

THE SUBLATIONAL FINALE:  
THEMATIC RECALL AND FORMAL PROCESS IN  
INSTRUMENTAL MUSIC BY SCHUBERT AND SCHUMANN

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A thesis submitted to the faculty of the University of North Carolina at Chapel Hill in partial fulfillment of the requirements for the degree of Master of Arts in the Department of Music.

Chapel Hill  
2012

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## ABSTRACT

SAMUEL BRANNON: The Sublational Finale: Thematic Recall and  
Formal Process in Instrumental Music by Schubert and Schumann  
(Under the direction of Mark Evan Bonds)

Composers of multimovement instrumental works in the nineteenth century recognized thematic recall as one solution to the formal problem of creating a whole of out disparate movements. The theoretical and analytic literature rarely broaches the technique's compositional motivations and interpretive implications. This paper attempts to address these issues by interpreting thematic recalls as musical instantiations of Hegel's philosophical concept of sublation (from *aufheben*, meaning simultaneously "to preserve" and "to cancel"). This paper uses the concept of a "sublational finale" to explain the various formal processes at work in finales that feature thematic recall, illustrated by analyses of three representative works: Franz Schubert's Piano Trio in E-flat Major (D. 929), and Robert Schumann's Piano Quintet in E-flat Major (op. 44) and Second Symphony in C Major (op. 61).

## **ACKNOWLEDGEMENTS**

I wish to thank the following individuals who have shaped my research on this topic at various stages of its conception. In a seminar on Schubert's late instrumental music with John Gingerich (Peabody Conservatory), I initially formulated my ideas on Schubert's Piano Trio in E-flat Major. In a seminar on recent American music theory with Severine Neff, I further developed these ideas to include the larger reception of Schubert's instrumental music in the context of analyzing sonata forms in multimovement compositions. The luxury of an independent study with Mark Evan Bonds enabled me to expand my research beyond Schubert's music to the nineteenth-century music in general, and to develop an interpretive approach that, in borrowing from philosophy, moves beyond traditional methods of music analysis.

Lastly, I wish to thank my wife Heather, who has been my biggest supporter over the past seven years. I am eager to repay the many hours she has loaned me to read, write, and think.

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## CHAPTER ONE

### INTRODUCTION

Creating a whole out of disparate movements posed a formal problem to composers of multimovement instrumental works in the nineteenth century. For example, in 1841, Robert Schumann published a review of Frédéric Chopin's Piano Sonata in B-flat minor, op. 35, in which he famously criticized the coherence of Chopin's four movements:

That he should have called it a "sonata" suggests a joke, if not sheer bravado. He seems to have taken four of his most unruly children and put them together, possibly thinking to smuggle them, as a sonata, into company where they might not be considered individually presentable.<sup>1</sup>

Schumann's review may be taken as representative of views of multimovement form in the nineteenth century. The composer's act of simply placing four movements together was no longer enough to make them cohere; the different movements should belong together in some sense beyond their intentional placement together.<sup>2</sup>

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<sup>1</sup> Robert Schumann, *Schumann on Music: A Selection from the Writings*, trans. and ed. Henry Pleasants (New York: Dover Publications, 1988), 173. While this translation is widely cited, it is not particularly faithful to Schuman's idiosyncratic syntax: "Dass er es 'Sonate' nannte, möchte man eher eine Caprice heissen, wenn nicht einen Uebermuth, dass er gerade vier seiner tollsten Kinder zusammenkoppelte, sie unter diesem Namen vielleicht an Orte einzuschwärzen, wohin sie sonst nicht gedrungen wären." Robert Schumann, "Neue Sonaten für das Pianoforte," *Neue Zeitschrift für Musik* 4 (1841): 39.

<sup>2</sup> One particular strand of music analysis holds that masterworks cohere through a deep-level motivic unity between movements created subconsciously by the composer. See for example, Rudolph Réti, *The Thematic Process in Music* (New York: MacMillan, 1951). What emerges with thematic recall in the nineteenth century (and even earlier) is a conscious desire by composers to manifest this unity and cohesiveness on an obvious less.



Thematic recall—the restatement in one movement of material from an earlier movement—has long been recognized as one solution to this formal problem. It highlights the larger formal issues of a given work by drawing the listener outside the forward flow of musical time, pausing to reflect on previous material and its relation to the immediate musical context. In and of itself, thematic recall does not create multimovement coherence merely through the combination of material from different movements. Rather, thematic recall draws attention to its own necessity—if the device is more than a merely superficial effect, then why does the recall need to take place? What does the recall accomplish that the immediate musical context could not provide? In short, what are its compositional motivations and interpretive implications?

I address these issues by proposing the concept of what I call a “sublational finale,” by which I denote a finale in which thematic recall effects a resolution of musical elements held in dialectical opposition.<sup>3</sup> In the following chapter, I situate theories of single-movement and multimovement form in spatial and temporal terms and outline the concept of the sublational finale. Chapters three and four demonstrate this concept through analyses of three representative works. The concern is to identify more than simply the usually-cited “landmarks” of thematic recall (i.e., the locations of connections between movements, however subtle they might be), explaining how thematic recall works in service of a variety of larger formal processes. Chapter three illustrates the process of tonal sublation in the finale of Franz Schubert’s Piano Trio in E-flat Major (D. 929, 1827). Chapter four illustrates the process of thematic sublation in the finales of

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<sup>3</sup> While musical sublation may exist independently of thematic recall, in my interpretation, all instances of thematic recall effect some degree of sublation. Thus, all finales with thematic recall are sublational finales. There is no prescribed pattern or type of musical sublation, however; the particulars of a composition and the manner in which they are held in dialectical opposition will determine the course of sublation in each interpretation.

Robert Schumann's Piano Quintet in E-flat Major (op. 44, 1842) and the Second Symphony in C Major (op. 61, 1845–1846). The final chapter explores connections between these works and their composers and considers the broader applicability of this study for other music.

Because the analyses here intentionally deal with such large sections of music, usually entire movements, I have decided to keep musical examples at a minimum in order to maximize the readability of the text. Examples are provided only where attention is directed to some specific aspect of the music other than its form or tonal center. Access to a reliable score with measure numbers (and a good recording) is assumed. Furthermore, because portions are so analytically dense, I have adopted the convention of making specific analytic claims and indenting the supportive evidence that follows. This is not to minimize the importance of the analysis or to substitute for a basic understanding of the score, but only to improve the text's narrative flow. Where possible, I have illustrated descriptions of formal scenarios in tabular form. These diagrams should be recognized as generalizations that, by necessity, paper over many harmonic details. These tables do not substitute for the prose analysis and an intimate knowledge of the music.

## CHAPTER TWO

### THE SUBLATIONAL FINALE

Music is a fourth-dimensional art. Time, this fourth dimension, is the essence of music.<sup>4</sup> On a literal level, music (as sound) does not exist *in* space, but rather moves *through* it.<sup>5</sup> Writing about music, or time in general, necessarily involves a degree of abstraction, the nature of which is a projection of the fourth dimension into the third, that is, of time into space (length, width, and depth). Often, this abstraction is conceived as a projection of the fourth dimension into the second or even the first, that is, of time into a plane (length and width) or a line (only length).<sup>6</sup> Writing can therefore represent music only insofar as it represents or mediates musical phenomena abstractly. This necessary mediation has led some scholars to question the efficacy and even utility of current modes of writing about music. To cite two recent examples: Carolyn Abbate, drawing on

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<sup>4</sup> The classical, Newtonian view of time as the fourth dimension has been questioned since Albert Einstein proposed the concept of spacetime. For a bibliography of various scientific and philosophical approaches to time, see T. K. Das, ed., *The Time Dimension: An Interdisciplinary Guide* (New York: Praeger, 1990). For a survey of the concept of time in music scholarship, see Jonathan D. Kramer, ed., *Time in Contemporary Musical Thought* (New York: Harwood Academic Publishers, 1993). For an extensive bibliography on time in music scholarship, see Wolfgang Auhagen, Veronika Busch, and Simone Mahrenholz, "Zeit," *Die Musik in Geschichte und Gegenwart*, second ed., ed. Ludwig Finscher (Kassel: Bärenreiter, 2000), Sachteil, vol. 9, 2220–51.

<sup>5</sup> This is not to say that there is only one mode of experiencing time in music. For one perspective on differing modes of musical temporality, see Jonathan Kramer, *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: MacMillan, 1988), esp. the introduction, 1–19.

<sup>6</sup> The philosophy of space and time, largely unexplored in music scholarship, has much to offer to the study of music. For a survey of the issues in this field, see Eugene Freeman and Wilfrid Sellars, eds., *Basic Issues in the Philosophy of Time* (La Salle, IL: Open Court, 1971), esp. Nathaniel Lawrence's chapter, "Time Represented as Space," 123–32.

philosopher Vladimir Jankélévitch, has argued for the importance in music scholarship of “drastic” experiences of music over “gnostic” ones.<sup>7</sup> Similarly, Bert Olivier, citing psychoanalyst Jacques Lacan, has argued that “symbolic” (i.e., linguistic or otherwise mediated) modes of experiencing music have been overemphasized in music scholarship at the expense of “imaginary” (i.e., visual or otherwise unmediated) ones that might better enable the analysis of musical performance—the mediator between written and sounded music.<sup>8</sup> In essence, these arguments perpetuate the Cartesian mind–body duality. Even if one does not subscribe to this dualism, writing about such temporal phenomena as music remains problematic. What is lost in the translation from sound to words?

### **Theories of multimovement form in time and space**

In reflecting on the nature of this abstraction in writings about musical form, scholars have recently noted the predominance of spatial metaphors in music-theoretical and musicological representations of form, particularly in music that was not originally conceived in spatial terms.<sup>9</sup> The notion of “process” has played a significant role in

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<sup>7</sup> For Abbate, “drastic connotes physicality, but also desperation and peril, involving a category of knowledge that flows from drastic actions or experiences and not from verbally mediated reasoning. Gnostic as its antithesis implies not just knowledge per se but making the opaque transparent, knowledge based on semiosis and disclosed secrets, reserved for the elite and hidden from others.” Carolyn Abbate, “Music—Drastic or Gnostic?,” *Critical Inquiry* 30 (2004): 510.

<sup>8</sup> Bert Olivier, “Lacan and Critical Musicology,” *International Review of the Aesthetics and Sociology of Music* 36 (2005): 135–58. For a contrasting exposition of the imaginary maternal Voice and the symbolic paternal Word in Lacan’s philosophy and how they might be applied to music, see Martin Scherzinger, “When the Music of Psychoanalysis becomes the Psychoanalysis of Music,” review of *Listening Subjects: Music, Psychoanalysis, Culture*, by David Schwartz, *Current Musicology* 66 (2001): 95–115.

<sup>9</sup> See, for example, Mark Evan Bonds, “The Spatial Representation of Musical Form,” *The Journal of Musicology* 27 (2010): 265–303; Judy Lochhead, “Temporal Processes of Form: Sessions’s Third Piano Sonata,” in Kramer, *Time in Contemporary Musical Thought*, 163–83; and Robert Morgan, “Musical Time/Musical Space,” *Critical Inquiry* 6 (1980): 527–38. For a spatial interpretation of composers’ conception of musical time, see Karol Berger, *Bach’s Cycle, Mozart’s Arrow: An Essay on the Origins of Musical Modernity* (Berkeley: University of California Press, 2007).

reintroducing the temporal dimension into the study of musical form. For example, Janet Schmalfeldt's recent book, *In the Process of Becoming*, explores how temporal notions of form as process—not usually associated with a broad sample of early nineteenth-century music—might yield fresh interpretations of this music.<sup>10</sup> Similarly, James Hepokoski and Warren Darcy's "Sonata Theory" posits that sonata form is a temporal process of the composer's (or another musical subjectivity's) continual interaction and negotiation with generic norms, resulting in an original work that nevertheless responds "dialogically" to convention.<sup>11</sup>

Somewhat surprisingly in light of its importance to theories of single-movement form, the notion of formal process has not yet played a significant role in recent theories of multimovement form. For example, Hepokoski and Darcy's chapter on the "three- and four-movement sonata cycles"—note the two-dimensional projection of time as a circle—simply outlines generic conventions for the disposition of movements in multimovement works.<sup>12</sup> Apart from literature specifically on thematic recall, there is surprisingly little primary literature that describes how composers generally *might organize* multimovement compositions; similarly, there is little secondary literature that describes how composers *have organized* multimovement compositions.<sup>13</sup>

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<sup>10</sup> Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011).

<sup>11</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006).

<sup>12</sup> For a similar account of the generic possibilities from the perspective of eighteenth-century sources, see Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), esp. chapter 19 ("Multimovement Cycles").

<sup>13</sup> For a selection of primary sources, see Ratner, *Classic Music*; and Judith L. Schwartz, "Conceptions of Musical Unity in the 18th Century," *Journal of Musicology* 18 (2001): 56–75. For a statistical survey of the numbers and types of movements in the repertory, see William S. Newman, *The Sonata Since Beethoven*, third ed. (New York: W. W. Norton, 1983), 134–48. For one modern

The literature on thematic recall is plagued by terminological confusion.<sup>14</sup> “Cyclic form,” “cyclic integration,” “double-function form,” “composite form,” “two-dimensional sonata form,” “super-sonata form,” among other terms, all attempt to describe thematic recall or related phenomena.<sup>15</sup> Two related issues are at the heart of this problem: (1) On the one hand, scholars disagree about what constitutes an attempt to bring movements together. While thematic recall confers an obvious level of coherence, many feel that a wider range of techniques such “remembrances” or “recollections” and textural or topical allusions also work toward this end.<sup>16</sup> Even the criteria for establishing connections between movements have been hotly contested.<sup>17</sup> (2) On the other hand, perhaps as a consequence of the paucity of theories of multimovement form, scholars also

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interpretation of multimovement form, see Wilhelm Seidel, “Schnell–Langsam–Schnell: zur ‘klassischen’ Theorie des Instrumentalen Zyklus,” *Musiktheorie* 1 (1986): 205–16. The reasons for this gap in the secondary literature are unclear; perhaps they relate to the idea in Schenkerian theory and the Formenlehre tradition that a movement should be a self-sufficient, tonally-closed unit of composition.

<sup>14</sup> This approach to the literature on thematic recall is largely drawn from Bryan Jeffrey Proksch, “Cyclic Integration in the Instrumental Music of Haydn and Mozart” (Ph.D. diss., University of North Carolina at Chapel Hill, 2006), xiv–xvii. I have supplemented Proksch’s list with more recent terminology.

<sup>15</sup> This terminology is culled from, respectively: Don Michael Randel, ed., *The New Harvard Dictionary of Music* (Cambridge, MA: Belknap Press of Harvard University Press, 1986), s.v. “cyclic form;” James Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in his Instrumental Music* (New York: Cambridge University Press, 1991); Newman, *The Sonata Since Beethoven*, third ed., 373; Ratner, *Classic Music*, 325–29; Steven Vande Moortele, *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven, Belgium: Leuven University Press, 2009), 1; Timothy L. Jackson, *Tchaikovsky, Symphony no. 6 (Pathétique)* (Cambridge: Cambridge University Press, 1999), 26.

<sup>16</sup> These memory-based approaches to unifying multimovement compositions have been important in recent Schubert scholarship. See, for example, Walter Frisch, “‘You Music Remember This’: Memory and Structure in Schubert’s String Quartet in G Major, D. 887,” *The Musical Quarterly* 84 (2000): 582–603. (The entire issue was dedicated to the topic of Schubert and memory.) Charles Fisk, in *Returning Cycles: Contexts for the Interpretation of Schubert’s Impromptus and Last Sonatas* (Berkeley: University of California Press, 2001), adopts a psychological approach, positing that the affective content of Schubert’s last sonatas cohere by reference to certain marked tonal centers.

<sup>17</sup> For a skeptical viewpoint, see Jan LaRue, “Significant and Coincidental Resemblance between Classical Themes,” *Journal of the American Musicological Society* 14 (1961): 224–34. For a more permissive viewpoint, see Alan Street, “Superior Myths, Dogmatic Allegories: The Resistance to Musical Unity,” *Music Analysis* 8 (1989): 77–123.

disagree about how to interpret the form of an entire multimovement work. Are there structural principles that govern a piece start to finish? Do these principles work from the lowest structural levels to the highest, or from the highest to the lowest, or something else entirely? To what extent do compositional intentionality and perceptual audibility of the material connecting music matter in the interpretation of multimovement form?<sup>18</sup> What about performance practice and social context?<sup>19</sup> Historiography?<sup>20</sup> These questions remain open to debate.

I have chosen to limit the subject here to thematic recall because it is a concrete, demonstrable technique for connecting multiple movements, although I briefly consider interpreting multimovement unity with less concrete techniques in the conclusion. In the chapters that follow, I analyze thematic recalls as instances of sublation, a philosophical category borrowed from Hegelian dialectics. By drawing on philosophy to supplement traditional methods of musical analysis, the concept of the sublational finale directly addresses the compositional motivations and interpretive implications of thematic recall.

### **The sublational finale**

This paper proposes the concept of a “sublational finale” in an attempt to address the causes and effects of thematic recall, borrowing from Hegel’s philosophy to interpret musical form as a dialectical process. The technique of thematic recall creates musical

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<sup>18</sup> On “the role of the listener,” see Hepokoski and Darcy, *Elements of Sonata Theory*, 340–42.

<sup>19</sup> For a brief consideration of how social context relates to analytic and ideological interpretation, see William Weber, “Did People Listen in the 18th Century?” *Early Music* 25 (1997): 678–91.

<sup>20</sup> To cite one historiographical example: Proksch argues convincingly that the desire to see Beethoven as the originator of “cyclic integration” has created resistance to recognizing the technique in earlier music. See Proksch, “Cyclic Integration in the Instrumental Music of Haydn and Mozart,” 1–8.

instantiations of Hegel's philosophical concept of sublation (from *aufheben*, meaning simultaneously "to preserve" and "to cancel"), which in his larger philosophical system refers to a dialectical resolution of oppositions, a lifted-up synthesis, and, in the largest sense, a unity of Being and Nothing. Janet Schmalfeldt has recently characterized sublation as follows:

The verb *aufheben* is Hegel's term, as influenced by F. W. von Schelling, for describing the *result* of the process of becoming. At the moment when one grasps that becoming has united a concept and its opposite, or negative, then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And *what has become* is a new moment—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical, determinations, in the sense that the one cannot be thought, or posited, outside the context of the other. The original concept has thus been *aufgehoben*.<sup>21</sup>

While Schmalfeldt limits her definition and subsequent discussion to a "Beethoven-Hegelian tradition" aligned with Theodor W. Adorno and Carl Dahlhaus, the concept of the sublational finale applies here equally to music before and after Beethoven.<sup>22</sup> While only works by Schubert and Schumann—often viewed as Beethoven's successors—will be considered here, the concept also applies to works outside a supposed Beethovenian tradition that employ thematic recall, such as works by Haydn, Mozart, Franck, Bruckner, Tchaikovsky, and Schoenberg.

Dialectical process is frequently associated with interpretations of single-movement sonata forms. In these interpretations, the exposition is viewed as a coordinated opposition of tonal centers and themes; only the opposition of themes

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<sup>21</sup> Schmalfeldt, *In the Process of Becoming*, 10 (emphasis in original).

<sup>22</sup> Adorno famously declared, "Beethoven's music is Hegelian philosophy." Theodor W. Adorno, *Beethoven: The Philosophy of Music*, ed. Rolf Tiedemann, trans. Edmund Jephcott (Stanford, CA: Stanford University Press, 1998), 14.



remains in the recapitulation.<sup>23</sup> The resolution of opposed tonal centers effected in the recapitulation may be viewed as one type of musical sublation: the same thematic material returns, but it has been transformed into the home key. Thus, the opposition of the exposition has been simultaneously negated through the second group's presence in the tonic key and preserved through a unique thematic identity (except in the case of so-called monothematic sonata forms).

This characterization of sonata-form sublation, however, needs refinement in order to work as a true dialectical system. For one, the conflict between thesis and antithesis—viewed here as tension between key areas or between different sections of a formal design—does not exist as an *a priori* phenomenon. Rather, musical tension is set into motion by the particulars of a musical context and developed in time through a dynamic interplay of musical parameters, especially tonal centers and themes. While traditional formal analysis views the exposition and recapitulation as parallels in a spatial sense, they might be viewed more fruitfully in a temporal sense as moments in an unfolding process.<sup>24</sup> In Hegelian dialectics, the temporal concept of a “moment” has rich significance, as philosopher Yirmiyahu Yovel explains in his translation of Hegel's *The Phenomenology of Spirit*:

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<sup>23</sup> This is the classic account of sonata form expressed in explicit dialectical terms. See Leonard Ratner, “Harmonic Aspects of Classic Form,” *Journal of the American Musicological Society* 2 (1949): 159–68; and Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton, 1968), 76–77 (on the oft-cited “sonata principle”). This perhaps-simplified account assumes a variety of manifestations in musical practice. For a more thorough account of sonata form, see *Grove Music Online*, s.v. “Sonata form,” by James Webster, accessed 8 April 2012, <http://www.oxfordmusiconline.com/>.

<sup>24</sup> To cite but one spatial interpretation, Hepokoski and Darcy view the “exposition space” and “recapitulatory space” as “rotations” through the same thematic material. See Hepokoski and Darcy, *Elements of Sonata Theory*, 231–32. Charles Rosen's view comes closer to my own by emphasizing the temporal dimension: “In the sonata, there is a *reinterpretation* of the pattern of the exposition, a transformation of a clearly articulated movement away from stability into the affirmation of a single large stable area.” Charles Rosen, *Sonata Forms*, rev. ed. (New York: W. W. Norton, 1988), 284 (emphasis in original).

[The concept of a “moment”] points to a dynamic factor or ingredient, which works together with other contradictory ingredients to produce a common positive result. According to Hegel, the formalistic understanding tends to isolate any such moment and turn it into an independent entity or a rigid notion, losing the dialectical “plasticity” which characterizes true being. In a system developing through time—like an organic body, a society, or human history—the dialectical moments appear diachronically, one after the other; yet within the fully actualized system they operate synchronically.<sup>25</sup>

On the one hand, to view exposition and recapitulation as spatial objects highlights the similarities between them, downplaying their essential differences (“a recomposed transition” or “the second group is the same as in the exposition, merely transposed down a fifth”).<sup>26</sup> On the other hand, to view them as temporal moments highlights their similarities while at the same time accounting for their differences in a meaningful way, explaining *why* a restatement is necessary in the first place aside from generic convention. Furthermore, the notion of a recapitulation-as-sublation has the benefit of highlighting the formal process to which it belongs—that is, tension created by an opposition set forth early in the movement becomes the subject of the form, which traces the continual negotiation and resolution of this tension. Resolution does not take place *in* the form, but rather *through* it.

To interpret musical form as dialectical process is to redirect attention to the dimension of time. In the famous preface to *Phenomenology of Spirit*, Hegel vigorously resists the demand to reduce his philosophical system into a collection of aphorisms divorced from their system of presentation:

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<sup>25</sup> Hegel's *Preface to the Phenomenology of Spirit*, trans. Yirmiyahu Yovel (Princeton, NJ: Princeton University Press, 2005), 67.

<sup>26</sup> For a brief discussion of the “fallacies of ‘closer relation’ and a ‘resolving’ fifth-transposition,” see Hepokoski and Darcy, *Elements of Sonata Theory*, 242–45. For a more extended discussion of patterns of tonal tension and resolution in sonata form, see James Hepokoski, “Beyond the Sonata Principle,” *Journal of the American Musicological Society* 55 (2002): 91–154.

For what would be appropriate to say about philosophy in a preface, and in what manner? Roughly, one would give a historical account of the work's standpoint and tendency, its general content and results—a conjunction of assertions and assurances made here and there about what is true; but this cannot be the valid way of exhibiting philosophical truth.<sup>27</sup>

Hegel's belief that philosophical principles should not—and cannot—be abstracted from the context of their systematic exposition extended by analogy to history. While history can be viewed synchronically, noting in retrospect the major events and agents of change, it must first be understood diachronically, following the development and resolution of tensions. It might be said for Hegel that history, like music, does not take place *in* time, but rather *through* it. So, too, with dialectical process in musical form: an ideal interpretation does not view sections exclusively as formal events or agents, but rather traces patterns of tension and resolution through the form. An essential component of this view is that an ideal interpretation should follow the entire course of a formal unit. In many cases, often eighteenth-century ones, this formal unit will be a single movement. In other cases, often nineteenth-century ones, the interpretive frame widens to adjacent movements due to tensions from one movement that have “spilled over” into the next.<sup>28</sup> A thematic recall in the finale of a four-movement design most commonly refers to the first or second movement. These extreme cases require the tracing of tension and resolution through an entire multimovement work in order to identify the motivations and

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<sup>27</sup> Hegel's *Preface to the Phenomenology of Spirit*, 63–64. The original German here is particularly rich with significance, particularly the *Darstellung* of philosophical truth. “Denn wie und was von Philosophie in einer Vorrede zu sagen schicklich wäre,—etwa eine historische *Angabe* der Tendenz und des Standpunkts, des allgemeinen Inhalts und der Resultante, eine Verbindung von hin und her sprechenden Behauptungen und Versicherungen über das Wahre—kann nicht für die Art und Weise gelten, in der die philosophische Wahrheit darzustellen sey.” Georg Wilhelm Friedrich Hegel, *Phänomenologie des Geistes*, ed. Wolfgang Bonsiepen and Reinhard Heede, vol. 9, *Gesammelte Werke* (Hamburg: Meiner Verlag, 1980), 9.

<sup>28</sup> The chronological frames of reference for these two cases should not be understood to be exclusive. Obviously, not all movements of every eighteenth-century multimovement work are “closed systems.” Similarly, there are plenty examples “closed system” movements in the nineteenth century.

implications for the thematic recall. In these cases, the finale becomes a synthesis of the entire work by resolving oppositions introduced early on.

In this way, the process of thematic recall in a sublational finale closely parallels the process of recapitulation in a sonata form. A variety of elements may be held in opposition, and there may multiple oppositions in play that may or may not be coordinated. The most obvious example of dialectical opposition is the thematic content of different movements. If different movements are to cohere as a work, as Schumann suggests they should in his review of Chopin's piano sonata, then these movements should be related in a non-trivial way—that is, for example, to substitute the slow movement of a symphony for another would fundamentally alter the experience of the other movements.<sup>29</sup> As Michael Talbot puts it, “The relationship of any finale to its companion movements is partly one of similarity, partly one of difference. If it is totally similar, it loses its *raison d'être* as a separate movement; if it is totally different, it violates the broad principle of unity or (if one prefers) coherence.”<sup>30</sup> Put another way, the dialectic is the tension between the unity created from the variety of the different movements. Thematic recall in a finale creates sublation by joining together in one movement material from different movements—even the most literal recall cannot help but be transformed by its immediate context. In these instances, thematic recall acts as a sublational resolution of the dialectical tension between different movements by

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<sup>29</sup> It is important to note that this seemingly Aristotelian principle of metaphysical unity is a historically-conditioned phenomenon related to the idea of a work-concept, which Lydia Goehr traces to around 1800. An example where this principle of unity does not apply is “suitcase” or “substitution” arias, widespread in mid-eighteenth-century opera, but extending well into the nineteenth century. See Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music*, rev. ed. (New York: Oxford University Press, 2007), esp. chapter 7 (“Musical Production without the Work-Concept”), 176–204.

<sup>30</sup> Michael Talbot, *The Finale in Western Instrumental Music* (New York: Oxford University Press, 2001), 52.

simultaneously preserving and negating the distinct identity of the material being recalled—it is still Other (imposed from another movement), but is also Same (now inextricably part of the finale).

As with the intra-movement dialectic in sonata form, an inter-movement dialectic does not hold in any generalized, *a priori* sense. Despite the presence of generic conventions and stereotypes, there is no overarching, universal musical pattern by which this dialectic operates. Rather, an inter-movement dialectic is set into motion by the particulars of the individual musical composition and unfolds through the singular features of that work—hence the importance of tracing the form in its entirety, not merely noting its “landmarks” synchronically.<sup>31</sup> Thematic recall is a specific response to the inter-movement dialectic, a dynamic, temporal process that may also be understood as the problem of intending multiple movements to cohere. By bringing together different movements in one moment, sublational finales provide resolution to the opposition of thematic content in different movements. In Hegel’s philosophy, the dialectic is a never-ending process; the arrival of resolution is at the same time a point of departure en route to ever-higher forms of resolution. Similarly, thematic recall is only the beginning of an incipient, extended sublational process. Higher forms of sublation, of working-out of tension, exist in the formal processes not just of the finale, but also of the other movements. Thus, a sublational finale is a culmination of neither a single movement nor isolated connections between movements, but is a culmination of the very course of the entire work, from beginning to ending.

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<sup>31</sup> Although it differs in several respects, this idea is quite similar to the notion of dialogic form (“the composer generates a sonata—which we regard as a *process*, a linear series of compositional choices—to enter into a dialogue with an intricate web of interrelated norms as an ongoing action in time”). Hepokoski and Darcy, *Elements of Sonata Theory*, 10–11 and 615–16.

## CHAPTER THREE

### TONAL SUBLATION

The differing keys of movements in a multimovement work often form a dialectical opposition that becomes the formal subject of a sublational finale. Thematic recall accomplishes tonal sublation by restating material from a non-tonic-key movement in the tonic key: its thematic content is Same (preserved), while its key is Other (negated). This very closely resembles the sublation found in sonata-form recapitulations. In fact, a scholarly cottage industry has risen to describe how composers in the nineteenth century mapped sonata form onto the four-movement symphonic design, the most widely cited example being Franz Liszt's Piano Sonata in B minor (1854).<sup>32</sup>

The process of sublation in these works, however, does not correspond exactly with sonata form writ large. Rarely do actual four-movement compositions map onto first group, second group, development, and recapitulation. Even when they do, the first and second movements are too large to function as first and second groups. (In practice, the two "exposition" movements would be roughly twice as long as the "recapitulatory" finale.) Similarly, third movements without any clear connection to the first two can hardly function as developments. The strongest examples against the claim of four

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<sup>32</sup> For example, consider (in chronological order) Newman's "double-function form," Ratner's "composite form," Jackson's "super-sonata form," and Vande Moortele's "two-dimensional sonata form" (all cited in n. 15). It is noteworthy that Liszt's sonata and Schubert's *Wandererfantasie* (D. 670, 1822)—another proposed precursor to this formal design—are both one-movement compositions divided into four discrete sections, *not* movements.

movements as sonata form are works in which the first movement is recalled in the finale; what, then, of the second movement as second group? Such adaptations deprive sonata form of its most essential feature: a directed, linear sequence of events.<sup>33</sup> While this four-movement sonata hybrid has heuristic value for thinking about multimovement form, it misunderstands and strains the concept of sonata form. This chapter proposes tonal sublation as a better tool for interpreting the finales of such works.

### **Schubert's Piano Trio in E-flat Major**

Franz Schubert's Piano Trio in E-flat Major (D. 929) has attracted disproportionately little scholarly attention since its composition in 1827. Like much of Schubert's output, poor reviews in the decade after Schubert's death have largely shaped its subsequent reception.<sup>34</sup> The recent reconsideration of Schubert's large instrumental forms has improved the piano trio's scholarly reception—it has received varying levels of positive treatment by Christopher Gibbs, John Gingerich, Brian Newbould, and Janet Schmalfeldt<sup>35</sup>—although it continues to receive less attention than more well-known compositions, such as the String Quintet in C Major (D. 956), the “Great” Symphony in

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<sup>33</sup> Indeed, the most effective examples of a one-movement pattern overlaid on four movements are Jackson's analyses of symphonies by Tchaikovsky and Sibelius. These examples work best precisely because these composers' late-nineteenth-century understanding of sonata form reduced it essentially to a formal schematic, a concept more prescriptive than regulative.

<sup>34</sup> On the reception of Schubert's music in the nineteenth and early twentieth centuries, see Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011). On the reception of Schubert's music in twentieth-century scholarship, see James Webster, “Schubert's Sonata Form and Brahms's First Maturity,” *19th-Century Music* 2 (1978): 18–35; 3 (1979–80): 52–71.

<sup>35</sup> See Christopher Gibbs, *The Life of Schubert* (Cambridge: Cambridge University Press, 2000), esp. chapter 7 (“Late Schubert: ‘Who shall stand beside Beethoven?’”), 136–69; John Gingerich, “Schubert's Beethoven Project: The Chamber Music, 1824–1828” (Ph.D. diss., Yale University, 1996), esp. chapter 6 (“Narrative Strategy and ‘Heavenly Length’: The Two Last Movements of the Eb Piano Trio”), 338–63; Brian Newbould, *Schubert: The Music and the Man* (Berkeley: University of California Press, 1997), 369–72; and Janet Schmalfeldt, *In the Process of Becoming*, 143–57.

C Major (D. 944), the last three string quartets (in A minor, D. 804; D minor, D. 810; and G major, D. 887); and the last three piano sonatas (in C minor, A major, and B-flat major, D. 958–960). The majority of earlier commentators find the thematic recall in the finale to be an obvious, non-essential technique, one that overstays its welcome in a disproportionately long movement (in contrast to the “heavenly length” incessantly ascribed to the C-major symphony).<sup>36</sup> Building on more recent analyses, my view of the last movement as a sublational finale demonstrates how the thematic recall provides resolution to an inter-movement dialectical tension between tonal centers.

The finale of the trio does not project a clear form.<sup>37</sup> There is clearly an element of sonata form at work. The large quantity of material that returns verbatim in the tonic key or transposed down a fifth to the tonic key assumes the role of an exposition.<sup>38</sup>

The opening passage (mm. 1–72) later reappears exactly as before (mm. 442–519), with one slight change, a six-measure insertion (mm. 507–12) that keeps the ensuing material in the tonic key—and thus assumes the role of a first group and

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<sup>36</sup> For example: “In the piano trio in E flat, opus 100, written in November [1827], we can see Schubert’s intention to write a full-length chamber work based on the best models, with strongly contrasted themes and an integrated structure; but something goes wrong. The work is much longer than the earlier B flat trio, and it has many delightful passages of unmistakably Schubertian quality; but it has never won the affection of listeners as has the earlier work, and for good reasons. It lacks the internal thematic unity of the B flat trio, and becomes prolix and repetitive. In the last movement Schubert first charms us by inserting quotations from earlier movements in a new and attractive dress, a graceful gesture, so to speak, in the direction of structural unity, and then allows the device to outstay its welcome. The sound is often enchanting, but we miss the support of a strong design.” John Reed, *Schubert: The Final Years* (New York: St. Martin’s Press, 1972), 168.

<sup>37</sup> On the analytic reception and formal possibilities for the fourth movement, see Gingerich, “Schubert’s Beethoven Project,” 293–6 and 338–63. Gingerich’s analysis compares the version published with cuts authorized by Schubert and the unpublished, uncut version. Because of its prevalence, my analysis is devoted to former version with the cuts authorized by Schubert; nevertheless, Gingerich offers persuasive arguments for the adoption of the latter version.

<sup>38</sup> Here and throughout, I adopt the convention of making specific analytic claims and indenting the supportive evidence that follows, with the hopeful result of improving the text’s narrative flow. (See above, “Introduction.”)



transition. The long passage that immediately follows this opening material (mm. 73–231) also reappears later, transposed down a fifth with some minor abridgement and contrapuntal ornamentation (mm. 520–661)—and thus assumes the role of a second group. (The following table shows only large-scale thematic connections through the movement, with the necessary consequence of gross oversimplification. In particular, arrows that would otherwise suggest modulation here present only beginnings and endings of discursive harmonic trajectories.)<sup>39</sup>

**TABLE 1:** Large-scale thematic connections in the finale of Schubert’s Piano Trio in E-flat major.

mm.:	1	73	[231–442]	442	520
theme:	P	S	[intervening material]	P	S
keys:	E♭	c→B♭		E♭	f→E♭

The material that follows this putative exposition, including the first thematic recall of the second movement, assumes the role of a development section.

A variety of textural and harmonic cues indicate a sense of development: a sudden break in texture, the return of first-group material in a distant key area, its subsequent melodic fragmentation, and the quick succession of key areas (mm. 237ff). Soon, however, a new theme emerges in B minor (mm. 276–315)—in fact it is the first theme of the second movement. It is quickly abandoned in favor of the developmental music that came before it. Rocking motion between C flat and B flat in the bass and later a B flat pedal in the bass (mm. 423ff) suggest an imminent return of the tonic, potentially confirming the movement’s sonata form.

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<sup>39</sup> For an exploration of tonality in Schubert’s music, see Richard L. Cohn, “As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert,” *19th-Century Music* 22 (1999): 213–32; and Hans-Joachim Hinrichsen, “Die Sonatenform im Spätwerk Franz Schuberts,” *Archiv für Musikwissenschaft* 45 (1988): 16–49.

The putative recapitulation, with adjustments to stay in the tonic, further confirms the suspicion of sonata form. This view becomes problematic, however, as an overlong restatement of the development in the coda raises questions about this formal scenario.

The coda (mm. 662ff) begins as a transposed, abridged return of the development, including a second recall of the second movement, now in E-flat minor (mm. 694ff). The motivation for the coda seems to be to recapitulate important thematic material from the development section—the *locus classicus* of this technique being the first movement of Beethoven’s “Eroica” Symphony. What is unusual here is that nearly a third of the development section is repeated (mm. 232–315; 72 of 209 measures). (Note again that P and S, representing multiple themes each, are shown out of scale in this table.)

**TABLE 2:** Initial formal scenario (thematic recalls in development/coda) of the finale of Schubert’s Piano Trio in E-flat Major.

	Exposition		Development			Recapitulation		Coda	
mm.:	1	73	232	276	316	442	520	662	694
theme:	P	S	D1	D2	D3	P	S	D1	D2
keys:	E♭	c→B♭	x	b	x	E♭	f→E♭	x	e♭

The large amount of recapitulated material suggests that this material (mm. 232–315) was never part of the development and properly belonged to the exposition.

In this case, an appealing symmetry emerges between the exposition and recapitulation.

**TABLE 3:** Revised formal scenario (thematic recalls in exposition/recapitulation) of the finale of Schubert’s Piano Trio in E-flat Major.

	Exposition				Dev.	Recapitulation			
mm.:	1	73	232	276	316	442	520	662	694
theme:	P	S1	Bridge?	S2		P	S1	Bridge?	S2
keys:	E♭	c→B♭	x	b	x	E♭	f→E♭	x	e♭

There are at least two problems with this proposition, though. First, it forces the inclusion of B minor into an otherwise neat opposition of E-flat and B-flat major in the exposition and makes the second group disproportionately long. Second, it makes the leftover development section (mm. 316–442) disproportionately short, depriving the section of a distinct identity. The result is a grotesquely overburdened sonatina form—an interpretation unsatisfactory because of the affective intensity of the development-stub.

The tension between these formal scenarios constitutes the intra-movement dialectic in the finale: are the thematic recalls part of the development and coda or the exposition and recapitulation? The coda prompts a retrospective reassessment of the form of the entire movement, setting the recalls into further relief, highlighting what is already an unusual technique. From the perspective of the finale considered in isolation, these recalls are the crux of the problems surrounding its form—this has been well documented in the analytic literature on the work.<sup>40</sup>

What have not been documented are the motivations for these recall in the first place. Finding these requires looking outside the frame of a single movement. From the perspective of the entire work, the thematic recalls in the finale resolve tension established by the first theme of the second movement. With the exception of this theme, every theme of the four movements is either originally stated in the tonic key of E-flat major or is restated in it within the same movement.

In the first movement, the first group is stated in the tonic key; second group modulates from B minor to B-flat major in the exposition and modulates from E

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<sup>40</sup> For a negative appraisal of the situation, see Reed, *Schubert: The Final Years*, 168 (quoted above). For a more positive appraisal, see Newbould, *Schubert: The Music and the Man*, 372.

minor to E-flat major in the recapitulation. In the second movement, the first theme is stated in C minor throughout; the second theme is originally stated in E-flat major (it is later recapitulated in C major). In the third movement, the scherzo is in E-flat major; the trio is in the customarily unproblematic key of A-flat major. In the fourth movement, the first group is stated in E-flat major; second group modulates from C minor to B-flat major in the exposition and modulates from F minor to E-flat major in the recapitulation.

The second movement stands out as the only one not in the home key. Yet the second movement is not incidental in the course of the work, nor is it subordinate to any of the other movements—its first theme is the expressive heart of the work, especially given its origins as a Swedish folksong.<sup>41</sup>

Given its importance, the theme stands out as tonally opposed to all other material in the work. The double recall in the finale creates a dramatic large-scale resolution of this opposition at a variety of structural levels.

The first recall is simultaneously a creation of intra-movement tension (as we saw above) and a move toward resolution of inter-movement tension. On the one hand, the addition of a new theme in what appears to be the development section places stress on the already weighed-down movement by creating the expectation of a further restatement. On the other hand, the initial reappearance of the theme in the finale suggests progress toward its eventual full resolution into the tonic.

The statement in B minor, an even more remote key, acts as a promise of another

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<sup>41</sup> On the folksong origins of this theme, see Manfred Willfort, “Das Urbild des Andante aus Schuberts Klaviertrio Es-Dur, D 929,” *Österreichische Musik Zeitschrift* (1978): 277–83. On the second movement as the expressive center of the entire work, see Talbot, *The Finale in Western Instrumental Music*, 71.

return, to be transformed into the home key. The second recall acts as a full resolution of both intra-movement and inter-movement tension. From the perspective of the finale, the second recall fulfills the structural obligation of the first recall by bringing important thematic material into the tonic key. From the perspective of the entire work, the second recall resolves the tension established in the second movement.

By resolving this dialectical tension, both within a single movement and between multiple movements, the last movement acts as a sublational finale, a culmination of the gradual process of bringing together Other and Same. The second movement is Other in both theme and key. The first recall brings the second movement into Sameness with the finale by bringing together the thematic content of the two movements. The second recall brings the second movement into further Sameness with the finale by bringing together the two movements into one key. The sublation in the finale takes place on a variety of structural levels: at the level of the individual movement, and at the level of the entire work.

Commentators have recently noted a motivic connection between the first and second movements. Newbould describes the motivic connection between the second group of the first movement and the first group of the second movement:

Schubert has thus forged a novel cyclic structure—and in the process has created a finale which is protracted and diffuse to those who can resist it, heavenly in its length and diversity to those who cannot. The re-introduction of the theme of the slow movement naturally tends to amplify the customary finale proportions. But the influence of the Swedish theme goes even further than this. One passage in the second subject of the first movement (at bars 72–74 [figure 1], with repeat at 81–83) always seems somewhat alien to Classical practice in its melodic and, more particularly, harmonic style. It is in fact a transplant of “c” from the Swedish folksong [i.e., the main theme of the second movement], melody and harmony

intact [figure 2]. A study of the autograph of this movement in the Gesellschaft der Musikfreunde in Vienna reveals that this extension of the second subject, with the Swedish allusion, was not present in the first draft of the second movement, and perhaps the finale. It is improbable that he made the revision unaware that part of what he was adding originated in the Swedish source, since it is so distinctive, so “un-Classical.” So the possibility arises that, having included a reprise of the folksong-based theme of the slow movement in his finale, he deliberately (but subtly) extended its cyclic influence by burying a fragment of it in the first movement too. Thus it seems that the climax of Schubert’s piano-and-strings chamber music still has secrets to yield.<sup>42</sup>

**Figure 1:** Schubert, Piano Trio in E-flat Major, first movement, mm. 72–75.

72 [Allegro.]

Violino. [pp]

Violoncello. [pp]

Pianoforte. [pp]

8va

[3]

[3]

<sup>42</sup> Newbould, *Schubert: The Music and the Man*, 372. Although Newbould was the first to publish this finding, Schmalfeldt made the discovery independently, describing it later in *In the Process of Becoming*, 152.

**Figure 2:** Schubert, Piano Trio in E-flat Major, second movement, mm. 11–12.

The image shows a musical score for measures 11 and 12 of the second movement of Schubert's Piano Trio in E-flat Major. The tempo is marked [Andante con moto.]. The score is for Violino, Violoncello, and Pianoforte. The key signature is three flats (B-flat, E-flat, A-flat) and the time signature is 2/4. Measure 11 shows the Violoncello playing a half note G-flat and a half note F-flat, with a piano dynamic marking [p]. The Pianoforte plays a half note G-flat and a half note F-flat, also with a piano dynamic marking [p]. Measure 12 shows the Violoncello playing a half note E-flat and a half note D-flat, with a piano dynamic marking [p]. The Pianoforte plays a half note E-flat and a half note D-flat, also with a piano dynamic marking [p].

By incorporating this connection into our analysis, we may extend the establishment of inter-movement tension further back into the first movement, enabling a diachronic reading of the entire trio that provides further evidence for Newbould's claim about the novelty of Schubert's trio.

Although it passes by quickly, almost as an afterthought, this motive takes on an important, albeit subtle, role as the first movement unfolds. Ultimately, its restatement in the tonic is withheld in the coda.

Shortly after its first statement in C minor (mm. 72–74), it repeats in G minor (mm. 81–83). In the recapitulation, the entire second theme is transposed down a fifth, putting the parallel restatements in F minor and C minor (mm. 458–60 and 467–69). The coda further restates the second group, this time in the tonic key. (It begins in B minor in the exposition and in E minor in the recapitulation.) The music trails off into closing gestures, however, before the transplant from the second movement can be restated in the tonic key (mm. 615ff).

There are obvious structural and harmonic reasons for this change in the coda, but the first movement nevertheless fails to restate it in the tonic, transferring an intra-movement dialectical tension into an inter-movement tension.

The second theme is notably harmonic circuitous, moving from B minor to G major, from G minor to E-flat major, and from C minor finally to B-flat major.

The abridged second group in the coda begins and remains in the tonic instead of wandering away as it did before, fulfilling the last tonal obligation of the movement. The same gesture, however, creates a loose compositional thread; this motive remains the only expository material that is not resolved in the tonic, creating the expectation that it will eventually return in E-flat major.

The motive returns relatively early in the “Andante,” again as a cadential extension (mm. 11–12). This return is clearly marked, both visually and musically, to ensure that it is clearly perceptible as a connection to the first movement.

It is the first part of this theme in the second movement to have any expressive indicators (e.g., crescendo and diminuendo), and the only part to have hairpins. Within the *piano* framework of this opening theme, then, these two measures stand out expressively. Furthermore, the first and last statements of this motive and the first movement are in C minor (the key of the second movement), and the interior statements in the first movement are in closely related keys. The last statement in the first movement and the first statement in the second movement even appear in the same register. This is not coincidental, given the modulatory nature of the second group of the first movement—the first movement prioritizes C minor as the tonal space for this motive, making its reappearance in the second



movement unmistakable to the attentive listener. This connection heightens the inter-movement tension by still not restating the motive in E-flat.

**TABLE 4:** Synopsis of Newbould’s motivic connection in the first movement of Schubert’s Piano Trio in E-flat Major.

section:	Exposition	Development	Recapitulation	Coda
mm.:	72–72, 81–83		458–60, 467–69	615ff?
key:	c→g		f→c	E♭[?]

With the connections between the first two movements in mind, the recalls in the finale acquire a new depth. As the crux of the finale’s formal problem, the first thematic recall establishes the finale’s intra-movement tension by obscuring the movement’s formal clarity. The same recall also dramatically heightens the inter-movement tension by further denying a restatement in the global tonic key of this hanging thread from the first movement. The second recall in the finale, then, acts as a catharsis of sorts, resolving both the inter-movement tension by finally restating this idea in E-flat major and the intra-movement tension by bringing the most foreign element of the finale into tonal Sameness, while preserving its thematic Otherness. On the broadest level, the second thematic recall resolves thematic and tonal oppositions established in the exposition of the first movement and developed across the entire work. The conciseness of the second recall in the finale is particularly noteworthy—Schubert has reduced this statement to its most essential elements.

## **CHAPTER FOUR**

### **THEMATIC SUBLATION**

Counterpoint—the ability to present multiple ideas simultaneously and comprehensibly—sets music apart from the other temporal arts, if not all other arts. The possibility of a contrapuntal thematic recall—material from an earlier movement restated at the same time as material proper to that movement—creates rich interpretive possibilities from the standpoint of musical sublation. This chapter explores sublational finales in Robert Schumann’s instrumental music that bring together music from different movements contrapuntally. In Schumann’s Piano Quintet in E-flat Major (op. 44, 1842), the coda of the finale recalls the opening measures of the first movement in contrapuntal combination with the opening measures of the finale. In the Second Symphony in C Major (op. 61, 1845–1846), the finale, amidst recalls of the third movement, struggles to restate in full the introduction of the first movement, accomplished only in the coda contrapuntally. The sophistication of these recalls betrays the simplicity of their status as structural framing devices; in these works thematic recall demonstrates to the listener that what was formerly perceived as thematic variety, or even opposition, may also in a literal sense be heard as thematic unity. Like the finale of Schubert’s piano trio, both finales by Schumann feature unconventional forms that call attention to the causes and effects of thematic recall, namely the sublation of thematic opposition into thematic unity.

### **Schumann's Piano Quintet in E-flat Major**

From the very beginning, the finale of Schumann's Piano Quintet is problematic: it begins in G minor, an unexpected key choice for the finale of a work in E-flat major. Moving to the global tonic key thus becomes an important formal objective for the movement, one that is continuously denied and only achieved through a thematic recall of the first movement. The movement essentially falls into two large tonally-closed segments that assert G minor and E-flat major as their respective key centers.

As in the Schubert trio, returns of large sections of material suggest particular formal functions: here the entire first section (mm. 1–85) returns transposed (mm. 136–220). The departure from and return to the opening material suggests rondo form, with the intervening material as an episode. Nevertheless, the return presents an unusual tonal pattern. The opening section modulates gradually from G minor to B minor, progressing through a wide range of thematic ideas. The transposed return modulates gradually from D-sharp minor to G minor. This would be unusual for a rondo, in which reprises typically occur in the tonic key. It would not be unusual for a ritornello to appear in different keys, but the thematic effusion here is atypical of a ritornello, usually characterized by a single, well-defined theme. As the opening measures do not return exactly later in the finale, the entire section (mm. 1–220) takes the form of a self-contained ABA form, tonally closed in G minor.

**TABLE 5:** Formal synopsis of the first section of the finale of Schumann's Piano Quintet in E-flat Major.

mm.:	1	86	136	[221] [C] [Eb?]
theme:	A	B [dev.]	A	
key:	g→b	B→g#	d#→g	

This first section makes no progress toward E-flat major, ending precisely where it began in G minor. The second section abruptly introduces E-flat, but quickly backslides to G minor, working its way only gradually toward a confirmation of the tonic new key.

The new section (mm. 221ff) suddenly introduces E-flat major with the entire ensemble in octaves, followed by a more timid passage that seems unable to land on E-flat major convincingly (mm. 225ff). As soon as E-flat has been confirmed by an authentic cadence, a fugato in G minor, based on the opening material, undermines this progress (mm. 249). E-flat major slowly reemerges again, first over a dominant pedal (mm. 275), then making its way to a declamatory passage based on material from the opening section (mm. 300ff; cf. mm. 115ff), closing with a dramatic half cadence in the E-flat major. The denial of the global tonic key seems to be at an end.

**TABLE 6:** Partial formal synopsis of the second section of the finale of Schumann's Piano Quintet in E-flat Major.

mm.:	221	249	275	[319] [New material] [Eb confirmed]
theme:	C	fugato	D	
key:	E $\flat$ [unconfirmed]	g	E $\flat$ [V ped.]	

The point at which the global tonic is confirmed coincides with both the thematic recall of the first movement and the recapitulation of the opening of the finale. After definitively adopting E-flat major, the finale quickly moves to a close.

This arrival takes the form of a double fugue—the opening of the first movement is presented in long notes, and the opening of the finale is presented in short notes (figure 3). A return of the material that first introduced E-flat (cf. mm. 220–48 and 372–401) interrupts the fugue, leading to the coda, a triumphant statement of the opening of the finale in the global tonic key. Like the first half in G minor, the second half in E-flat major forms a tonally-closed unit.

**TABLE 7:** Complete formal synopsis of the second section of the finale of Schumann’s Piano Quintet in E-flat Major.

mm.:	221	249	275	319	372	402
theme:	C	fugato	D	fugue	C	Coda
key:	E♭[?]	g	E♭[?]	E♭[✓]	E♭	E♭

The organization into two large, roughly parallel, tonally-closed musical segments with competing tonics has significant implications for interpreting the thematic recall of the first movement.<sup>43</sup> The intra-movement dialectical tension between the two key areas—the give and taken between G minor and E-flat major—becomes associated with the inter-movement tension: the finale attempts to assert G minor as its own key center, while the first movement attempts to impose E-flat major as the key center. The process of sublation involves the submission of the finale to the key of the first movement (the negation), while at the same time fusing thematic ideas from both movements (the preservation).

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<sup>43</sup> Julie Hedges Brown makes a similar point in “‘A Higher Echo of the Past’: Schumann’s 1842 Chamber Music and the Rethinking of Classical Form” (Ph.D. diss., Yale University, 2000), 115–48, in which she provides several examples of Schumann’s “parallel forms.”

**FIGURE 3:** Schumann, Piano Quintet in E-flat Major, finale, mm. 319–27. Double fugue combines the first-movement theme in whole notes and the finale theme in shorter notes.

The musical score for measures 319–27 of Schumann's Piano Quintet in E-flat Major, finale, is presented in two systems. The first system (measures 319–323) features a double fugue. The Violino II part (second staff) introduces the first-movement theme in whole notes, marked *sempre f*. The Pianoforte part (fifth staff) introduces the finale theme in shorter notes, also marked *sempre f*. The other instruments (Violino I, Viola, Violoncello) are silent in this system. The second system (measures 324–327) continues the double fugue. The Violino I part (first staff) enters with the first-movement theme in whole notes, marked *f*. The Violoncello part (third staff) enters with the finale theme in shorter notes, marked *sempre f*. The Pianoforte part (fifth staff) continues the finale theme in shorter notes, marked *f*. The other instruments (Violino II, Viola) are silent in this system. The tempo is marked *a tempo* at the beginning of the first system.

What is remarkable about this sublation is that the opening of the finale is not simply restated in the global tonic key; it is transformed and combined with the opening of the first movement. The passage illustrates a true musical *Aufhebung*: the different perspectives of the first movement and finale offer opposite views of their themes at the moment of thematic recall. From the perspective of the finale, the finale's theme is

familiar, but is joined to something unfamiliar. Similarly, the first-movement theme is alien to the finale, but is made one with the finale theme through its contrapuntal combination. From the opposite perspective of the first movement, the first-movement theme is familiar, but is joined to something unfamiliar. Similarly, the finale theme is alien to the first movement, but is made one with the first-movement theme. There is a dynamic interchange between both movements, a complicated web of Same and Other, of preservation and negation. In this sublational thematic recall, both themes perform a specific formal resolution, yet they are transformed by this act into something else through their combination.

Furthermore, the first-movement theme and finale theme do not transform just one another; they retroactively transform our memory of the previous movements. Numerous commentators have pointed to interrelations between the thematic content of each movement.<sup>44</sup> As the work unfolds in time, however, they are not perceived as related; in fact, they are perceived as unrelated, contributing to the inter-movement dialectical tension. The thematic recall in the finale discloses this hidden thematic relation—the moment of their contrapuntal combination shows them to be cut from the same cloth, instigating the sublational of inter-movement tension. This suggestion of motivic and gestural connections prompts a recognition that the entire work is connected, continuing the sublation of inter-movement thematic tension. Unlike rehearing straightforward static forms, the process of revealing thematic relationships in the quintet withstands repeat listening. The connectedness of themes and motives is only ever

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<sup>44</sup> See, for example, Donald Francis Tovey, *Essays in Music Analysis: Chamber Music* (London: Oxford University Press, 1944), 149–54; John Daverio, *Crossing Paths: Schubert, Schumann, and Brahms* (New York: Oxford University Press, 2002), 34–35; and Brown, “Echoes of a Higher Past,” 126.

directly disclosed in physical sound in the thematic recall at the end of the work. The connectedness of other parts of the piece, even on repeat listening, exists only in the ear of the listener and the mind of the analyst. At the very end of Schumann's Piano Quintet, the thematic recall of its very opening invites a continuous reevaluation and reassessment of the work. The dialectical process of resolving inter-movement tension is at once dissolved and reinstated by thematic recall: the recall itself ties up loose ends by revealing an explicit connection, but invites the discovery of latent connections in the listening mind as the piece finishes.

### **Schumann's Second Symphony in C Major**

Introductions occupy a precarious position in multimovement works: they arose in the eighteenth century as disposable rhetorical gestures for beginning a piece.<sup>45</sup> In more conservative nineteenth-century works, this tradition held over; in more progressive works, however, composers sought to integrate introductions into the structure of their movements. The relationship between an introduction and the body of a work was an open question during Schumann's time. Among the works considered here, Schumann's Second Symphony stands apart from the others as the only to include an introduction.

The symphony as a whole plays with the expectation of an integrated introduction. While the first movement clearly signals that the introduction is integrated into the body of work, the movement also withholds a complete recapitulation or restatement of the introduction.

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<sup>45</sup> Hepokoski and Darcy describe both introductions and codas as "parageneric spaces" in the late eighteenth century. See *Elements of Sonata Theory*, 281–305. Their comments on the "introduction–coda frame" (304–5) might be profitably extended here to first-movement introductions and finale codas.



The theme first appears at the opening of the introduction in the brass (mm. 1–8, figure 4). It is characterized by an ascending leap of a fifth, subsequently filled in with descending stepwise motion to tonic. The rhythmic profile (long–long–short–long) is also a crucial part of its identity. Throughout the work, the theme appears in a chorale texture, most often in the brass section, especially the horns and trumpets. The theme only partially reappears in the coda of the first movement (mm. 339ff). The ascending fifth is clearly heard, but the descending pentachord is obscured metrically and appears in only a few voices. The task of the coda seems to be to restate this theme, but it does not fully accomplish this task, leaving the first movement incomplete. The intent to integrate the introduction into the first movement is only partially realized.

**FIGURE 4:** Schumann, Second Symphony in C Major, first movement, mm. 1–11.

*Sostenuto assai.* ( $\text{♩} = 76$ )

The musical score is arranged in two systems. The first system (measures 1-5) includes parts for Flauti, Fagotti, Corni in C, Trombe in C, Tromboni, Violino I, Violino II, Viola, Violoncello, and Basso. The second system (measures 6-11) includes parts for Fl. (Flute), Fg. (Bassoon), Corni, Trombe, Vn I. (Violin I), Vn II. (Violin II), Vla. (Viola), Vc. (Violoncello), and B. (Bass). The tempo is marked *Sostenuto assai.* with a quarter note equal to 76 beats. The key signature is C major and the time signature is 4/4. The score shows the first 11 measures, with dynamics ranging from pianissimo (*pp*) to fortissimo (*fp*). The first system includes dynamics *pp* for the woodwinds and strings. The second system includes dynamics *pp* for the woodwinds and strings, and *fp* for the strings. The score is for a full orchestra and includes parts for Flutes, Bassoons, Horns in C, Trumpets in C, Trombones, Violins I and II, Viola, Violoncello, and Bass.

In so doing, Schumann expands an intra-movement tension into an inter-movement tension by creating the expectation that the introduction theme will return in a later movement—the unfinished business of the first movement has been transferred to the other movements. A further partial restatement in the second movement and continual allusions to the introduction in the finale heighten this expectation.

An allusion to the introduction theme in the second movement—not coincidentally in the coda—heightens this expectation. The final brass entry (mm. 384ff, figure 5) outlines the same ascending fifth in the same rhythm found in the introduction and coda of the first movement, functioning as a reminder of the tension of the only partially integrated introduction. The scherzo as a whole is self-contained; the allusion to this theme is a reminder that these movements are not a paratactic arrangement of unrelated movements, that they are larger processes at work. A further allusion to the introduction theme in the finale, in the heart of what seems to be a development section, further heightens the expectation of a full restatement of the theme. Again, only the ascending fifth is present with the same rhythmic profile.

**FIGURE 5:** Schumann, Second Symphony in C Major, second movement, mm. 382–89.

The musical score for Schumann's Second Symphony, second movement, measures 382–89, is presented in a standard orchestral format. The tempo is marked 'Allegro vivace. (♩ = 144)'. The score includes parts for Flauti, Oboi, Clarinetti in B, Fagotti, Corni in C, Trombe in C, Timpani, Violino I, Violino II, Viola, Violoncello, and Basso. The woodwinds and strings play a melodic line with eighth-note patterns, while the brass plays a sustained chord with a rising fifth. The score includes dynamic markings such as 'ff' and 'f'.

The recall of this theme in the finale, in the form of a full restatement, effects a sublation of this inter-movement tension by fully integrating the introduction into the body of the symphony.

The first movement's introduction theme is fully recalled twice in the finale (mm. 423ff, figure 6), prominently featuring both the rising fifth and descending pentachord with the original rhythmic profile. Furthermore, this passage goes on to restate more aspects of the introduction, making the recall unmistakable—a cadential extension (cf. first movement, mm. 10–14, and finale, mm. 461–65) and a woodwind counter-theme (cf. first movement, mm. 15–18, and finale, 453–59).

**FIGURE 6:** Schumann, Second Symphony in C Major, finale, mm. 423–58.

[Allegro molto vivace. ( $\text{♩} = 170$ )]

423

Flauti.

Oboi.

Clarinetti in B.

Fagotti.

Corni in C.

Trombe in C.

Tromboni.

Timpani.

Violino I.

Violino II.

Viola.

Violoncello.

Basso.

*crescendo*

*crescendo*

*crescendo*

*crescendo*

*cresc.*

*cresc.*

*crescendo*

*pp*

*pp*

[Alto solo]

FIGURE 6 (continued)

This musical score page, labeled 'FIGURE 6 (continued)', covers measures 432 through 439. The instrumentation includes Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fg.), Cornet (Corni.), Trombone (Trombe.), Trumpet (Tni.), Timpani (Timp.), Violin I (Vn. I.), Violin II (Vn. II.), Viola (Vla.), Violoncello (Vc.), and Double Bass (B.).

The score is written in 2/4 time with a key signature of one sharp (F#). The Flute part begins at measure 432 with a melodic line that continues through measure 439, marked with a *cresc.* dynamic. The Oboe part is mostly silent, with a few notes in measure 439. The Clarinet and Bassoon parts play sustained chords and moving lines, both marked with a *cresc.* dynamic. The Cornet and Trombone parts play sustained chords, with the Cornet marked *p* and the Trombone marked *cresc.*. The Trumpet part is divided into 'Alto e tenore' and 'Basso' sections, both marked *pp* and *cresc.*. The Timpani part is silent. The Violin I and Violin II parts play sustained chords and moving lines, both marked with a *cresc.* dynamic. The Viola part plays sustained chords, marked with a *cresc.* dynamic. The Violoncello part plays a moving line, marked with a *cresc.* dynamic. The Double Bass part plays a moving line, marked with a *pizz.* dynamic and *p* dynamic.

**FIGURE 6 (continued)**

[illegible]

FIGURE 6 (continued)

L'istesso tempo.

450

Fl. *sempre crescendo*

Ob. *sempre crescendo*

Cl. *sempre crescendo*

Fg. *sempre crescendo*

Corni.

Trombe.

Tni.

Timp.

Vn. I.

Vn. II.

Vla.

Vc.

B.



Whereas common practice dictates that the integration of the introduction takes place in the *coda* as a *recapitulation*, here Schumann has extended the process across the entire work: the restatement of the introduction takes place in the *finale* as a *thematic recall*.<sup>46</sup> The similarity between the dialectical procedures of sonata form and thematic recall is particularly noteworthy in this work.

Like the quintet and Schubert's trio, the form of the finale is highly unusual.<sup>47</sup> Like the quintet, it essential falls into two large self-contained sections. Unlike the quintet, however, the two halves are essentially unrelated.

The first half begins in C major and ends in C minor (mm. 1–279). The two statements of the main theme (mm. 9–21 and 105–17) appear to frame an exposition or rondo theme. Following both statements of the main theme are recalls of the third movement, the first of which takes the character of a second theme, and the second of which takes the character of a development section.

**TABLE 8:** Formal synopsis of the first section of the finale of Schumann's Second Symphony in C Major.

	First half				Second half	
	Exposition?				Recapitulation?	
mm.:	1	46	105		118	280
theme:	P	S (recalls III)	P		(S)	New theme
key:	C	G→	C		x→c	E <sup>b</sup> →G→x

<sup>46</sup> The integration of introductions may also take place at the beginning and end of the development section. Beethoven's "Pathétique" Sonata, op. 13, for example, restates the slow introduction at the beginning of the development section and in the coda. Schubert's Octet (D. 803) restates the slow introduction as a retransition at the end of the development section.

<sup>47</sup> On the form of the finale see Jon W. Finson, "The Sketches for the Fourth Movement of Schumann's Second Symphony, Op. 61," *Journal of the American Musicological Society* 39 (1986):143–168; Anthony Newcomb, "Once More 'Between Absolute and Program Music': Schumann's Second Symphony," *19th-Century Music* 7 (1984): 233–50; and Brown, "'Echoes of a Higher Past,'" *passim*. Incidentally, Brown explicitly connects the symphony and piano quintet, as does Newcomb, in a footnote.

A significant break in texture and the introduction of a new theme (mm. 280ff) confound this scenario, dividing the form in half. Both the main theme and the recalls of the third movements are abandoned after this point. The only motive that plays any role in both halves is the initial flourish motive (mm. 1–4), which acts more as a motto than a theme. In addition to the recall of the first-movement introduction, the second half presents a multitude of variations on the new theme in different keys, textures, and styles—for example, chorale at m. 280; “learned” polyphonic style at m. 418; and in canonic imitation at m. 474.

The disconnection between the two halves has long puzzled commentators.<sup>48</sup> Newcomb has described the finale as having two forms, one to introduce the finale and the other to close the entire symphony. In this respect, like the quintet, each half of the finale accomplishes some task related to inter- and intra-movement formal process. The first half assumes the role of a typical light-hearted finale: the main theme seems to be unaware of any lurking structural problems; the returns of the third movement act more like thematic transformations than thematic recalls—as if business from the third movement has innocently spilled over into the finale, bringing the tonic-minor theme in the tonic-major key. Or, perhaps the returns of the third movement somehow mock the first movement’s inability to return satisfactorily.

The second half assumes the more elevated tone of a finale that acts as a culmination of the entire work.<sup>49</sup> As in the quintet, the recall of the introduction to the

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<sup>48</sup> For a survey of the analytic reception of the Second Symphony, see Anthony Newcomb, “Once More ‘Between Absolute and Program Music,’” 237–39.

<sup>49</sup> Carl Dahlhaus posited two types of finales, a cheerful *lieto fine* and a weighty summarizing finale. He does not recognize the possibility of other types or hybrids. See Carl Dahlhaus, “Studien zu romantischen Symphonien,” *Jahrbuch des Staatlichen Instituts für Preussisches Kulturbesitz* 5 (1972): 104–19. Michael Talbot has posited three types of finales, the relaxant finale, the summative finale, and the

first movement takes place in contrapuntal combination with theme of the second half, pointing to a similar resolution of inter- and intra-movement tension. An earlier false entry of this theme (mm. 207ff) placed the tension on two levels. On the one hand, it further extended the inter-movement tension by reminding the listener of the expectation of theme's reappearance before the end of the work. On the other hand, it places this tension within the scope of a single movement; the half-statement of this idea suggests that a more fully-realized statement will occur in the same movement. Despite the certainty with which the second half begins, its status as a proper section is unclear. The second half becomes validated or confirmed through the thematic recall, which simultaneously resolves the inter-movement tension (the integration of the introduction) and the intra-movement tension (the status of the second half). Like the quintet, the finale comes to quick close after the very opening of the work reemerges. Like the quintet and Schubert's trio, the process of sublation of dialectical tension simultaneously defines the forms of individual movements and transforms them through a synthesis of their thematic content.

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valedictory finale, although he concedes the existence of hybrids. His chapter "Codas and Finales" promisingly articulates the similarities between codas and finales, but focuses exclusively on codas in first movements and finales, not the issue of finales *as* codas. See *The Finale in Western Instrumental Music*, 182–96.

## CHAPTER FIVE

### CONCLUSION

Although music plays no explicit role in Hegelian dialectics and the philosopher himself famously expressed ambivalence over instrumental music, the application of sublation to these works is particularly apt.<sup>50</sup> The early nineteenth century was the heyday of Hegelian thought in musico-intellectual circles.<sup>51</sup> While documentary evidence does not directly connect Hegel to either Schubert or Schumann, both moved in circles with known Hegelians.<sup>52</sup> It should therefore not be surprising to find strong manifestations of these philosophical ideas in the mature works of these two composers.

Likewise, the intersecting biographies of Schubert and Schumann connect the particular works analyzed here. The relationship between the two—or more precisely,

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<sup>50</sup> On Hegel and music see Herbert Schnädelbach, “Hegel,” in *Music in German Philosophy: An Introduction*, ed. Stefan Lorenz Sorgner and Oliver Furbeth, trans. Susan H. Gillespie (Chicago: University of Chicago Press, 2000), 69–93; and Julian Johnson, “Music in Hegel’s *Aesthetics*: A Re-Evaluation,” *British Journal of Aesthetics* 31 (1991): 152–62.

<sup>51</sup> For a discussion of Hegelian thought in musical circles, see Benedict Taylor, “Musical History and Self-Consciousness in Mendelssohn’s Octet, Op. 20,” *19th-Century Music* 32 (2008): 131–59.

<sup>52</sup> Schubert was connected to Hegel, Fichte, and Schelling through Johann Chrysostomus Senn and Franz von Bruchmann (both members of his circle). Philosophy was a regular topic of discussion in the Schubert circle, and, while there is no documentary evidence to prove it, Hegel’s ideas would almost certainly have been discussed. See James William Sobaskie, “Tonal Implications and the Gestural Dialectic in Schubert’s A Minor Quartet,” in *Schubert the Progressive: History, Performance Practice, and Analysis*, ed. Brian Newbould (Burlington, VT: Ashgate, 2003), 79. Schumann was connected to Hegel through Franz Brendel (his successor at the *Neue Zeitschrift für Musik*) and Friedrich Hölderlin (whose poetry he knew well and often invoked). See Eric Frederick Jensen, *Schumann*, second ed. (Oxford: Oxford University Press, 2012), 45 and *passim*; and John Daverio, *Robert Schumann: Herald of a “New Poetic Age”* (New York: Oxford University Press, 1997), 343.

Schumann's personal relationship with Schubert's music—was complex.<sup>53</sup> While, Schumann ardently supported Schubert's music and recognized its influence on his own development, he also published many negative reviews in the *Neue Zeitschrift für Musik* that continue to have a lasting impact on the reception of Schubert's instrumental music. Perhaps not unsurprisingly, many of the same critiques Schumann leveled against Schubert later came to be leveled against Schumann's own music. The recent scholarly receptions of both composers' instrumental music have followed parallel paths, seeking out a variety of analytic models that embrace the most intriguing features of their music rather than alternately shoehorning them into unsuitable models or dismissing them outright as deviations.

My argument here has been primarily analytic and interpretive in nature, not historical. While these works by Schubert and Schumann have the benefit of being connected both to each other and to their cultural–philosophical context, it is not necessarily important that either composer knew the other or Hegel's philosophy. Rather, these works tangibly demonstrate how thematic recall may be interpreted to work in service of a variety of formal processes subsumed under the category of musical sublation. In Schubert's Piano Trio in E-flat Major, the double thematic recall of the second movement in the finale resolves a long-held dialectical opposition between tonal centers of different movements. In Schumann's Piano Quintet in E-flat Major, the recall of the opening of the first movement in contrapuntal combination with opening of the finale discloses a hidden thematic unity between movements. In Schumann's Second

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<sup>53</sup> The relationship between the two is treated at length in Daverio, *Crossing Paths*, 13–46.

Symphony in C Major, the opening of the first movement struggles to cohere with the rest of the symphony, achieved only through its recall in the coda of the finale.

At the heart of the concept of the sublational finale is a desire to more fully account for musical techniques that elude traditional theories of form. This paper uses the concept to illuminate processes of tonal and thematic sublation in works that feature thematic recall. Yet thematic recall was but one solution to the problem of making multimovement compositions cohere. The concept of the sublational finale may potentially illuminate a broader repertory of music that does not feature explicit thematic recall but still attempts to impart cohesiveness. For example, the four-movements-in-one design often attributed to Liszt's Piano Sonata in B minor and other works is clearly related to the notion of thematic recall as a delayed recapitulation. While Steven Vande Moortele's concept of "two-dimensional sonata form" is certainly an improvement from the more problematic terminology of the literature on this repertory, the linear sequence of sonata-form events (exposition, development, recapitulation) does not always apply equally well to multiple structural levels. By contrast, musical sublation, which has no prescribed formal archetype, can supplement several formal interpretations by applying flexibly to any structural level. Perhaps a reading of Liszt's piano sonata as an extended sonata form with additional sublational elements might contribute to a diachronic interpretation of the form that can be comprehended without reference to convoluted synchronic diagrams.

Motivic similarity, "recollection" or "remembrance," and textural or topical allusion have also been recognized as attempts to provide coherence to multimovement works, albeit in a less objective manner than thematic recall. Like most analyses of

thematic recall, however, invocations of these concepts typically identify merely *what* is similar, being remembered, or alluded to, rather than suggesting *how* or *why* it occurs. In the same way that the concept of the sublational finale addresses the compositional motivations and interpretive implications of thematic recall, a more general approach to musical sublation might form a more sophisticated interpretive approach for those who wish to explore these techniques traditionally viewed as less objective and less quantifiable.

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