The Architecture of Key and Motive in a Schubert Sonata

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From the earliest works of his adolescence, Franz Schubert's approach to large-scale key organization in sonata form is distinguished by its innovation. In the opening movement of the D major string quartet, D. 94, for instance, the exposition never quite breaks free of the control of the tonic, and instead relies on the tonic minor to provide some measure of tonal contrast. The thematic return is then cast in ♭VII, deepening the role of the parallel mode in the movement's tonal scheme.[1] Two string quartets composed in 1813 feature recapitulations beginning in the dominant, and are structured upon tonal plans in which the progression of the exposition is reversed in the recapitulation: in the framing movements of the quartet in D major, D. 74, and the first movement of the quartet in C major, D. 46, I—V is answered by V—I.[2] Three of the sonata-form movements from the second and third symphonies (D. 125 and D. 200; 1814-15) are based on the

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[1]The descending tetrachord from $\hat{8}$ to $\hat{5}$ is prominent in the tonic-minor area of the exposition (mm. 54 ff.), and, indeed, through much of the development and recapitulation, as well. The ♭VII of the reprise might be viewed as part of an enlarged such motion that spans the breadth of the movement. In this sense, the piece may be considered a forerunner of the *Quartettsatz*, composed some nine years later, in December of 1820: David Beach has shown how the subtonic recapitulation in this work ultimately derives from the descending tetrachord that shapes its opening thematic idea. See "Harmony and Linear Progression in Schubert's Music," *Journal of Music Theory* 38 (1994), pp. 1-20.

[2]Two years later Schubert revisited this idea of reversing in the recapitulation the tonal progression of the exposition, this time joining it to the usual practice of transposing material to the lower fifth. In the opening movement of the quartet in G minor, D. 173, the initial progression, i—III, is countered by a recapitulation that begins in III and moves to i. A third area of the exposition reestablishes the tonic, and then moves to a tonicized minor dominant to close the exposition. Its counterpart in the recapitulation begins in the subdominant and moves through the dominant to the closing tonic, making this a transposition down a fifth of the exposition's closing music (i—V/v—v is answered iv—V—i).

"three-key" exposition scheme I—IV—V. Each is recapitulated differently. In the opening movement of the second, the reprise begins in the subdominant, and the exposition's second and third tonal areas return in the tonic (I—IV—V || IV—I—I). Here the framing tonal areas of the two sections exemplify a strategy that Schubert favored throughout his career: the interval of modulation that shapes the exposition's tonal progression is maintained in the recapitulation in such a way that the tonic serves as the goal, rather than the source, of the motion of that section. In this work the overarching motion I—V returns at the lower fifth, yielding IV—I, the most common realization of this recapitulatory process. In the finale of the second symphony, the outer tonal areas are recapitulated in the tonic, while the exposition's subdominant area is recast in the submediant (I—IV—V || I—vi—I). The closing movement of the third symphony elaborates the three-key scheme of its exposition by interpolating the submediant between the opening tonic and the subdominant. To retain this opening modulation pattern in the reprise (and the modal qualities of the keys involved), and at the same time to regain the tonic at the conclusion of the pattern, Schubert must begin the recapitulation in the dominant (I—vi—IV—V || V—iii—I—I). Viewed as a group, these, and other, early pieces suggest experiment with and development of a number of distinctive recapitulatory strategies.[3]

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[3]Explorations and summaries of Schubert's sonata practice generally, and recapitulatory tendencies specifically, include Felix Salzer, "Die Sonatenform bei Franz Schubert," *Studien zur Musikwissenschaft* 15 (1928), pp. 86-125; D. F. Tovey, "Franz Schubert" (*Music and Letters*, 1927), rpt. in *Essays and Lectures on Music* (London: Oxford University Press, 1949), pp. 103-33, and "Tonality in Schubert" (*Music and Letters*, 1928), rpt. ibid., pp. 134-59; Malcolm Boyd, "Schubert's Short Cuts," *Music Review* xxix (1968), pp. 12-21; Daniel Coren, "Ambiguity in Schubert's Recapitulations," *Musical Quarterly* lx (1974), pp. 568-82; Miriam K. Whaples, "Style in Schubert's Piano Music from 1817 to 1818,"*The Music Review* 35 (1974), pp. 260-80; and James Webster, "Schubert's Sonata Form and Brahms' First Maturity, Pt. 1," *19th-Century Music* II (1978), pp. 18-35. The most detailed and penetrating consideration of the three-key exposition, albeit in the music of Brahms, is

During the early Spring of 1816 Schubert's attention turned to the broad tonal layout of the minor-mode sonata form. Three multi-movement instrumental works in minor emerge from these months: the Violin Sonatas D. 385 and D. 408, in A minor and G minor respectively,[4] and the Fourth Symphony, D. 417, in C minor. Four of their sonata-form movements feature three-key expositions that employ the mediant and the submediant along with the tonic: the opening movements of the A minor and G minor sonatas are cast in the scheme i—III—VI, while the finales of both the G minor sonata and the symphony proceed i—VI—III.[5] Beyond their expositions, however, these movements follow substantially different paths, as each draws a unique imperative of continuation from its opening tonal pattern.[6]

In the first movement of the G minor sonata, the recapitulation unfolds the same three keys as are introduced in the exposition, but with the order of the latter two reversed. That is, the exposition's i—III—VI is balanced by i—VI—III (the

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Roger Graybill, *Brahms's Three-Key Expositions: Their Place within the Classical Tradition* (Ph. D. diss., Yale University, 1983).

[4]A third sonata in this set is D. 384 in D major. The three were published in 1836 as opus 137/1-3.

[5]The opening movement of the symphony also sets forth a remarkable tonal architecture: the exposition's i—VI is answered in the recapitulation by the progression v—III. I discuss this movement in some detail in *An Emerging Symbiosis of Structure and Design in the Sonata Practice of Franz Schubert*, (Ph. D. dissertation, Eastman School of Music of the University of Rochester, 1994).

[6]In the first movement of the A-minor sonata i—III—VI is countered by the progression iv—VI—i. In the finale of the G-minor sonata the area controlled by the submediant is divided between two thematic ideas, which allows Schubert to recapitulate that material at different tonal levels: i—(VI—VI)—III becomes iv—(VI— III)—I. The organization of the fourth symphony finale appears to be an attempt to combine two recapitulatory strategies—the tonic return and the retained modulation scheme of the exposition. The recapitulation begins in the tonic major, but is soon diverted to ♮vi. From here it moves through the subdominant major and concludes in the tonic major. So, the exposition's (i—i)—VI—III is answered by (I—♮vi)—IV—I. Note that both the intervallic pattern and the modal qualities of the keys from the exposition are preserved through the recapitulation once Schubert establishes ♮vi as point of departure in that later section.

final III ultimately gives way to i, allowing the movement to close tonally). This particular exposition–reprise plan occurs in no other of Schubert's sonatas. The general idea that underlies it, that of restating the exposition's non-tonic keys in reverse order in the recapitulation, is also peculiar to this piece.[7] This essay will examine the broad organization of the G minor violin sonata's opening movement. I will argue that the choice and disposition of local keys is ultimately linked to the work's carefully-drawn motivic configuration, and that the latter provides to the movement's novel tonal design a sense of large-scale closure.

The Exposition

The prominence of simple melodic patterns that serve to shape the course of the music is an immediately conspicuous feature of this piece. In example 1 a representation of this aspect of the musical organization is extracted from and set above a foreground reading of the exposition. Two basic melodic ideas—to which I will refer as motives—are present: the descending third $\hat{5}$-$\hat{4}$-$\hat{3}$; and a neighboring embellishment of the primary melodic tone. This latter motivic idea takes two forms. The double-neighbor figure $\hat{5}$-$\flat\hat{6}$-$\sharp\hat{4}$-$\hat{5}$ described in the opening gesture of the movement guides the course of the development section, as we shall see. The simpler upper-neighbor figure $\hat{5}$-$\hat{6}$-$\hat{5}$ is present through the exposition and recapitulation. It occurs both alone and in combination with the descending-third idea, producing what is certainly among the most common of motivic patterns encountered in minor-mode works, $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$.

The ubiquity of these motivic ideas and the resulting extent of their influence upon the shape of the musical surface is quite remarkable. In the opening measures both the complete $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ and the $\hat{6}$-$\hat{5}$ neighboring motion are prominent.

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[7]We have seen that the idea of restating the exposition's keys in reverse order in the reprise was one Schubert had realized in movements from two early string quartets. These schemes, though, involved the tonic.

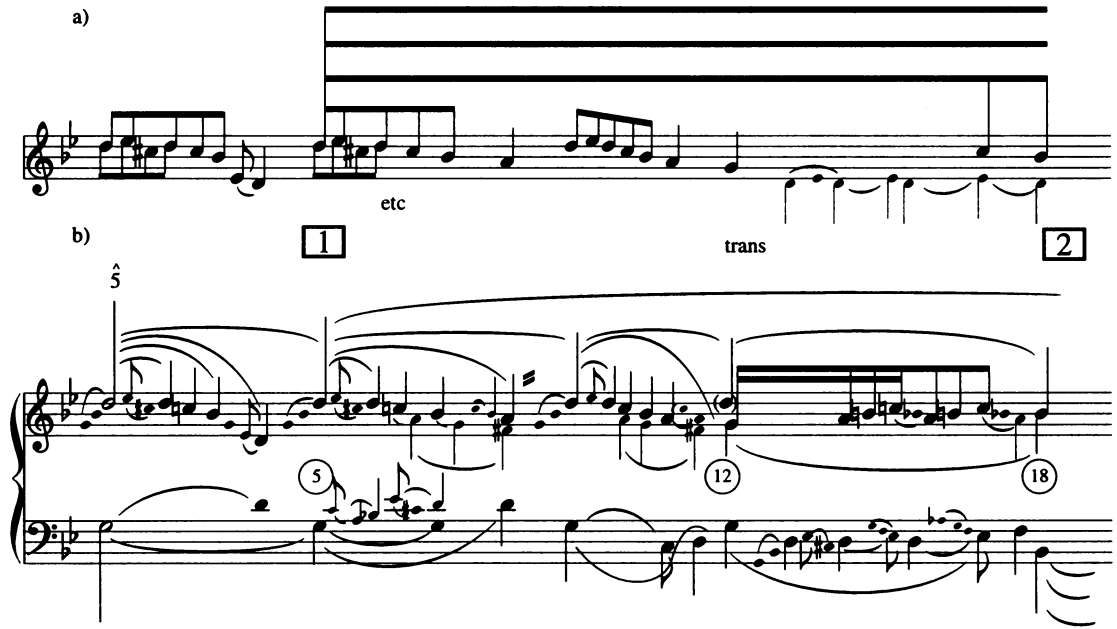
Note that the stepwise descent breaks at $b\flat$ in m. 3, punctuating this initial statement of the complete motive. An arpeggiation from this $b\flat$ descends through g to $e\flat$, which gives way to d in m. 4, thus concluding the phrase with the same $\hat{6}$-$\hat{5}$ motion that occurs in the upper octave in m. 1. This opening phrase, essentially an unadorned $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ pattern, now gives rise to the movement's initial theme, an interrupted period closed in the tonic, which reaches g^4 in m. 12 through a local 5th-descent. At a deeper level, though, this opening period prolongs d^5, which descends through c^5 to $b\flat^4$ at the cadence of the transition (mm. 17-18). This both completes a local statement of the motivic third $\hat{5}$-$\hat{4}$-$\hat{3}$ and secures $B\flat$ as tonic for the second tonal area.

The music here as well presents very simple elaborations of the $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ motivic idea, which of course functions locally as $\hat{3}$-$\hat{4}$-$\hat{3}$-$\hat{2}$-$\hat{1}$. The brief section extending from m. 18 through the downbeat of m. 32, fourteen measures in all, is based on two four-bar phrases. The first of these is stated twice, the repetition being doubled at the upper octave;[8] the second is elongated by the addition of a two-measure cadential figure. The underlying 4 + 4 organization, then, is expanded to (4 + 4) + (4 + 2). Both phrases prolong the local tonic harmony.

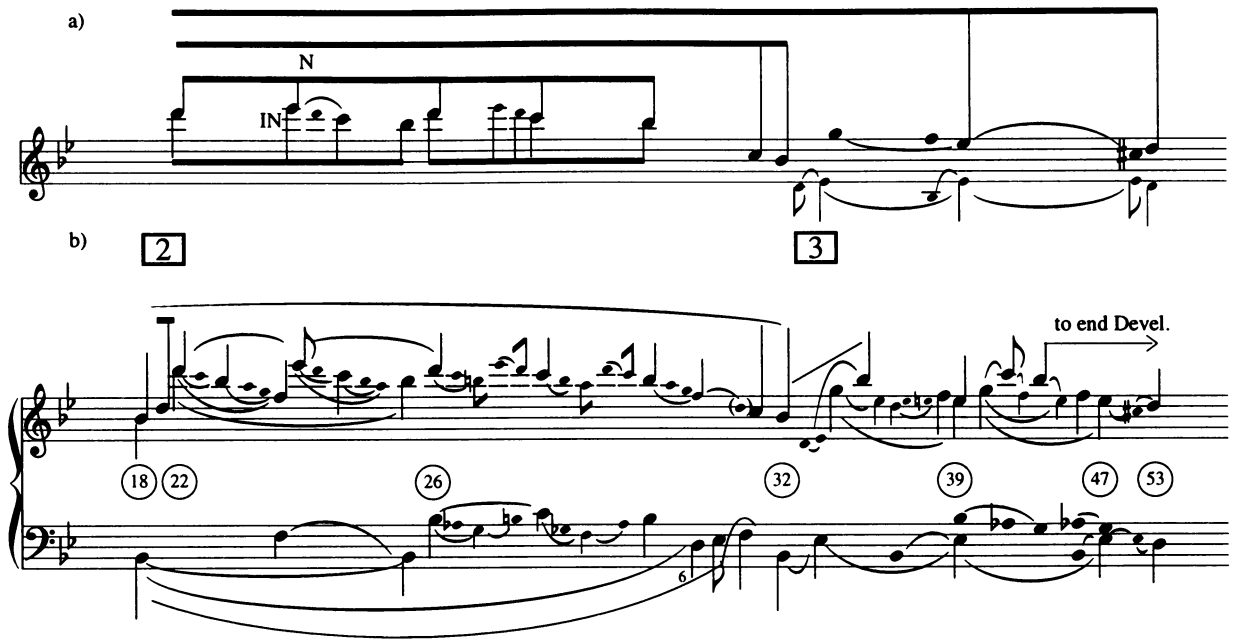
Turning our attention to the first of the two, note that within this four-bar unit, the $e\flat^6$ of m. 24 is an incomplete upper neighbor to the d^6 of m. 22; the d immediately following is a passing tone connecting $e\flat$ to c. The motive at the level of this four-bar phrase, then, would properly be characterized as $\hat{5}$-$\hat{6}$-($\hat{5}$)-$\hat{4}$-$\hat{3}$. The second four-bar unit extends from the second half of m. 26 to beat two of m. 30, and retraces the complete $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ motive. As the motivic graph (example 1a) shows, however, these two phrases are bound by a single statement of the $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ motive that spans their eight measures, formed as a combination of the two motivic statements just described. This reading is dependent upon a connection being heard from the d^6-$e\flat^6$ of mm. 22-24 across to the d^6 of

[8]Only the repetition, mm. 22-26, is shown in the sketch.

Example 1: Sonata for Violin & Piano, D. 408, 1st mvt., Exposition



Example 1 (continued)



m. 26, a connection suggested by the parallel articulation of these measures. From this point the $\hat{5}$-$\hat{4}$-$\hat{3}$ descent of the second phrase completes the motivic statement.

The validity of these readings hinges on the dual interpretation of the $e^{\flat 5}$ of m. 24: at the immediate surface it is an incomplete neighbor to the d^5 that begins the $\hat{5}$-$\hat{4}$-$\hat{3}$ descent that shapes the first phrase; at a slightly deeper level it is a neighbor to the prolonged $\hat{5}$ of mm. 22-26. This is a simple and particularly clear example of motivic nesting[9]—the embedding of a motive within a deeper-level statement of that same motive—a technique employed at a number of levels throughout this movement.

As discussed above, the second of the section's two underlying four-measure phrases comes to an end in m. 30. The expansion of this phrase from four to six measures results from a strong ii^6—V—I cadence having been appended to the basic four-bar unit. This cadence, whose immediate purpose is to bring about closure for the section, serves also to pull the music out of the upper octave, thus regaining the register of the first theme group and the transition. As a consequence, the melodic c^5—$b^{\flat 4}$ of mm. 31-32, dissociated to an extent from the upper line that immediately precedes it, is heard not so much as a reiteration and confirmation of the upper octave melodic closure, but rather in connection with the d^5 that at a deeper level has been prolonged from the outset of the movement. As example 1a illustrates, then, all of the motivic configurations that we have noted to this point are embedded within a $\hat{5}$-$\hat{4}$-$\hat{3}$ descent that spans the movement's opening thirty-two measures.

Before considering the third tonal area, a brief visit should be made to the six-measure passage that functions as a transition between the first and second tonal areas. The harmonic strategy of the transition is simple: a c-minor triad acts as pivot between G minor and $B^{\flat}$ major, the departure and goal keys. As obvious as this modulation technique may be,

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[9]This term was coined by Charles Burkhart. See "Schenker's 'Motivic Parallelisms'," *Journal of Music Theory* 22 (1978), pp. 145-175.

though, it does provide the mechanism for the emergence of two lovely points of detail. The first involves the melodic shape of the overall passage, a rising 4th from the g^4 that concludes the first theme, up through $b\flat$ to c^5, which, now as the $\hat{2}$ of the ensuing cadence in B♭, is prolonged by a passing motion through $b\flat$ to the leading tone in an inner voice. Note how this ascending 4th is expanded: its initial tone is prolonged by a smaller scale version of itself, identical in all respects, including the descent through the passing $b\flat$ to a. Even here, then, in a six-measure transition, this idea of motivic nesting finds expression.

A second point of detail has to do with the d/$e\flat$ melodic oscillation that is a salient feature of the piece at so many levels. Through the first and second tonal areas, d is the stable member of the pair, first as $\hat{5}$, then as $\hat{3}$, with $e\flat$ acting as its upper neighbor. In the transition—in the midst of this stability of d—a brief reorientation of that relationship occurs. It is worth noting the rather odd voicing of the music here: beginning with the upbeat to m. 13, the melodic line, in which d and $e\flat$ are conspicuous, is set in octaves in the left hand of the piano and the violin, thus bringing those two pitch-classes into prominence. The initial melodic gesture rehearses their now-familiar relationship, with $e\flat$ as upper neighbor, but the twice-stated tonicization of the c-minor^6 chord that gives rise to the rest of the passage reverses the terms of their alliance, as d now resolves to $e\flat$. As we shall see, the transition's fleeting reversal of the terms of their relationship prepares both the closing section of the exposition and an important part of the recapitulation, and the emphasis on these two pitch-classes fore--tokens events of the development.

The closing section of the exposition is in E♭ major. There is no actual transition to this key; instead, a brief "link"—probably as apt a term as any—accomplishes the task. By sheer force of repetition and metric emphasis, III assumes the role of V/VI. In light of our earlier discussion, the fact that this reorientation of harmonic function is accomplished by a thrice-repeated naked octave insistence of d upon $e\flat$ calls for little further comment. It is as though the sub-

servience of the upper to the lower member of this pair has persisted long enough, and is here resolutely cast aside.

The reassignment of the B♭-major chord from local tonic to the role of dominant is of course the most direct path to E♭ major. But our inclination to dismiss this odd little passage simply as a bow to expediency carries with it the danger of ignoring any broader implication it may have. Because something is as simple or direct as possible does not in and of itself deny a potential for significance. Here, this most unsubtle of modulations may be precisely calculated as such in order to clarify the larger relationship between the two non-tonic keys within the exposition. That is, it may suggest that the second key area itself is properly interpreted as an extended dominant of the submediant, as being essentially transitional. Such a view is certainly easy to embrace: the framing keys of any three-key exposition scheme, in the absence of strong evidence to the contrary, will be heard as more significant. However, this interpretation has a more global consequence that must be kept in mind. Since these same two keys reappear in reverse order in the recapitulation, we must somehow reconcile the subordination of B♭ to E♭ in the exposition with our understanding of the recapitulation as structural resolution.

This final section of the exposition is similar in a number of respects to that which precedes it. Again, two four-measure phrases constitute the underlying design. In addition, both are harmonically closed and represent simple prolongations of (local) tonic harmony. A voice-leading sketch of the passage (included in example 1b) reveals a further likeness: both phrases here, as earlier, are shaped by a melodic 3rd-descent to the local tonic. The movement's $\hat{5}$-$\hat{4}$-$\hat{3}$ motive, then, which had been maintained through the B♭ section as $\hat{3}$-$\hat{2}$-$\hat{1}$, is now transferred to a new pitch level. The goal of this twice-articulated 3rd-descent, the melodic focus of these measures, is $e♭^5$. As the motivic graph of example 1a illustrates, the d^5 that is established at the outset of the movement, and that we have seen lead down through c^5 to $b♭^4$ at a succession of ever-deeper strata, moves to this $e♭^5$ as its upper neighbor at a yet deeper level. At this level the $b♭^4$ of m. 32—the goal of the

3rd-descent that spans the music to that point—is understood to be part of an inner voice that is immediately projected into the upper octave, where it acts as a covering voice to the local $\hat{3}$-$\hat{2}$-$\hat{1}$ descents.

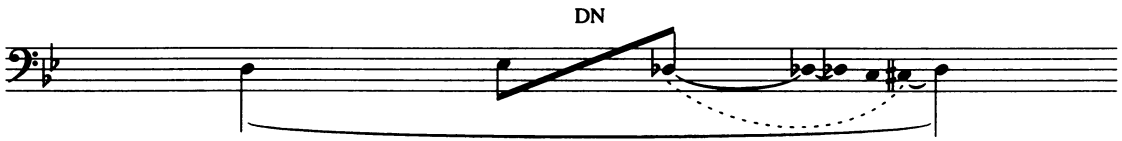
The Development

We alluded above to a number of issues springing from the alliance of d and e♭: their influence on the motivic life of the piece; the stability of one in relation to the other as emblematic of the tonal designs of the exposition and the recapitulation; and their emphasis and presaging role within the exposition's transition section. In a moment we will see an exchange of motivic fragments—both of which center on one or the other of these two pitch-classes—that takes place between the exposition and the recapitulation. First, though, we must consider the development section, which, at both immediate and more remote levels, is also largely engaged with this d/e♭ pairing. Example 2b gives a foreground reading of the section. In the closing measures of the exposition (also shown in the example) the upper voice of the E♭ cadence—which closes the exposition section proper—moves down to c♯. The augmented 6th chord thus formed with the e♭ bass resolves into a D-major triad. This little link at the end of the exposition serves the dual function of preparing the repetition of that section and effecting transition into the development, which begins on the dominant. The link also serves to recall the chromatic double-neighbor embellishment of the primary tone—it is fitting that the very last event of the exposition should recall the very first—which, as we shall see, imposes itself on the course of the development.

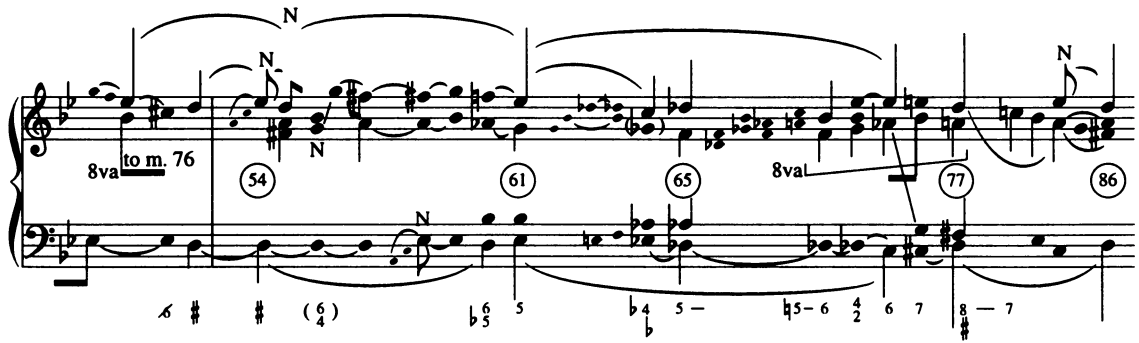
The guiding progression of the opening eight measures is from the initial dominant triad on D to a tonicized E♭ chord. Through the course of this motion the two pitch-classes and their triads are brought together in an almost playful way. On the opening downbeat the root of the dominant chord in the left hand of the piano is counterpointed by an accented $e♭^5$ in the violin. This upper neighbor resolves to d^5, which is

Example 2: Sonata for Violin & Piano D. 408, 1st mvt., Development

a) A Motivic Reading



b) Foreground Sketch



subsequently prolonged by a motion to its upper 3rd, f♯^{5}. Just as this is accomplished, however, the gesture that had initially set the e♭^{5} in the violin against the bass d^{3} is transferred to the left hand of the piano, bringing e♭ into the bass. At this point, then, d is no longer sounding, but of course the D major triad and its dominant function are being prolonged by the vii$^{o}{}^{4}_{2}$ chord over the bass e♭. That this e♭ originates in a gesture which only a few measures earlier we heard set against and resolving to a stable d increases our expectation that this bass e♭ is indeed a momentary displacement of d and will resolve accordingly. But after persisting for two measures, the vii$^{o}{}^{4}_{2}$ chord gives way to an E♭-major triad. That is, the bass e♭, introduced in a manner calculated to emphasize its instability, is maintained as root of the chord of resolution; the vii$^{o}{}^{4}_{2}$ chord has been reinterpreted as a "non-functional" ^{o}7th chord on e♭, an embellishment of the E♭ triad. Only at this point does the e♭ bass give way to d. But now the d supports a V^{6}_{5} chord in E♭, which resolves to confirm E♭ as the local goal in m. 61.

The opening eight measures of the development, then, represent a kind of microcosm of the entire exposition's upper-voice motivic design, now set in the bass voice. In both of these sections d and e♭ are prominent on the musical surface, and a reversal of the terms of their pairing is gradually effected: e♭ as upper neighbor to d at the outset gives way to d as leading tone to e♭ at the end of the section. It will also be recalled that the transition between the exposition's first and second tonal areas—both of which prolong the initial d of the background motivic pattern—foreshadows this reversal of primacy within the d/e♭ pairing.

The arrival of E♭ in m. 61 is the major point of articulation within the development. At the deepest level that harmony progresses to the structural dominant that concludes the section; foreground details of the progression are given in example 2b. As the sketch indicates, then, the entire section is not understood to effect a prolongation of the dominant harmony. That is, the D-major triad that begins the development is not to be equated with that which ends it. The former oper-

ates at a local level only, leading, as we have seen, to the E♭ of m. 61. From this perspective the upper-voice d^5 that begins the development section is framed by two higher-level occurrences of $e♭^5$, the first concluding the exposition proper, the second arriving with the m. 61 cadence. Therefore, the $e♭^5$ of the exposition's closing theme, at the deepest level an upper neighbor to the d^5 that precedes it, is itself prolonged through the development section by d^5 as its lower neighbor.

Example 2a casts light on another aspect of the section's organization. The D♭ harmony of mm. 65 ff. is a curious feature of the development. On the musical surface, it is as prominent an event as any in the section: it arrives by way of its own dominant, and persists for a full nine measures. Within the larger voice-leading structure, as example 2b indicates, it is a passing chord, subsumed by the motion from the VI of m. 61 to the $♭II^6$ of m. 75. But this is only part of its story. The combination of this D♭ with the E♭ harmony that precedes it forms the double-neighbor pattern around $\hat{5}$ that defines the movement's opening melodic idea, and is recalled once again in the guise of the augmented-sixth motion into the dominant at the close of the exposition. From this perspective, then, the opening $\hat{5}$-$♭\hat{6}$-$♯\hat{4}$-$\hat{5}$ motivic idea exerts a powerful influence on the course of the development section, as an expanded version of that idea spans its full breadth.

One of the striking features of the music revealed in example 2 is that overarching linear patterns occur in both the bass and the uppermost voice. Middleground motions involving perfect consonances—octaves usually, but occasionally fifths—are particularly characteristic of Schubert's style. They usually arise as a result of Schubert's tendency to build larger structures in clearly-defined, harmonically-closed, sections. His fondness for strong internal cadential punctuation can produce outer-voice motions pervaded by perfect consonances. The parallels that may result are invariably mediated, of course, by contrapuntal motions at more-to-the-surface levels.

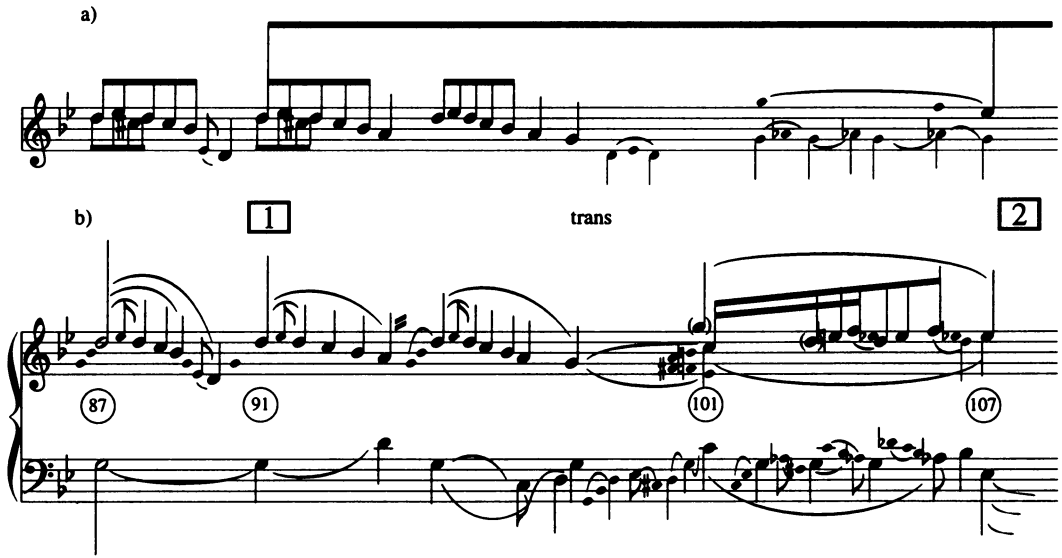
The Recapitulation

The recapitulation of a sonata movement presents some form of reworking of its exposition's tonal architecture. In pieces in which motivic organization plays a significant role, a reworking of that design in the recapitulation is almost invariably necessitated by the new tonal scheme. The ascendant form-defining role of voice-leading structure in tonal music normally dictates the priority of a tonal plan that will accommodate the requirements of that structure over imperatives of the work's motivic design; certainly, in sonatas where the reprise follows the usual procedure of transposing to the tonic all of the exposition's non-tonic material that priority is self-evident. In a movement such as this one, however, which unfolds a highly idiosyncratic tonal design, questioning our presupposition of tonal priority may be profitable.

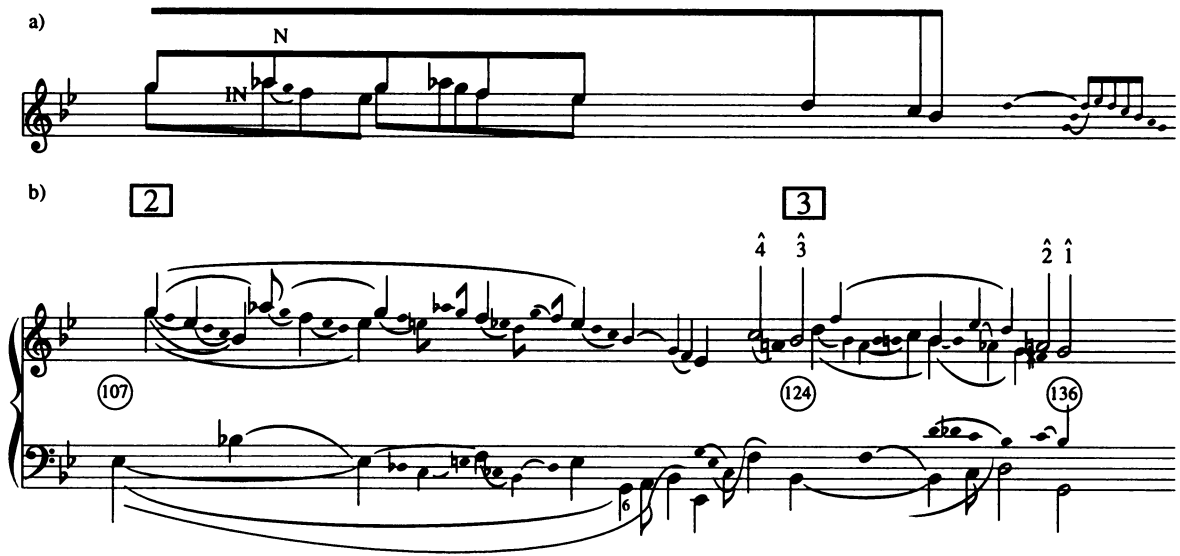
The motivic organization of the recapitulation is represented in the upper-level graph of example 3 (which is arranged in the same format as example 1). Motivic statements inherent to individual themes that were noted in the discussion of the exposition occur here also, of course, either at the same pitch level (as in the opening theme in the tonic), or transposed to a new level (those of the second and third tonal areas). These are included in the graph and require no further comment. Of greater interest are changes to the deeper-level motivic patterns, those that cut across formal boundaries and encompass more than a single tonal area. The striking difference here is the relative absence of motivic layering that so characterized the exposition. Whereas the earlier section was shaped by two large-scale $\hat{5}$-$\hat{4}$-$\hat{3}$ descents, and, at a still deeper lever, a motion from $\hat{5}$ to its upper neighbor, the recapitulation presents a single deep-level statement of the complete $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ pattern spanning its three tonal areas.

Comparison of corresponding points within the two sections reveals how this change in motivic design is effected, and, I believe, provides at least a partial explanation of the movement's unusual tonal design. The underlying melodic shape of the second theme is a $\hat{3}$-$\hat{2}$-$\hat{1}$ descent in the local key.

Example 3: Sonata for Violin & Piano, D. 408, 1st mvt., Recapitulation



Example 3 (continued)

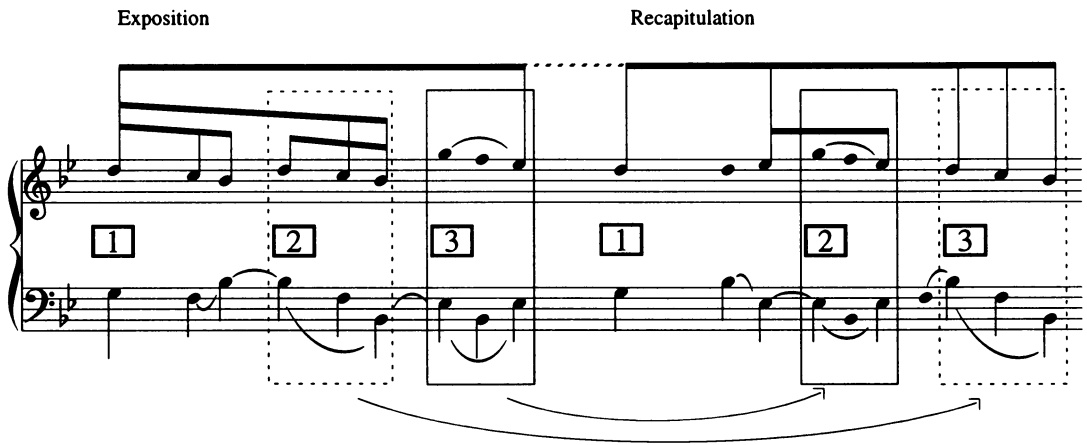


In the exposition, where the theme appears in B♭, this brings about the completion of the $\hat{5}$-$\hat{4}$-$\hat{3}$ descent (in tonic G minor) that spans the opening thirty-two measures. In the recapitulation the second theme is in E♭. With the cadence in this key at m. 107, d^5, prolonged through the recapitulation's first tonal area and transition, pushes up to its neighbor-tone $e♭^5$, which is now prolonged through the second theme area as the goal of the local 3rd-descent. The closing theme, it will be recalled, is similarly shaped by a $\hat{3}$-$\hat{2}$-$\hat{1}$ melodic line. In the exposition this theme is in E♭; as in the second tonal area of the recapitulation, the terminal pitch of the local 3rd-descent, $e♭^5$, represents a deep-level upper neighbor to the d^5 that has been prolonged through the first two themes of the exposition. This closing theme in the recapitulation is now in B♭. This, of course, reestablishes d^5 following the prolongation through the second tonal area of its upper neighbor. At this point the local $\hat{3}$-$\hat{2}$-$\hat{1}$ descent completes the large-scale $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ motivic statement that spans the recapitulation.

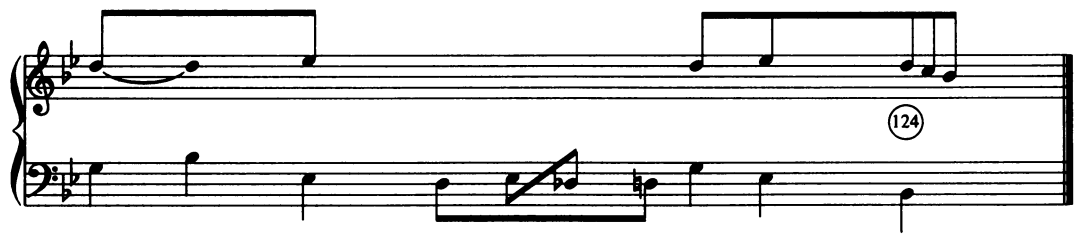
Example 4 illustrates the deep-level motivic organization of the two sections. Note how the common underlying melodic structure of the second and third themes provides for this wonderful linking of tonal and motivic designs: the exchange of local tonics is tied to an exchange of "component parts" of the complete motivic pattern. The outcome of these interdependent exchanges is that at the deepest level the movement's composite motivic pattern, $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$, is left incomplete in the exposition but picked up and stated fully in the recapitulation.

Middleground sketches of the entire movement are given in example 5b. The interpretation of the fundamental structure requires a brief explanation. I do not believe that the fundamental line descends to $\hat{2}$ at the end of the development section, as Schenker's definition of the form mandates. Instead, this movement exemplifies the structural model defined by Ernst Oster in his well-known appendage to Schenker's

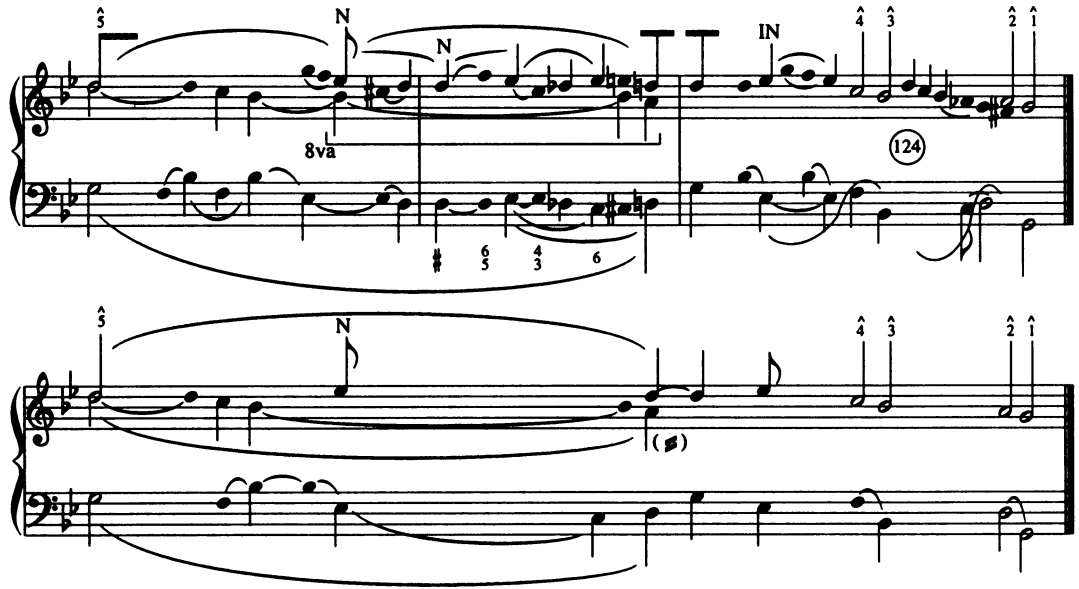
Example 4: Sonata for Violin & Piano, D. 408, 1st mvt.,
Summary of Motivic Design through Exposition and Recapitulation



Example 5. Sonata for Violin & Piano, D. 408, 1st mvt.
a) Motivic design



b) Middleground sketches



discussion of sonata form.[10] Here the primary tone, $\hat{5}$, is prolonged through the exposition and development sections and into the recapitulation, where it finally descends to closure. The sketch does indicate a descending line from $\hat{5}$ which reaches $\hat{2}$ at the end of the development. This motion, however, I believe to be an inner voice, which is projected into the upper octave late in the exposition, where it remains, acting as a covering line, through the development section. In both examples 2 and 5, for purposes of clarity, this covering line is shown literally as an inner voice, set an octave lower and marked "8va."

Example 5a attempts to summarize the essential motivic organization of the movement. In the exposition and recapitulation each pitch member of the motivic pattern is aligned with a representation of its local tonal support, given in the lower staff. The integration of those elements we have touched on here—the tonal scheme, the motivic design, the local priority within the d/e♭ pairing—is clear at a glance. The whole of this design comes together to serve the sonata form in two basic senses. The first we noted above: it involves the completion in the recapitulation of the $\hat{5}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$ motivic pattern, which was left incomplete in the exposition. The second has to do with the dramatic aspect of sonata form, which relies upon some sense of large-scale conflict and resolution. The tonal plan usually carries this drama, as the structurally-dissonant, nontonic material of the exposition is restated in the recapitulation, now transposed to the tonic. This occurs only in part in this movement, as the statement of the third theme in the recapitulation is diverted from its initial key, III, to tonic G minor, bringing about tonal closure for the movement. As if to compensate for this only partial resolution, the motivic pairing of d and e♭ plays out its own drama. The "proper" relationship within this chromatic pairing, of course, as described in the work's opening gesture, involves a stable d with e♭ as its upper neighbor. The exposition's tonal plan, where III func-

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[10]See *Free Composition*, trans. & ed. Ernst Oster (New York: Longman, 1979), p. 139.

tions as a transition to VI, violates that order, since it brings about the resolution of d as part of V/VI (III) to e♭ as local tonic. The recapitulation at once reverses the order *and* the relationship of these keys, and in so doing sets the d/e♭ alliance right; for now the prolonged e♭ of the second tonal area resolves to the d of the closing section as its upper neighbor. Thus their original relationship has been restored and motivic resolution achieved.

* * *

In this essay's opening sketch of Schubert's early exploration of tonal organization and recapitulatory procedure in sonata form, we noted that the violin sonata in G minor springs from a period of experimentation with the minor-mode sonata that occupied Schubert during March-April of 1816. One cannot help but be struck by the architectural innovation exhibited in this work of a still-teenage composer. For all its simplicity and modest dimensions, it embraces a novel approach to tonal organization, which, in concert with an overarching motivic design, preempts a wholly individual strategy of recapitulatory closure in sonata form—an issue which Schubert's innovations would continue to engage through the remaining twelve brief years of his life.