitions of exposition and recapitulation.

1) exposition, mm. 50-2, deflection to F major      2) recapitulation, mm. 207-9, maintenance of D

D: V  $\frac{6}{4}$  - III<sup>6</sup> deflection F+: I<sup>6</sup>      V  $\frac{6}{4}$  cadential - 7) I PAC

b) Derivation of deflection to F from principal harmonic cell.

i) principal harmonic cell    ii) deflection to F major, mm. 51-2

goal of the exposition and D solidly re-established in the recapitulation.<sup>36</sup>

The broad span of the movement’s structure is prefigured in the main theme group. The opening theme’s expanded cadential progression not only foreshadows the deflection to F major in the mysterious brightening effect of the F<sup>3</sup> chord (ex. 9a, mm. 9-10), but does so in a manner that presents the movement’s general modulatory scheme in microcosm (mm. 5-14). Of particular importance are the passage’s three A-based harmonies—the initial passing  $\frac{6}{4}$  (m. 6 and again m. 8), the F<sup>6</sup>, and the concluding cadential  $\frac{6}{4}$ - $\frac{5}{3}$  resolution (mm. 13-14). Taken together, these chords

<sup>36</sup> I thus fundamentally disagree with Hinrichsen’s contention that the hierarchical tonic-dominant relationship of Classical sonata form has been suspended in this movement (Die Sonatenform,” 29). As shall be shown in the following pages, the tonic and dominant are projected as the form’s principal structural tonalities through the effective use of harmonic motives. See also Charles Fisk’s defense of the continuing relevance of the tonic-dominant axis in Schubert’s sonata forms in *Returning Cycles*, 17-18 and 274-6.

summarize the movement's overarching transitional strategy (ex. 9b). The move from the D-minor  $\frac{4}{4}$  to F-major  $\frac{3}{4}$  in mm. 8-9 prefigures the deflection to F in the exposition's first transition (mm. 51-2).<sup>37</sup> The concluding  $V\frac{4}{3}-\frac{5}{3}$  resolution (mm. 13-14) in turn looks to the recapitulation's correction of that deflection (m. 208). The connection between these events is made audible by highlighting the contrast in sonority between the  $F\frac{6}{3}$  and cadential  $\frac{4}{4}$  chords through their proximity, their end placement in parallel phrases and their equal prolongation (mm. 7-14).

Turning to the concluding cadences of the main theme group (mm. 25-40), the repeated tonicizations of VI foreshadow the prominent role  $B\flat$  major will play in the recapitulation and coda. Thus the movement's initial D-F and concluding D- $B\flat$  tonal relations are presented in order across its opening section. The references to these relationships occur in expanded cadential progressions whose emphasis on the sixth degree is itself motivic. Most of the structural cadences in the movement feature degree 6 supporting a prolongation of the submediant (the exception being the expanded  $IV\frac{6}{3}$  of the first ECP). In many cases a broad VI-V motion provides the ECP's basic frame. These instances include the final cadences of the second subordinate theme (mm. 114-134) and their parallels in the recapitulation (mm. 273-92); the modulation to  $F\sharp$  minor in the development section (mm. 143-52); and the concluding expanded cadential progression of the coda (mm. 326-41).

### **The Role of the Principal Harmonic Cell across the Form**

After the main theme, the most prominent appearances of the principal harmonic cell occur in the first subordinate theme and the development section. In the first subordinate theme, the cell primarily acts in its referential and gestural capacities. Of particular

---

<sup>37</sup> In fact, the  $D\frac{4}{4}-F\frac{6}{3}$  progression itself becomes an important harmonic motive. In the present context it outlines a  $I\frac{4}{4}-III\frac{6}{3}$  motion in D minor. It returns as an important element of the first subordinate theme's cadences in F major (mm. 64, 69 and 83). See below.



Each cadential evasion echoes the cell's first entrance in m. 28 (compare ex. 10a with ex. 5b). However, the harmonization of the initial 3-2 melodic motion has been changed to a 6-5 suspension in Violin I over a  $\frac{6}{7}$ -7 arpeggiation of  $V^7$ .<sup>38</sup> The suspension creates the same type of progression as the slip into F in the first transition (mm. 51-2 and comparison ex. 10a, m. 70). Both essentially consist of 6-5 motions over a major chord (10b). The evaded cadences in the first subordinate theme thus bring together references to the two most striking harmonic events up to that point in the movement. The 6-5 suspension also looks forward in the form, for its initial  $A\sharp$  sonority colors the F-major cadences with a suggestion of A minor, thus prefiguring the eventual tonal goal of the exposition.<sup>39</sup> (The A-minor coloring of the theme and its significance will be discussed in more detail later.)

The referential process in the first subordinate theme also extends beyond the exposition. Our main focus here falls on the ramifications of the theme's brief digression to  $A\flat$  major (mm. 74-6) which brings together all of the necessary referential components. The digression is prepared by the first evaded cadence, whose concluding diminished seventh shifts F into the parallel minor mode, from which the relative major,  $A\flat$ , is easily reached (mm. 72-75). The music is brought back to F by the second evaded cadence (m. 76) through the procedure outlined in example 6c (the cell's concluding diminished seventh is redirected by common tone to the dominant seventh of F, ex. 10c). When the theme returns in D major in the recapitulation (ex. 10d), its digression now occupies F major. This change thus brings back the exposition's D-F relationship, while generating the identical

---

<sup>38</sup> In Caplin's theory the entry of the V in  $\frac{6}{7}$  position creates an *abandoned cadence*. See *Classical Form*, 106-7. Here, though, I believe cadences are still intended. Schubert departs from Classical practice for motivic reasons (see further).

<sup>39</sup> The  $A\sharp$  sonority is not an incidental detail here; it marks all of the theme's cadential points in F (IAC, mm. 65-6; evaded, 70-71; and PAC, mm. 82-3) and it is strongly emphasized in the preceding measure of each of the first two cadences (m. 62 and m. 69).

Example 10. String Quartet in D Minor, D. 810, i.

a) Exposition, 1st subordinate theme evaded cadences, mm. 70-8.

Violin I

Violin II

Viola

Cello

F: cadential  $V^6/5$  7 (common tone diminished seventh)  $V^9$   $16/4$   $5/3$  shift to F minor

principal harmonic cell

susp

Violin I

Violin II

Viola

Vc.

Shift towards Ab major cadential Ab:  $V^6/5$  common tone diminished seventh evaded  $V^9$

principal harmonic cell

Violin I

Violin II

Viola

Vc.

b) Harmonic parallel of 1st subordinate theme cadences with deflection to F.

i) Deflection to F m. 28    ii) 1st subordinate theme m. 70

6 5

6 5

*Example 10, continued.*

*c) 1st subordinate theme, 2nd evaded cadence, mm. 75-7,  
use of CT<sup>07</sup> to return to F.*

shared diminished seventh

harmonic cell (Ab)  
Ab: V7  
cadential

CT<sup>07</sup>  
evaded

pivot on C as common tone

F+: V7

cadential evasion in mm. 232 to 233 as was first heard in mm. 70 to 71.<sup>40</sup> Furthermore, the theme's first evaded cadence (mm. 227-28) also cites the initial appearance of the cell in m. 28 (compare ex. 5b to ex. 10d) as well as the cell's intrusion in the closing measures of the development section's core, (mm. 175-76, see below and ex. 11c). The significant  $\hat{3}\text{-}\hat{2}\text{-}\hat{2}$  melodic descent occurs in all three cases at the same pitch level in Violin I, the most important expressive difference being the cell's beginning in D major in the recapitulation.

In the development section, the principal harmonic cell acts in its modulatory capacity as the central component of a dramatic and complex modulation to F $\sharp$  minor that launches the development's core (ex. 11). Here the cell works in conjunction with its related submediant motive in the latter's VI-V form. The modulation occurs in two stages, each of which uses the VI-V progression as a general framework. The initial springboard is the dominant of the home key, which returns briefly for two measures (mm. 143-4) shortly after the development's beginning. Its reinterpretation as the VI of C $\sharp$  minor initiates the modulation, which essentially involves the sequencing of an elaborated variant of the submediant

<sup>40</sup> Susan Wollenberg discusses the tonal coloring of the first subordinate theme in both the exposition and recapitulation as reflections of the Romantic themes of yearning and the alienation of the wanderer. For her the intrusion of A $\flat$  major in the exposition provides "a fleeting but vivid vision of a remote tonal landscape," while the turn to F major in the recapitulation constitutes a nostalgic glance backward at the theme's original key. See "Schubert's Second Themes," 95-6.

Example 10, continued.

d) Recapitulation: 1st subordinate theme, D-minor–F-major relationship.

The musical score consists of three systems, each with four staves: Violin I, Violin II, Viola, and Cello. The key signature is D major (two sharps). The first system (measures 227-230) features a 'principal harmonic cell' in D major, which is then 'shifted to D minor' and finally 'shifted towards F major'. Annotations include 'cadential' and 'evaded'. The second system (measures 231-234) shows a 'return to D minor' with 'F: cadential' and 'evaded' annotations. The third system (measures 235-238) includes dynamic markings *fp* and *pp*, and annotations 'D+: cadential', 'D: cadential', and 'PAC'.

motive in C# minor to F# minor (ex. 11b). Both the model and its sequence form cadential progressions. The first cadence, in C#, is evaded through the intervention of the principal harmonic cell (mm. 145-6).<sup>41</sup> The concluding E# diminished seventh is then redirected by a common tone resolution to the D major chord (mm. 149-50), which, as VI, initiates the ensuing perfect authentic cadence in F# minor (mm. 150-2).<sup>42</sup>

Example 11. *String Quartet in D Minor, D. 810, i.*

a) *Development section, modulation to F# minor.*

Violin I  
Violin II  
Viola  
Cello

model

Violin I  
Violin II  
Viola  
Cello

partial sequence

redirection of diminished seventh

D: V principal harmonic cell  
C#: VI cadential VII<sub>4</sub><sup>6</sup> I<sup>6</sup> II<sup>6</sup> V (  $\frac{6}{4}$  -  $\frac{5}{3}$  ) VII<sup>7</sup>/IV evaded F#-7: VII<sup>7</sup>

F#-VI VII<sub>4</sub><sup>6</sup> I<sup>6</sup> II<sup>6</sup> V (  $\frac{6}{4}$  -  $\frac{5}{3}$  ) I PAC

<sup>41</sup> The cell's usual voice leading has been slightly altered by the bass leap of a minor third.

<sup>42</sup> The D-major-F#-minor submediant relationship is revisited briefly in the recapitulation through the chromatic inflection of the first subordinate theme in D (mm. 219-20 and 224-5).

*Example 11, continued.*  
*b) Motivic make-up of modulation to F# minor*

model (mm. 143-6)                      sequence (mm. 150-2)

principal harmonic cell                      p. h. cell                      redirection of diminished 7th

C#-VI                      V                      F#-: VI                      V

submediant motive                      submediant motive

*c) Development section, move to dominant preparation for Recapitulation, mm. 173-86.*

melodic gesture of principal harmonic cell                      stepwise ascent from Eb to A

173                      179

Violin I                      *dim.*                      *ff*

Violin II                      *ff*

Viola                      *ff*

Cello                      *ff*

D- Pedal                      V<sup>9</sup>/IV                      model                      sequence

183

Vln. I

Vln. II

Vla.

Vc.

D-: Ger6                      V-.....

HC

Not only does the cell figure prominently in the modulation to the most remote tonal regions of the form—C# and F# minor, it also marks the return to the tonic towards the end of the development (ex. 11c, mm. 175-76). The intrusion of its melodic component and concluding diminished seventh over a D pedal sets in motion a passage that re-establishes the home dominant in preparation for the recapitulation (mm. 176-90). The powerful stepwise ascent from Eb to A in Violin I (mm. 177-82) clearly refers back to the expanded cadential progression at the end of the main theme, which also grows out of the cell's intervention (ex. 5b and c, mm. 29-40).

### **The Role of the Submediant Motive in the Exposition**

The submediant motive comes to the fore in the subordinate key regions of the exposition where its referential and modulatory functions combine to define the relative status of the two subordinate keys F major and A major/minor (ex. 12a). The motive begins melodically in the first subordinate theme as a chromatic neighbor-tone motion applied to the tonic chord, F (mm. 61-2).<sup>43</sup> This motion in parallel thirds over the static F bass generates the core of the principal harmonic cell (ex. 7a, above). The immediate repetition of the figure a third lower on A-F (m. 63), when combined with its preceding statement, outlines both types of the submediant motive—a VI-V and V-VI motion in A minor (ex. 12b).<sup>44</sup>

The chromatic neighbor-tone figure passes from a melodic foreshadowing of A minor to the harmonic linchpin of the

---

<sup>43</sup> I have also discussed this passage in a different context in "Remembering a Dream: The Tragedy of Romantic Memory in the Modulatory Processes of Schubert's Sonata Forms," *Intersections* 25/1-2 (2005): 215-17.

<sup>44</sup> The G# chromatic inflection of the first subordinate theme carries over directly from the first transition, where the G#-diminished seventh figures prominently, both at the transition's beginning (mm. 45-6) as the upper portion of the dominant ninth of A minor and end (m. 59, G# respelled as Ab) as the applied diminished seventh to the dominant seventh of F. It's A minor implications are reinforced by the distinctive makeup of its cadential progressions discussed above (see footnote 39).

modulation to A in the subsequent transition to the second subordinate theme. Here it is elevated to a full-fledged statement of the submediant motive consisting of a pivot on the F-major chord to the dominant of A minor at the transition's outset (ex. 13, mm. 83-4). The transition returns to this same progression twice more (mm. 88-9, and mm. 92-3) and ultimately uses the submediant motive (with the VI now intensified to a French augmented sixth) for the definitive move to the dominant ninth of A minor at the transition's close (mm. 96-7). Each statement of the VI-V progression is closely tied to the first subordinate theme's head motive, which provides the whole section's chief melodic material.

*Example 12. String Quartet in D Minor, D. 810, i.*

*a) Exposition: beginning of first subordinate theme, mm. 61-63.*

*b) generation of submediant motive, mm. 62-3.*

Example 13. *String Quartet in D Minor, D. 810, i:*  
*Exposition: beginning of 2nd transition, mm. 83-90.*

Violin I  
Violin II  
Viola  
Cello

submediant motive linked to head motive of ST1

F+: I  
A-: VI      V (VI) I<sup>6</sup> V      music returns sequentially to F

submediant motive

Vln. I  
Vln. II  
Vla.  
Vc.

submediant motive  
F+: I  
A-: VI      V (VI) I<sup>6</sup> V      I

submediant motive

The ascendancy of A minor over F major is explicitly established in the second subordinate theme, where F is reduced to a prominent harmony of the concluding cadential passages in A minor. What concerns the present discussion are the two expanded cadential progressions following the modal change from A major to minor at m. 113. In the first ECP, the initial F-major VI is prolonged, in part, by its common-tone diminished seventh (mm. 117-18). This gesture explicitly recalls the chromatic neighbor-note motive of the head of the first subordinate theme while also making a reference to the movement's principal harmonic cell. The deceptive cadence at m. 120 sets in motion the second parallel ECP, which closes off the theme with a PAC in A minor (ex.14). In this passage the submediant motive and the principal harmonic

Example 14. String Quartet in D Minor, D. 810, i.

a) Exposition, 2nd Subordinate theme, concluding ECP, mm. 120-34.

Violin I: *ff*, *ff*, *p*, *pp*, *dim.*, *dim.*

Violin II: *ff*, *ff*, *p*, *pp*, *dim.*

Viola: *ff*, *p*, *pp*, *dim.*

Cello: *ff*, *p*, *pp*, *dim.*

VI deceptive cadence

cell as it appears in 1st subordinate theme

$V_4^4$

Vln. I: *f*, *p*, *decresc.*, *f*, *p*, *ff*

Vln. II: *ff*

Vla.: *p*, *decresc.*, *ff*

Vc.: *p*, *ff*

V<sup>9</sup> prolonged

VI II<sup>6</sup> (III) II<sup>6</sup> V<sub>4</sub><sup>6</sup> -  $\frac{5}{3}$  ) I PAC

submediant motive as frame

b) Summary of motivic content, mm. 124-32.

submediant motive

model sequence partial sequence

principal harmonic cell p.h. cell p.h. cell p.h. cell retrograde A-V<sub>4</sub><sup>2</sup>

A-: VI VI<sub>2</sub><sup>2</sup> V<sup>7</sup>

Ab-: G<sup>6</sup> V<sub>4</sub><sup>6</sup> -  $\frac{5}{3}$  CT<sup>0</sup>7

F#: G<sup>6</sup> V<sub>4</sub><sup>6</sup> -  $\frac{5}{3}$  CT<sup>0</sup>7

cell are further developed. The submediant motive is present in the overall expansion of the F submediant, which outlines a VI-V-VI progression in A minor, with the middle V prolonged as a dominant ninth (mm. 127-31). The initial common-tone diminished seventh embellishment of VI is itself expanded by a sequence of the principal harmonic cell (see ex. 14a, mm. 124-7 and summary, 14b).<sup>45</sup>

The harmonic motivic process extending from the first transition to the end of the second subordinate theme effectively relegates F major to a transitory tonality between the exposition's structural poles of D minor and A major/minor. This status is suggested by the unusual deflection to F major in the first transition. It is then made explicit by the workings of the submediant motive which color F with predictions of A minor in the first subordinate theme, subsequently act as the motor of the modulation to A in the second transition, and finally absorb F into A in the cadential process of the second subordinate theme.<sup>46</sup>

### **The Resolution of the Submediant Relationship in the Recapitulation**

The complexity of the exposition's network of harmonic motives raises the question of how such an intricate design can work in the new tonal context of the recapitulation. As we have seen, these motives are actively engaged in the articulation and development of the submediant relationship between F and A in the latter half of the exposition. They maintain this involvement in the recapitulation, where the submediant relationship becomes the music's main concern. Here the tonal pair is transposed to the

---

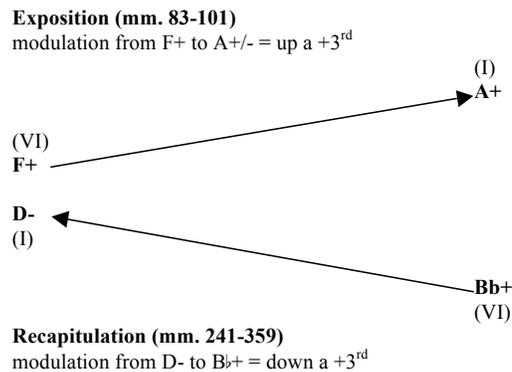
<sup>45</sup> This expansion begins with a VI-V<sup>7</sup> progression, in which the dominant seventh functions locally as the German sixth of A $\flat$  major (mm. 123-4. It is the reinterpretation of the V<sup>7</sup> as a German sixth that generates the downward spiraling sequence.) This one gesture thus cites not only F major and A minor, but also the A $\flat$  major digressions in F.

<sup>46</sup> The digressive nature of the F-major region is also implied in its framing by the same harmony, the dominant ninth of A minor. The chord arrives in m. 45 towards the beginning of the first transition and returns as the goal harmony of the second transition (mm. 97-99).

tonic with D major occupying the first subordinate theme and B $\flat$  major the beginning of the second, which then turns to D minor for its conclusion (fig. 3). The effect of this configuration is to neutralize the pair's submediant element by casting it as an internal digression in the tonic field. The new key scheme thus brings about a form of tonal resolution, but one that is more complex than usual, for what is being resolved here is not a single *key* but a broader *key relationship*.

The contributions of the harmonic motives to this resolution depend upon the recapitulation's new tonal disposition with respect to that of the exposition. The position of the two keys of the submediant pair is reversed: the music now moves from the tonic in the first subordinate theme to its submediant at the beginning of the second subordinate theme.<sup>47</sup> This causes a crucial reorientation of the tonal references contained in the thematic material, which otherwise has been transposed intact. All such references become retrospective.<sup>48</sup>

Figure 4. Comparison of the 2<sup>nd</sup> transitions in the exposition and recapitulation.



<sup>47</sup> The first subordinate theme is set in D major, but the modal change in its penultimate measure (240) shifts the focus to the D-minor–B $\flat$ -major relationship.

<sup>48</sup> In the first subordinate theme, for instance, the chromatic neighbor-tone figure of its basic idea (E $\sharp$ –F $\sharp$  and G $\sharp$ –A) cites F $\sharp$  minor, the central key of the development section, and the brief F major digression in the theme's first evaded cadence recalls the first subordinate key of the exposition (for the latter see ex. 10d, mm. 227-41 and p. 35).

Example 15. *String Quartet in D minor, D. 810, i.*  
 a) *Recapitulation, submediant motive in 2<sup>nd</sup> transition.*

end of 1st subordinate theme      transition

mp 240-2      etc.

Violin I

Violin II

Viola

Cello

submediant motive      etc.

D: I      VI V VI

---

mp 246-8

Vln. I

Vln. II

Vla.

Vc.

Bb: I      D: VI      V

submediant motive

shift to V<sup>9</sup> of Bb

mp 250-1...      mm. 254-5

Vln. I

Vln. II

Vla.

Vc.

Bb: I<sup>6</sup>      D: VI<sup>6</sup>      V

submediant motive

Bb:      Fr6      V<sup>9</sup>

*Example 15, continued.*

b) *Recapitulation, 2nd subordinate theme,  
return to D minor, mm. 272-8.*

Violin I  
Violin II  
Viola  
Cello

*ff* *f* *p* *ff* *fz*

*ff* *f* *p* *ff* *fz*

*ff* *f* *p* *ff* *fz*

*ff* *fz*

Bb+: I prolonged *p* principal harmonic cell *ff* *fz*

D-: VI II<sup>6</sup> (III) II<sup>6</sup> V (6 - 7) VI deceptive cadence  
reorientation to D- through C1<sup>97</sup> (VII<sub>2</sub> in D-)

With its originating and goal tonalities reversed, the transition to the second subordinate theme must modulate down, rather than up, a major third (Fig. 4). The change in direction is accomplished by transposing the transition's core down a fifth from the exposition (mm. 243-53) and altering the end to arrive on the dominant ninth of B $\flat$  (mm. 254-5). Consequently the submediant motive that dominates this section consists of a VI-V progression in D minor, thus casting its B $\flat$  component as a subordinate harmony in D minor while drawing the music back each time to its point of departure, rather than on to its intended point of arrival (ex. 15a, mm. 246-7 and mm. 250-1). D minor maintains a latent presence in the chromatic neighbor tone figure of the second subordinate theme (D-C $\sharp$ -D, doubled in lower thirds, mm. 260, etc.). This key is then fully re-established in the cadential progression that leads to the deceptive cadence in m. 278 (ex. 15b), where the principal harmonic cell coupled with the neighbor-tone figure introduces the C $\sharp$  as the cadence's functional leading tone. The theme's ensuing ECPs further subordinate B $\flat$  to D minor as they did F to A minor in the exposition.

### **The Coda as a Summation of the Movement's Tonal Relationships**

The B $\flat$ -D relationship goes on to dominate the coda, where its submediant element functions in the home key as a prominent harmonic component of gestures recalled from across the movement. The transformation of these gestures is particularly significant for the dramatic character of the movement as a whole. The process can be divided into three stages—mm. 299-310, mm. 311-25, and mm. 326 to the end. The first stage's striking prolongation of VI $\sharp$  brings with it three important references (ex. 16); the D octaves in the first violin eerily echo those heard at the very beginning of the movement (mm. 299-304); the turn to the A diminished seventh over the D pedal (m. 303) recalls the dominant ninth sonority of the chord's intrusion towards the end of the development section (ex. 11c, mm. 176-7); and the cadential evasion at m. 307 generates the last appearance of the principal harmonic cell (mm. 305-7). All three references create a sense of unease, with the glowering E $\flat$  octaves adding an element of menace.

The next stage of the coda takes up the second section of the exposition's main theme group (mm. 15-24) and brings it to the emphatic cadential closure it was previously denied (see p. 21 above). During this passage, the movement's primary tonal relations are reviewed within their defining harmonic motives (ex. 17).<sup>49</sup> The main carrier of these references is the progression in mm. 314-16 (summarized in ex. 17b).<sup>50</sup> This succession of chords brings together the submediant motive (the opening V<sup>7</sup>/V-III $\sharp$

---

<sup>49</sup> Such a summary of tonal relationships occurs elsewhere in the form as well. In the second transition of the exposition, the music moves from F to A minor and then back to D (mm. 83-85). This process, in which F becomes the submediant of A, which in turn becomes the dominant of the home key (mm. 85-6), reveals in microcosm the true relationship of all three keys involved in the exposition. Later in the same transition (mm. 93-97) the dominant of A is expanded by a harmonic progression that highlights F, D and B $\flat$ , thus bringing together references to all of the important tonalities in the form.

<sup>50</sup> The progression first occurs in mm. 18-19. Its opening V<sup>7</sup>/V-III $\sharp$  component represents the first occurrence of the submediant motive in the movement.

Example 16. *String Quartet in D minor, D. 810, i, beginning of coda.*

D-: VI<sup>6</sup>.....(VII<sup>07</sup>/VI) VI<sup>6</sup> V (  $\frac{6}{4}$   $\frac{5}{3}$  )  
 cadential evaded

principal harmonic cell

PAC elided

chord pair) and a variant of the principal harmonic cell outlining a retrograde of the deflection to F major in the exposition's first transition.<sup>51</sup> The projected cadence fails due to the intervention of the cell (mm. 315-16), which resolves through an applied F dominant seventh to VI. This alteration of the cell thus generates an overarching V-VI form of the submediant motive. Each harmonic motive brings with it a reference to an important tonal relationship in the movement: A minor to F major in the first

<sup>51</sup> The beginning and end harmonies of the deflection, D<sup>4</sup> and the F<sup>5</sup>, are exchanged while the internal chromatic line is reversed. (Compare ex. 17b with ex. 8, m. 51)



submediant motive; F major to D minor in the cell's retrograde, and finally D minor to B $\flat$  major in the cadential evasion. The shift to B $\flat$  in mm. 316 continues the passage's melodic ascent from the low D in m. 311 to the high A of m. 321, where the previous failed cadence is rectified by a climactic PAC. Since the successful second cadential progression is initiated as before by a retrograde of the cell (mm. 321-2), it literally reverses the preceding cadential evasion (and by implication the original D to F modulation the latter recalls) in what is rhetorically the strongest affirmation of the tonic key in the movement.

The third and last stage of the coda emphasizes the submediant B $\flat$ , prolonged as the pre-dominant VI, then German sixth of two expanded perfect authentic cadences (ex. 18, only the final cadence is shown). These cadential progressions represent the culmination of a chain of cadences across the whole movement, all related by bass lines in which degrees  $\hat{6}$  and  $\hat{4}$  surround  $\hat{5}$  (see previous discussion, p. 33). Of particular importance is the chord prolonging the VI, the minor Neapolitan  $\mathfrak{N}$ , which intensifies the characteristic bass motion with a leap from degree  $\hat{6}$  to  $\flat\hat{4}$ . In its voice leading connection to VI and its pitch content, this chord clearly recalls the diminished seventh embellishment of VI at the opening of the coda (ex. 16, mm. 303 and 307), thus establishing an aural link between the two cadential progressions.<sup>52</sup> But there is also a link extending all the way back to the very beginning of the movement: the final cadence's opening melodic gesture recalls that of the movement's very first cadential progression (compare ex. 9a, specifically mm. 7-8). However, it is not the connection that is most important here, but what it draws the listener's attention to—the transformation in character of the cadential moment, concentrated in the different quality of the harmony embellishing the pre-dominant—the F major  $\mathfrak{F}$  and the E $\flat$  minor  $\mathfrak{N}$ . In these two chords lies the very depth of the music's tragedy; for what was a

---

<sup>52</sup> Hinrichsen discusses the relationship in some detail. See *Untersuchungen*, 286-91. I disagree, though, with his conclusion that the appearance of the E $\flat$  minor Neapolitan is a foreign intrusion (*Fremdkörper*) that Schubert has consciously tried to integrate into the movement, although the idea that this gesture is a reference to the overture to *Fierrabras* is a possibility.

mysterious brightening at the beginning of the movement has become something dark and muted at its end.

### Harmonic Cells as Expressive Gestures

In many respects, the coda reveals the extreme concentration of this movement. What were at the outset brief, enigmatic visions—the portentous expansion of F towards the beginning of the main theme group, the uneasy colorings of B $\flat$  towards its end—have returned here as harmonic reminiscences that somehow survey and sum up the whole movement. This sense of a narrative continuity, in which the prophesies of the main theme come to fruition in the course of the movement and are reviewed at its close, is made possible through the audibility given the process by the movement's harmonic motives acting as expressive gestures. The principal harmonic cell provides the clearest example of this.

It is the cell's projection of a cadential evasion that gives it its particular gestural meaning. This meaning is concentrated in the eruption of the diminished seventh, which suspends the arrival on  $\hat{1}$  by interposing  $\flat\hat{2}$  at the last moment, leaving the music to hang in the limbo of the chord's functional ambiguity. The cell thus amounts to more than a simple voice-leading pattern—it becomes an event of great emotional significance. Furthermore, with each intrusion the diminished seventh is prolonged, sometimes for up to eight bars, allowing the significance of the event and its uncanny effect to impress themselves on the listener's consciousness.<sup>53</sup>

Such a prolongation endows the cell with great expressive power in its first appearance (ex. 5b). Following the second evaded cadence (m. 31-2), the diminished seventh is sustained through seven bars by chromatic voice exchange, generating an intense melodic ascent from E $\flat$  to A which seems to explode in desperate

---

<sup>53</sup> Scott Burnham has referred to such moments of arrested movement as the “sound of memory” in Schubert's music, and indeed these passages have a certain quality that suggests what he calls “interior” listening. Their floating, dissociative effect is the antithesis of the type of forward-driving dynamic in Beethoven's motivic process (see below). Burnham, “Schubert and the Sound of Memory,” *Musical Quarterly* 84 (2000): 655-63, specifically 661.

anger (mm. 36-40 and summary 5d). The cell's next entry, in the first subordinate theme, has a similar expressive force (ex. 10a). The intrusion of the A diminished seventh in each of the evaded cadences (F major mm. 70-1 then A $\flat$  mm. 75-76) momentarily freezes all forward motion.<sup>54</sup> And this feeling of frozen momentum is sharpened by the modal change following the first evaded cadence, for the music seems to lose its way as it vacillates between F minor and its relative major, A $\flat$ .

The reappearance of the cell in the concluding expanded cadential progression of the second subordinate theme intensifies its emotional qualities and their association with arrested time (ex. 14a and b). The intricacy of the harmonic sequence, in which the cell winds down from A $\flat$  minor through F $\sharp$  and back to A minor creates a weird sense of dissociation, describing a downward spiral of despair where the music again briefly appears to lose its way as it passes through remote tonal regions. In the process, the cell's chromatic descending line, so expressive of resignation, gradually invades all voices.

All of the occurrences of the cell mentioned so far appear to stop the music in its tracks. The fact that with each return the same harmony emerges from the same melodic gesture suggests the workings of memory, as if the music were suddenly overtaken by an unsettling thought from the past that holds it in a moment of grief. It is this aspect of the cell that takes life in the movement, and the listener is invited to dwell upon its special effect and sense the audible chain of reminiscences it creates. The cumulative power of this chain is most apparent towards the end of the movement. Here, at the beginning of the coda (ex. 18, mm. 303 and 307), the cell has become so familiar that only one of its elements, the A diminished seventh, can stand in for it and still summon up all of its accumulated meaning. And in the last cadence of the movement, even the chord itself is no longer necessary. All that is left is its melodic E $\flat$  as the minor Neapolitan performs the chord's unsettling intrusion in a final gesture of anguish.

---

<sup>54</sup> In fact, apart from its initial cadence in m. 66, the theme struggles to come to a satisfying close.

Example 18. String Quartet in D Minor, D. 810, final cadence.

D.: I VI (minor 'N 6') Ger6 V<sub>4</sub><sup>6</sup> <sub>3</sub><sup>5</sup> ) I PAC

### Harmonic Motives and the Development Process in Schubert's Sonata Forms

From what we have seen in the D-Minor String Quartet, there is clearly some form of a unifying development process in Schubert's sonata forms, not simply a free arrangement of keys linked by floating, dream-like associations. But, to revisit Kerman's observation quoted at the beginning of this essay, this is not a development in the Beethovenian sense; it is more veiled. What is missing between the appearances of Schubert's harmonic motives is the connective tissue of developing variation through which a motive can be heard to be transformed from one state into the next through a continuously unfolding chain of events.<sup>55</sup> Instead

<sup>55</sup> Carl Dahlhaus has addressed this aspect of Schubert's music in his article on the late String Quartet in G Major, D. 887, "Sonata Form in Schubert: The First Movement of the G-Major String Quartet, opus 161," in *Schubert: Critical and Analytical Studies*, edited by Walter Frisch, translated by Thilo Reinhard, 1-12 (Lincoln: University of Nebraska Press, 1986). He argues against the assumption that musical logic necessarily involves a forward-driving energy based upon motivic/thematic development and thus accepts Schubert's relaxed, contemplative

the material simply intrudes again, either exactly as it appeared before or in an altered, but recognizable, form. Herein lies the sense of mystery in Schubert's music. These motives seem to arise from nowhere, often interrupting a process already in motion, as in the cadential evasions of the D-Minor Quartet. Thus they overshadow rather than grow out of the music.<sup>56</sup> Consequently one intrusion does not necessarily imply the next; they merely happen, and the links between them are thus associative, rather than developmental.

This does not mean that a process of motivic development is foreign to Schubert's music. He employs it when needed. Take for instance the relationship between the submediant motive and the principal harmonic cell in the D-Minor Quartet. Clearly the motive is derived from the cell. This is revealed in the span from the first subordinate theme through the second transition of the exposition, where the motive emerges forcefully from the cell's chromatic voice leading (ex. 12c and d and ex. 13). Such dynamism is needed at this point for the listener to hear the progressive subordination of F major to A minor. But the derivation of motive from cell is not the main object, even here. In fact the motive was first introduced *before* the cell as far back as the main theme (m. 18), thus precluding any overarching temporal sequence in the transformation of one into the other. And the progression that clinches the actual connection of cell to motive, that moment in the final ECP of the second subordinate theme when the F of the cell slips quietly down a semitone to the root of the motive's E dominant seventh (ex. 14, m. 124, E spelt as F $\flat$ ), is introduced unobtrusively as one detail in a complex sequential progression.

The true development process in Schubert's sonata forms is still one of successive transformation—but, it is not founded on the progressive alteration of a conventional motive, but on the gradual layering of associations through harmonic/tonal reminiscences across the form. It is here that harmonic motives are brought to bear in their modulatory, referential and gestural

---

approach to form as an equally valid counterpart to Beethoven's dynamic formal process.

<sup>56</sup> Thus Fisk sees in the workings of Schubert's harmonic motives the suggestion of an alternate space or reality. See above all *Returning Cycles*, 241-2.

capacities to serve what is their broader function—the dramatization of keys and key relationships. The evolving character of F-major in the D-Minor Quartet provides an excellent example of this process.

Of all of the keys in the first movement of the D minor String Quartet, F major is the most complex in character, and this complexity is built up in a sequence of events that projects a narrative continuity. But the construction of F's character does not occur in a vacuum. It takes shape through F's interaction with other keys, primarily D and A—the movement's tonic-dominant axis.<sup>57</sup>

Initially F is projected against the tragic cast of D minor as something bright, even hopeful. This is true of its very first appearance in the main theme (mm. 9-10, ex. 8), and the contrast is heightened in the transition to the first subordinate theme, where the return of the movement's dire opening octaves is answered once again by a sudden shift to F major, which enters like a comforting vision (mm. 51-2, ex. 7). This time F does not fade, but grows into the tonality of the first subordinate theme. However, it passes into the domain of A minor, whose gradual emergence casts F as something unstable and in itself tragic. Thus the sense of hope that clothed F's appearances in D minor is undermined and falters. As this transformation occurs, another key relationship comes to the fore, beginning with the first subordinate theme's shift to F minor (mm. 72 ff, ex.10). Here glimpses of A $\flat$  major create the same visionary effect as those of F major did in D minor. Thus the promise of release first associated with F now beckons from another distant tonality.<sup>58</sup>

The F-A $\flat$  relationship is revisited in the second subordinate theme, towards the beginning of its second ECP, at that point

---

<sup>57</sup> The D-Minor Quartet thus supports Charles Fisk's and my own assertion of the continuing relevance of this axis in Schubert's sonata forms. However, there is something unusual here. Rather than a foreign intrusion that defines the alternate, alienated state of Fisk's wanderer, F is actually the conventional goal tonality of an exposition in the minor mode. Ironically it is the less conventional dominant that helps to articulate F's extraordinary character.

<sup>58</sup> Susan Wollenberg makes a similar point about the A $\flat$  digression, see footnote 56 above.

where the principal harmonic cell starts to wind its way down in sequence from the F major VI. (mm. 120-34, ex. 14a). This sequence, in fact, is launched by a move from F to A $\flat$ . Now though, the modes are reversed, with the music withdrawing from F *major* to A $\flat$  *minor*. Thus A $\flat$ 's brightness also fades, intensifying the pervasive sense of hopelessness in the passage, which reaches its nadir in the remote dominant of F $\sharp$  minor (m. 126).<sup>59</sup>

As is evident in the transformations of F's character to this point, Schubert's harmonic/tonal reminiscences are not static, but bring deeper levels of meaning to the gathering layers of memory in each return. The process in this particular case achieves its most poignant moment with the shift towards F major during the recapitulation's first subordinate theme (mm. 228-41, ex. 10c). Susan Wollenberg has characterized this passage as "look(ing) back nostalgically to the key in which the theme appeared originally in the exposition."<sup>60</sup> This is an astute observation, but only tells part of the story, for while the brief glow of F major recalls the distant promise of that key, the immediate failure to cadence in m. 233 also reenacts the blighting of that promise, which in various ways has dogged F major throughout the movement and overshadowed it with a sense of both yearning and regret.

---

<sup>59</sup> This last detail is an important component of another comprehensive pattern in the music: across the first half of the movement each successive key region is foreshadowed in the previous region by tonal allusions. As we have seen, F is prefigured in D and A in F. The hanging dominant of F $\sharp$  now looks forward to the central key of the development section. The connection between the last two key areas is made more audible by the parallel prolongation of the same diminished seventh on G $\sharp$  shared by the two tonalities' dominant ninths (mm. 128-131 and mm. 146-9). Thus the movement's outward journey to the most remote tonality of the structure (F $\sharp$  minor) is carefully prepared step by step, with each glimpse into the future immediately realized in the next stage of the form

<sup>60</sup> "Dort wo du nicht bist," 96. She also mentions the return of the A diminished seventh chord as a further reminiscence of the exposition, although this is not linked to the larger gesture of the principal harmonic motive.

### Harmonic Motives and the Perception of the Structure as a Dramatic Whole

The complexity, both emotional and structural, of the first movement of the String Quartet in D Minor, D. 810 is an impressive artistic achievement in itself. Even more impressive, though, is how, out of this complexity, there emerges such highly concentrated, dramatically compelling music. Schubert's success here and in many other masterpieces of his maturity belies the charges of looseness and lack of compositional rigor that colored the judgement of his handling of the form from shortly after his death until the last few decades of the twentieth century.<sup>61</sup> This critical tradition treated even his finest sonata-form movements as essentially flawed structures hampered by a proliferation of unfocussed detail, while his key schemes, particularly his three-key expositions, were portrayed as a wanton expansion of the form—an elevation of the purely sensual over structural logic.

Ironically the very features of the composer's style that were once considered failings—the tonal intricacy of his thematic regions and his pursuit of the sensual in music—are in fact those strengths that allowed him to produce such cohesive and highly expressive works of art. Both are intricately bound up with his use of harmonic motives. Rather than a distracting local occurrence, these motives prove to be a major factor in the music's extremely concentrated character. What is more, through each of their separate functions, they allow this concentration to be felt as a compelling force that animates the whole structure. In their modulatory role, Schubert's harmonic motives enter into the transitional process and infuse it with a consistent pattern that links the various modulations to a central idea. In their referential role, they create a proper focus in an involved network of tonal

---

<sup>61</sup> Among the most influential critics were Felix Salzer (see "Die Sonatenform") and Donald Francis Tovey (see "Franz Schubert," in *The Heritage of Music*, ed H. J. Foss, I: 82-122 [Oxford: Oxford University Press, 1927]). Even James Webster's defense of Schubert against many of their charges still works from the assumption that the composer's sonata forms are often flawed in some way due to his deep-seated "inhibitions," related above all to his handling of the dominant "Schubert—Brahms," I. The full range of criticism by German scholars is reviewed and dealt with very convincingly by Hinrichsen (*Untersuchungen*).

movement by emphasizing specific keys or key relationships. Finally in their expressive role, harmonic motives allow the listener to experience these intricate relationships directly. Here the sensual, or rather sonority itself becomes a means to intelligibility, for these relationships are heard to occur through the return of carefully highlighted harmonic gestures that take on a specific emotional significance. The music dwells on them upon each return so that the listener can sense a certain quality in the sound, arising from a conjunction of register, chordal spacing, melodic configuration and voice leading. Thus the correspondences between the various stages of the form's development are made both audible and emotionally compelling in gestures of anguish, despair and hope that in the end clothe the music in the flesh and blood of human experience.

## References

- Beach, David. 1993. "Schubert's Experiments with Sonata Form: Formal Design versus Underlying Structure." *Music Theory Spectrum* 15: 1-18.
- \_\_\_\_\_. 1994. "Harmony and Linear Progression in Schubert's Music." *Journal of Music Theory* 38: 1-20.
- Black, Brian. 1997. *Schubert's Apprenticeship in Sonata Form: The Early String Quartets*. PhD diss., McGill University.
- \_\_\_\_\_. 2005. "Remembering a Dream: The Tragedy of Romantic Memory in the Modulatory Processes of Schubert's Sonata Forms." *Intersections* 25/1-2: 202-28.
- Boyd, Malcolm. 1968. "Schubert's Short Cuts." *Music Review* 29: 12-21.
- Burnham, Scott. 2000. "Schubert and the Sound of Memory." *Musical Quarterly* 84: 655-63.
- Burstein, Poundie. 2002. "Devil's Castles and Schubert's Strange Tonic Allusions." *Theory and Practice* 27: 69-84.
- Caplin, William. 1987. "The 'Expanded Cadential Progression': A Category for the Analysis of Classical Form." *Journal of Musicological Research* 7: 215-57.
- \_\_\_\_\_. 1998. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York: Oxford University Press.
- \_\_\_\_\_. 2004. "The Classical Cadence: Conceptions and Misconceptions." *Journal of the American Musicological Society* 57/1: 51-117.
- Clarke, Suzannah. 2002. "Schubert, Theory and Analysis." *Music Analysis* 21: 209-43.
- Cohn, Richard L. 1999. "As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert." *19th-Century Music* 22: 213-32.
- Cone, Edward T. 1986. "Schubert's Promissory Note: An Exercise in Musical Hermeneutics." In *Schubert: Critical and Analytical Studies*, edited by Walter Frisch, 13-30. Lincoln: University of Nebraska Press.
- Dahlhaus, Carl. 1986. "Sonata Form in Schubert: The First Movement of the G-Major String Quartet." In *Schubert: Critical and Analytical Studies*, edited by Walter Frisch, translated by Thilo Reinhard, 1-12. Lincoln: University of Nebraska Press.
- Fieldman, Halli. 2002. "Schubert's 'Quartettsatz' and Sonata Form's New Way." *Journal of Musicological Research* 21: 99-146.
- Fisk, Charles. 1989. "Edward T. Cone's The Composer's Voice: Questions about the Persona of Schubert's 'Wanderer' Fantasy." *College Music Symposium* 29: 19-30.
- \_\_\_\_\_. 2001. *Returning Cycles: Contexts for the Interpretation of Schubert's Impromptus and Last Sonatas*. Berkeley: University of California Press.

- Hepokoski, James and Warren Darcy. 2006. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. Oxford: Oxford University Press.
- Hinrichsen, Hans-Joachim. 1994. *Untersuchungen zur Entwicklung der Sonatenform in der Instrumentalmusik Franz Schuberts*. Tutzing: Hans Schneider.
- \_\_\_\_\_. 1988. "Die Sonatenform im Spätwerk Franz Schuberts." *Archiv für Musikwissenschaft* 45/1: 16-49.
- Kerman, Joseph. 1986. "A Romantic Detail in Schubert's *Schwanengesang*." In *Schubert: Critical and Analytical Studies*, edited by Walter Frisch, 48-64. Lincoln: University of Nebraska Press.
- Kopp, David. 2002. *Chromatic Transformations in Nineteenth-Century Music*. Cambridge: Cambridge University Press.
- Laitz, Steven. 1996. "The Submediant Complex: Its Musical and Poetic Roles in Schubert's Songs." *Theory and Practice* 21: 123-66.
- Rosen, Charles. 1988. *Sonata Forms*. New York: W. W. Norton.
- \_\_\_\_\_. 1997. "Schubert's Inflections of Classical Form." In *The Cambridge Companion to Schubert*, edited by Christopher H. Gibbs, 72-98. Cambridge: Cambridge University Press.
- Salzer, Felix. 1928. "Die Sonatenform bei Franz Schubert." *Studien zur Musikwissenschaft* 15: 86-125.
- Sly, Gordon. 1998. "The Architecture of Key and Motive in a Schubert Sonata." *Integral* 9: 67-89.
- Smith, Peter H. 2006. "Harmonic Cross-Reference and the Dialectic of Articulation and Continuity in Sonata Expositions of Schubert and Brahms." *Journal of Music Theory* 50/2: 143-79.
- Sobaskie, James William. 2005. "The 'Problem' of Schubert's String Quintet." *Nineteenth-Century Music Review* 2: 93-114.
- Steblin, Rita. 1996. *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*. Rochester, N.Y.: University of Rochester Press.
- Tovey, Donald Francis. 1927. "Franz Schubert." In *The Heritage of Music*, edited by H.J. Foss: 82-122. Oxford: Oxford University Press.
- Waldbauer, Ivan. 1988. "Recurrent Harmonic Patterns in the First Movement of Schubert's Piano Sonata in A Major, D. 959." *19th-Century Music* 12/1: 64-73.
- Webster, James. 1978. "Schubert's Sonata Form and Brahms's First Maturity, Part I." *19th-Century Music* 2: 18-35.
- Whaples, Miriam K. 1968. "On Structural Integration in Schubert's Instrumental Works." *Acta Musicologica* 40/2/3: 186-95.
- Wollenberg, Susan. 2003. "'Dort wo Du bist, dort ist das Glück': Reflections on Schubert's Second Themes." *Schubert durch die Brille* 30: 91-100.