The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms

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The recent publication of Hepokoski and Darcy's milestone *Elements of Sonata Theory* has opened new avenues for the analysis of sonata-form pieces. The authors codify a background set of norms or options available to the sonata composer, norms that the present-day analyst can use as a starting point when considering the form of a given piece. One of the new avenues opened up by *Elements of Sonata Theory* is a re-consideration of the "three-key exposition" frequently used in nineteenth-century sonata-form movements, particularly those by Schubert and Brahms. Specifically, Schubert adapted a formal technique seen in Classical sonata forms as a framing apparatus for the second and third keys in his three-key expositions. This technique, termed the "trimodular block" by Hepokoski and Darcy, features two cadential breaks (or "Medial Caesuras") that set up secondary thematic areas. While the trimodular block form can be found in several Classical pieces, it rarely frames two secondary keys in pre-Schubertian compositions (indeed, the three-key exposition in general is rare in pre-Schubertian compositions); this expositional layout will be referred to as the "three-key trimodular block exposition."

This article will briefly examine the rare examples of the three-key exposition in Classical sonatas, then trace their evolution into the three-key trimodular block expositions in the works of Schubert and Johannes Brahms. Brahms, who employed the three-key trimodular block in several of his sonata-form expositions, appears to have adopted it specifically from Schubert. While Schubert's influence on Brahms's sonata-form design has been previously discussed at length,[1] the following study will explore this influence specifically in context of the three-key trimodular block

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[1] See, for example, Webster 1977 and 1978 and Smith 2005.

structure.[2] It is hoped the discussion will both add to the growing discourse on sonata form in general and clearly define the concept of the three-key exposition.[3]

Introduction

A glossary of the central terms and abbreviations used in Sonata Theory is provided in Table 1. As defined by Hepokoski and Darcy,[4] sonata-form expositions typically articulate two key areas, with the secondary theme and the second key area often announced by a Medial Caesura (hereafter MC). The MC is most often (in the "first-level default"[5] situation) a half-cadence in the dominant key—or mediant key if the piece is in minor—and features a textural break or relative reduction in texture. Another common option for the MC is a half-cadence in the tonic key (a I:HC), and less commonly, a PAC in the second key (V:PAC or III:PAC).

Example 1 shows the layout and tonal structure of a typical two-part, two-key sonata exposition. By "opening up space" with a cadential break on the dominant chord, the MC sets up the arrival of the secondary theme and the exposition's second key (usually V in major, III in minor). This secondary key generally culminates in the *essential expositional closure* (EEC), the first satisfactory PAC in the new key that proceeds to differing material.

However, complications may result if a composer somehow thwarts one of the two expectations that arise once the exposition has reached the secondary key and secondary theme after the MC is articulated: 1) remaining in this secondary key for the remainder of

[2] A similarly focused study of a specific expository technique in Brahms's sonata-form works can be found in Smith 2005, 133ff: Smith focuses on the "double second group" that features a "modal shift" within the second key area and suggests that Schubert's expositional strategies were not the only influence on Brahms.

[3] The actual definition of a three-key exposition in previous discussions often varied, as did the criteria for what constituted a "real" second key area.

[4] Hepokoski and Darcy 2006 and 1997.

[5] Hepokoski and Darcy 2006, 25.

Table 1. Glossary of Sonata Theory terms (Hepokoski and Darcy 2006).[6]

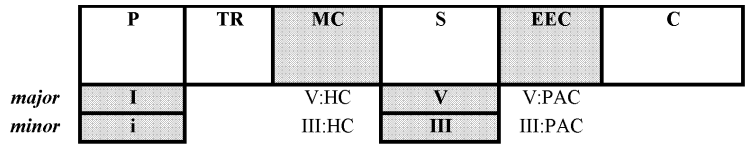
P	Primary theme zone ("1st theme"): opening thematic unit
TR	Transition zone ("bridge"); energy-gain, leads to **MC**
MC	Medial Caesura; typically a V:HC or III:HC (or I:HC, V:PAC that divides the exposition into two parts
S	Secondary theme zone ("2nd theme"); first thematic group in secondary key
EEC	Essential Expositional Closure; 1st satisfactory PAC in secondary key in *Exposition* that proceeds to differing material; marks the end of **S** and the beginning of **C**
C	Closing zone; post-cadential modules that confirm the secondary key
TMB	Tri-modular block; exposition with TWO MCs instead of one; the first of the MCs is accepted. Creates a "three-part exposition"[7]

TMB subsections:

MC1:	First Medial caesura
TM1	Secondary theme [Part 1 of TMB] that *fails to achieve EEC*. Usually leads to….
TM2	Energetic, TR-like section that leads to…
MC2:	Second Medial caesura [Note: Hepokoski and Darcy refer to this as a "Post-Medial Caesura" (PMC)]
TM3	Another Secondary theme [Part 3 of TMB] that *does achieve EEC*. Can often be the "real" S theme
ESC	Essential Structural Closure; 1st satisfactory PAC in tonic key that proceeds to differing material in *Recapitulation* (generally corresponds to EEC)
FS	*Fortspinnung*; when no satisfactory MC is articulated, TR dissolves into FS

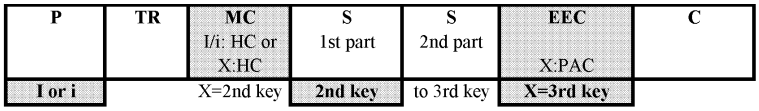
[6] The full glossary of their terms appears on Hepokoski and Darcy 2006, xxv–xxviii.
[7] Burstein 2006.

Example 1. Generic layout, two-part (two-key) exposition.



the exposition and 2) confirming a secondary key with EEC with no further cadential breaks. Let us consider these two points separately. If the secondary theme in the second key at some point seems to "wander" to another key, and cadential confirmation (EEC) occurs in this third key, we are dealing with a three-key exposition. The two primary components of the second part of the exposition, the initial secondary theme (S) and the cadential closure (EEC), occur in two separate keys rather than the same key.[8] This layout is shown in Example 2a.

Example 2a. Generic layout, three-key (single MC) exposition.



For the purposes of this paper, I define a three-key exposition as having three clearly defined key areas with different tonal centers. The second key is established at the outset of S (or the first unit of a "trimodular block," TM[1]), defined as following a MC or MC-effect, and the third key is the key in which EEC occurs.[9]

[8] This aspect of the three-key exposition has been referred to previously with various terms; for example, the "double second group" (Webster 1978), and the "modulating subordinate theme" (Caplin 1998, 199).

[9] This definition excludes pieces that, for example, visit a foreign key before the MC within the transition zone (for example, the pre-MC ♭III "episode" in Beethoven's Fourth Piano Concerto, first movement), continuous "three-key expositions" with no MC and therefore no S theme (an example of this extremely rare layout is the i–III–v opening movement of Haydn's "Farewell" Symphony), or expositions in which S comprises two modes of the same tonal center (for

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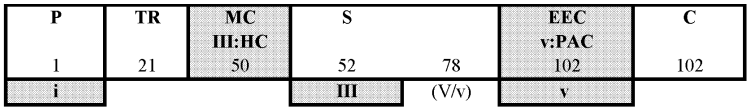
Example 2b. Beethoven, Coriolan Overture, exposition, formal layout.



Our first example, the exposition of Beethoven's *Coriolan* Overture, is one of only a handful of three-key expositions composed before 1810. The exposition contains a second theme that "wanders" to a third key. In this exposition, a slightly unusual (or deformational[10]) V♯/III MC in m. 50 sets up the secondary theme in E♭ major (III), which begins in m. 52. As shown in Example 2b, III, the usual secondary key of a minor-key exposition, seems to have arrived in m. 52, and is expected to remain intact until a III:PAC EEC. However, Beethoven swerves sequentially away from III; a transition-like section in m. 78 leads to the v:PAC EEC in m. 102.[11] Thus v, not III, is the final secondary harmony of the exposition. The key area of III, the first secondary harmony, *is* given some emphasis with the III:HC MC and the lyrical S theme that follows it in III. This emphasis would be lacking in an exposition without a MC and secondary theme.[12] In addition, III is the normative secondary harmonic goal of most minor-key expositions, which heightens the rhetoric of "we have arrived where we belong, both thematically and harmonically" in m. 52. Although a detailed discussion of the intersection between formal, thematic, cadential events and voice-leading hierarchy is

example, the opening movement of Brahms's First Symphony, i–III–iii, or Third Symphony, I–III–iii).

[10] Deformational is a term coined by Hepokoski and Darcy for events resembling a defined element yet having some kind of unusual feature or variation, in this case the inversion of the dominant.

[11] An alternate reading could place EEC in m. 114 instead, somewhat of a stronger v:PAC effect than that in m. 102. Hepokoski and Darcy (2006, 179) place the EEC in m. 102.

[12] For example, the first movement of Haydn's "Farewell" symphony mentioned earlier, a "three-key exposition" without any cadential breaks.

beyond the scope of this paper, it is important to note the emphasis placed on the second of the exposition's three keys by the MC and the lyrical theme that follows.

Despite the fact that G minor is the ultimate goal of the exposition's harmonic trajectory, there is no MC in G, nor a normative S theme in G; these events occur instead in E♭ major earlier, suggesting a sleight of hand by Beethoven. Also, Beethoven splits two of the exposition's duties—the secondary theme and the EEC—into two separate keys; as noted above, both of these events normally occur in the same key. In addition to the *Coriolan* exposition, this three-key "splitting of duty" format can be found in several of his other sonata expositions.[13] Beethoven, among others, also created a different kind of three-key exposition, in

[13] These pieces are the second movement of his Piano Trio op. 1, no. 2 (I–V, ♮III), the fourth movement of String Quartet op. 29 (I, ♭VI, V) and the first movements of Violin Sonata op. 12, no. 2 (I–vi, V); Piano Sonata op. 10, no. 3 (I–vi, V); the Fifth Piano Concerto (I–♭vi, V; note that in this exposition the S theme, first heard in ♭vi, is soon "corrected" and re-played in V); and Cello Sonata op. 102, no. 1 (i–VII, v). In most of these pieces, the second key set up by the MC is in a generically unacceptable secondary key (such as ♭III, vi, or ♭VI), yet the secondary theme seems to temporarily accept this "faulty" key before proceeding onward to the more normative key in which the exposition closes and EEC occurs. Hepokoski and Darcy 2006 describe the vi:HC MC in Piano Sonata op. 10, no. 3 as a "premature and 'wrong-key' MC-effect…stopped in its tracks by a fermata" (176). Rosen (1980, 235–36) agrees, but Covington and Longyear (1988, 465) discount this as a three-key exposition (calling such identification "mislabeling"), reading the vi theme as a transitional theme. The earliness of the vi:HC is indeed bound to cause such reluctance to call this a "MC," yet the fact that an "S-like," lyrical, periodic theme (though in a deformational key) follows it, combined with the MC rhetoric of what proceeds it (and Beethoven's three-key tendencies in general), places this more as a three-key exposition in the author's interpretation. Such ambiguous and problematic expositions, however, are perhaps the reason why slightly different definitions of the three-key exposition exist in previous research and why the phrase is almost always in quotes. Furthermore, as will be discussed below, several three-key expositions by Schubert and Brahms arrive at the second key relatively early after the (first) MC; keeping this in mind when examining pieces such as op. 10, no. 3 helps inform the lineage of the three-key expositions. In his Piano Trio op. 1, no. 2, the reverse occurs: the usual key (V) is accepted, but the consequent phrase of the S theme is interrupted by a *fortissimo* V♯/♮III chord (m. 34), which sets up a lyrical, cadential theme in the unexpected key of ♮III, in which EEC occurs (m. 40). The normative secondary key thus collapses, unable to secure its cadential closure, and the chromatic mediant key instead becomes the exposition's final key, resulting in a failed exposition (see Hepokoski and Darcy 2006, 179; and Hepokoski 2001).

which a seemingly normative MC is suddenly jerked into an unexpected key; this new key presents a secondary theme, but soon gives way to a third, more normative key.[14] This creates the impression that the second key was a detour, a *non-sequitur* harmony that in some way declines the MC—this technique, as will be discussed below, is important in later three-key trimodular block expositions.

Beethoven's three-key expositions generally split the two expositional duties of articulating a secondary theme and reaching cadential closure into two keys and are two-part expositions with only one cadential break. They can be further categorized thus: 1) the S theme is a *non-sequitur* harmonic detour that later recovers to the proper key,[15] 2) S goes astray from the initial, normative key which collapses into a deformational key,[16] 3a) S is sounded in an unusual secondary key, though this key is approached with a "proper" cadential break on its dominant, and S then modulates to the more normative key,[17] or 3b) S is approached normatively and is in a normative key, but then migrates to another "generically acceptable key."[18] Note that this can only occur in a minor-key exposition, since both III and v are acceptable options for the secondary key.[19] Categories 3a and 3b both involve a normative

[14] This occurs, for example, in the finale of String Quintet op. 29 (in which the root of the V/V at the V:HC MC, D, slides up to E♭ in the second violin and viola, setting up S in ♭VI, a short 7-measure periodic theme that ends with a PAC in V, the normative third key of the exposition), the first movement of the Eighth Symphony (I–VI, V, in which a tentative MC-effect crystallizes into a VI:HC effect and S in VI, which is then re-played almost immediately in V, retroactively rendering VI as a quick "detour" harmony) and the final movement of the same symphony (I–♭III, V, in which a V:HC MC is jolted into ♭III by S, but S is then replayed in V, again creating the retroactive detour rhetoric). Other examples of this can be found in works Beethoven and others and are included in Example 6 below.

[15] For example, in the first and last movements of the Eighth Symphony.

[16] As in the slow movement of Piano Trio op. 1, no. 2.

[17] As in the first movement of the piano sonata, violin sonata, cello sonata, and piano concerto discussed in n11; note that the second key in the first three of these is diatonic to the home key, while the second key in the piano concerto is a chromatic mediant relationship.

[18] Hepokoski and Darcy 2006, 179; this occurs, for instance, in the *Coriolan* Overture.

[19] Minor v is a more common secondary key in minor-key expositions earlier in the 18th century; Mozart and Haydn rarely use v as their secondary key in minor-

approach to the second key, a cadential break in the second key, and a secondary theme beginning in the second key. Beethoven's three-key expositions, as well as earlier three-key expositions by Scarlatti, Haydn, Mozart, Benda, and Clementi (all of which were possible models for Beethoven), provide important precedents (and possibly models) for Schubert's three-key expositions.

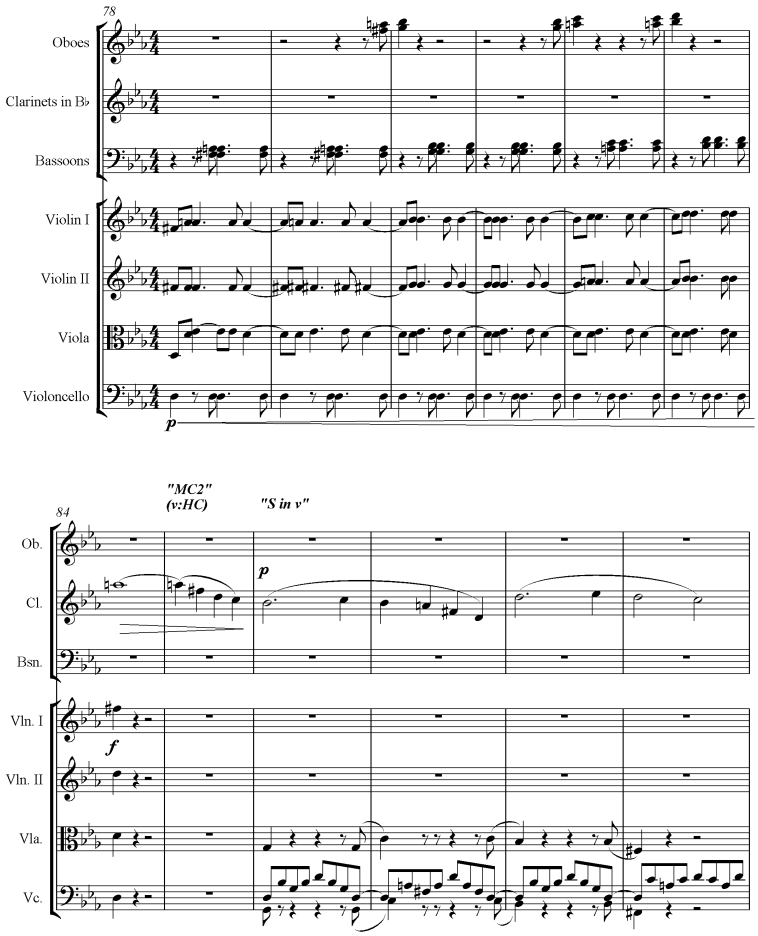
We now consider the second point raised above about the expectations created at the moment of the secondary theme: that the exposition would proceed to EEC with no further cadential breaks. One could imagine a slightly different path in *Coriolan*, one in which the dominant-lock that begins with the V/v in m. 78 does in fact proceed to a second cadential break, a v:HC MC, followed by another "S"-like theme in v. Example 2c shows a hypothetical re-composition of m. 78ff, in which the renewed dominant-lock in V/v leads to the articulation of a v:HC MC, followed by the S theme replayed in G minor.

If this structure occurred in the *Coriolan* overture, it would be classified as a three-key "trimodular block" exposition, in which two cadential breaks (MCs) introduce the second and third keys of the expositions. In this layout, neither of the two expectations outlined above would have been fulfilled: the music would not have remained in the key set up by the first MC, nor would it have proceeded to Essential Expositional Closure in that key; instead, a second MC would set up the third key, in which Essential Expositional Closure occurs.

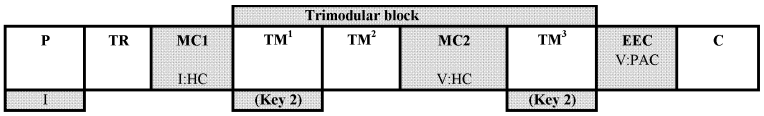
Example 3a shows the layout of a generic two-key exposition with a trimodular block. The first MC (most often a "second-level default" I:HC) sets up TM^1, the first part of the block that is generally a thematic (or quasi-thematic) module in the secondary key with an important flaw: it fails to achieve EEC. This flaw is often foreshadowed by features within TM^1, such as modal ambiguity and harmonic instability, or by forms such as a

key expositions, although Clementi revives this tradition in his pieces, particularly his three-key expositions later in the 18th century (and beyond). In some ways, expositions ending anomalously in v in later Haydn, Mozart and Beethoven works thus seem like "throwbacks" to the earlier Classical sonata exposition tradition (see Covington and Longyear 1988, 449n2; and Rosen 1980, 147, for further discussion on this topic).

Example 2c. Beethoven, Coriolan Overture, mm. 78–89, re-composition.

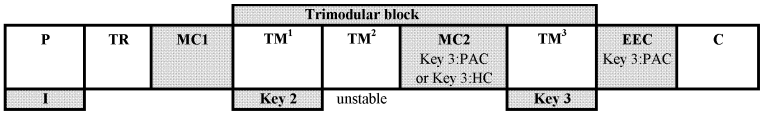


Example 3a. A typical trimodular block exposition (TMB),[20] major key.



dissolving period or a dissolving sentence. In the dissolving period, the antecedent veers away from the expected conclusive cadence and leads to (or begins) the transition-like TM² section; in the dissolving sentence, the continuation section leads to (or begins) the transition-like TM² section. TM² re-invigorates the musical texture and drives towards the second MC (typically a "first-level default" V:HC or III:HC), which then sets up TM³, another thematic module, still in the second key. TM³ then proves capable of accomplishing what TM¹ could not accomplish: Essential Expositional Closure.

Example 3b. Three-key trimodular block exposition (3-key TMB).



As Hepokoski and Darcy note,[21] in a three-key exposition each of the two MCs generally "triggers" a key area: MC1 the second key and MC2 the third key, as shown in Example 3b. The three-key trimodular block is rare in pre-1800 sonata expositions, but quite common in 19th-century works, particularly by Schubert and Brahms (two-key trimodular block expositions, shown in Example 3a, on the other hand, are fairly common in Classical-era pieces[22]).

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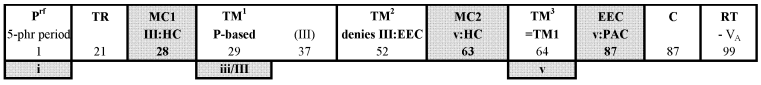
[20] The most common deployment of the two MCs is I:HC–V:HC, although other pairings, such as V:HC–V:HC or even V:HC–V:PAC can also be found.

[21] Hepokoski and Darcy 2006, 177.

[22] Well-known examples include Beethoven's Piano Sonata op. 2, no. 3, first movement; Mozart's Symphony K. 183, first movement; and Haydn's Piano Sonata Hob. XVI/50, first movement.

Example 4. Mozart, Piano Sonata K. 310, third movement, formal layout.



One of these few Classical three-key trimodular block expositions is the final movement of Mozart's Piano Sonata K. 310, a Type 4/Sonata-Rondo. The layout of the expositional rotation is shown in Example 4; note that "P^{rf}" refers to the primary theme zone that acts as a refrain in a Type 4 sonata. A brief TR zone, beginning in m. 21, drives towards a normative V/III MC in m. 28; in a minor-key exposition, of course, major III is expected as the secondary key area. However, several oddities are already present; the MC is quite brief, hardly leaving any time to breathe after the V/III chord, and the P-based TM^1 theme just after it, in m. 29, is in C *minor*, a deformation of the expected key of C major.[23] Mozart seems to have righted the ship, however, by m. 36, when C major makes its first appearance. All signs point towards the III:PAC EEC that is the expected goal of the exposition.

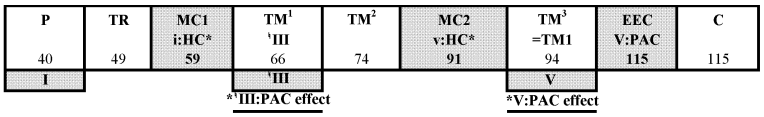
Our expectations are not fulfilled; only an IAC in C is articulated (m. 44), and the music then seems to give up the quest for closure in C, veering away from C towards V of e minor in m. 63, the second MC. E minor, *not* C major, is accepted as the harmonic goal of the exposition, as TM^3 begins in m. 64 with yet another setting of the Primary theme in e minor (now in the left hand), and the EEC is reached with the PAC in e minor (v:PAC) in m. 87.

In this exposition, the first MC proposes C (III) as the second key area, but the music seems to "hover", searching for the C:PAC before giving up and moving on to the TM^2 section. By contrast, in *Coriolan*, the second key (III) was abandoned fairly quickly during the sequential repetitions of S. In both expositions, however, the third key that follows the "failed" yet normative second key is *another* normative key (if less normative by late 18th-century

[23] It is possible that Mozart might have chosen to maintain the modality of the Primary theme to heighten the thematic connection.

standards; see n17 above), the minor dominant—in other words, both expositions exemplify Category 3b from the list proposed above. Although fairly rare, having similar TM[1] and TM[3] themes, which invokes the rhetoric of theme and variations, is a strategy sometimes employed in Classical two-key trimodular block expositions.[24] When employed in a three-key trimodular block exposition, this layout creates the impression of correcting the key of the theme, particularly when the third key is a more normative secondary key and the second key is deformational.

Example 5a. Cherubini, Les deux journées*, overture, formal layout.*



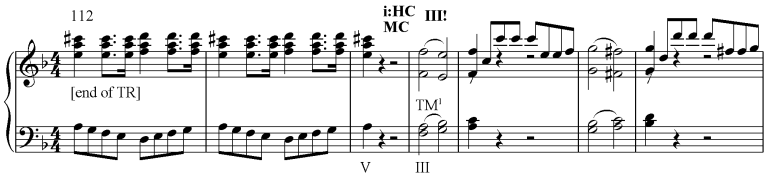
This is precisely the case in Cherubini's *Les deux journées* overture in E major, composed in 1800, which, according to Hepokoski and Darcy was a likely formal model for Franz Schubert's three-key trimodular block expositions.[25] As in Mozart's K. 310, Cherubini triggers each of the second two keys with its own MC (see Example 5a). However, the second key (G major) is not a normative secondary key and is introduced by a deformational i:HC that meanders away from the tonic through expanded, modulating caesura-fill[26] (mm. 60–65). The caesura-fill enacts an auxiliary cadence (ii–I$^{6}_{4}$–V–I) in G major (♭III); the final V–I motion of this auxiliary cadence creates the effect of a ♭III:PAC before TM[1] proper begins in m. 66. A MC that uses a PAC in the secondary key is termed by Hepokoski and Darcy as a "third-level default" MC, and differs from I:HC and V:HC MCs in two important ways: it is a cadence of resolution rather than expectancy, thus creating a much different set-up for the theme that follows it, and if it occurs late in the exposition, it can appear

[24] For example, Beethoven's Trio WoO. 37, first movement; and Haydn's Piano Sonata Hob. XVI: 50, first movement. Hepokoski and Darcy (2006, 171n5) note the rarity of this thematic repetition within Classical trimodular blocks.
[25] Ibid., 177.
[26] Ibid., 41.

to be a candidate for EEC.[27] Furthermore, it is a "pre-emptive" moment of arrival in the second key, which can be significant if the key is abandoned within the following thematic zone. The fact that Cherubini employs both modulatory caesura-fill and PAC effect for a MC is significant, as Schubert often does so as well.

The first caesura in *Les deux journées* invokes a specialized type of harmonic "redirect" or "*non-sequitur*" motion out of the MC; some minor-key works written before 1800 articulate a clear i:HC MC after a non-modulating transition zone, but the material following it is suddenly in III.[28] For example, consider Mozart's Piano Concerto K. 466, first movement (see Example 5b), in which the *Sturm und Drang* transition zone culminates in a i:HC MC, followed by the *dolce* but upwardly sequential theme in the oboes (which will ultimately give way to a TM² section and a second MC).[29] This shift is in dialogue with Hepokoski and Darcy's

Example 5b. Mozart, Piano Concerto K. 466, first movement, mm. 112–18.



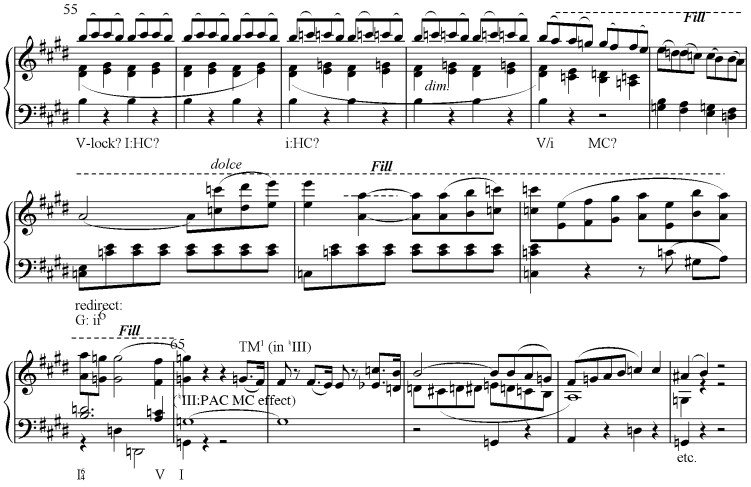
[27] Ibid., 27.

[28] Examples of this can be found in Haydn's Symphony no. 34, first movement; several Sonatinas and Sonatas by Benda; Dussek's Piano Sonata op. 35, no. 3, first movement; Dussek's Piano Concerto op. 49, first movement; Beethoven's Piano/Flute/Bassoon Trio WoO. 37, first movement; and Mozart's Symphony no. 25, K. 183, first movement. Benda, in particular, often uses this technique to set up the second key of a three-key i–III–v trimodular block exposition. This occurs in his Sonatina VI; Sonata VII, first movement; Sonata XII first movement; and Sonata XV, first and third movements.

[29] This is from the "solo exposition" or "second exposition;" this passage also appears in the first exposition, but does not lead to a trimodular block construction as it does in the second exposition. This was a typical layout Mozart used in his piano concerti to "showcase" a new theme within a trimodular block in the second exposition; however, unlike the K. 466, most examples of this present the new secondary theme as TM¹ in the second exposition, and the secondary theme from the first exposition appears as TM³. See Hepokoski and Darcy 2006, 537ff.

concept of "MC declined," in which the material following a proposed MC fails to "accept" it and proceed onward to a satisfactory secondary theme in the secondary key.[30] However, in a situation such as the one in K. 466, although the mediant key is unexpected after the i:HC, it is a "proper" secondary key and the sequential theme is an acceptable, if slightly harmonically unstable, S candidate. Cherubini seems to be invoking this *non-sequitur* MC effect, although he smooths over the jarring shift from V of the tonic to ♮III with the *dolce* ii^{6}–I$^{6}_{4}$–V–I modulatory caesura fill (see Example 5c).

Example 5c. Cherubini, Les deux Journées*, overture, mm. 55–67.*

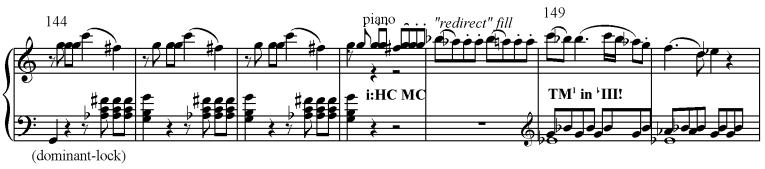


A possible model for Cherubini's modal "caesura shift" is Mozart's Piano Concerto K. 503, in which a i:HC MC leads to a *non-sequitur* secondary theme in ♭III, smoothed over by briefer modulatory caesura fill that bridges the gap between the G-major and E♭-major harmonies (see Example 5d). Like the Cherubini overture, this example involves a major-mode exposition moving to the chromatic mediant key, which initiates a three-key trimodular block, creating the expositional layout of I–♭III–V. In both, the articulation of a minor tonic half-cadence leading to an

[30] Hepokoski and Darcy 2006, 46.

unexpected key invokes a minor-key i:HC–III approach to S, and still creates the impression of a "detour" or harmonic *non-sequitur* in spite of the redirective caesura-fill; this technique will be important in some of Schubert's three-key TMB's discussed below.

Example 5d. Mozart, Piano Concerto K. 503, first movement, mm. 143–49.



While the second of the three keys in Cherubini's three-key TMB is abandoned fairly rapidly, as it was in Mozart's K. 310 and K. 503, it is a bit more stable and receives two Imperfect Authentic Cadences before being left behind. In both of these examples, the second of the three keys can be described as having a "moderate" or "mild" degree of strength. Considered in combination with Beethoven's two-part, three-key expositions, we can now summarize the three-key expositions found in works of Schubert's predecessors. These are sorted into the three categories proposed above, as well as a new "Category 1b" which accommodates the unique three-key expositions of Benda. Benda frequently employs a i-III-v trimodular block exposition in which the second key, III, is preceded by a i:HC MC, creating the *non-sequitur* effect discussed above; however, the music lingers in III for a bit longer before being dismissed (as in *Coriolan*) and giving way to v, the third key of the exposition.[31] The categories used in Example 6 are thus: 1) *non-sequitur* preparation of the second key in which a) the second key is deformational but a normative key is recovered for the third key or b) the second key is a normative key, as is the third key (i–III–v), 2) the second key is a normative key prepared properly, but the third key is deformational, 3a) the second key is prepared properly, but is

[31] Two expositions remain in III well into TM³, only giving way to the third key, v, at the very last minute, rendering v as an "afterthought" key. These are indicated with an asterisk in the table.

deformational and the third key is normative, and b) the second key matches the MC and is normative, as is the third key (i–III–v).

Example 6. Pre-Schubertian three-key expositions.[32]

(T=Trimodular block exposition) (*: "afterthought" 3rd key)

(1a) 2nd key def., *non-seq* 3rd key normative	(1b) 2nd key norm. *non-seq* 3rd key normative	(2) 2nd key normative 3rd key deformational
Diatonic 2nd key		
Scarlatti: Sonata K. 402 **(i-VII-v)**^{T}	Benda: Sonatina 6 **(i-III-v)**^{T}	Beethoven: Piano Trio op. 1 #2 ii **(I-V-VIII)**
Beethoven: Sonata op. 28 i **(I-iii-V)**	Benda: Sonata 15 i **(i-III-v)**^{T}	
Dussek: Piano Sonata op. 61 **(I-VI-v)**	Benda: Sonata 15 iii **(i-III-v)**^{T}	
Beethoven: Symphony 8 i **(I-VI-V)**	*Benda: Sonatina 13 **(i-III-v)**^{T}	
	*Benda: Sonata 7 i **(i-III-v)**^{T}	
Chromatic 2nd key		
Haydn: Piano Trio 24 i **(I-bIII-V)**		
Mozart: Piano Concerto K. 503 i **(I-bIII-V)**^{T}		
Beethoven: Str. Quartet op. 18#3 i **(I-bVII-V)**		
Cherubini: *Les Deux Journees* **(I-bIII-V)**^{T}		
Beethoven: String Quintet op. 29 iv **(I-bVI-V)**	**(3b) 2nd key normative 3rd key normative**	
Beethoven: Symphony 8 iv **(I-bIII-V)**		

(3a) 2nd key deformational 3rd key normative	
Diatonic 2nd key	
Beethoven: Vln. Sonata op. 12 #2 i **(I-vi-V)**	Mozart: Piano Sonata K. 310 iii **(i-III-v)**^{T}
Beethoven Pno. Sonata op. 10 #3 i **(I-vi-V)**	Benda: Sinfonia 7 ii **(i-III-v)**
Beethoven: Cel. Sonata op. 102 #1 i **(i-VII-v)**	Benda: Sonata 9 i **(i-v-III)**
Chromatic 2nd key	Dussek: Sonata op. 10 #3 ii **(i-III-v)**^{T}
Beethoven: String Quintet op. 29 iv **(I-bVI-V)**	Clementi: Sonata op. 26 #2 i **(i-III-v)**^{T}
Beethoven: Piano Concerto 5 i **(I-vi-V)**	Clementi: Sonata op. 34 #2 ii **(i-III-v)**^{T}
	Clementi: Sonata op. 40 #2 i **(i-III-v)**^{T}
	Beethoven: *Coriolan* **(i-III-v)**

The Three-key Trimodular Block in Schubert's Pre-1824 Expositions

Throughout his career, Franz Schubert employed the three-key exposition quite frequently and when doing so, often used the double cadential break (trimodular block) structure to frame the second and third keys.[33] As James Webster suggests, he was likely inspired by Beethoven's *Coriolan* overture[34] as well as Cherubini's

[32]This is a more-or-less complete list of three-key expositions found from a representative survey of sonata-form works in Mozart, Haydn, Beethoven, Dussek, Clementi, Scarlatti, and Benda.

[33] 129 sonata-form movements were surveyed in this study; 44 of these, approximately one-third, are three-key expositions (34%). While alternate interpretations are possible, out of the 44, only 9 are clearly *not* trimodular blocks.

[34] Webster 1978, 27 and 31.

Les deux journées overture, although it is possible that he was aware of the other three-key expositions listed in Example 6 above.[35] Webster refers to the second and third key areas in Schubert's three-key expositions collectively as a "double second group."[36] I wish specifically to examine the formal prototype of the three-key trimodular block exposition and Schubert's adoption of techniques found in the previous three-key expositions (both two-part and trimodular blocks) shown in Example 6.

Schubert often articulates the second key more emphatically than in any previous three-key expositions through formal, thematic, and/or cadential reinforcement. Of course, cadential reinforcement is one of the strongest methods of confirming a harmonic area, at least at the musical surface. Indeed, Schubert often articulates a perfect authentic cadence in the second key before moving on to the third key and its own PAC or PACs. This strategy somewhat undermines TM[1]'s flawed or fleeting rhetoric discussed above, at least harmonically, and heightens the impression that the second key is the exposition's final key. Out of the 21 three-key TMB expositions written between 1814 and 1820, seven contain "strong" second key areas that are strengthened by the extra MC and various other methods of harmonic articulation.[37] One two-part three-key exposition also exhibits a strong second key area, the Overture to *Claudine von Villa Bella*, whose second key (IV) fills most of the second half of the exposition. The final key, V, enters only hastily at the end at the V:PAC EEC. This overture is perhaps best viewed as an extreme case of Schubert's experimentation with a strong second key, as well as a possible nod to the "afterthought" third key layout seen frequently in Benda's works.

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[35] Schubert's early training included lessons with Salieri, and his exposure to Italian opera—and opera overtures—as well as Schubert's desire to become an opera composer, were important in his development. Although a specific indication that Schubert attended a performance of *Les deux journées* cannot be found, it is highly likely given the work's popularity at the time, the tutelage of Salieri, and his association with Josef von Spaun, with whom he attended several opera performances (Winter 2009).

[36] This is a phrase adopted from Donald Francis Tovey. Op. cit., 26.

[37] Of all the three-key expositions listed above, only the Scarlatti K. 402; Clementi sonatas; Dussek op. 10, no. 3; and Benda's "afterthought" third key expositions contain strong second keys.

The following table lists these early Schubert three-key expositions, the types of MC used, and the strength of the second of the three keys using the loose categories weak, mild, and strong; this label is based primarily on the cadential, thematic, and durational "weight" of the second key.[38]

As Example 7 shows, Schubert experimented with all categories and strategies seen in earlier three-key expositions.[39] He clearly absorbed the models, experimenting with similar layouts while beginning to make his own strategic modifications. His most notable modification is having a strong second key, whether it was a generically acceptable secondary harmony (such as III in a minor-key exposition) or not.

The first movement of Schubert's Second symphony (1814), laid out in Example 8a, provides a good example of his "strong" second key treatment in a three-key trimodular block layout, as well as some of his modifications to certain expositional elements. The explosive TR onset in m. 23, energetic as in any Classical transition section, culminates in a half-cadence, a "hammer-blow" chord, and a measure-and-a-half cadential break in m. 48; this potential ii:HC MC candidate, however, leads not to a secondary theme, but rather to a continuation of the transition zone. Although the bustling

[38] Please note that these categories are only a loose, initial categorization intended as a starting point for discussion on the three-key layout; they are three rough points along a spectrum that takes various musical criteria into consideration. Most of the pieces require their own individualized, nuanced discussion, which of course is beyond the scope of the present study.

[39] The three-key expositions from Schubert's early period that I do not view as having trimodular blocks are included on the table for purposes of comparison with earlier examples. Not included on the chart are two examples of the remarkable *four-key* exposition, in which four separate keys are clearly articulated, each with a viable thematic zone: the first movement of Piano Sonata D. 575 (I–♭VI–IV–V) and the second movement of the "Trout" Piano Quintet, D. 667 (I–♯i–VI–II). Furthermore, please note in Schubert's "1b" examples, although major V is not a normative secondary key in minor-key expositions, it is shown for purposes of comparison with the *non-sequitur* examples from Benda; it could also be considered part of category 2, since the second key (III) is normative, and the third key is deformational or, as Hepokoski and Darcy refer to it, "normatively unavailable" (2006, 315n18). Schubert would also employ this layout in the first movement of the later "Death and the Maiden" String Quartet, although the *minor* dominant (v) closes out the exposition after the i–III–V layout. This exposition will be discussed later in the paper.

Example 7. Schubert's early three-key expositions (compare to Example 6).

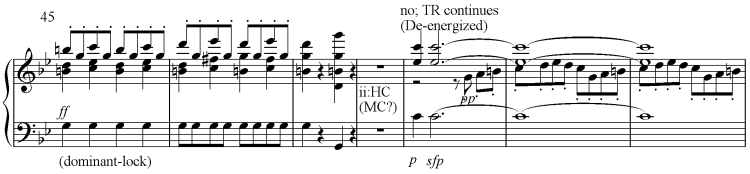
					Bold: non-seq			* - chromatic
***Piece* (*-unfinished)**	***Date***	***Key 1***	***Key 2***	***Key 3***	***MC1***	***MC2***	***Strength of Key 2***	***Category***
Overture D. 8	1811	I	VI	IV	(VI)	IV:HC	Mild, stable	**?**
Overture D. 11 (Spiegel)	1811	I	vi (,I)	V	vi:HC		Weakened by I	**3a**
String Quartet D. 36, i	Feb 1813	I	II	V	II:HC	V:PAC	mild	**3a**
String Quartet D. 68, i	Aug 1813	I	vi	V	vi:HC		Mild	**3a**
String Quartet D. 112, i	Sept 1814	I	vi	V	vi:PAC	V:PAC	Weak	**3a**
Symphony #2, i	Mar 1815	I	IV	V	IV:PAC	V:HC	Strong	**3a**
Symphony #2, iv	Mar 1815	I	IV	V	IV:PAC	V:HC	Strong	**3a**
String Quartet D. 173, i	Apr 1815	i	III	v	III:PAC		Mild	**3b**
Vierjahrige Posten ovt	*May 1815*	*I*	*V*	*IV,V*	*V:HC*	*IV:PAC*	*Strong; IV "expunged"*	
Symphony #3, iv	Jul 1815	I	IV	V	IV:PAC	V:PAC	Mild	**3a**
Claudine Overture	1815	I	IV	V	**I:HC**		Very strong	**1b**
String Quartet D. 353, iv	1816	I	V	♭III	V:PAC	V:AC	Strong	**2**
Violin Sonata D. 385, i	Mar 1816	i	III	VI	III:PAC	VI:PAC	Strong	**2**
Violin Sonata D. 408, i	Apr 1816	i	III	VI	III:PAC	"VI:PAC"	strong	**2**
Symphony #4, iv	Apr 1816	i	VI	III	VI:PAC	III:PAC	Mild	**3a**
Piano Sonata D. 537, iii	Mar 1817	i/I	IV	V	**ii:HC**	V:HC	weak	**1a**
Piano Sonata D. 570 *	Jul 1817	i	III	v	III:PAC	v:PAC	Weak	**3b**
Violin Sonata D. 574, i	Aug 1817	I	♭VII	V	♭VII :IAC	V:PAC	weak	**3a***
Violin Sonata D. 574, iv	Aug 1817	I	♭III	V	**I:HC**	V:PAC	Mild	**1a***
Overture D. 590/592	Nov 1817	I	♭III	V	**V:PAC**	V:PAC	Weak (Detour)	**1a***
Overture D. 591/597	Nov 1817	I	VI	V	VI:HC		Mild	**3a**
Piano Sonata D. 613 i *	Apr 1818	I	♭III	V	**V:HC**	V:PAC	Weak (Detour)	**1a***
Piano Sonata D. 613 ii*	Apr 1818	I	III	V	**♭ii:HC**		Mild	**1a**
4-hand sonata D. 617, i	Aut 1818	I	♭III	V	**V:IAC**	V:PAC	Weak (Detour)	**1a***
4-hand sonata D. 617, iii	Aut 1818	I	♭VI	V	**V:IAC**	V:PAC	Mild	**1a***
Zwillingsbruder Overture	Jan 1819	I	♭III	V	**I:HC**	V:PAC	Weak (Detour)	**1a***
Overture D. 648	Feb 1819	i	III	V	**i:HC**		Weak	**1b**
Piano Sonata D. 655 *	Apr 1819	i	III	V	**i:HC**		Mild	**1b**
4-hand Overture D. 675	Nov 1819	I	♭III	V	♭III :PAC	V:HC	Strong	**3a***
Quartettsatz	Dec 1820	i	VI	V	VI:PAC	V:PAC	Strong	**3a**

Example 8a. Schubert, Symphony no. 2, first movement, exposition, formal layout.

P	**TR**	**break/MC?**	**TR (cont)**	**[No clear**	**TM[1]**	**TM[2]**	**MC2**	**TM[3]**	**EEC**	**C**
		ii:HC	*"De-energ"*	**MC]**	**(ABA')**		**V:HC**	**(P-based)**	**V:PAC**	
11	23	**48**	49	**80**	80	126	**180-3**	184	**223**	223
I					**IV**			**V**		

energy of the P theme continues after the "gasp for air" break in m. 48, the dynamic has dropped to *pianissimo*, and remains there until the onset of the next module (see Example 8b).

Example 8b. Schubert, Symphony no. 2, first movement, mm. 45–51.



The module in mm. 49–80 is an example of Hepokoski and Darcy's "de-energizing transition," [40] rare in 18th-century expositions, but commonly used throughout the nineteenth century, in which a transition loses its intensity somewhere along the way (either gradually, or suddenly, as in the current example), "unable to summon up the will to continue to produce the normative energy-gain all the way to the end." [41] The authors propose that this technique had its roots in eighteenth-century MCs that were "filled" with a $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$ descent and a *decrescendo*, resulting in both an elided PAC effect into the beginning of the secondary theme and a relaxing of energy coming into the (usually) gentler secondary theme.[42] It is also in dialogue with expanded modulatory caesura-fill, which is "called upon to accomplish a modulation to the generically proper key (IV in this case) following a deformationally "wrong-key" MC." [43] Here, the "wrong-key" ii:HC MC candidate in m. 48 is connected to the first secondary theme by the de-energizing transition material, which "redirects" the harmony from c minor to E♭ major, eliding directly into the thematic material that begins in m. 80 without articulating another clear medial caesura.[44]

TM1 is a lengthy, ternary-form thematic module: A (mm. 80–96) a period structure culminating in a PAC in m. 96, B a relatively brief modal-mixture contrasting passage, and a variant of A in mm. 110–26 culminating in another PAC in m. 126 (this PAC is elided with the onset of the renewed energy of TM2). Unlike the three-key

[40] Hepokoski and Darcy 2006, 44, 48, 116.
[41] Ibid., 116.
[42] Ibid., 44.
[43] Ibid., 41.
[44] This harmonic redirection following a cadential break also recalls the similar, though much briefer, redirect de-energizing caesura-fill from Cherubini's overture.

expositions discussed earlier, this secondary theme zone does not veer away from the second key (as in *Coriolan* and Mozart K. 310), nor is its theme "corrected" in another key later (as in *Les deux journées*); rather, it is a harmonically stable, formally tight-knit thematic unit that reinforces the key of IV with three cadential events: the elided IV:PAC in m. 80, the IV:PAC in m. 96, and the IV:PAC in m. 126. The IV:PAC in m. 126 seems for the moment to be a candidate for Essential Expositional Closure (though the key of IV would be highly unusual as the *final* key of a major-key exposition, at least by Classical standards). In terms of its tonal and thematic design, this example thus provides one of the best examples of an independent, firmly articulated, and seemingly "unflawed" second key area of a three-key trimodular block expositional layout.

The third key, V, is approached in the energetic TM^2 module (mm. 126–80), which slips into dominant-lock in m. 166 and articulates a V:HC MC in mm. 180–83 (with de-energizing caesura-fill in the violins); this is followed by the P-based TM^3 theme in V starting in m. 184. As is true of many TM^2 zones within a trimodular block, this section contains a transition-like passage leading to a MC, followed by another secondary theme zone. And yet, before this entire normative move to the dominant key is the large thematic, tonally closed episode in the subdominant key; the rhetoric created in this exposition is not that the second key was a detour, but rather a substantial thematic and harmonic waypoint between tonic and dominant. Furthermore, as seen in the *Coriolan* overture, Schubert has split the two main events of the sonata-form exposition into two separate keys: the appearance of a contrasting secondary theme and the moment of EEC. Normally, of course, these two events occur in the same secondary key of the exposition. However, when a PAC is articulated in the *second* key before the harmony proceeds on to the third key, the impression, at least temporarily, is that the second key is the final harmonic goal of the exposition—only when the third key appears is it apparent that the second key was not the final goal.[45] As Deborah

[45] By contrast, when the theme in the second key veers or wanders soon after the MC, there is not as much ambiguity, particularly when the second key was prepared by a *non-sequitur* MC.

Kessler notes, the second key is emphasized through thematic design, whereas the third key is emphasized through its structural tonal role.[46] Also, the theme that occurs in the third key is often more closing in nature since it appears so late in the exposition. In the first movement of Schubert's Second Symphony, the theme heard in the third key is P-based, further heightening the ambiguity of the second MC, since P-based closing themes are common in sonata expositions.

Example 8c. Schubert, Symphony no. 2, fourth movement, layout of exposition.

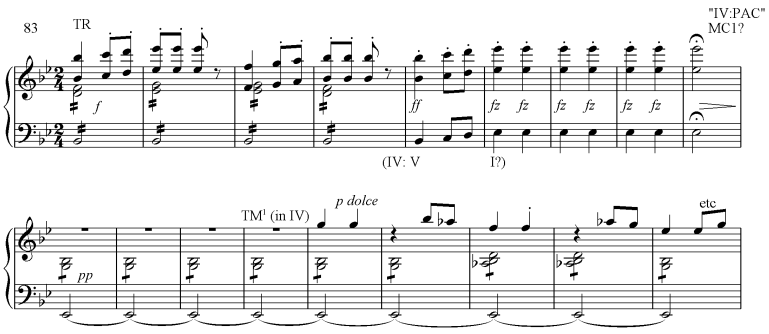
P	TR	MC1 "IV:PAC"	TM^1	TM^2	MC2 V:HC	TM^3 (P-based)	EEC V:PAC	C
5	55	91	92	146	194-197	198	228	228
I		monoph	IV			V		

The final movement of Schubert's Second Symphony has a remarkably similar expositional layout (see Example 8c) and a similarly significant (strong) second key area of IV before proceeding to V. The first MC, however, is quite unusual, for the energetic transition zone culminates in a rather sudden monophonic ascent from B♭ to E♭, the latter of which is held; it is as if the short, rhythmic TR theme stalls. The dynamics then suddenly drop to *pianissimo* and the TM^1 theme begins in E♭ major (see Example 8d). This "IV:PAC," while certainly a cadential break and certainly followed by a secondary theme, is more of a "swerving" from the tonic key to the subdominant key when the transition zone stalls suddenly—a far cry from the lengthy, elaborate motion seen in the first movement from the ii:HC MC candidate to the subdominant.

The TM^1 zone cycles through the new theme four times with slight variations in each iteration, over a local tonic pedal. While somewhat simpler than the ternary-form TM^1 in the first movement, it is harmonically closed and stable, providing a strong thematic and formal articulation of the second key before the re-energized TM^2 zone begins in m. 146 and leads to the P-based TM^3 in the key of the dominant (m. 198).

[46] Kessler 2006, 260.

Example 8d. Schubert, Symphony no. 2, fourth movement, mm. 83–100.



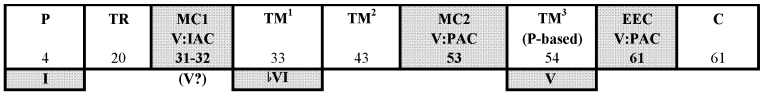
On the other end of the spectrum are Schubert's early experiments with the *non-sequitur*/detour second key (Category 1a in Example 7). Out of all the three-key expositional strategies outlined above, he experimented with this the most in his early period; 11 works, six of which are trimodular blocks, pull the initial MC away from the key it suggests (usually V) away into an unexpected key.[47] These pieces, particularly those with a chromatically related second key, are thus clearly modeled on Mozart K. 503 and Cherubini overture (which are trimodular blocks) and perhaps the finales of Beethoven's String Quintet, op. 29, and Eighth Symphony (which are two part). The Mozart, Cherubini, and Beethoven op. 29 especially suggest themselves as models because of the modulatory caesura-fill they employ to redirect the I:HC or V:HC into the chromatically related key.[48] In these redirect or *non-sequitur* expositions of Schubert, the second key is thus framed as a detour key; rarely is it lingered in for a great deal of time, and rarely does it receive cadential affirmation before veering away. In most of these

[47] The Violin Sonata D. 574, first movement, could also be considered a variant of this strategy, as the key of V is approached within the TR zone before ♮VII is then set up "properly" with an elided ♮VII:IAC MC.

[48] By contrast, the first and fourth movements of Beethoven's Eighth Symphony, Scarlatti's Sonata K. 402, and Benda's "1b" sonatas move directly from the half-cadence to the *non-sequitur* second key.

pieces, the second keys are weakly articulated, and the idea of TM1 being flawed or undermined is heightened from the start.[49]

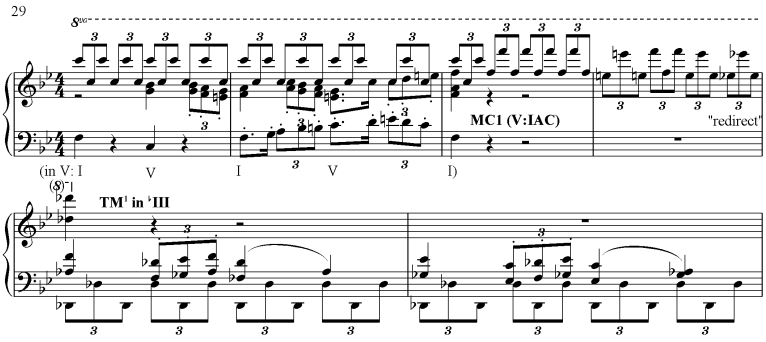
Example 9a. Schubert, Piano Sonata D. 617 (four hands), first movement, layout of exposition.



The first movement of Schubert's piano sonata for four hands, D. 617 (1818), exemplifies his early chromatic *non-sequitur* strategy, in which the second key, ♭III, is used as a "detour" after a V:IAC MC in mm. 31–32 (see Examples 9a and b). V is prolonged through repeated dominant-tonic pairings in a de-energizing module beginning in m. 27, and during the cadential break in mm. 31–32, the first piano then shifts from F (V) down to D♭, creating the modulatory caesura-fill to D♭ major (♭III) for TM1. The sentential TM1 theme in ♭III gives way fairly quickly to the TM2 section, which moves towards the V:PAC MC2 in m. 51. The appearance of V *before* the second key as well as the redirect/*non-sequitur* MC in mm. 31–32 makes the second key seem like a detour, and thus it is classified as a "weak" second key. Unlike the second keys in the Second Symphony movements, it is not reinforced by a MC in its key nor any authentic cadences. While its theme does have a fairly clear structure (sentence), its continuation (mm. 39–42) is tonally open-ended, concluding with a half-cadence in m. 42 before TM2 begins in the following measure. This example resembles *Les deux journées* in its use of a chromatic mediant secondary key and modulatory MC-fill, although the appearance of the third key (V) before the second key and the more abrupt shift

[49] The exceptions are the *Claudine von Villa Bella* overture discussed above, which contains a strongly articulated *non-sequitur* second key; Violin Sonata D. 574, fourth movement; Piano Sonata D. 613, second movement; four-hand Piano Sonata D. 617, third movement; and the incomplete Piano Sonata D. 655. In these, slightly more emphasis or tonal closure nudges its second key strength to "mild."

Example 9b. Schubert, Piano Sonata D. 617 (four hands), first movement, mm. 29–34.



within the MC make D. 617's second key seem more transient. However, the similarities to Cherubini's overture in terms of tonal and thematic design do suggest that it was a model for Schubert, along with *Coriolan* and possibly the earlier three-key trimodular block expositions.

As noted above, the use of a V:PAC MC so near the end of the exposition creates an ambiguity—is this a MC or a candidate for EEC? Indeed, Schubert often creates this ambiguity by using a PAC in the third key as the exposition's second cadential break, followed by a theme that is somewhat "closing" in nature, in a three-key trimodular block exposition.[50] Of course, alternate readings of such expositions are possible, in which "MC2" is in fact Essential Expositional Closure and the exposition is not a trimodular block at all. However, the fact that a clear theme is articulated after the non-elided V:PAC *and* another satisfactory PAC appears later (in the case of D. 617, m. 61), followed by

[50] This occurs in his String Quartet D. 36, first movement; String Quartet D. 112 first movement; Symphony no. 3, fourth movement; Symphony no. 4, fourth movement; Violin Sonata D. 385, first movement (the third key in this minor-key exposition is the unusual submediant VI); Violin Sonata D. 574, first and fourth movements; Overture D. 590; Piano Sonata D. 570; four-hand Piano Sonata D. 617, first and third movements; Piano Sonata D. 613, first movement; the *Zwillingsbrüder* Overture; *Quartettsatz*; Octet D. 803 first movement; "Lebensstürme" four-hand Piano Allegro D. 947; Piano Sonata D. 980, first movement; and the String Quintet.

another closing theme, supports the reading that the later PAC is EEC and the first PAC is the second MC. In cases such as this, Sonata Theory does not encourage simply picking one "answer" and ending the investigation there; rather, it encourages the analyst to consider what the ambiguities themselves tell us in context of the form the piece most closely resembles. In this case, the trimodular block prototype best captures the general concept of most of Schubert's three-key expositional designs, in which each of the two secondary keys, each articulated by a cadential break, remains their defining feature and helps us relate them to their earlier precedents.

The first and final movements of D. 617 can be described as moving from the tonic key to a *non-sequitur* chromatic second key after the MC to the normative third key (the dominant), Category 1a. By contrast, the first and last movements of the Second Symphony move from the tonic to a properly prepared yet deformational second key (IV) before proceeding to the normative third key—Category 3a.

As Example 7 shows, Schubert experimented with all previously used three-key expositional techniques in his early works, refining the general ideas of how to prepare the second key, and how to negotiate normative, deformational, and chromatically related key areas.[51] For Schubert, the three-key exposition was not a "novelty" but rather a perfectly viable option for designing an exposition.

As also shown in Example 7, Schubert experiments not only with all the "categories" of the three-key exposition throughout his early career but also with a variety of strategies within each of the categories. In the *non-sequitur* expositions with deformational second keys (1a), he employs a wide variety of MC redirections. In adopting Benda's *non-sequitur* i–III–v minor-key layout (1b), Schubert keeps Benda's technique of a i:HC MC setting up a secondary theme in III, but the third key is the *major* dominant.[52]

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[51] Note that with two exceptions, the first movement of D. 574 and Overture, D. 675, Schubert always employed chromatically related second key areas as *non-sequitur* or "detour" keys.

[52] Note that Schubert replicated Beethoven's highly unusual I–V–♭III layout from Piano Trio op. 1, no. 2 (Category 2) in the finale of his String Quartet D. 353, and he also employed a normative second key followed by a deformational, though

The bulk of Schubert's early three-key expositions feature a deformational second key (either diatonic or chromatic) followed by a normative third key. This category resembles Beethoven's three-key experiments, although Schubert did not replicate the *specific* layout seen in Beethoven's "Emperor" Concerto of I–♭vi–V.[53] Finally, he also adopted the most common strategy seen in earlier works, the minor-key expositions that visit both minor-key secondary key options (III and v), with the second key set up "properly."[54]

When considering Example 7 chronologically, it appears that Schubert experimented with the various categories within certain time periods. His earliest three-key works (up until the Third Symphony finale), with some exceptions, employ the properly set up but deformational diatonic second key layout (category 3a). In 1816, he then experimented with *ending* the exposition in a deformational key after the normative second key (category 2). See for example, the finale of the D. 353 String Quartet, outlined in Example 10a. His experimentation with chromatic second keys then dominates the remaining works composed from the summer of 1817 onwards—both using the *non-sequitur*/redirect MC set-up (Category 1a and 1b) and the "proper" MC set-up (Category 3a). See, for example, the *Quartettsatz*, outlined in Example 10b. His early period was thus a period of absorbing, experimenting with, and refining the various three-key expositional strategies found in previous works.

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diatonic, third key in the first movements of Violin Sonatas D. 385 and 408 (i–III–VI).

[53] He would do so in two later works, the first movements of Piano Trio D. 929 and Piano Sonata D. 960.

[54] Schubert's examples of this layout are the first movement of String Quartet D. 173 and Piano Sonata D. 570, the latter of which is a trimodular block. The i–III–v exposition merits a brief discussion: this key scheme was by far the most common tonal layout seen in pre-1800 three-key expositions. As noted by Covington and Longyear (1988), and as seen in the tables above under Categories 1b and 3b, this three-key strategy (which they call a "Type 1") appeared in several works by Classical composers outside Vienna, such as Benda, Dussek, and Clementi, as well as several nineteenth-century examples by Beethoven, Mendelssohn, Chopin, and Schubert, though not all of these examples employed the trimodular block layout. Thus, from Schubert's perspective, this key scheme was historically a "first-level default" of sorts within the three-key exposition possibilities, yet his early experimentations were with different key layouts.

Example 10a. Schubert, String Quartet D. 353, fourth movement, layout of exposition.

P	TR	MC1	TM^1	TM^2	MC2	TM^3	EEC	C/RT
		V:PAC			V:PAC	(P-based)	♭III:PAC	
1	24	32-33	34	40	61-62	63	96	97
I			V			♭III		

Example 10b. Schubert, Quartettsatz, D. 703, layout of exposition.

P	TR	MC1	TM^1	TM^2	MC2	TM^3	EEC	C
		VI:PAC	VI	vi!	V:PAC	V	v:PAC	
1	13	27	27	61	93	93	125	125
i			VI		V		v	

Regarding the strength of the second key, Schubert only strongly articulates the second key when it is a diatonic, yet "unexpected" key area (Category 3a). Three-key trimodular blocks whose second key is a chromatic detour weaken the second key, whether through re-direct MCs, lack of cadential reinforcement, dissolving forms that quickly veer-away, or some combination thereof.

The Three-Key Trimodular Block in Schubert's Post-1824 Expositions

Example 10c shows Schubert's late (composed 1824 onwards) three-key expositions, all but one of which clearly utilize the trimodular block layout; the exception, the finale of String Quartet D. 810 ("Death and the Maiden"), stays in close dialogue with the trimodular block layout.[55] Schubert clearly develops a preference in

[55] After an expansive thematic zone in III, culminating in a III:PAC in m. 175, what would normally be the TM^2 module leads to a v:PAC in m. 213, accompanied by a drop to *piano*. As discussed in this study, Schubert commonly used a PAC for his second MC, yet the thematic module that follows this break is a return to the restless transitional material (m. 62ff) and unlike Schubert's typical TM^3 themes. However, a reading of this exposition as a trimodular block is certainly viable, given that another v:PAC appears in m. 254, followed by a C-like

his late three-key expositions for strongly articulated second keys, regardless of whether they are deformational and/or chromatic. In particular, he experiments with techniques of strong articulation for *non-sequitur* secondary keys, perhaps to offset the "detour" effect of these keys; this occurs in the finale of String Quartet D. 804 ("Rosamunde") and the "Lebensstürme" Allegro (see Examples 10d and e). The theme is a tonally closed sentence, prolonging the key of ♭I for 43 measures and affirming the key with three strong cadences, including the final PAC in m. 132. The motion to the third key is accomplished through modulatory MC-fill, here a monophonic arpeggiation similar to the first MC (A♭–G♭–E♭–C). The TM^1 theme is then repeated in C major (III), the normative secondary key area for an a-minor exposition.

As in his compositions in general, Schubert continued to experiment with exploring new harmonic paths in his three-key sonata expositions.[56] He also frequently re-visited the TM^1 theme within the TM^3 zone, often with some kind of variation or modification.[57] However, as noted above, this invokes the rhetoric of "correcting" the key of a theme, particularly when the second key is deformational and the third key is normative. In addition, it effectively eliminates the ambiguity created when the TM^3 is closing in nature. Schubert employs this with remarkable effect in the first movement of String Quartet D. 887, also employing the *non-sequitur* MC to set up BOTH the second and third keys (V and ♭III), and returning to the second key *after* the third key appears.[58]

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variant of the Primary theme; thus, m. 213 could be interpreted as MC2 followed by a deformational (by Schubert's stylistic standards) TM^3, followed by EEC in m. 254.

[56] For example, the unusual lowered tonic key area in the "Lebensstürme," the move to the minor chromatic submediant in D. 960 and D. 929, and the move to the unusual key of minor vii in Piano Sonata D. 840 ("Reliquie").

[57] This is indicated with the "TM^3=TM^1" annotation in the "strength of Key 2" column in Example 10b.

[58] This piece resembles his earlier *Vierjährige Posten* overture (in which the third key, IV, was "expunged" with the return of V after it) but with other remarkable expositional techniques integrated into the layout. This piece is discussed in more detail in Beach 1993.

Example 10c. Schubert's late three-key trimodular block expositions.

	Bold: non-seq						* - chromatic
Piece ***(*-enharm. Key2)***	***Date***	***Key 1***	***Key 2***	***Key 3***	***MC1***	***MC2***	***Strength of Key 2***	***Category***
String Quartet D. 804. iv	Mar 1824	I	iii	V	**V:PAC**	V:HC	Strong (nonseq MC)	**1a**
String Quartet D. 810, i	Mar 1824	i	III	v	III:HC	v:HC	Strong; "invades" TM3	**3b**
String Quartet D. 810, iv	Mar 1824	i	III	v	III:HC	-	Strong	**3b**
Octet D. 803 i	Mar 1824	I	vi	V	vi:HC	V:PAC	Strong	**3a**
Grand Duo D. 812 i	Jun 1824	I	♭VI	V	♭VI :HC	V:HC	Strong; TM3=TM1 var.	**3a***
Piano Sonata D. 840	Apr 1825	I	vii	V	vii:HC	V:PAC	mild; TM3=TM1 var.	**3a**
String Quartet D. 887 i	*Jun 1826*	*I*	*V (2x)*	*♭VI*	***iii:HC***	*I:HC*	*[Strong; V is "Key 4"]*	
Piano Sonata D. 894 ii	Oct 1826	I	iii,III	vi,VI	iii:PAC	vi:PAC	Strong; TM3=TM1	**?**
Piano Trio D. 929*	1827	I	♭vi...	V	♭vi:PAC	V:HC	Weak (MC shift)	**3a***
"Lebenssturme" D. 947	May 1828	i	♭I	III	**i:HC**	♭I:PAC	Strong; TM3=TM1 var.	**1a***
Piano Sonata D. 960*	Sept 1828	I	♭vi	V	♭vi :PAC	V:PAC	mild	**3a***
String Quintet D. 956	Sept 1828?	I	♭III	V	**I:HC!**	V:PAC	Mild; TM3=TM1 var	**1a***
Symphony #9, i	1828?	I	iii	V	**I:PAC?**	V:IAC	weak; TM3=TM1 var.	**1a?3a?**

* - The second key is written in each of these pieces as "♯v" (in the D. 960, f♯ minor, enharmonically G♭ minor; and in the D. 929 B minor, enharmonically C♭ minor). However, the chart shows the enharmonic version of this to illustrate that the second key is a modal variant of the chromatic mediant of the home key.

Example 10d. Schubert, String Quartet D. 804, fourth movement, layout of exposition

P	**TR**	**MC1** **V:PAC**	**TM^1**	**TM^2**	**MC2** **V:HC**	**TM^3** **(P-based)**	**EEC** **V:PAC**	**C/RT**
1	37	**67-71**	72	104	**112**	113	**126**	127
I			**iii**			**V**		

Example 10e. Schubert, "Lebensstürme" Allegro, D. 947, layout of exposition.

P	**TR**	**MC1** **i:HC**	**TM^1**	**(No TM^2)** **♭I:PAC**	**MC2** **♭I:PAC?**	**TM^3** **(=TM^1)**	**EEC** **III:PAC**	**C**
1	37	**81-88**	89	132 (=81)	**132-137**	138	**219**	219
i			**♭I**			**III**		

As the table in Example 10f shows, none of Schubert's late three-key expositions are in the "Benda" i–III–v format with the i:HC–III second key *non-sequitur* approach. Instead, Schubert

explored new innovations to this three-key layout in the first and last movements of String Quartet D. 810 ("Death and the Maiden"). He also abandoned the strategy of ending the exposition in a deformational third key, preferring to end in a normative key (V, III, or v)—perhaps due to the prevalence of the harmonic "correction" of a theme once it has been heard in a deformational and/or chromatic key.[59]

The striking motion to "♭vi" in the first movement of Piano Sonata D. 960, in particular its "foreshadowing" by the ominous G♭ trill in the primary theme (m. 8) and the variant of P in G♭ major (m. 20ff) has been well discussed in the literature,[60] but let us consider the exposition as a whole in the context of the three-key trimodular block lineage. Although alternate readings are possible, the outline in Example 11a reads the exposition as a three-key trimodular block exposition, in keeping with Schubert's tendency to articulate each of the keys with cadential breaks.

The transition zone begins with what Hepokoski and Darcy call a "dissolving reprise" of the Primary theme as the A′ section of a large ternary structure (A: mm. 1–18; B mm. 19–35; A′ m. 36ff).[61] The modulation to the foreign key of f♯ minor is accomplished through an enharmonic reinterpretation of a diminished seventh chord, which becomes vii^{o7} in the new key. The emphatic Perfect Authentic cadence in f♯ minor that follows creates the first MC, dropping quickly to *piano* with a cadential break filled by triplets in

[59] One exception to this is the slow movement of Piano Sonata D. 894, which uses *two* deformational secondary key areas, each with its own modal shift: I–iii/III–vi/VI. In addition, the entire portion of music from the beginning of the TR zone through the completion of the secondary theme (TM[1]), heard first in iii/III, is replayed, literally transposed and virtually unaltered, in vi/VI to close the exposition. While not appearing in the "categories" table, it occupies its own Category ("4"?), in which the second key and the third key are both deformational.

[60] For example, Rosen 1980, 246ff.; Cohn 1999; and Kessler 2006. Cohn applies neo-Riemannian relationships to Schubert's use of the chromatic mediant; specifically, the motion in the D. 960 exposition from I to ♭vi can be described in neo-Riemannian terms as "PLP" (*Parallel-Leittonwechsel-Parallel*), three notches around a "Hexatonic cycle" that consists of B♭–b♭–G♭(=F♯)–f♯–D–d–back to B♭.

[61] Hepokoski and Darcy 2006, 108ff. They also note that large ABA forms with lyrical characteristics evoke the "songs without words" genre, and are classified as a somewhat rare "lyric binary" subset of binary-form Primary theme zones (70 and 111).

Example 10f. Schubert's late three-key expositions, categorized (late works in bold)

(T=Trimodular block exposition) (*: "afterthought" 3rd key) ** - 2nd key returns as final key

(1a) 2nd key deformat. *non-seq* 3rd key normative	(1b) 2nd key norm. *non-seq* 3rd key normative	(2) 2nd key normative 3rd key deformational
Diatonic 2nd key		
Schubert Claudine Ovt **(I-IV-V)***	*Schubert: Piano Sonata D. 655* ***(i-III-V)***	Schubert: SQ D. 353 iv **(I-V-♭III)**^{T}
Schubert: Piano Sonata D. 537 iii **(I-IV-V)**^{T}	*Schubert: Overture D. 648* ***(i-III-V)***	Schubert: Vln Sonata D. 385 i **(I-III-VI)**^{T}
Schubert: Piano Sonata D. 613 ii **(I-III-V)**	**(none)**	Schubert: Vln Sonata D. 408 i **(I-III-VI)**
Schubert: String Quartet D. 804 iv (I-iii-V)^{T}		Schubert: Vierjahrige ovt (I-V-IV-V)^{T}**
Schubert: Symphony 9 i (I-iii-V)^{T}		Schubert: Overture D. 591 **(I-VI-V)**^{T}
		Schubert: Piano Sonata D. 655 ***(i-III-V)***
		Schubert: Overture D. 648 ***(i-III-V)***
		(none)
Chromatic 2nd key		
Schubert: Violin Sonata D. 574 iv **(I-♭III-V)**^{T}		
Schubert: Overture D. 590 **(I-♭III-V)**^{T}		
Schubert: 4-hand Sonata D. 617 i **(I-♭III-V)**^{T}		
Schubert: 4-hand Sonata D. 617 iii **(I-♭VI-V)**^{T}		
Schubert: Piano Sonata D. 613 i **(I-♭III-V)**^{T}		
Schubert: *Zwillingsbruder* ovt. i **(I-♭III-V)**^{T}		
Schubert: Lebenssturme D. 947 i (i-♭I-III)^{T}		
Schubert: String Quintet D.956 i (I-♭III-V)^{T}		
Schubert: Piano Trio D. 929 i (I-♭vi-V)^{T}		

(3a) 2nd key deformational 3rd key normative	(3b) 2nd key normative 3rd key normative
Diatonic 2nd key	
Schubert: Overture D. 11 **(I-vi-V)**	Schubert: SQ D. 173 i **(i-III-v)**
Schubert: SQ D. 36 i **(I-II-V)**^{T}	Schubert: Piano Sonata D. 570 **(i-III-v)**^{T}
Schubert: SQ D. 68 i **(I-vi-V)**	**Schubert: String Quartet D. 810 i (i-III-v)**^{T}
Schubert: SQ D. 112 i **(I-vi-V)**^{T}	**Schubert: String Quartet D. 810 iv (i-III-v)**$^{T?}$
Schubert: Symphony 2 i **(I-IV-V)**^{T}	
Schubert: Symphony 2 iv **(I-IV-V)**^{T}	
Schubert: Symphony 3 iv **(I-IV-V)**^{T}	
Schubert: Symphony 4 iv **(i-VI-III)**^{T}	
Schubert: Overture D. 591 **(I-VI-V)**	
Schubert: Quartettsatz **(i-VI-v)**^{T}	
Schubert: Octet D. 803 i (I-vi-V)^{T}	
Schubert: Piano Sonata D. 840 i (I-vii-V)^{T}	
Schubert: Symphony 9 i (I-iii-V)^{T}	

Chromatic 2nd key
Schubert: Vln. Sonata D. 574 i **(I-♭VII-V)**^{T}
Schubert: 4-hand Overture D. 675 **(I-♭III-V)**^{T}
Schubert: Gran Duo D. 812 i (I-♭VI-V)^{T}
Schubert: Piano Trio D. 929 i (I-♭vi-V)^{T}
Schubert: Piano Trio D. 960 i (I-♭vi-V)^{T}

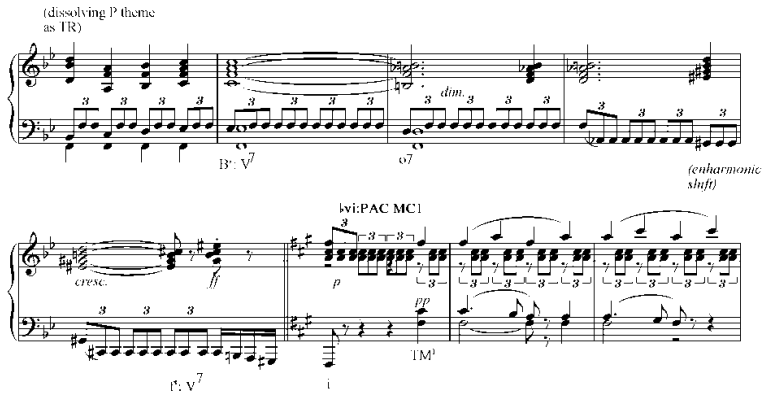
Example 11a. Schubert, piano sonata D. 960, first movement, layout of exposition.

P	**TR**	**MC1**	**TM**^{1}	**TM**^{2}	**MC2**	**TM**^{3}	**EEC**	**C**
AB	A'	**♭vi:PAC**			**V:PAC**	**(P-based)**	**V:PAC**	
1	36	**48**	49	59	**80**	80	**99**	99
I	(dissolv)		**♭vi**	**(VII)**		**V**		

the right hand. The mournful TM1 theme then emerges in the "tenor" voice of the left hand (see Example 11b). Despite this emphatic cadence that strongly articulates the second key area, f♯ minor quickly loses its foothold.[62] The TM1 theme is a modulating sentential period (mm. 49–58), whose antecedent and consequent are both sentences;[63] the consequent modulates at the last minute to A major (the local III/relative major), ending with a PAC in A in m. 58. TM2 then begins with a variant of the TM1 theme. Thus, despite the strong cadential break (MC1) and the clear structure of the TM1 theme, the second key dissolves fairly quickly. In the strong second key examples seen earlier, the second key's thematic module is set up by a clear MC but its structure is tonally *closed*.

The second MC is, arguably, the V:PAC in m. 80 that launches the triplet theme in the right hand; it could also be argued that this is the moment of EEC, since the material that follows has the feel of a "Closing" theme. However, considered in the light of Schubert's three-key trimodular block tendencies and the strong resemblance this exposition bears to the earlier examples, EEC is more likely the V:PAC in m. 99, which is also followed by a theme that is "closing" in nature.

Example 11b. Schubert, Piano Sonata D. 960, first movement, mm. 44–50.



[62] Webster (1978) refers to this moment as "a crash onto ♭vi" (29).

[63] Caplin (1998) refers to this structure as a category of a compound theme, a "16-measure period" (65ff).

Our final Schubert example (Example 12a) is one of only a handful of expositions in which he uses the tonic–mediant–minor dominant layout in minor: the first movement of String Quartet D. 810 ("Death and the Maiden").[64] As noted earlier, this key scheme is the most commonly seen layout in the three-key expositions composed before 1800, yet Schubert only employs it four times; perhaps these pieces are Schubert's nod to the Classical model for his three-key trimodular block. Schubert also experiments with using the *major* dominant key in minor-key expositions.[65] Schubert invariably uses a Perfect Authentic Cadence as an MC at least once in the three-key trimodular block expositions, if not for both; the second MC is a half cadence in only eight of his three-key trimodular block expositions. This eliminates the ambiguity created by the V:PAC cadential event, as discussed earlier.[66]

Example 12a. Schubert, String Quartet D. 810 ("Death and the Maiden"), exposition

P	TR	MC1	TM^1	TM^2	MC2	TM^3	EEC	C
		III:HC	III		V:HC	V	v:PAC	
1	41	60	61	83	97	102	133	133
i			III			V (III invades)	v	

In this exposition, the second key of the i–III–v layout, F major, reappears even after the third key has arrived in TM^3, seeming to "invade" the third key's territory; in essence, it crosses the harmonic boundary that normally exists between the second and third keys and corrupts the final key's modality. Yet, when it

[64] The other examples are the last movement of the same quartet, the first movement of String Quartet D. 173 and the earlier Piano Sonata D. 570, of which only the exposition and part of the development survives.

[65] This occurs in the Overture D. 648 and Piano Sonata D. 655. Also, in the *Quartettsatz* and "Death and the Maiden" first movement, the dominant key explores *both* the minor and major modes before minor takes over at the end. The exposition of D. 810's first movement also stands out because both the second and third keys are triggered by half-cadence MCs.

[66] In addition to the "Death and the Maiden" String Quartet, these are: Symphony no. 2, first and fourth movements; Piano Sonata D. 537, third movement; the "Rosamunde" String Quartet D. 804, fourth movement; String Quartet D. 887, first movement; Grand Duo D. 812, first movement; and Piano Trio D. 929, first movement.

re-appears in TM3, it is merely a local tonicization of ♭VI within A, rather than the substantial *key area* it represents within TM1.[67]

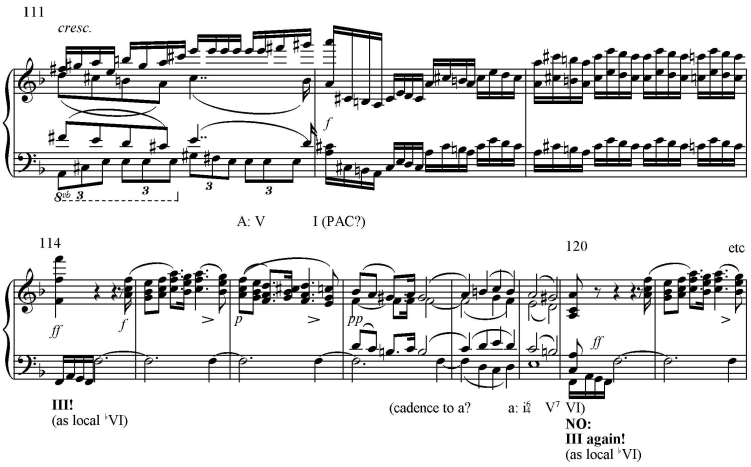
As in the D. 960 Piano Sonata, a "dissolving reprise" restatement of the P theme launches the TR zone in m. 41, which modulates to III in m. 53. Then, the III:HC MC in m. 60 sets up the sentential TM1 theme in III (F major). The sentence is re-stated three times, seeming to strive for closure in F major, yet not achieving this closure until the III:PAC in m. 83. This cadence completes the strong, tonally closed articulation of the second key area, and it also suggests that the exposition has reached EEC, since III is the most common secondary key area in a minor-key exposition. This PAC launches a re-invigoration of texture in the TR-like TM2 section in m. 83, as if not satisfied with the current key. The renewed dominant-lock (V/V) begins in m. 97, and the second MC, a V:HC, spans mm. 99–101 with the nervous 16th-note caesura-fill in the first violin. The TM3 theme then follows, a variant of the sentential TM1 theme heard earlier in F major. The second repetition of the theme culminates in m. 112 with a V:PAC, a tentative candidate for EEC in the third key; however, the cadence is undermined by a sudden blustery passage based on the TM3 accompaniment (mm. 112–14), which refers back to F major (the exposition's second key) which is now a local tonicization, as noted above.[68] The key of A seems to have recovered with a cadential progression (mm. 118–19), but F again interrupts at the deceptive cadence in m. 120; the second key is essentially refusing to relinquish harmonic control to the third key (see Example

[67] This concept of "harmonic cross-reference" is explained in more detail in Smith 2006, who also discusses several three-key expositions noted in the current essay (Schubert's String Quintet and *Quartettsatz*; and Brahms's Clarinet Trio; Clarinet Sonata op. 120, no. 1; and Second Symphony).

[68] When this harmonic cross-reference involves the reappearance of the tonic key within the second key area of a three-key exposition, it opens up avenues rife with interpretive possibilities. From a Schenkerian perspective, it raises the issue of whether the structural tonic is still being prolonged despite that fact that might appear in a different context within the second key. A well-discussed example of this is the exposition of Brahms's 2nd symphony, first movement (see Smith 2006, 165–68, who also draws on the discussion in Schachter 1983), and another familiar example is the appearance of C minor within the secondary theme of Beethoven's *Coriolan* Overture. This intriguing topic, as well as the sometimes misaligned structural design/formal design elements in three-key expositions, is beyond the scope of this paper.

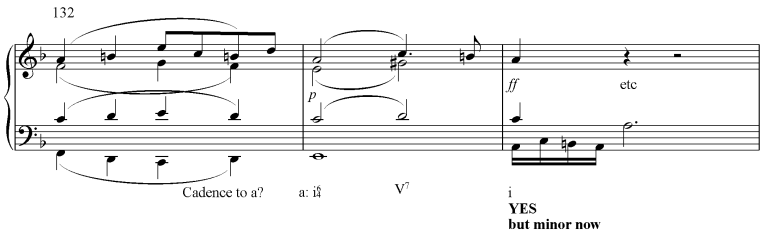
12b).[69] These invasions of F major (or harmonic cross-references) erase the major modality that had opened the TM[3] zone—by the time EEC is reached in m. 134, Minor v (A minor) has taken over (see Example 12c).

Example 12b. Schubert, String Quartet D. 810, first movement, mm. 112–24.



[69] This re-appearance is, of course, a harmonic cross-reference in keeping with Smith's ideas; seen in light of the three-key expositions examined in this paper, and the idea of harmonic "strength," however, this example is particularly noteworthy, as nowhere else is the second of three keys articulated so strongly in combination with *further* re-appearances after the third key seems to have been established. It thus represents one of the most extreme examples of a strong second key within the historical lineage of the three-key exposition. These interpretations are not necessarily at odds with one another, but can be used to inform our overall readings of such expositions. Again, as noted in the previous footnote, a more Schenkerian study of three-key expositions would be greatly enriched by these multiple perspectives.

Example 12c. Schubert, String Quartet D. 810, first movement, mm. 132–35.



Not only is the second key of this three-key trimodular block exposition a "strong" second key, its influence extends beyond the boundary that normally separates the second and third keys, as it recurs twice within the third key's TM3 zone and corrupts it into minor. Thus, Schubert has added his own stylistic modifications to the i–III–v key scheme seen so often in earlier three-key expositions, and created a unique, harmonically unstable exposition that could be best described as i–III–V–(*III*)–v.[70]

In sum, when employing a three-key exposition, Schubert generally articulates the second and third keys with MCs, creating a trimodular block structure in which at least one of the MCs is a PAC.[71] He experimented with a variety of strategies for the deployment of, and approach to, the secondary keys, as well as with a variety of strength levels for the second of these three keys. The level of strength is based on the organization of the theme within the second key, the cadential set-up at the MC, and the stability of the key within the thematic statement(s). These levels range from weak to strong: in general, weaker second keys are framed as unstable and chromatically related detour keys, mild second keys are normative and/or set up with strong cadential breaks but are

[70] As noted above, the third key area of the *Quartettsatz* similarly shifts from the major dominant to the minor dominant by the end, also with brief recurrences (harmonic cross-references) of the second key within TM3. However, in the *Quartettsatz*, these recurrences are not as emphatic as in the "Death and the Maiden," and the second key's role within the third key is as the Neapolitan 6th. Nevertheless, the parallel is quite striking given the fact that they are both minor-key expositions whose third key is the dominant.

[71] As noted above, nine of the 44 three-key expositions Schubert composed are two-part expositions with one MC.

abandoned fairly quickly within the TM[1] zone, and strong second keys are strongly set up, include tight-knit, tonally closed thematic groups, and one or more PACs. "Death and the Maiden" is perhaps the most extreme example of the latter category—its strongly articulated second key returns within the third key's zone, a technique not seen in any of Schubert's other three-key trimodular block expositions.[72]

The Three-key Trimodular Block in Brahms's Expositions

Schubert's influence on Johannes Brahms has been well documented. James Webster, wishing to refine Tovey's general observation that Schubert's instrumental works influenced Brahms in his "first maturity" (1859–1865)[73] pinpoints several specific characteristics Brahms appears to have adopted from Schubert. These include: modal juxtaposition, closed forms within thematic zones, the use of remote keys, the "double second group," and treatment of themes and keys in the recapitulation.[74] The "double second group" refers to a two-part secondary theme zone whose two parts are in two different keys or opposite modes of the same key,[75] and sometimes includes an additional cadential break. In Sonata Theory terms, the double second group can refer to the following types of expositions: 1) a two-part, two-key exposition, which switches from major to minor of the same key, or vice versa, 2) a two-part, three-key exposition, which changes keys without a second MC, 3) a two-key trimodular block exposition, or 4) the

[72] The reappearance of the second key *after* the third key, as in *Vierjährige Posten* and the D. 887 String Quartet, first movement, is a different strategy altogether, since the second key becomes the exposition's final key, whereas in D. 810, the third key remains the final key, though modally "defeated" by the second key's invasion.

[73] Tovey 1949, 123, cited in Webster 1979, 52.

[74] Webster 1979, 70.

[75] Although three keys might seem to be invoked in such a layout by the modal switch, for the purposes of this paper I consider "three-key expositions" to employ three separate tonal centers. However, expositions with these modal second groups represent an important category of expositions, particularly when Brahms takes pains to separate the two modes with some kind of articulation (see Graybill 1988, 19).

three-key trimodular block explored in this paper. As Peter Smith points out,[76] the "mode shift" double second group, in which the entire second group is governed by the same tonal center but opposite modes, is a strategy Brahms adapted directly from Classical models, not Schubert. Indeed, Brahms drew on several expositional strategies in his sonata-form pieces. Just as Smith isolates this specific expositional technique in order to discuss Brahms's eighteenth-century precedents, I will focus on the three-key trimodular block strategy seen in Brahms in order to show Schubert's influence on Brahms's three-key expositional design, as well as how Brahms absorbed and re-interpreted Schubert's three-key expositional elements into his own style and harmonic language.

Example 13a. Brahms's three-key expositions.

Piece	***Date***	***Key 1***	***Key 2***	***Key 3***	***MC1***	***MC2***	***Strength of Key 2***	***Category***
Piano Sonata op. 5, i	1853	i	III	III-VI	**i:HC**	III:HC	mild, 3rd key weaker?	**1b**
Sextet op. 18, i	1860	I	VII	V	**V:HC**	V:PAC	Mild	**1a**
Cello Sonata op. 38, i	1862	i	VI	v/V	VI:PAC	v:HC	Weak+	**3a**
Symphony #1, iv	1876	I	V	iii	V:PAC	iii:HC	Mild	**2**
Symphony #2, i	1877	I	iii	V	iii:PAC	V:HC	Mild (TM3=TM1 var)	**3a**
Piano Trio op. 87, iv	1880	I	iii	V	iii:HC	V:HC	Mild	**3a**
Academic Festival Ovt.	1880	I	III	V	III:HC	V:HC	Weak	**3a***
Piano Concerto 2 op. 83 iv	1881	I	vii	V	**V:HC**	V:PAC	Mild (returns after TM3)	**1a**
Cello Sonata op. 99, i	1886	I	V	iii	V:HC		Mild	**2**
Cello Sonata op. 99, ii	1886	I	♭i	V	**I:HC**		Weak	**1a***
Cello Sonata op. 99 iv	1886	I	iii	V	iii:PAC		Mild+	**3a**
Violin Sonata op. 108, iii	1886-8	i	III/iii	♭I/♭i	**v:PAC**	**iii:PAC**	mild; TM3=TM1 replay	**2?**
Violin Sonata op. 108, iv	1886-8	i	VII	v	**v:HC**	v:HC	Weak ("Detour")	**1a**
Clarinet Trio op. 114	1892	i	III	v	III:HC	v:HC	Mild	**3b**
Clarinet Sonata op. 120/1	1894	i	VI	v	VI:HC	v:HC	Mild	**3a**

Brahms employs the three-key trimodular block in twelve of his sonata-form expositions, as shown in Example 13a.[77] However,

[76] Smith 2006, 135.

[77] There are also three two-part three-key expositions, all in Cello Sonata op. 99, although each has only one clear MC. Ninety-nine sonata-form works by Brahms were surveyed in this study (some of these, particularly the slow movements, are debatable as sonata-form movements, as the recapitulation consists of only a

an important modification Brahms makes to his three-key TMB layout is that he does not strongly articulate the second key area, as Schubert frequently does.

Furthermore, when classified in the three groups used to classify Schubert's expositions (seen in Example 13b), we can see that Brahms rarely employs a three-key trimodular block in which the second key is chromatically related and the third key is normative.[78] Also, when the structure is used in major-key expositions, it follows the pattern of a diatonic second key followed by a normative third key.[79] This could be due to Brahms's desire to maintain instability in the second key and retain the trimodular block rhetoric of a "flawed" TM^1 theme in the second key that proves incapable of achieving cadential closure. As discussed earlier, this technique is commonly seen in Classical trimodular block TM^1 zones (whether in two- or three-key expositions), but avoided by Schubert in his strong three-key trimodular block expositions.

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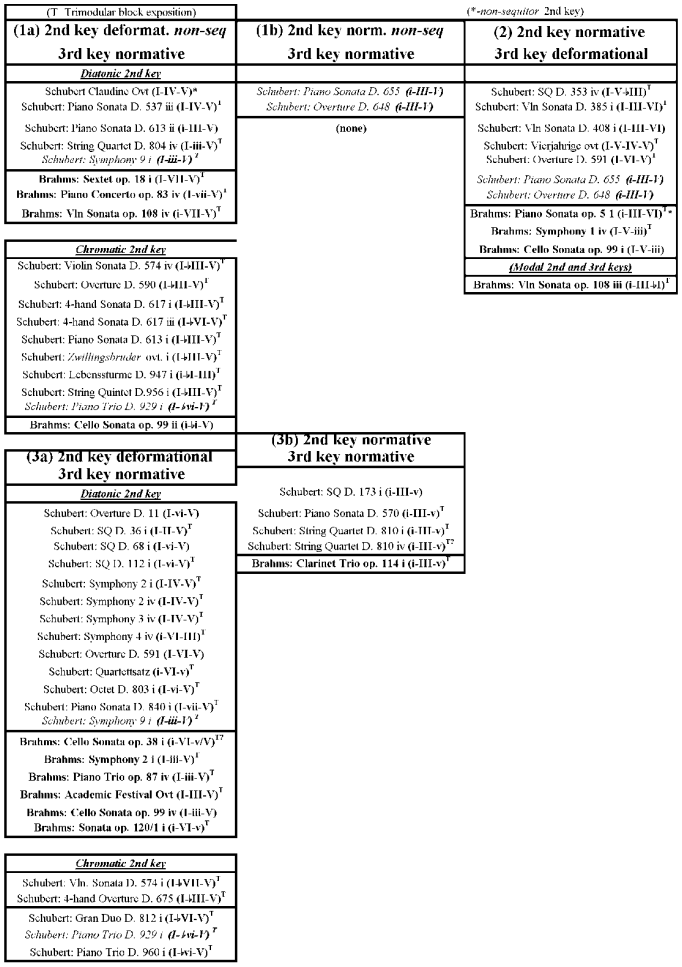
return of the Primary theme zone and little, if any, return of post-TR material in the tonic key; however, the clear expositional layouts of such pieces lead to them being classified sonata-form movements in this study). The 15 three-key expositions out of these works represent 15%, compared with Schubert's 32.3%.

[78] The exception is the slow movement of Cello Sonata op. 99, although the chromatic second key (♭ii) is never clearly articulated.

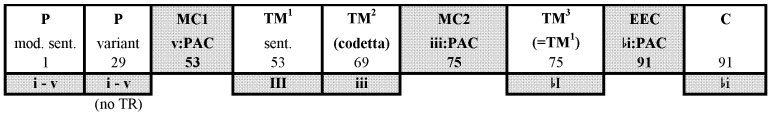
[79] The exception is the I–V–iii layout of the finale of the first symphony (the other example of this layout, the opening movement of Cello Sonata op. 99, is not a trimodular block).

Example 13b. Brahms's three-key expositions (Schubert's three-key expositions included).[80]

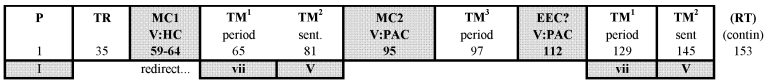


[80] Like Schubert, one of Brahms's three-key trimodular block expositions features an extra thematic and harmonic iteration after TM3 that invokes the "going back in time" rhetoric—the finale of Piano Concerto op. 83. TM1, a tonally closed period in vii, returns after TM3 in V (which is also a tonally closed period); TM2, which moves directly to V, also returns and ends the exposition; the resulting harmonic layout is the highly unusual I–vii–V–vii–V; the use of vii in a major-key exposition recalls Schubert's Piano Sonata D. 840 ("Reliquie"). See Example 14b below.

Example 14a. Brahms, Violin Sonata op. 108, no. 3, third movement, formal layout.



Example 14b. Brahms, Piano Concerto op. 83, no. 2 fourth movement, formal layout.



Brahms also explored various three-key expositional strategies, such as integrating his modal shift within one tonal center concept into two secondary keys, as in the third movement of Violin Sonata op. 108, shown in Example 14a. He also experimented with preparing the second key in *non-sequitur* fashion but never returning to the key articulated at the MC. While most of Brahms's three-key examples employ "dissolving" techniques to escape the second key, as will be discussed below, he also created discrete, closed thematic and harmonic blocks in the Second Piano Concerto finale (see Example 14b) and op. 108's third movement.[81] The other extreme is the use of an "afterthought" third key that only appears well into the TM^3 module, as seen in the opening movement of his early op. 5 Piano Sonata. While this "last-minute" third key technique recalls Benda's "afterthought" three-key expositions, it also resembles several other 19th-century expositions, in which an endpoint key would emerge near the end of the exposition without any kind of preparation.[82]

Brahms's medial caesuras are worth examining, as he, like other mid- and late-nineteenth-century composers, did not always

[81] In these examples, the second key, while prepared by a redirected MC, is housed in a clean period or sentence structure (respectively) and reaches a PAC and a clearly delineated endpoint, followed by the TM^2 module.

[82] Bruckner was especially fond of this layout; it appears in the finale of his 6th and 7th symphonies, and the opening movement of the 9th symphony.

articulate the MC as a clear textural break; rather, the MC is sometimes more of an effect, created retroactively by the clear secondary theme that *follows*, rather than by the cadential break itself. The first MC from his *Academic Festival Overture*, a three-key trimodular block (I–III–V) with a weakly articulated second key, exemplifies his re-interpretation of the Classical MC (see Example 15).[83]

The V/III is clearly articulated on m. 127, with a drop in dynamics, marking the III:HC MC, and the two measures of $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$ fill in the bass connect the V with I in the downbeat of m. 129, elided with the start of the first secondary theme (TM^1). While, of course, some Classical MCs have the kind of "MC fill" seen in the *Academic Festival Overture,* for Brahms, blurring a cadential break with fill, sometimes with even more extended passages, becomes a "first-level default." [84] By contrast, Schubert tended to prefer PACs for his MC events, particularly for the second MC in a three-key trimodular block exposition.

A similar MC effect can be found in the first movement of Brahms's Second Symphony, which is also a three-key trimodular block (I–iii–V). Brahms clearly articulates the famous "Lullaby"-based theme as his secondary theme in the exposition, yet it is housed in a somewhat unusual design; it is first sounded as TM^1 in the short-lived and unstable key of iii (f♯ minor), and returns much later in the exposition as TM^3 in the dominant key (A major) (see Example 16a).

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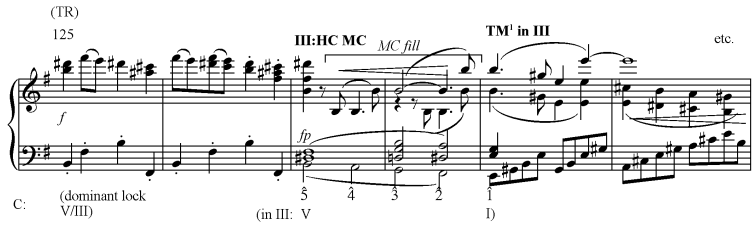
[83] The second MC in this analysis is in m. 156. The thematic area that follows in m. 157ff could also be interpreted as "early closing" material that precedes EEC (Hepokoski and Darcy's "S^C" theme) in a two-part exposition with only one MC. Indeed, this entire exposition's design is highly unusual due to the large number of themes that appear as a result of Brahms's desire to present numerous "college songs."

[84] Roger Graybill (1983, 40) discusses this passage as an example of a three-key exposition whose second key is given his "Type B key articulation," which in many ways foreshadows Hepokoski and Darcy's concept of the MC. In Sonata Theory terms, this is a first-level default MC, a half-cadence in the secondary key where the dominant precedes the cadential break. His "Type A" articulation is a third-level default MC, a perfect authentic cadence in the new key, and "Type C" is a second-level default, where the dominant preceding the break is in the home key (a I:HC MC), not the new key.

Example 15. Brahms, Academic Festival Overture*, mm. 125–130.*



Example 16a. Brahms, Symphony no. 2, first movement, exposition, formal layout.

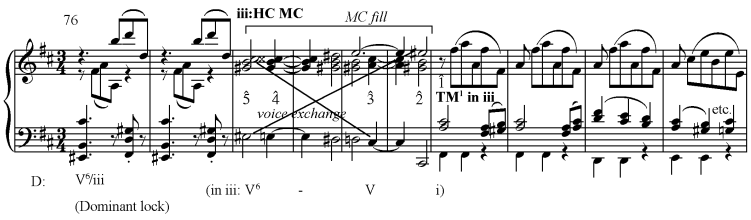
P	TR	*de-energ*	MC1 iii:HC 78-81	TM1 "lullaby"	TM2	MC2 V:HC	TM3 "lullaby"	EEC V:PAC	"C" (Codetta)
2	59	66		82	118	155	156	179	179
I				iii			V		

In some ways, the repetition of TM1 in the key of V invokes the "let's try the theme again, but now in the proper key" rhetoric seen in, for example, *Les deux journées*, yet the massive TM2 zone (mm. 118–55) creates a great deal of separation between the two appearances; the lateness of the repetition seems like a last-minute attempt to "correct" the theme into A major while the energy of the exposition ebbs away.

The initial appearance of the theme in m. 82 is preceded by another of Brahms's blurred MC events: the dominant of iii, locked onto in m. 76 (though in first inversion), is prolonged in mm. 78–81 through a chromatically-filled voice exchange in the strings and bassoon.[85] The resolution of V/iii is then flush-juxtaposed with the beginning of TM1 and the tonic chord of iii on the downbeat of m. 82 (see Example 16b).

[85] This chromatic voice exchange is a surface-level version of the large-scale chromatic voice-exchange Carl Schachter (1983, 63) points out between the opening tonic and the Augmented 6th of V that appears in mm. 116–17. Furthermore, the $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$ descent is in the inner voices here.

Example 16b. Brahms, Symphony no. 2, first movement, mm. 76–85.



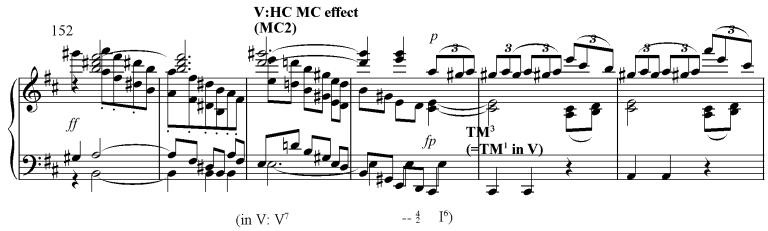
The TM1 zone is tonally unstable; it comprises a harmonically open sentential period, of which neither the antecedent nor the consequent is able to secure closure in iii. The antecedent wanders to A major (the local mediant), then concludes plagally on a D-major triad. The consequent, which starts again in iii, gets stuck and veers towards the dominant of A major (V/V), which initiates the energetic, *marcato* TM2 section in m. 118. This second key, therefore, is articulated initially quite clearly with the dominant set-up (V/iii) and the MC effect, but it fails to sustain itself, quickly giving way to its relative major (A major). It is thus an example of mild second key strength.[86]

The TM2 section sustains an unrelenting energy until finally crashing down into the *piano* re-statement of TM1 in V in m. 156, which, as noted above, functions as TM3 in the trimodular block layout. The second MC effect is created by the V/V in mm. 154–55, though it is highly deformational because of the lack of a true cadential break and the strong elision with the first-inversion tonic triad in the new key (see Example 16c). However, the strong connection with the earlier MC event created by the repeat of the TM1 theme and Brahms's stylistic tendency to "blur" his MCs support the reading of mm. 154-55 as the second MC, and the

[86] It also recalls the second key of the Schubert Piano Sonata D. 960, which was also initiated by a fairly strong cadential break (though non-elided), but gave way to its relative major fairly quickly. Furthermore, both key areas are identical (♯ minor, though their functions are different within their pieces' overall schemes—in Schubert's sonata, it functions as the minor chromatic submediant, whereas here it is simply the *diatonic* mediant), and both TM1 themes appear in the tenor voice and are sentential period structures that gravitate towards the second key's relative major.

overall interpretation of this exposition as a three-key trimodular block.

Example 16c. Brahms, Symphony no. 2, first movement, mm. 152–59.



Example 17a. Brahms, Piano Trio op. 87, fourth movement, exposition.

P	TR	MC1	TM1	TM2	MC2	TM3	[no EEC]	RT
		iii:HC	iii		V:HC	V		
1	11	22	23	33	42	43		51
I			iii			V		

An example of a three-key trimodular block from Brahms's later period can be found in the finale of Brahms's Piano Trio op. 87 (1880), a Type 4/sonata-rondo whose exposition, like that of the Second Symphony, employs the key scheme I–iii–V (see Example 17a). This key scheme is also employed in the expositions of three other finales: the final movements of Schubert's Ninth Symphony and "Rosamunde" String Quartet, and of Brahms's Cello Sonata op. 99. The second key in op. 87 is given a mild degree of strength—although a iii:HC MC is clearly articulated in m. 22, the subsequent TM^1 follows a form Brahms often used for his TM^1 sections, the "dissolving period." The antecedent phrase (mm. 23–26) culminates in a iii:HC, creating the expectation of a parallel consequent that will culminate in a iii:PAC. However, the consequent phrase, beginning in m. 27, veers away from iii towards G minor, reaching V/g in m. 30. This strategy of veering away from the second key, seen in earlier three-key expositions such as Schubert's D. 960 and Beethoven's *Coriolan*, was one that Brahms clearly preferred; while Schubert would sometimes provide extensive sections in the second key including cadential reinforcement before proceeding, Brahms rarely did so.

As noted before, the exceptions are the finale of Piano Concerto op. 83, in which the second key houses a tonally closed period in the unusual key of vii, culminating in a vii:PAC, and the third movement of Violin Sonata op. 108, whose TM[1] is a tonally closed sentence which switches modes but ends in a PAC in the second key (iii).[87] Brahms's "veering" away from the second key is usually accomplished through a dissolving period structure,[88] as in TM[1] of the op. 87 (shown in Example 17b), or a similar structure, a dissolving sentential period.[89] The consequent of these periods modulates to the new key, dissolves into the more active TM[2] zone, or does both.

As noted above, Schubert frequently opens the third key with a PAC MC, followed by a less lyrical, more cadential theme that seems more in line with a Closing zone than a Secondary theme zone;[90] by contrast, Brahms's second MC is generally a more normative half cadence. The theme that follows Brahms's second MC varies: in some cases, it is another lyrical, normative secondary theme,[91] in other cases a more turbulent, TR-like theme,[92] or in

[87] However, this movement's sonata-form trappings are somewhat weakened by the fact that there is no "transition" zone and that there is no "recapitulation", rendering it more of a ternary (ABA) form whose AB sections are loosely in dialogue with a sonata-form exposition. The "MC" (v:PAC) in m. 53 is a re-iteration of the same cadence from earlier that led back to a restatement of the main theme; the material that follows m. 53, though in III, is a variant of the post-cadential material from earlier, weakening its identity as a "secondary theme" proper. The highly unusual tonal design of i–III/iii–♭I/♭i and the loose sonata elements, however, do put it in dialogue with Brahms's three-key expositions, particularly with the modal switches within the secondary thematic zones.

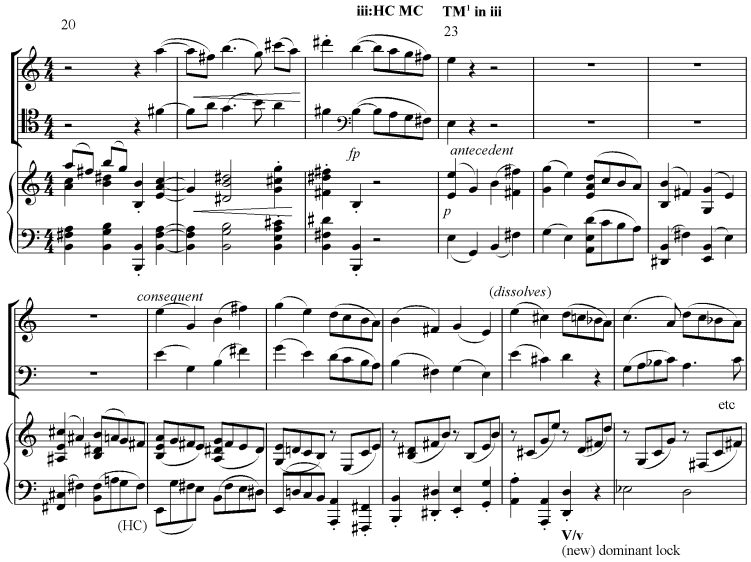
[88] The "dissolving period" type of TM[1] theme can be found in the Academic Festival Overture, the finale of Violin Sonata op. 108, and the first movements of Clarinet Trio op. 114 and Clarinet Sonata op. 120, no. 1. It is also employed in the three-key exposition of Brahms's Cello Sonata op. 99, first movement, which is not a trimodular block. The second phrase of the S theme in V veers away from towards the third key, iii, in which EEC occurs (but no second MC is articulated, only the iii:PAC in m. 60, which is immediately followed by a modulating retransition to either the expositional repeat or the development. Graybill (1988) discusses the harmonic layout of this exposition in more detail.

[89] As in the TM[1] theme in the Second Symphony seen above; this also occurs in Setxtet op. 18, first movement, and the finale of Cello Sonata op. 99.

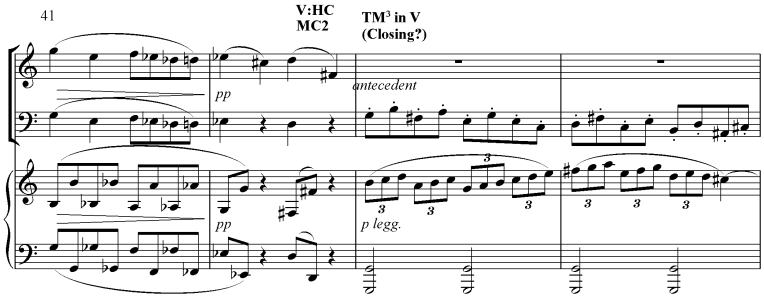
[90] These cadential themes often outline an Expanded Cadential Progression (ECP) a term coined by William Caplin (1998, 20).

[91] As in Sextet op. 18.

Example 17b. Brahms, Piano Trio op. 87, fourth movement, mm. 20–32.



Example 17c. Brahms, Piano Trio op. 87, fourth movement, mm. 41–48.



some cases, like Schubert, more closing/cadential in nature.[93] In the last of these categories, the end of the exposition soon follows.

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[92] As in the First Symphony finale or Violin Sonata op. 108, finale.

[93] In Piano Trio op. 87, finale; Academic Festival Overture; and, arguably, Clarinet Sonata op. 120, no. 1.

The TM[3] theme in Piano Trio op. 87 (Example 17c) exemplifies this final category—while an independent theme, it is somewhat cadential in function (I–V/iii–iii–V–[I]) and its consequent phrase veers away from tonal closure in V, instead arriving on V/iii in m. 55. V/iii is then used as a wrong-key active dominant for the return of the P theme in the tonic in m. 59, launching the second rotation of the sonata-rondo form. The lack of EEC in V results in what Hepokoski and Darcy term a "failed exposition."[94] In addition, it is unusual in that neither the second nor third key is strongly articulated; the third key is almost a last-minute afterthought.[95] Some of Brahms's other three-key pieces also feature failed expositions, bringing a new angle to the concept of "key strength." In these pieces, the third key, though perhaps articulated by a proper MC and housing a harmonically stable theme, is weakened by attenuated cadential closure. This occurs in op. 18, Academic Festival Overture, op. 87, and op. 120, no. 1, all of which contain ambiguous (at best) moments of "EEC."

Example 18. Brahms, Clarinet Sonata op. 120, no. 1, first movement, exposition.

P	TR	MC1	TM[1]	TM[2]	MC2	TM[3]	EEC	C
		VI:HC	VI		v:HC	V	v:PAC	
1	25	37	38	53	76	77	88	88
i			VI			v		

Our final piece is Brahms's late Sonata in F minor, op. 120, no. 1 (1892). The exposition's overall key scheme is i–VI–v, as shown in the outline in Example 18. A de-energizing transition begins in

[94] Hepokoski and Darcy 2006, 177ff and Hepokoski 2001.

[95] The "afterthought" third key was a technique employed in two earlier pieces by, of all people, Benda; his Sonatina XIII and the first movement of his Sonata VII both employ i–III–v three-key trimodular block expositions in which the third key appears for three (out of 33) and two (out of 28) measures, respectively. Before 1770, minor-key expositions typically went either to III or v, though in later Viennese sonata-form expositions, major III became the more favored option. The strong or weak articulations of III or v in these layouts was thus often the composer's way of playing with the listener's expectations for the second key and switching gears once the second key was reached ("No, on second thought, let's not remain in III as many expositions do, let us proceed to the other option available to us, minor v!")

m. 25, its energy flagging as an auxiliary cadence in VI (D♭ major) is initiated by the G♭ chord in m. 33; interpreted as the subdominant in D♭ major, it moves to V of D♭ (mm. 34–37). However, the D♭ chord that follows V/D♭ in m. 38 is inverted, which, combined with the deformational VI:HC MC, creates a tenuous opening for the second key of the three-key layout.[96] The consequent phrase of the dissolving-period TM^1 theme fails to reach a PAC in VI, instead veering into the renewed energy of TM^2 (m. 53). Although mm. 53–56 could be viewed as the antecedent of a period-structure theme with a dissolving consequent in m. 57ff., the section's energetic, bustling rhetoric is more suggestive of a TM^2 module, which typically carries TR-like rhetoric. This is even more apparent given its formal similarity with the TM^1 section, which is also a dissolving period structure, but carries the rhetoric of a Secondary theme zone rather than a Transitional theme zone. However, it is undeniable that m. 53, regardless of its exact label, is a watershed moment in the exposition, and Graybill suggests that the "second group" begins here, not at m. 38.[97] Smith elegantly considers two alternate "formal stratifications": the "traditional" grouping of mm. 1–37 as main theme + transition and mm. 38–89 as the second group theme, or the more Schenkerian grouping of mm. 1–52 as a prolongation of the opening tonic and mm. 53–89 as a shift to V/V–V.[98] Yet another perspective on this challenging exposition can be gained from the three-key trimodular block reading: m. 38 is the initiation of the second key and Part 1 of the expositional trimodular block (TM^1) and m. 53 is the renewed transition-like area typical of TM^2 modules that also prepares the entrance of the third key.[99] The second MC, a v: HC MC, finally occurs in m. 76,

[96] Both Greybill (1988, 143ff.) and Smith (1998, 176–82) note several factors that undermine the key area of VI: the inverted progression just noted, the lack of any root-position tonic chords within VI, and subtle motivic connections with the Primary theme: a transposition of the opening of the Primary theme in the bass, followed by the final three notes of the piano introduction in the clarinet, A♭–G♭–F. These factors imply that the piece has not truly moved into S theme space, which is often the case in TM^1 modules.

[97] Graybill 1988a, 143–47.

[98] Smith 1998, 181–84.

[99] Of course, alternate readings using Sonata Theory terminology are possible, for example, considering m. 53ff. another module of S ($S^{1.2}$) with no trimodular block, and the label of S^C (discussed in the next footnote) used for m. 77ff. However, the

launching the periodic TM[3] theme, which reaches the v:PAC EEC in m. 88. As is typical in Brahms's three-key trimodular block expositions, the TM[1] theme in the second key is a normative S theme in its character (a lyrical dissolving period in this case), whereas the TM[3] theme in the third key is not a normative "secondary theme." Instead, it is a more aggressive, transition-like theme (as in the finale of the First Symphony). In other cases, TM[3] is a more closing or "cadential" theme, but EEC occurs *after* this transitional or closing theme.[100]

As in the expositions explored earlier, Brahms has divided the two main tasks of the S zone into two different parts of the trimodular block: TM[1] articulates a normative S theme but does not achieve harmonic closure, while TM[3] fails to articulate a "proper" S theme but does achieve harmonic closure. By contrast, Schubert would sometimes present normative S themes in *both* TM[1] and TM[3], and, as we saw in the Second Symphony and the "Death and the Maiden," would sometimes provide harmonic closure at the end of *both* TM[1] and TM[3]. For Schubert, the second key was thus not always simply an en-route harmony, but an important harmonic zone, whereas for Brahms, the second key was often approached as if it would be the exposition's goal key, and the new theme would abandon the second key without any cadential articulation. Example 19 provides a summary of the differences between Schubert's and Brahms's general tendencies in their three-key expositions, as well as some statistical figures. It is particularly noteworthy that although Brahms used the three-key exposition

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relative TR-like rhetoric (perhaps not exactly identical with the non-Sonata Theory label of "transitional") of this section, particularly in contrast with the previous section, the articulation of a Medial Caesura later (m. 76), and the long lineage of three-key trimodular block expositions that this clearly seems to culminate, render the TMB interpretation more viable in the author's opinion.

[100] An alternate reading of instances where TM[3] is more "closing" in nature would be as one of Hepokoski and Darcy's "S[C]" themes, a C-like theme that appears before EEC; in this reading, the exposition would be a two-part exposition with three keys, not a three-key TMB. When Schubert provided *another* PAC later, however, along with another closing theme, this reading does not seem to be as viable. Yet, as noted above, it is less important to decide on one solution and consider the issue "closed;" rather, the ambiguity should be considered in light of a particular compositional tendency, in this case, the three-key trimodular block as an idiosyncratic feature of a layout Schubert and Brahms adopted and modified from earlier three-key and trimodular block layouts.

less often than Schubert (in 15% of the sonata expositions surveyed compared with 34%), both composers used trimodular blocks in 80% of these expositions. In other words, when creating three-key expositions, both composers preferred to house the harmonic structure in a trimodular block layout.[101]

Example 19. General comparisons in Schubert's and Brahms's three-key expositions.

Component	***Schubert***	***Brahms***
3-key expositions	44	15
Total sonata expositions	129	99
% of 3-key expos/total	**34%**	**15%**
3-key trimodular blocks	35	12
Total 3-key expositions	44	15
% of 3-key TMB's out of 3-key	**80%**	**80%**
Strength of 2nd key	Ranges from **weak** to **strong**	Only ranges from **weak** to **mild**
2nd key relation to tonic	Diatonic or chromatic keys used	Diatonic, rarely chromatic (exception: op. 99 2nd mvmt)
2nd Medial Caesura	often a **PAC** in 3rd key	usually a **HC** in 3rd key
Themes	S-like themes sometimes presented in both TM^1 and TM^3 In other cases, TM^3 more closing	S-like theme only appears in TM^1; TM^3 usually closing in nature

Conclusion

As suggested at the opening of this essay, Schubert most likely adopted the three-key exposition format from 18th-century precedents such as Mozart's K. 310, Beethoven's *Coriolan* overture, and Cherubini's *Les deux journées* overture, and possibly, the lesser-known precedents in Benda, Clementi and Dussek. He further refined the format by opening up both the second and third keys with their own MCs, and absorbing the trimodular block layout into the specific prototype we have explored in this paper, the three-key trimodular block. He employed it not as an unusual formal feature in a small number of his pieces, as previous composers had, but as a normative option for his sonata-form

[101] Again, please note that the "percentage of trimodular block" statistics, by nature, do not necessarily account for alternate interpretations of the trimodular block expositions—for example, the alternate readings that are possible in Brahms's Sonata op. 120, no. 1, such as one with no trimodular block.

expositions. Schubert's influence on Brahms with respect to sonata-form designs, cogently discussed by James Webster in his 1977/1978 study, is also apparent with regard to this unique format, although Brahms made his own stylistic modifications to the form.

It is hoped that this study has refined the idea of Schubert and Brahms's three-key expositional strategies in the context of Hepokoski and Darcy's Sonata Theory. Furthermore, it will hopefully provoke further investigation of topics beyond the scope of this paper; for example, the three-key trimodular block expositions of other 19th-century composers such as Dvorak and Franck, and the treatment of the three-key trimodular block in recapitulations.[102] The latter is especially intriguing, given the question of whether the second key and/or TM^1 and TM^2 are either "flaws" to be corrected or omitted in the recapitulation or indispensable components of the expositional trajectory that need to be retained in the recapitulation. While three-key expositions and double second groups have been previously discussed in the literature, Hepokoski and Darcy's trimodular block has provided us with a new framework for discussion of this unique form and its historical development, a discussion that has hopefully only just begun.

[102] Although no other 19th-century composer utilized the three-key exposition as often as Schubert and Brahms, several examples can be found in works of Dvorak, Tchaikovsky, Bruckner, and Sibelius, each with their own unique adaptations and treatments of the three-key layout.

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