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The Classical Sonata Forms of Franz Schubert's Great C-Major Symphony: Exploring Tonal Structure in the New Romantic Style

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Abstract

A reoccurring discussion found when referring to the sonata forms of Schubert's instrumental music is his use of Romantic lyricism: a characteristic found in the melodic themes of late eighteenth- and early nineteenth-century music. Schubert's use of lyricism has led to an underwhelming reception of his sonata form in his instrumental works. While these discussions are relevant, they overshadow Schubert's understanding of sonata form through his ingenious harmonic relationships and tonal structural pillars. To show how Schubert's use of lyricism in the foreground of the music does not compromise the thematic progress of his sonata form at a deeper layer of tonal structure, I will analyze the sonata form movements in his Great C-Major Symphony. These analyses demonstrate how Schubert keeps the structural pillars found in traditional sonata form, revealing his repetitive use of lyricism in his themes as individual and memorable foreground elements in the sonata-form genre.

Keywords: Franz Schubert, Schubert, Schenkerian analysis, Schenkerian theory, Sonata form, Hepokoski and Darcy, Symphony, Music theory, Music analysis.

Summary for Lay Audience

A reoccurring discussion found when referring to the sonata forms of Franz Schubert's instrumental music is his use of Romantic lyricism: a melodic characteristic found in the main themes of late eighteenth- and early nineteenth-century music. This technique occurs prevalently in German Romantic *Lieder*, which is one of the most influential and prestigious repertoire in song writing. As Schubert was considered one of the first great masters of Romantic *Lieder*, it is unsurprising to find that his sonata forms combine elements of traditional sonata form with those of *Lieder*. However, Schubert's use of lyricism led to an underwhelming reception of his sonata form in his instrumental works. Several critics and analysts have discussed how the traditional sonata form used by Classical-era composers clashes with the repetitive melodic lyricism in Schubert's compositions. While these discussions are relevant to Schubert's instrumental and sonata form writing, they tend to overshadow his overall understanding of sonata form and do not sufficiently express the subtlety of what he is accomplishing. Although the thematic progress of the sonata form seems scarcely developed when combined with his repetitive melodic lyricism, Schubert maintains the structural formation found in the exposition, development, and recapitulation sections of sonata form, and develops unique harmonic relationships underneath the melody to fully expand on their thematic ideas. To show how Schubert's use of lyricism in the foreground of the music does not compromise the thematic progress of his sonata form underneath, I will analyze the sonata form movements in his Great C-Major Symphony. These analyses demonstrate how Schubert keeps these structural formations found in traditional sonata form, revealing his repetitive use of lyricism in his themes as individual and memorable foreground elements that do not affect the thematic progressions in the sonata-form genre.

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__INTRODUCTION__

For almost two centuries, the instrumental and symphonic music of Franz Schubert has been heavily analyzed by many scholars, especially his pieces in sonata form. A reoccurring discussion found when referring to the sonata forms of Schubert's instrumental music is his use of Romantic lyricism: a melodic characteristic of late eighteenth- and early nineteenth-century music—specifically German Romantic *Lieder*—that emphasizes deep feelings and melodic content rather than traditional order and structural form found in instrumental music of the Classical era. As Schubert is considered one of the first great masters of Romantic *Lieder*, it is unsurprising to find that his sonata forms combine elements of traditional sonata form with those of *Lieder*. However, as a result, Schubert's sonata form in his instrumental and symphonic work was not as well received in the early nineteenth-century and diminished the impact that Schubert had as a prolific composer in all genres.

This underwhelming reception of Schubert's sonata forms from both scholars and critics arose from a perceived opposition between melodic lyricism and the standard classical practice as found, for example, in the music of Beethoven and Mozart. Traditional sonata form demands more than beautiful melodies on the surface; indeed, it requires a goal-directed unification of all its elements to express the sonata form clearly. William Caplin describes classical sonata form as harmonically driven, with each theme comprising not only its melodic content but also "a series of harmonic progressions, its accompanimental patterns, a multi-phrase grouping structure, and,

above all, cadential closure."[1] This ideal of classical sonata form as goal-directed and organically

unified in form clashes with the lyricism of Schubert's compositions. Schubert's lyricism

corresponds to themes consisting of exact repetition of large-scale sentences.[2] A sentence is a

simple theme consisting of a presentation phrase and a continuation (or continuation

=>cadential) phrase.[3] The treatment and attention to these themes were considered the most

important element to Schubert, using them to demonstrate his originality in his instrumental

compositions. However, Schubert often structures these large-scale sentences as theme types,

and due to the repetition of his themes, it scarcely develops the thematic material in his

compositions.

In one of the earliest studies of sonata form in Schubert's music, Donald Francis Tovey

states that "Schubert's large instrumental forms are notoriously prone to spend in lyric ecstasy

the time required *ex hypothesi* for dramatic action."[4] Theodor Adorno comments that the

treatment of the thematic structure in Schubert's sonata form conflicts with standard classical

practice: "Schubert's themes are self-possessed apparitions of truth rather than inchoate ideas

that require temporal evolution; his repetitive, fragmentary forms are inorganic rather than

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[1] William Caplin, "The Classical Sonata Exposition: Cadential Goals and Form-Functional Plans," *Tijdschrift Voor Muziektheorie* (2001), 195.

[2] Caitlin G. Martinkus, "Schubert's Large-Scale Sentences: Exploring the Function of Repetition in Schubert's First-Movement Sonata Forms." *Music Theory Online* 27, no. 3 (2021).

[3] Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998), 257.

[4] Donald F.Tovey, "Tonality in Schubert," in Hubert J. Foss (ed.), *The Mainstream of Music and Other Essays* (Oxford University Press, 1949), 148.

organic, crystalline rather than plantlike."[5] Similarly, Su Yin Mak has observed that Schubert

favours "juxtaposition, repetition, chiasmus, and parataxis over [the classical sonata's]

development, narrative, and hypotaxis." [6] Naturally, this has led to many discussions about how

the repetition of thematic material should be treated. When comparing Schubert's lyricism to

traditional sonata form, one can identify his themes as repetitive, overplayed, and an ineffective

method to develop the thematic material. Both critics and scholars were not reticent to point out

these shortcomings in the nineteenth century. Henry Heathcote Stratham published a critique

many years after Schubert's death in which he states how sonata form demanded more than

beautiful yet repetitive melodies, noting that "lovely melodies follow each other, but nothing

comes of them; or he repeats an idea without apparent aim or purpose beyond the wish to spin

out the composition to a certain orthodox length."[7]

While the discussion on Schubert's use of lyricism in his sonata form has been well

documented and is relevant when discussing his instrumental writing, it tends to overshadow

Schubert's overall understanding of sonata form and does not sufficiently express the subtlety of

what he is accomplishing. In Schubert's hands, the harmonic relationships and tonal structural

pillars are maintained underneath the melodic lyricism in his sonata form. Carl Dahlhaus had

similarly come to the same conclusion, discussing how Schubert's practice exhibits a distinct

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[5] Theodor Adorno, "Schubert," trans. Jonathan Dunsby and Beate Perrey, *19th-Century Music* 29 (2005): 7–14; see also Scott Burnham, "Landscape as Music, Landscape as Truth: Schubert and the Burden of Repetition," *19th-Century Music* 29, no. 1 (2005), 40.

[6] Su Yin Mak, "Schubert's Sonata Forms and the Poetics of the Lyric," *The Journal of Musicology* 23, no. 2 (2006): 263–306; see also Suzannah Clark, *Analyzing Schubert* (Cambridge University Press, 2016), 174–175.

[7] Henry Heathcote Stratham, "Schubert – Chopin – Liszt," *The Edinburgh Review* 158 (October 1883): 485.

formal style that calls for a redefinition of sonata form. Dahlhaus distinguishes Schubert's sonata-form type as "lyric-epic," and how it should not be measured by the same standards or procedures found in Beethoven's "dramatic-dialectic" sonata-form type.[8]

Demonstrating how traditional sonata form is maintained underneath Schubert's melodic lyricism presents the intriguing possibility of applying Schenkerian theory. If the primary concern of Schubert's sonata form is his use of repetitive melodies, a Schenkerian perspective would be a reliable tool to show how Schubert nevertheless composes organically and narratively within his sonata form at a deeper level of tonal structure. Critics of Schubert's sonata form may not have considered looking more deeply beyond his use of lyricism as a foreground level element of tonal structure, since, in their opinion, Schubert's lyricism compromises the overall structure of his sonata form. However, the use of melodic lyricism can reside entirely on the surface of the music, while the main theme groups of traditional sonata form are properly maintained through Schubert's unique harmonic relationships at deeper levels of structure.

This thesis will discuss and analyze Schubert's sonata form in his late instrumental music—specifically, the first and fourth movements of the Great C-Major Symphony. The symphony is one of Schubert's highest artistic achievements, and an analysis of the sonata-form movements in the Great Symphony will disclose Schubert's craft at the most experienced and mature point of his life before his death. This research will not only provide a new means of analyzing Schubert's symphonic work in relation to the abstracted deep structure (the *Ursatz*), it

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[8] Carl Dahlhaus, "Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D.887)," trans. Thilo Reinhard, in Walter Frisch (ed.), *Schubert: Critical and Analytical Studies* (Lincoln and London: University of Nebraska Press, 1986), 1–12; see also Clark, *Analyzing Schubert*, 161.

will also explain its inner harmonic structure and show how Schubert does not compromise the thematic progress of traditional sonata form underneath his lyricism. Chapter 1 will discuss the history behind Schubert's creation of the Great C-Major Symphony. It will also discuss literature from different scholars commenting on both the Great C-Major Symphony and Schubert's sonata-form compositional practice as a whole. Chapter 2 will analyze the first movement of the Great C-Major Symphony. It will discuss the overall form of the movement and explain the choices in creating the foreground and middleground voice-leading sketches. Each sub-section of Chapter 2 will cover an element of Schubert's sonata form as it progresses underneath the repetitive lyricism of his themes, and how each section relates to the *Ursatz*. Chapter 3 will analyze the fourth movement of the Great C-Major Symphony, just as Chapter 2 analyzed the first movement. Chapter 4 will conclude the thesis with final thoughts on Schubert's approach to sonata form in the Great C-Major Symphony.

CHAPTER 1

Schubert's Sonata Form: From Literature to Analysis

Chapter 1 will discuss the creation of the Great C-Major Symphony, followed by a literature overview of Schubert's sonata form compositional practice as a whole. Since analyses of the Great Symphony's sonata-form movements will be discussed, an overview of the origins of the symphonic work will help give a greater understanding of what Schubert was trying to achieve in his composition. After the discussion of the origins, a literature overview on the reception of Schubert's work will follow. It will contain the discussion of scholars' and critics' reception of the Great Symphony and the construction of Schubert's sonata form. By the end of the chapter, a general understanding of Schubert's approach to sonata-form compositions will be obtained prior to analyzing the sonata-form movements of the Great Symphony.

A Brief History

The Great C-Major Symphony (also known as Symphony No. 9 in C-Major, D. 944)[9] forms what one would consider the climax of Schubert's achievements in composing instrumental music. Between the years 1813 and 1818, he composed approximately one complete symphony each year; but after 1818, he did not complete another symphony until the Great Symphony. Because the time between the completion of his sixth symphony and the Great Symphony was long for Schubert, the distinction between his previous symphonies and the Great corresponds to two different periods of his symphonic writing. In this respect, Schubert's compositional technique shows a marked advance in development and maturity of style after 1818.[10]

The origins of the symphony date back to the summer of 1825, with claims by Schubert's friends, including Moritz von Schwind, Jose von Spaun, and his brother, Ferdinand, that he first began writing the symphony on holiday at Gmunden and Bad Gastein (formally Badgastein) in Northern Austria.[11] Schubert wrote the Great Symphony for the *Gesellschaft der Musikfreunde*, specifically for their orchestra. David Schroeder describes the decision to focus on writing for a professional orchestra as a turning point for Schubert's symphonic style.[12] Previously, Schubert

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[9] Depending on the region, the Great C-major Symphony is referred to by different numbers. In the German language, the symphony is referred to as the seventh. In the Deutsch catalogue, it is the eighth. In the English language, it is the ninth. To avoid confusion in this thesis, the symphony will be referred to as the Great Symphony.

[10] Robert Winter, Marice J. E. Brown, and Eric Sams, "Schubert, Franz," *Grove Music Online. Oxford Music Online* (2001).

[11] John Reed, *Schubert: The Final Years* (London: Faber and Faber, 1972), 72; H. F. Frost, "Schubert and His Works. The Tenth Symphony," *The Musical Times and Singing Class Circular* 25, no. 492 (1884): 67.

[12] David Schroeder, *Our Schubert: His Enduring Legacy* (Lanham, MD: The Scarecrow Press, Inc., 2009), 127.

only had a circle of friends that were willing to perform his first six symphonies in private settings: he was unable to obtain the attraction of a professional orchestra due to his reputation of being a composer of Romantic *Lieder*.[13] However, the disbandment of his friends caused Schubert to reassess his symphonic writing and forced him to work on a composition that would appeal to the public. The Great Symphony was one that needed to fit the standard sonata form and symphonic traditions of the late Classical era while also representing his individual writing. After its completion, the orchestra at the *Gesellschaft der Musikfreunde* initially agreed to premier the symphony in 1828, which would have made the Great Symphony Schubert's first professionally performed symphonic work.[14] The orchestra began the arrangement for the copying of the orchestral parts and gave the symphony an unofficial rehearsal in the latter half of 1827. However, the technical difficulties and length of the symphony were found to be too great for the orchestra, and they ultimately refused to perform it. The Great Symphony remained unperformed in Schubert's lifetime.

It was not until more than a decade following Schubert's death that the music was rediscovered by Robert Schumann. When visiting Ferdinand at the city of Vienna in January 1839, Schumann discovered the manuscript of the Great Symphony, which still had not been performed in public.[15] Ferdinand gave a copy of the score to Schumann to bring back to Leipzig

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[13] Ibid.

[14] Betsy Schwarm, "Symphony No. 9 in C Major," *Encyclopædia Britannica.*

[15] Otto Erich Deutsch, "The Discovery of Schubert's Great C-Major Symphony: A Story in Fifteen Letters," *The Musical Quarterly* 38, no. 4 (1952): 528; see also H. F. Frost, "Schubert and His Works. The Tenth Symphony," *The Musical Times and Singing Class Circular* 25, no. 492 (1884): 67; George Grove, "Schubert's Great Symphony in C, No. 10," *The Musical Times* 45, no. 738 (1904): 523; Schwarm, "Symphony No. 9 in C Major."

in hope of securing a performance that same year. Ferdinand confirmed the transfer of the work in a letter to the publishing firm on January 31, 1839, saying that he would only send "a faithful copy of the score of [the Great C-Major Symphony] because the score itself rests in the archives of the Austrian *Musikverein* as an authentic memorial."[16] On March 21, 1839, Schubert's Great Symphony was performed for the first time at the Gewandhaus Concerts in Leipzig under the direction of Felix Mendelssohn, and it received an enthusiastic reception. Mendelssohn wrote to Ferdinand shortly after the performance: "Each movement was followed by long and loud applause, and even more significant than that, all the musicians of the orchestra were deeply stirred and overjoyed by the admirable work. It has had more success than most of the other newer things of the last four years."[17] Mendelssohn praised the symphony as one of the best in recent years, standing foremost among Schubert's instrumental pieces.

Schumann also praised the piece as revealing both an unknown aspect of Schubert and a new approach to the symphony as a genre:

> On hearing Schubert's symphony and its bright, flowery, romantic life, the city [of Vienna] crystallizes before me, and I realize how such works could be born in these very surroundings … All must recognize, while listening to this symphony, that it reveals to us something more than mere beautiful song, mere joy and sorrow, such as music has ever expressed in a hundred ways, leading us into regions that, to our best recollection, we have never before explored.[18]

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[16] Deutsch, "The Discovery of Schubert's Great C-Major Symphony," 529.

[17] Ibid., 529–530.

[18] Robert Schumann, *On Music and Musicians*, trans. Paul Rosenfeld, in Konrad Wolff (ed.) (University of California Press, 1983), 110.

Schumann describes the feeling of being transported from this world, how the music is heavenly in length like four volumes of a novel, and how the instruments sound like human voices that are "spirited beyond the measures", referring to the lyrical and songlike nature of the melodic lines.[19]

After a third performance of the Great Symphony in Leipzig (March 26, 1840), the symphony came to Frankfurt am Main (January 22, 1841). Following its publication by Breitkopf and Hartel in January, 1850, the symphony was performed in Vienna (December 1, 1850), Paris (November 23, 1851), and London (April 5, 1856).[20] The symphony has been widely played everywhere since, and according to Walter Gray, the Great Symphony was one of only two Schubert symphonies—the other being his Unfinished Symphony in B minor—performed regularly until the mid-twentieth-century.[21]

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[19] Deutsch, "The Discovery of Schubert's Great C-Major Symphony", 532.

[20] Ibid.

[21] Walter Gray, "Schubert the Instrumental Composer," *Music Quarterly* 64, no. 4 (October 1, 1978), 487.

Literature Review

Although Schumann's discovery and praise of the "heavenly lengths" in the Great Symphony was a pivotal moment in Schubert's reception history, the afterlife of Schumann's praise and how his statement continues to inform the analytical and biographical readings of Schubert's music are less often considered.[22] Anne Hyland states that despite Schumann's view of how the Great Symphony was positive on the surface, the words were later understood by subsequent critics as a thinly veiled attempt to defend Schubert as an instrumental composer by emphasizing the music's expansive beauty.[23] Despite Schumann and Mendelssohn's best efforts, this was a line of defence that critics were seemingly unwilling to maintain, leading to unfavourable reviews and discussions of the piece. Examples of such critics include Anton Schindler who, in 1857, viewed the lyrical repetition of the music as being "stretched out to the point of fatigue", and Heinrich Kreissle von Hellborn who, in 1865, bemoaned the "unnecessary length and breadth [and] the uncalled-for repetitions."[24]

Felix Salzer's assessment in his 1928 essay on Schubert discusses the correlation between the use of melodic lyricism with a tendency towards self-contained expansiveness and repetition that critics discussed in their reviews of the Great Symphony. Salzer explains how Schubert's sonata-form movements indulge in a succession of lyrical structures unchecked by the improvisatory element, are excessive in length, and are lacking in organic unity. The

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[22] See Anne M. Hyland, "[Un] Himmlische Länge: Editorial Intervention as Reception History" in Bodley and Horton, *Schubert's Late Music: History, Theory, Style* (Cambridge University Press, 2019), 52–53.

[23] Ibid., 52.

[24] Ibid., 53.

improvisatory element is described as a forward-driving force that prevents the excessive expression of a single key, which begets dramatic tensions in the music, and ensures a unified coherence.[25] By contrast, each lyrical idea "has the tendency to expand itself and especially to develop itself further by repeating the same group of motives . . . [and] produces a unified construction that exists only for its own sake, since it does not appear to have been formed with regard to an artistic synthesis with different ideas."[26] When the lyrical sections linger on particular moments, they arrest the progress of the sonata and impede the rhetorical aspect of the music. This is in line with Adorno's notion of "crystalline form", as previously mentioned, which also refers to the tension between lyricism and the generic demands of traditional sonata form.

While these discussions talk about the changes to the compositional practice in Schubert's music, a major detractor of Schubert as a composer of instrumental music was Stratham. Stratham wrote about how Schubert's instrumental music was poorly constructed when compared to that of Beethoven's in an article published in 1883:

> The belief in Schubert's greatness as an instrumental composer is, however, a forced one; and the more the public learn about musical composition and musical form, the more certainly they will eventually find this out … [his instrumental works are] the work of a man who would write copiously as the whim seized him, but would take no trouble about it … Beethoven, as his notebooks show, would expend more study and pains in rendering

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[25] Felix Salzer, "Die Sonatenform Bei Franz Schubert," *Studien zur Musikwissenschaft* 15 (1928), 88; see also Su Yin Mak, "Felix Salzer's 'Sonata Form in Franz Schubert' (1928): An English Translation and Edition with Critical Commentary," *Theory and Practice* 40 (2015): 1–121.

[26] Ibid., 88.

a single theme what he ought it to be than Schubert probably ever bestowed on a whole movement. [27]

After briefly crediting Schubert with his ability to compose "lovely" music in shorter forms such as in his *Lieder*, Stratham describes the special requirements of sonata form and laments Schubert's failure to meet them, criticizing his instrumental work on sonata form as having "no backbone" and how his pieces are not instrumental compositions of the highest class.[28]

While these comments are relevant when discussing Schubert's sonata form and his compositional approach to writing instrumental music such as the Great Symphony, the primary focus of these discussions is on the repetition and lyricism of Schubert's themes. What is left out of the discussion is Schubert's overall understanding of sonata form and the harmonic relationships that form underneath the melodic lyricism. The Great Symphony represents a merging of the ideas of traditional sonata form—such as the tonal exploration and influences from late Classical composers such as Beethoven— underneath the abandonment of Classical references found in his *Lieder* and piano pieces. Beethoven's compositional legacy looms over Schubert during the composition of his works, both critically overshadowing but also inspiring Schubert as a composer. It is evident that the Great Symphony is most indebted to the influence of Beethoven's compositional work yet continues to symbolize Schubert's own style.[29] It is also no coincidence that Schubert began composing his Great Symphony after the premiere of

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[27] Henry Heathcote Stratham, "Schubert – Chopin – Liszt," *The Edinburgh Review* 158 (October 1883): 485.

[28] Ibid., 486.

[29] Schwarm, "Symphony No. 9 in C Major."

Beethoven's Symphony No. 9 in D Minor, Op. 125 on May 7, 1824,[30] providing the inspiration

Schubert needed to compose a grander symphony after not having completed a symphonic

composition since his sixth symphony. Schubert's use of sonata form in the Great Symphony

builds on the Classical form found in his first six symphonies; however, he also tries a new

approach. This approach includes a greater focus on songlike melodies and adventurous

harmonic excursions, with the goal of making both the thematic material and the treatment of it

as individual and memorable as possible. In this respect, in the Great Symphony, he incorporates

the introduction, exposition, development, recapitulation, and coda areas, as one would find

within classical symphonies, but somewhat blurs the lines between these sections through the

repetition of his themes on the surface of the music.

Salzer also presents a similar finding when discussing Schubert's overall sonata-form

practice in his 1928 essay. While Section I of his essay continues the discussion of how the self-

contained structures found in lyricism seem incompatible with the Classical sonata style

(reflecting the theoretical formulations of his teacher, Heinrich Schenker),[31] Section II describes

how Schubert's sonata form is an evolution of the compositional practice from the Classical era

that results from combining sonata-form procedures with repetitive, lyrical themes. Salzer draws

attention to certain characteristics that stand out as part of Schubert's sonata form: the three-key

exposition; the expansion of thematic-motivic ideas through exact repetition; the amplification of

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[30] Schwarm, "Symphony No. 9 in D Minor, Op. 125," *Encyclopædia Britannica*.

[31] Su Yin Mak, "Schubert's Sonata Forms and the Poetics of the Lyric," *The Journal of Musicology* 23, no. 2 (2006): 265.

transitional harmonies; and the non-tonic recapitulation.[32] Charles Rosen has also observed

Schubert's new approach to sonata form, stating how "Schubert's innovations in sonata forms

are less extensions of classical style than completely new inventions, which lead to a genuinely

new style—at least one that cannot easily be subsumed in classical terms."[33] Rosen argues that

one could not define sonata form "until it was dead", seeing it as "a way of writing, a feeling for

proportion, direction, and texture rather than a pattern."[34] He compares how writing a Classical

sonata in the nineteenth century without innovating the genre in a new direction was similar to

composing Baroque fugues in the late eighteenth-century.

Schubert's work on the Great Symphony highlights his innovation of sonata form, using

the repetitive lyricism on the surface of the music while maintaining the structural pillars of

sonata form underneath as it explores intriguing harmonic relationships. What some critics who

commented on the extended length of the symphony may be experiencing is the phenomenon of

the evolving classical symphony, and how the entire sonata form has increased but with the

sonata form's phrases still intact. Rosen believes that the traditional sonata form is essentially

melodic while the exposition is made up of a succession of melodic themes that are separated by

connecting developments.[35] He explains how Beethoven expands the sonata form by focusing on

the polarization in terms of the tonic and dominant, and in terms of his themes. This focus on

thematic progress led Dahlhaus to call his sonata forms "dramatic-dialectic," based on the

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[32] See Salzer, "Die Sonatenform Bei Franz Schubert."

[33] Charles Rosen, *Sonata Forms* (London: W.W. Norton & Co., 1980), 287.

[34] Rosen, *The Classical Style* (New York: The Viking Press, 1971), 30.

[35] Rosen, *Sonata Forms*, 281.

capturing of the emotion and sentiment of the Romantics but still reflecting the classical

models.[36] In contrast, Schubert's practice exhibits a distinctive formal style that calls for a

redefinition of sonata form. In Dahlhaus's 1978 article, he argued that the standard theory of

sonata form, in accordance with Beethoven's practice, was not equipped to analyze Schubert's

music. Due to the primary use of repetition of his melodic lyricism, this led to Dahlhaus's

identification of Schubert's sonata form as "lyric-epic."[37]

The Great Symphony, however, was composed to be Schubert's first symphony that

maintains the outward appearance of a classical symphony. This meant he needed to compromise

between his more "lyric-epic" sonata form with the "dramatic-dialectic" style of Beethoven's

evolving classical style. Schubert captures the sense of progression and forward motion of the

music found in Beethoven's classical sonata forms but traps them within a static key cycle and

defies the expectations of progression thematically with a unique tonal map that builds upon

Schubert's harmonic relationships and lyricism. These unique features are part of what Maurice

Brown calls Schubert's "philosophy of sonata form," which was named to reflect Schubert's

sonata-form practice after Beethoven.[38] If the sonata form of the Great Symphony is a mix of

both the "lyric-epic" and "dramatic-dialectic" forms described by Dahlhaus, then underneath the

surface melodic lyricism and repetition associated with Schubert's "lyric style" lies the

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[36] Carl Dahlhaus, "Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D.887)," trans. Thilo Reinhard, in Walter Frisch (ed.), *Schubert: Critical and Analytical Studies* (Lincoln and London: University of Nebraska Press, 1986), 1.

[37] Ibid.

[38] Maurice Brown, *Schubert Symphonies*, BBC Music Guide, (London: BBC, 1970), 49.

foundation of an uncompromised sonata-form progression traditionally associated in Beethoven's "dramatic-dialectic" style.

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The approach taken in this thesis to analyze Schubert's sonata-form writing in the Great Symphony is guided by James Hepokoski's and Warren Darcy's sonata theory. Their approach to the methodology of sonata theory seeks to demonstrate that sonata form is a list of normative and optional procedures that are flexible in their realization rather than attempt to prescribe a set of rules to which all pieces written in sonata form must adhere.[39] These normative procedures can be used by the present-day analyst as a starting point when considering the form of a given piece. Their book, *Elements of Sonata Theory*, also provides consideration of the "three-key exposition," which is frequently used in nineteenth-century sonata-form movements, particularly those by Schubert and Brahms.[40] In addition, William Caplin's theory of formal functions will also be used as a reference to understand a set of compositional conventions within the Classical repertoire of Mozart and Beethoven.[41] Both these approaches will aid in the analyses of the lyrical repetition and variation contained within Schubert's sonata forms, with Caplin's approach being used to help identify elements of the Classical style retained in Schubert's sonata forms.

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[39] 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), 15.

[40] Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 65.

[41] See William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998).

There is also a lack of analytical work through Schenkerian analysis of Schubert's sonata-form movements, which leaves room to show a new perspective of the different layers in the tonal structure. Although the Great Symphony is often considered one of Schubert's most innovative and finest pieces with its new discursive style, no Schenkerian analysis of entire individual movements exists. Schenker does not provide any analytical observations on the Great Symphony, nor does he provide any sketches of the work. This opens an opportunity to reveal the core tonal spaces of the traditional sonata form underneath the surface of the lyrical but repetitious Romantic melodies. Schenker's theory of analyzing tonal music was intended to demonstrate an organic coherence of a work, where core structures of the tonal space remain in the background while further elaborations reside on the surface of the work. In order to reveal the tonal spaces of the sonata form, Schenkerian graphs of the two sonata-form movements in the Great Symphony will be constructed. Schenkerian analysis is an abstract and complex method, however, it aims to reveal the internal coherence of the work—a coherence that ultimately resides in its being tonal, [42] which will aid in showing the coherent nature of Schubert's sonata form.

One of the advantages of using Schenkerian theory to analyze tonal structure in sonata form is its focus on a small set of fundamental structural patterns that govern the vast majority of Classical sonata-form movements. By recognizing patterns, an analyst is able to relate unique foreground and middleground features of an individual exposition to their uniform background prototypes. Schenkerian analysis is not about how a composition can be reduced to the same

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[42] Heinrich Schenker, *Free Composition: (Der freie Satz): Volume III of "New Musical Theories and Fantasies,"* trans. and ed. Ernst Oster. (Hillsdale, NY: Pendragon Press, 1979), 5.

background, but how each work elaborates the background in a unique and individual manner. Similarly, Hepokoski and Darcy's methodology seeks to demonstrate that sonata form is a set of normative procedures in the background that undergo deformations within particular compositions. A composition in sonata form is expected to accomplish certain goals that conform to a set of background stylistic tendencies. Due to the similarities between Schenker's methodology and Hepokoski and Darcy's, it makes sense to incorporate both when analyzing sonata forms. Indeed, Hepokoski and Darcy directly quote Schenker when introducing historical contexts of sonata theory:

> At the heart of [sonata theory] is the recognition and interpretation of *expressive/dramatic trajectories towards generically obligatory cadences.* For the present, we might only register the degree to which this concern resonates with Heinrich Schenker's much-quoted description of musical motion and dramatized process in *Free Composition* (*Der frie Satz, 1935*): ["]The *goal* and the course to the goal are primary. Content comes afterward: without a goal there can be no content.["][43]

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[43] Hepokoski and Darcy, *Elements of Sonata Theory*, 13

CHAPTER 2

Analysis of Movement 1

In both Chapters 2 and 3, the focus shifts towards the analysis of the sonata form movements in the Great C-major Symphony. While the length of the symphony is widely acknowledged, in part to the repetition of his themes, detailed accounts of the sonata forms within the work are hardly discussed. The first movement—*Andante–Allegro ma no troppo*— opens the symphony with an expansive introduction, followed by a sonata-form structure. Each sub-section of this chapter will cover an element of the sonata form used in the first movement, discussing Schubert's use of melodic lyricism in tandem with the different themes that occur throughout the movement and the overall tonal structure. The analysis highlights Schubert's compositional writing as it retains the structural pillars of sonata form, using Schenkerian notation to show how each section is composed organically and narratively within the sonata form at a deeper level of the tonal structure.

Introduction

The first movement of the Great Symphony opens with an expansive introduction, labelled *Andante*, before the main exposition. Compared to his previous symphonies, in which the introductions were either tonally ambiguous or short in length, the introduction to the Great Symphony is tonally stable and features a prominent theme that is stated for seventy-eight measures. The *Andante* section of this movement is described by Stratham as a "beautiful leading theme" that is constantly repeated, providing "little variation till the repetition becomes almost irritating to the listener." [44] However, the Romantic lyricism in the melodic line can be seen as emphasizing the music in the foreground as it gradually builds to the climactic beginning of the exposition. The introduction is presented as a theme and variations that explores the structural key areas used throughout the *Allegro* section. However, it can also be viewed as a disguised miniature sonata form embedded before the *Allegro* with its own exposition, development, and recapitulation, using the same structural key areas found throughout the sonata. Nonetheless, the introduction is important to the symphonic movement. The melody Schubert repeats during the introduction returns throughout the first movement, binding this use of lyricism in the foreground within the core themes of the traditional sonata form.

The *Andante* section begins with a theme for two unison horns that consists of an eight-measure phrase. Instead of the short and formulaic introductions found in Schubert's early symphonic works, the Great Symphony features a significant theme that one would expect from the primary theme. The use of common time and the rhythms of the opening theme recall a slow

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[44] Henry Heathcote Stratham, "Schubert – Chopin – Liszt," *The Edinburgh Review* 158 (October 1883), 475.

march, creating a sense of momentum as one would find within the late traditional sonata forms of Beethoven. Schubert, however, does not use the traditional structural and harmonic techniques of Classical form. Whereas one would expect the theme to be divided symmetrically (two four-measure phrases), such as in the famous "Ode to Joy" theme from Beethoven's Symphony No. 9 (see Example 1b), Schubert instead stalls the expected progress of the theme by alternating between two- and one-measure motives (see Example 1a). This organization is highlighted when the theme reappears in m. 29 with full orchestra, with the string and brass instruments playing the two-measure motives, and the woodwinds playing one-measure motives. Schubert's theme does not necessarily encourage progress as one would expect in Beethoven's themes. Instead, what first appears to resemble a slow march theme is revealed to be static in progression.

a)

b)

Example 1a and 1b: Comparison of Themes by Schubert and Beethoven

Schubert's Great Symphony – Horn Theme	2 + 1 + 2 + 1 + 2; Stalled Phrases
Beethoven's Symphony No. 9 – "Ode to Joy"	4 + 4; Symmetrical Phrases

Table 1: Comparison of Theme Phrases by Schubert and Beethoven

Schubert seemingly traps the introduction into a static theme and variations, designed as a cycle which gradually builds by adding orchestral forces and dynamics into the beginning of the exposition. There are many intervening phrases in new key areas that create moments of uncertainty in the music throughout the introductory passage. The process unfolds gradually in the beginning, as the initial introductory theme builds first from the two horns, then to a chamber orchestra variation in m. 9, and finally to a full orchestral variation at m. 29. During the full orchestral variation of the theme, no sooner than applying the full force of the string and brass instruments does the music withdraw to a soft woodwind continuation in mm. 31 and 34, leading the eight-measure phrase to an E-major triad, followed by an extension of the phrase to an implied B-major triad (the dominant in the key of E) in the following measure. The key area of E was introduced earlier in mm. 24–28 in the minor mode, but Schubert purposely returns to the home key for the variation of the introduction's opening theme before returning to a new key area. One can sense Schubert's lyrical instincts tugging against the main dramatic sweep of the music, wanting to transition to new key areas outside the home key of C. The dominant build-up that follows in m. 38 suggests an ensuing main *Allegro* section. Schubert plays intensely on this expectation by shortening the oboe phrase that alternates with the upward-driving tutti bursts, and squeezing the tension into the G dominant-ninth chord at m. 47. The arrival of the dominant in the home key supports a half cadence before a new key area is introduced.

When trying to analyze the introduction as a miniature sonata form, the initial problem occurs with a lack of a medial caesura and a secondary-theme area. One can consider the variations of the introductory theme to be part of the primary-theme area in the exposition. In addition, the arrival of the dominant in the home key supports a secondary key that would end the closing section of the exposition in the miniature sonata form. However, a medial caesura and a secondary-theme area are necessary prerequisites for defining the structural elements and organization of a two-part sonata exposition, and the exclusion of these two elements does not mean that a miniature sonata form cannot be analyzed. Hepokoski and Darcy define an exposition with these missing elements as a continuous exposition, usually filling up most of the expositional space with the relentless ongoing, and expansive spinning-out (*Fortspinnung)* of an initial idea or its immediate consequences.[45] While this makes it possible to analyze the introduction as a miniature exposition, there is still a lack of an essential expositional closure (EEC): the first satisfactory perfect authentic cadence within the secondary key area that goes on to different material.[46] This type of cadence only appears in the home key; specifically in sections right before the return of the introductory theme (mm. 28–29, 59–61). Without an EEC, one can only suggest that elements of an exposition are present. Rather than a complete embedded sonata structure prior to the *Allegro*, the introduction shares elements of traditional sonata form.

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[45] 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), 51–52.

[46] Ibid., 117.

Following the half cadence in m. 48, the key area of A♭ major is primarily used for fourteen measures before the return of the introductory theme in the home key. While this section is brief, the A♭ key area provides similar elements to a developmental section in a sonata form. However, this section can be better described as an episode-like section within the theme and variations, consisting of repeated fragmented variations based on the second measure of the introductory theme. The key of A♭ returns to the dominant of the home key at the onset of the returning introductory theme, similar to how a development section proceeds to a recapitulation section. The return of the introductory theme is signaled by the use of a cadential six-four progression resolving to a C-major triad in mm. 60–61. As mentioned previously, although the sense of progress implied by the use of a march theme is reminiscent of ones that would occur within a traditional sonata written by Beethoven, the tonal map is entirely different. In this latter respect, the key areas of C major, E minor, and A♭ major are part of a third relationship which has been described by Richard Cohn as one of four Hexatonic systems, as shown below in Figure 2.[47] The Great Symphony consists of a cycle of thirds that centers on the "Northern" system, with a constant return to the home key of C Major.

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[47] Richard Cohn, "Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions," *Music Analysis* 15, no. 1 (1996): 17
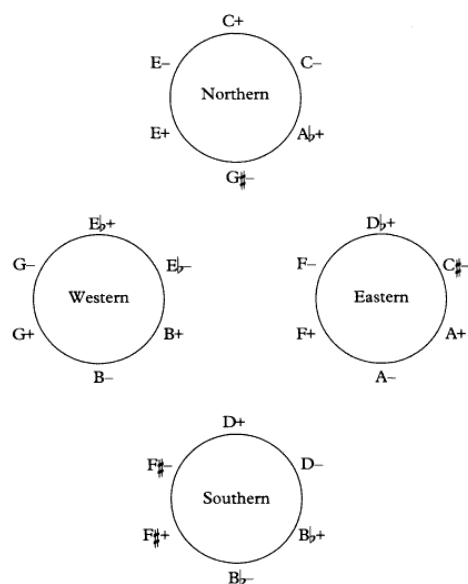
The four hexatonic systems

Figure 1: Hexatonic systems as described by Richard Cohn[48]

The introductory theme returns at m. 61, which functions like a recapitulation to the introduction. Individually, these last eighteen measures (mm. 61–78) of the introduction perform the function of the whole *Andante* on the small scale. The restatement of the introductory theme provides a necessary bridge between the solo horn melody from the first eight measures and the opening theme of the *Allegro ma non troppo* at m. 78. While this section on its own would satisfy the requirements of an introduction to the overall sonata, remaining solely in the home key and removing some of the repetitive structure, it would be unthinkably weak without its preceding measures that make up the whole introduction. Although the introduction eventually settles on a dominant pedal leading to the primary theme, it does so only after returning to the introductory theme in the tonic key a third time, which aids in defying the expectation of an

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[48] Ibid.

introduction by wandering tonally and thematically. Although Schubert's melodic repetition remains, its function in the introduction allows the music to become a fully developed tonal cycle with key areas revolving around the home key, and foreshadows the harmonic progression in the sonata as a whole. Without the extensive introduction, the primary theme in m. 78 would appear suddenly without foil, and the missing introductory theme would leave its reoccurrence in the sonata a mystery.

While a theme and variation can be seen at the surface of the music, a deeper level of middleground reveals the elements of a miniature sonata form through the harmonic progression. The *Kopfton* is first presented in the introductory theme as shown in Figure 2. *Kopfton* $\hat{3}$ is introduced at the beginning of the piece through the introductory theme in m. 3 through an extended prolongation of the tonic chord in the melodic line. $\hat{1}$ (C) and $\hat{3}$ (E) are connected through an arpeggiation underneath a shared home key of C major. The C and E are embellished further to disguise this arpeggiation, with the former through linear progressions of a third, and the latter through neighbour tones. A greater emphasis of this tonic prolongation through both the melodic line and *Bassbrechung* can be seen in the chamber orchestra variation in mm. 9–11 and mm. 29–31.

Figure 2: Schubert's Great Symphony, movement 1, mm. 1–8[49]

Figure 3 shows two separate analyses of the introduction: a) shows the overall progression of events as a miniature sonata form, b) shows the events of the introduction as part of the symphonic movement. When viewing the introduction as a miniature sonata, $\hat{3}$ is prolonged by the new tonal area of E major in m. 36, acting as a harmonic arpeggiation in the bass from the home key. The dominant of E major is used to bridge to the G-major triad in m. 38 (the dominant of C major). The shared B♮ maintains a connection between the two chords, with the F♯ resolving to G, and the D♯ resolving to D♮. $\hat{2}$ is introduced in m. 39 and is presented through a similar variation of the introductory theme. In the analysis, $\hat{2}$ has been readjusted to align with the dominant harmony in m. 38 at a deeper level of middleground. The A♭ developmental section acts as a neighbour harmony between the two G-major sections at mm. 46 and 60. When the introductory theme returns in the home key in m. 61 (similar to the beginning of a recapitulation), the *Ursatz* is interrupted and restates the *Kopfton* $\hat{3}$. When the music approaches the dominant pedal in mm. 70–77, the arrival of $\hat{2}$ is inevitable, being fully realized at first in the melody by the flutes in m. 76. This scale degree is then passed to the oboes in the following measure. After passing $\hat{2}$ to the oboes, the *Urlinie* resolves by step to $\hat{1}$ through an

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[49] *Bassbrechung* harmony is taken from the identical statement of the introductory theme in mm. 9–16.

inner voice at the beginning of the introduction. While this interpretation demonstrates how the introduction can be viewed as a miniature sonata, the overall progression of the music does not conclude in m. 78. Although the introduction is not usually analyzed as part of the movement's exposition, it is still part of the overall structure of the movement. By viewing the introduction as part of the Symphony, one can see how the introduction is instead an initial ascent, analyzing the introductory theme in mm. 1–8 as the location of $\hat{1}$ instead of the *Kopfton* $\hat{3}$ (see Figure 2). The introduction prolongs the home key as it cycles through a theme and variations around the third-related key areas until the arrival of the dominant pedal in m. 70, introducing $\hat{2}$ in m. 76 by the flutes (the same location as previously mentioned). Finally, rather than falling towards an inner voice, the flutes rise to the *Kopfton* $\hat{3}$ at the beginning of the exposition and complete the *Anstieg*.

Figure 3a and 3b: Schubert's Great Symphony, movement 1, mm. 1–78

a) Analysis separate to movement 1, b) Analysis as part of movement 1[50]

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[50] Slow introductions traditionally end on the dominant, which sets up the tonic at the onset of the primary theme area. The authentic cadence implied at the end of Figure 3b, however, is used to show only the narrative structure of the introduction as it moves into the beginning of the exposition.

Exposition

The main sonata form of the first movement follows the textbook design of a full

exposition, development, and recapitulation, which is acknowledged as a Type 3 sonata by

Hepokoski and Darcy in *Elements of Sonata Form*.[51] Schubert also follows the three-key

exposition, a concept previously mentioned in Salzer's 1928 essay.[52] The piece begins in the

tonic key for the primary theme area, followed by a second key that is established at the onset of

the secondary theme area, and the third key is finally introduced at the onset of the closing

section. The two primary components of the second part of the exposition, the initial secondary

theme and the cadential closure, occur in two separate keys rather than the same key. Throughout

his career, Schubert employed the three-key exposition quite frequently, likely adopting this

exposition from eighteenth-century compositions such as Mozart's Piano Sonata K. 310 and

Beethoven's *Coriolan* overture.[53] In the case of the first movement in Schubert's Great

Symphony, the three key areas outline a complete arpeggiation of the C-major triad as shown in

Table 2.

Primary Theme Area		Secondary Theme Area		Closing Theme Area
I (m. 78)	**IAC: iii** (mm. 133–134)	**iii** (m. 134)	**IAC: V** (m. 174)	**V** (m. 228)

Table 2: Overview of Exposition in Schubert's Great Symphony, movement 1

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[51] Hepokoski and Darcy, *Elements of Sonata Theory*, 344.

[52] See Felix Salzer, "Die Sonatenform Bei Franz Schubert," *Studien zur Musikwissenschaft* 15 (1928).

[53] Graham Hunt, "The Three-Key Trimodular Block and Its Classical Precedents: Sonata Expositions of Schubert and Brahms," *Intégral* 23 (2009): 69, 75.

The primary theme of the exposition is distributed between different parts of the orchestra. Schubert creates a call and response pattern between the strings and woodwinds at the beginning of the primary theme area. The theme alternates between two separate two-measure motives, with the string motive consisting of alternating dotted quarter-notes and eighth-notes, and the woodwind motive consisting of quarter-note triplets (see Example 2).

Example 2: Schubert's Great Symphony, movement 1, mm. 78–96

However, in comparison to the primary theme in the exposition, the introductory theme can be understood as a tonally stable theme. According to Caplin, the main-theme (primary theme) should normally function as the most tight-knit unit within a movement, against the other sections of the sonata form which can be measured as looser, isolated phrases in relation to the thematic material.[54] In particular, the call and response pattern creates a fragmented passage that makes the primary theme less coherent in structure, while the energetic transition from the introduction contributes to the progression of the primary theme. These elements give the impression that the expected primary theme is the beginning of the transition instead of the main theme. However, the primary theme should not act like a transitional area from the more thematically-coherent introduction. In traditional sonata form, the primary theme must be introduced at the beginning of the exposition. In the case of the Great Symphony, the primary theme must begin at *Allegro ma non troppo* in m. 78. The structural ambiguity between the introductory theme and primary theme is an instance of Schubert playing with the listener's expectation of how a Classical sonata form should unfold.

The primary theme, however, is not a traditional transition area, nor is it intended by Schubert to be one. The goal of the primary theme is to define the tonic key area of the piece with a definitive cadence at the end of it, presenting the primary melodic material that begins the thematic cycle of the exposition. While the introduction may seem more theme-centered at first—containing a theme with little phrase deviation—the tonal organization is not fully centered in the tonic key area. The modulations to the key areas of E and A♭ around the cycle of

[54] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 143.

major thirds make the introductory theme wander from the tonic key of C major. In contrast, the primary theme in the exposition is static harmonically (as the primary theme should be) by mainly cycling between I and V in the key of C major while providing a sense of progress in the music without being too adventurous. In addition, although the primary theme is fragmented, it still resembles a 16-measure hybrid theme (specifically Hybrid 3: Compound Basic Idea + Continuation)[55] that ends on a perfect authentic cadence in mm. 93–94 (see Example 2).

After arriving at a perfect authentic cadence, the primary theme is then followed by the transition. The transition takes the ideas of the initial primary theme and reworks them to create a new phrase. The transitional area is markedly looser than the primary theme, though different loosening devices tend to be used within these functions respectively. In this case, the transition foregoes the initial call and response pattern in favour of merging the two motives together. Rather than alternating two-measure motives, the strings are constantly in motion with little break between the alternating dotted quarter-notes and eighth-notes, falling and rising through the C-major scale in sequence. Underneath the scale, the woodwinds continue providing the quarter-note triplet rhythm with the brass instruments, creating a sense of continuous forward motion as it approaches an imperfect authentic cadence in C major at m. 130.

The analysis in Figure 4 shows the harmonic development and tonal map of the primary theme, corresponding to a tonic prolongation that leads into the appearance of the *Kopfton* $\hat{3}$ in m. 102. Although this seems to contradict the interpretation of an *Anstieg* in the introduction, the *Kopfton* is displaced from the arrival of the tonic at m. 78 and would be adjusted for in a deeper

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[55] Ibid., 61.

middleground structure. The current middleground analysis considers the *Kopfton* heard in m. 78 as a cover tone prior to its displacement in m. 102, as the primary theme would be unaffected if $\hat{3}$ were removed in m. 78. This is further evident by the beginning of the recapitulation at m. 356, where this cover tone is not present during the restatement of the primary theme. While motion into an inner voice from *Kopfton* $\hat{3}$ occurs in m. 122, a repetition of mm. 94–102 follows to confirm a prolongation of the *Kopfton* $\hat{3}$ in m. 130 (see Figure 4).

Figure 4: Schubert's Great Symphony, movement 1, mm. 78–130

Typically, a medial caesura, the break in texture that divides the exposition into two parts, is associated with a half cadence that occurs either in the home key area or secondary key area. However, a half cadence is not presented in either key area at the end of the transition. Instead, the transition is followed almost immediately by a distinct secondary theme. The modulation from C major occurs almost instantly, with a half-measure window to briefly introduce the dominant of E minor before entering the secondary theme area. The appearance of the dominant creates an imperfect authentic cadence in the key of E minor at the onset of the secondary theme, defining a clear departure from the tonic in m. 134 (see Example 3). Although the medial caesura is seemingly missing, Hepokoski and Darcy present a possible solution to this problem. They discuss how there is a rarer option in sonata theory to refer to the use of a perfect

or imperfect authentic cadence in the tonic key as the medial caesura, considering it a *fourth-level default*.[56] In the case of Schubert's first movement of the Great Symphony, the transition does not produce any of the standard medial caesura defaults (a half cadence in either the tonic or secondary key, or a perfect authentic cadence in the dominant key), and simply stays on an ultra-stable tonic without gesturing towards a medial caesura. Therefore, an analysis of this section would consider the imperfect authentic cadence in C major in. m. 130 as a rhetorical medial caesura, with the dominant of E minor treated as a link into the secondary theme area. Although the modulation goes against conventional expectation that a major-mode sonata would demand (normally arriving at V rather than iii), the movement between these two key areas once again reinforces the tonal cycle of thirds that first appears in the introductory theme in mm. 24–27 and mm. 37–38. The secondary theme area contrasts with the dramatic introductory theme and the main primary theme area both melodically and harmonically. The instrumentation of the secondary theme consists of the oboe and bassoon in the melody, with the first two measures consisting of staccato quarter notes, followed by three measures of triplets, and ending with trills beginning in the seventh measure of the theme. The new thematic gestures amount to both a rhythmic arrest of the prevailing quarter-note theme and an extraordinarily startling tonal arrest, resulting from a sudden stop in one key area and followed by an abrupt motion into a new key area.

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[56] Hepokoski and Darcy, *Elements of Sonata Theory*, 29.

Example 3: Schubert's Great Symphony, movement 1, mm. 124–141

While this may seem like another instance where Schubert does not follow the

expectations of the sonata structure, this does follow the three-key exposition Schubert

commonly uses. The E-minor key is being used as a transitional area between the tonic and

dominant harmonies of the Great Symphony, prolonging the arrival of V. In mm. 134–173, the

secondary theme continues to demonstrate a homeward pull towards the dominant of C major.

Schubert chooses to follow this E-minor interlude with a firm modulation back to the tonic key

area of C major at m. 158, accompanied by the full orchestra playing the V^7 chord on the

downbeat of the measure. This progression from the key of E minor once again repeats a similar modulation-scheme found in the introduction in mm. 24–27. Schubert then firmly remains on the dominant harmony by constantly repeating the V^7 chords to imply an initial retransition back to the tonic key area of C Major. However, it is possible to say that Schubert uses the arrival of the V^7 to begin modulating to G major prior to the closing section, with the arrival of an authentic cadence at m. 174, and a pivot through the use of a French augmented-sixth chord in m. 162. The introduction of G major follows the three-key exposition, defining the third tonal area of the exposition. In addition, the use of an authentic cadence in the dominant key suggests that the EEC is located in this section and the following material is part of the closing section. However, the according to Hepokoski and Darcy, the closing theme cannot, by definition, contain any defining characteristics of the secondary theme area. Since the secondary theme is still present, an EEC cannot be analysed as the following music would be seen as a continuation of the secondary theme area rather than the closing section.[57] However, when analyzing it through a Schenkerian perspective as seen in Figure 5, Schubert instead seems to treat this section as a continuous extension of C major. Although the arrival of the dominant harmony in C major for an extended period of time (between mm. 156–189) indicates a strong location to introduce $\hat{2}$ in the foreground, the enormous, combined weight of the seventy-seven introductory measures of the *Andante*, and the prolongation of C major in the following fifty-six measures in the primary theme area of the *Allegro ma non troppo* lingers in the memory through the subordinate E-minor key area.

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[57] Ibid., 181.

Instead of returning to the tonic harmony after an extended period on the dominant, Schubert presents a potential third theme in the trombones in the key of A♭ minor. Up to this point in symphonic history, the trombones usually remain in the background outlining the chords of the melody in symphonic movements. However, the Great Symphony features the trombones prominently in the melodic foreground, giving them independence from the other instruments while adding a striking and powerful voice to the symphony. The potential third theme consists of a fragment of the introductory theme (specifically the second and fifth measures) spread out over two-measure phrases (see Example 4).

Example 4: Schubert's Great Symphony, movement 1, mm. 198–205

A third theme is not traditionally used in Classical sonata form, as an exposition typically consists of two tonal areas, though, it is typical to find extended continuations of the secondary key area. While Caplin describes the sonata exposition as containing three main formal

divisions—main theme, transition, and subordinate theme—where each division is constructed as a complete thematic unit, an exposition can have a subordinate-theme group consisting of multiple subordinate themes as well as having two main themes.[58] Therefore, rather than fully introducing a third subject distinct from the other themes, Schubert treats this A♭-minor material as another subordinate theme, taking the place of the latter half of the secondary theme area before modulating towards the dominant of G major. Analysing the A♭-minor material as part of the secondary theme area is further evident when viewing the strings. The staccato quarter note motif of the secondary theme is maintained through an alternation between the double bass and violins (see Example 4). The thematic significance of this section provides evidence for the decision to wait for the *Urlinie* to descend from $\hat{3}$ to $\hat{2}$, as the harmonic material does not closely relate to the dominant key area. In addition, the brief modulation to A♭ minor not only completes Schubert's Northern cycle of thirds, but also creates prolongation of the *Urlinie* from the *Kopfton* $\hat{3}$ through the use of mixture: $\hat{3}$ becomes ♭$\hat{3}$ (see Figure 5). While it is unconventional for a development-like section to be introduced in the exposition, Schubert has already played with the structural ambiguity within the first half of the exposition by treating the primary theme almost like a transitional area between the introductory theme and secondary theme. With this structural ambiguity in mind, the secondary theme area still functions as lyrical-static by trapping the sense of progress within the repetitive lyrical melodies and tonal cycle of major thirds, while providing a dynamic developmental section that builds upon the introductory theme from the beginning of the symphonic movement. The melodic fragments of the introductory theme build the energy quickly, turning the lyricism of the melodic phrases into developmental motives.

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[58] Caplin, *Classical Form*, 122.

Figure 5: Schubert's Great Symphony, movement 1, mm. 130–228[59]

The secondary theme area closes with the arrival of a G-major harmony (introduced via an augmented-sixth chord in m. 226) with a melody that primarily focuses on half-note descents that occur over several cadential six-four progressions in the key of G major. Each descent is proceeded by a rising third line that is reminiscent of the fragmented passage from m. 2 of the introduction (see Example 5). With the arrival of the dominant key (G major), Schubert fulfills the expectations of sonata form by arriving at the dominant at the end of the exposition after beginning on the tonic, cycling through the repetitive lyrical statements of his themes through the "Northern" cycle of keys. Figure 6 shows the conclusion to the exposition with the proper arrival of the dividing dominant (*Oberquint-Teiler*). The arrival of the dominant allows the *Urlinie* to begin the descent to $\hat{2}$ at the beginning of the closing section. The descent to $\hat{2}$, located underneath the pedal D at m. 229, is initially displaced from the dominant chord. It is not until the end of the cadential six-four progressions in m. 240 when the dominant harmony is stated in the first perfect authentic cadence in the dominant key. The arrival of the perfect authentic cadence fulfills the requirements for an EEC to appear, lining up with the inner voice descent of

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[59] For Figure 5 and future Figures involving accidentals (sharps, flats, and naturals), the accidentals remain in effect throughout the entire graph.

the *Urlinie* at m. 240 and creating the descent to Î of the dominant in the *Ursatz*. The following

material that occurs at the end of the exposition is a short closing zone that reinforces the key of

the cadence with further authentic cadences in the key of G major.

Example 5: Schubert's Great Symphony, movement 1, mm. 222–240

Figure 6: Schubert's Great Symphony, movement 1, mm. 228–240

Development

The development sections of early Classical sonata forms are typically shorter than those from the late Classical-era and Romanic-era sonata forms. Within sonata form, a typical mid-eighteenth-century development was normally a modest affair and under half the length of the exposition.[60] As sonata forms grew in their ambition towards the late eighteenth-century, the size of the developments also expanded. Composers of the late Classical era and Romantic era favoured the extended development in the sonata form, where these sections gained greater importance by harmonically and melodically developing the music more fully. This is evident in the mature works of Mozart and Haydn, occasionally matching the breadth of the exposition itself.[61] However, Schubert maintains a shorter development section associated with early Classical sonatas, with the focus on the melodic expansion of the three main themes from the introduction and the exposition. The development section begins fairly calmly in comparison to the energetic progression that occurs at the end of the exposition. The first half of the development section (mm. 254–303) features the primary and secondary themes counterpointed against each other by the woodwinds and strings, respectively. A major-mode sonata typically shifts towards a more dramatic minor mode in the development, with common tonal areas used by Beethoven, Mozart, and many other composers being the submediant area (vi), and less often the mediant area (iii).[62] However, Schubert instead chooses to continue exploring the Northern cycle of thirds found throughout the exposition. Rather than modulating to the submediant or

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[60] Hepokoski and Darcy, *Elements of Sonata Theory*, 344.

[61] Ibid., 196.

[62] Ibid., 197.

mediant modes of C major, Schubert showcases A♭ major at the beginning of the development, ♭VI of the home key (see Example 6). In the exposition, the key of A♭ is briefly used for only twelve measures (mm. 200–211) before modulating back to E minor, making it the least developed key in the Northern cycle of thirds. By showcasing A♭ major at the beginning of the development, it grants the key area a more prominent role in the sonata form than that found previously in the latter half of the secondary theme area. The focus on the A♭ key area also acts as a neighbouring harmonic area to the dominant key, prolonging the descent of the *Urlinie*.

Example 6: Schubert's Great Symphony, movement 1, mm. 250–266

For the first twenty-two measures of the development, Schubert remains fairly content with the repetition of the two themes in A♭ major, before ominously proceeding by thirds to F minor in m. 276, D♭ major in m. 278, and finally arriving at A major. Although the descent to A major seems harmonically distant, the relationship between the keys of F, D♭, and A comes from Cohn's Hexatonic system, specifically the "Eastern" system. From this point, Schubert begins to build and develop the music, migrating the second theme from the woodwinds to the violins and violas. The change in timbre brings a new purpose and energy to the secondary theme, which was initially lacking through the delightful lyricism from the woodwinds. This new energy is overlaid by the transitional section from the primary theme area at m. 280 (see Example 7). The theme is passed between the woodwinds and cello/double bass every two measures, rising and falling through multiple modulations until arriving at m. 304 on the dominant of A♭ major.

Example 7: Schubert's Great Symphony, movement 1, mm. 276–284

The second half of the development focuses on the fragmented introductory theme prevailing in the trombones. Similar to the second half of the secondary theme area, Schubert hinders the thematic progression of the development section by articulating numerous repetitions of the lyrical melodies and spinning through the Northern cycle of keys. Harmonically, the key areas cycle through A♭ minor, E minor, and C minor every four measures, while the fragmented theme continuously rises up by step to build the tension. The fragmented theme is first announced in m. 304 on the V of A♭ minor (E♭ major) for two measures, followed by a response of the fragmented theme, now on the A♭-minor chord, stating a V–i progression within the four-measure phrase. This V–i progression is repeated in the key of E minor and C minor, respectively, before returning directly to the A♭-major triad and breaking the initial four-measure key cycle (see Example 8).

Example 8: Schubert's Great Symphony, movement 1, mm. 302–317

The extended return of the A♭-major triad from mm. 316–326 recalls, harmonically, the

beginning of the development section. This return can be explained as an extended prolongation

of ♭VI of the tonic C-major key as seen in Figure 7, sustaining the ♭$\hat{3}$ as an upper neighbour to $\hat{2}$.

The four-measure cycle of keys reoccurs in mm. 328–340, where the return to A♭ major is

followed by the closing melodic theme found in the strings, signalling the end of the

development section. The closing theme ends with a half cadence in the key of C minor,

officially returning to $\hat{2}$ of the descending *Urlinie* before the interruption of the *Ursatz* as the

movement approaches the beginning of the recapitulation.

Figure 7: Schubert's Great Symphony, movement 1, mm. 254–360

Recapitulation

The recapitulation follows the traditional sonata-form structure very closely compared to that of the exposition, despite the repetitive lyricism of the melodies. The recapitulation begins with the same primary theme that initiates the exposition, cementing its role as the primary theme of the sonata form, rather than that of the introductory theme. Returning to the key of C major, the beginning of the recapitulation does not contain any structural ambiguity; in this respect, mm. 356–386 are a direct restatement of mm. 78–108 of the exposition. Whereas the primary theme area in the recapitulation remains harmonically static by mainly cycling between the I and V harmonies in the key of C major, the transitional area shifts into the parallel minor mode by m. 412. However, rather than a direct switch to the minor mode, Schubert instead spins through the Northern cycle of thirds once more, first arriving at the key of E major at m. 392 (see Example 9) before arriving at the key of C minor, once again imparting a degree of tonal and structural ambiguity to this sonata form.

Example 9: Schubert's Great Symphony, movement 1, mm. 389–412

Ex. 9 cont.

Throughout the C-minor key area, although the second half of the transition is constantly repeating the same melodic lyricism, the rising chromatic tonal harmonies from mm. 412–424 underneath the melody build a sense of anticipation and forward motion found in the traditional sonata form. Unlike the exposition, the transitional area concludes on a half cadence medial caesura in the key of C minor rather than a perfect authentic cadence in the major mode. The change of mode in the recapitulation is not unheard of in traditional sonata form, as the secondary theme area sometimes articulates changes between major and minor modes. The retention of the home key in the recapitulation, regardless of mode, is important so long as there is no longer any key conflict (i.e. modulations to non-diatonic keys). In Figure 8, after the interruption of the *Urlinie* in the development section, the *Kopfton* ($\hat{3}$) in the primary theme is reintroduced in m. 380. While the possibility of $\hat{2}$ could occur at the half cadence, the harmonic progression still lies primarily in the key of C minor, using mixture to prolong the *Kopfton*.

Figure 8: Schubert's Great Symphony, movement 1, mm. 356–436

The secondary theme begins at m. 440 after the medial caesura at the end of the

transition. For much of the secondary theme area, the melodic material is very similar to that

from the exposition by providing the same melodic material from m. 134, but is now stated in the

parallel minor mode (C minor), rather than the key of E minor. The secondary theme primarily

revolves around the related key areas of the tonic key. While the secondary theme first begins in

the parallel minor mode of the tonic key, the music introduces a pivot point in m. 457 with the

Neapolitan triad in the key of A minor, leading to the arrival of the relative minor key of the

tonic (vi) (see Example 10).

Example 10: Schubert's Great Symphony, movement 1, mm. 454–460

Underneath the melodic secondary theme, A minor (vi), C major (I), and E minor (iii), are stated in V–I progressions. These three chords share tonic harmonic function, with C major sharing two common tones between E minor and A minor. Afterwards, an augmented-sixth chord is introduced before definitively arriving at the key of C major in m. 492, bringing the recapitulation back to the tonic key. While this does not follow the Northern cycle of thirds Schubert has been using throughout the first movement, the close harmonic relations to the tonic key provides a sense of returning somewhere similar to, but not definitively, home. The close harmonic relationships also provide an extended prolongation of the *Kopfton* ($\hat{3}$) as seen in Figure 9, first extended through the use of mixture (C minor), and followed by the common tones to the tonic key through subordinate harmonies.

Figure 9: Schubert's Great Symphony, movement 1, mm. 440–546

The most significant transformation of the secondary theme area though comes from the reintroduction of the fragmented introductory theme at m. 518 in the key of D♭ minor. On the surface, the decision to arrive at an extended D♭-minor section after already returning to the tonic key of C major at the end of the first half of the secondary theme area does not logically make the most sense in the recapitulation. However, looking at Figure 9, the appearance of the D♭-minor key could be seen as an elaborated predominant ♭ii chord of the *Ursatz* in the deep middleground, linking the tonic chord to the dominant chord in the *Bassbrechung* (see Figure 9). The choice of introducing D♭ as a minor key rather than a major key also prolongs *Kopfton* $\hat{3}$ in a unique way, as the third of the D♭-minor key is F♭, which can be respelled enharmonically as E (the third of C major). Similar to the exposition, the key of D♭ minor is used briefly, modulating back to the dominant of the tonic key. While the lyrical melodies of the fragmented introduction continue to hinder the progress of the secondary theme area, the tension builds again through a rising chromatic bass line in mm. 530–544 (see Example 11), rising to an augmented-sixth chord in C major that leads to V and the beginning of the closing section to the recapitulation.

Example 11: Schubert's Great Symphony, movement 1, mm. 536–543

The closing section consists only of restatements of the tonic and dominant in C major. Similar to the closing section of the exposition, the fragmented passage from m. 2 of the introductory theme is brought back, followed by several half-note descending cadential six-four chords now in the key of C major, securing the tonic key in the closing statement. As shown in Example 12, $\hat{2}$ is introduced at the end of each cadential six-four descent; in m. 549, 553, and 557. However, the most prominent $\hat{2}$ is in m. 557 as shown in Figure 10, since the cadential six-four chord fully resolves to the tonic, with $\hat{2}$ in the woodwinds resolving to $\hat{1}$ in m. 558 and completing the *Urlinie*.

Example 12: Schubert's Great Symphony, movement 1, mm. 554–558

Figure 10: Schubert's Great Symphony, movement 1, mm. 546–570

Coda

In traditional sonata form, the coda may be understood as confirming the arrival of the tonic key area after the sonata has run its course. As described by Leonard Ratner, the purpose of the coda is to provide a "stronger effect of closure … to arrest the momentum generated throughout the movement."[63] While this is not the only function of the coda, as it gives the composer an opportunity to impart a circular design to the overall form, composers avoid introducing new material that calls for further development that cannot be completed.[64] From this perspective, a coda functions formally as an extended cadence, appearing after the recapitulation has already come to a close on a perfect authentic cadence. Since the end of the recapitulation at m. 570 already suggests the definitive arrival of $\hat{1}$, the additional material afterwards does not necessarily affect the structure of the *Ursatz* in the analysis. However, taking into account the strong influence of Beethoven's Classical sonata forms and the length of the codas appended to them, each coda could be described as a discursive coda containing material unfolding a separate multi-sectional discourse beyond the sonata space.[65] In addition, Hepokoski and Darcy discuss a striking deformation of the normative practice of sonata theory that became more common in the later decades of the nineteenth century: the *introduction-coda frame*, in

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[63] Leonard Ratner, *Classical Music: Expression, Form, and Style* (New York: Schirmer Books, 1980); Hepokoski and Darcy, *Elements of Sonata Theory*, 283.

[64] Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 526.

[65] Hepokoski and Darcy, *Elements of Sonata Theory*, 284.

which material from the introduction reappears as either part or all of the coda.[66] In the case of

the Great Symphony, the material from the introduction returns in the latter half of the coda.

The first half of the coda in the first movement of the Great Symphony proceeds with

material from the primary theme group, functioning as a bridge to move away from the closing

theme area. From here, Schubert dramatically delays the release of tension through chromatic

harmonies without modulating to a new key area. To relieve this dramatic tension, he uses the

modified introductory theme at m. 662 (played by the woodwinds) and at m. 672 (played by the

string instruments) to give the coda a necessary thematic focus after the chromatic harmony and

the intense V–I harmony in the C major key (see Example 13). The return of the introductory

theme once again brings up the ambiguity of the primary theme area being a bridge to and from

the introductory theme while still maintaining the structural importance in traditional sonata

form.

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[66] Ibid., 304 – 305.

Example 13: Schubert's Great Symphony, movement 1, mm. 672–685

The introductory theme has grown from the *piano* solo horn introduction to the return of

the grandiose and *forte* full orchestration variation, which had been slowly developed through the

movement from the energetic fragmented passages articulated by the trombones. In doing so,

Schubert adheres to traditional sonata-form structural procedures, similar to ones found in sonata

forms of Beethoven, by developing the theme without compromising the flow of the movement

with just melodic references. Comparing the theme to the beginning of the movement, the

introductory theme is missing the fourth measure located in the introduction. This measure has

been deleted so as to emphasize the arrival of the tonic harmony, as an outline of the dominant

chord would sound weak in the context of the grand conclusion. Removing this measure also

prevents the introductory phrase from stalling melodically *en route* to the dominant. The arrival

of the lyrical and singable introductory theme gives the coda necessary thematic focus from the

brilliantly orchestrated chromatic progressions, previously building the tension of the music, to bring the movement full circle from the very beginning. Although the intensity created by the unison of the orchestra is very dramatic, the purpose of the lyrical theme has been to ground the movement from beginning to end, which it does with the support of dominant and tonic chords of C major at the conclusion.

When analyzing the coda separately from the sonata form, as shown in Figure 11, the later structural points in this section ($\hat{2}$ and $\hat{1}$) do not occur until the reintroduction of the introductory theme in the string orchestration. Prior to this, much of the coda is treated as an extended prolongation of the *Kopfton* $\hat{3}$ in the key of C major. The *Kopfton* $\hat{3}$ appears as part of a rising third progression from $\hat{1}$ in the key of C major in m. 570 to m. 578. This is similar to how the *Kopfton* $\hat{3}$ appeared in the exposition (m. 108) and the recapitulation (m. 380). While there are several cadential structures that could provide the structural support of $\hat{2}$ and $\hat{1}$ (m. 612 and m. 640), these are descents to an inner voice over a prolonged tonic area. The most important structural points happen in the second occurrence of the introductory theme near the end of the coda. In m. 676, Schubert dramatically breaks up the chorale of the string instruments by attacking the following two-measure phrase of the introductory theme with the other instruments in response to the opening phrase of the introductory theme (see Example 13). The powerful response occurs during the peak of the melodic phrase towards *Kopfton* $\hat{3}$ underneath the tonic chord, a similar location analyzed in the separate introductory analysis of the movement. The descending *Urlinie* is completed in mm. 680–682, with $\hat{2}$ being introduced initially displaced from the dominant over the ii^6 chord in m. 680, and $\hat{1}$ arriving at the end of the theme in m. 682 before the restatement of additional dominant and tonic chords.

Figure 11: Schubert's Great Symphony, movement 1, mm. 570–682

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Figure 12 shows the complete analysis of the tonal structure of the sonata form in the first movement of Schubert's Great Symphony. While this movement remains "lyric-epic" on the surface, the use of the three-key exposition and cycle of third-related keys provide the necessary tonal pillars to show a coherent understanding of Schubert's progression in his sonata. Scholars such as Newbould have acknowledged the Romantic lyricism of the introductory theme used throughout the movement, stating how the theme opens the possibilities of Romanticism, but underneath retains the Classical style of a traditional symphonic work.[67] The integrated use of this theme throughout the movement enriches the texture on the surface, while the traditional, Classical sonata form remains intact. Overall, the first movement shows how Schubert continues to use the structural concepts found in the norms of traditional sonata form amidst the repetitious melodies without compromising his vision.

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[67] Brian Newbould, *Schubert and the Symphony: A New Perspective* (London: Toccata Press, 1992), 215–216.

Figure 12: Schubert's Great Symphony, movement 1

CHAPTER 3

Analysis of Movement 4

The final movement—*Finale–Allegro vivace*—of Schubert's Great C-major is an extended sonata-form movement. Although this movement is not nearly as extensive as final movements from other symphonies (such as the final movement of Beethoven's Ninth Symphony), the length of the movement was criticized. This was due to the extended repetition of Schubert's melodic themes, resulting in the negative criticism of the symphonic movement for feeling overly long. Similar to Chapter 2, each sub-section of this chapter will cover an element of the sonata form used in the final movement, discussing Schubert's extended repetition of his lyrical themes that occur throughout the movement in tandem with the overall tonal structure. The use of Schenkerian notation will show how each section is composed organically and follows normative procedures within the traditional sonata form at a deeper level of the tonal structure, demonstrating how the extended lyricism does not affect the overall structure of the sonata-form movement.

Exposition

Similar to the first movement, the *Finale* of the Great Symphony follows the Type 3 sonata form discussed by Hepokoski and Darcy. However, the movement does not contain an introduction prior to the exposition, nor does it include a three-key exposition. Rather, the overall form is consistent with sonatas written by Mozart and Beethoven, modulating to the dominant key in the secondary theme area and remaining in that key until the end of the exposition. In addition, instead of varying the key through a cycle of thirds, Schubert enlarges and extends the main themes in the sonata, transforming them into long, and sometimes complex melodies in the movement.

Beginning in 2/4 time, the *Finale* opens on the symphony's tonic of C major, with the exposition springing from the energy accumulated from the end of the third movement (*Scherzo*). A seamless transition between the *Scherzo* and *Finale* is supported through marked *Allegro vivace* in both movements. By sharing the same tempo, the rhythmic pulse provides a sense of consistency into the final movement. At the same time, the final movement of the Great Symphony is also in contrast to the other movements in the urgency and tension of the music. Although the *Scherzo* and *Trio* are identical in tempo, the time signature is in 3/4 time and the rhythms are made from predominantly smooth, quarter-note rhythms, only using dotted rhythms sparingly. In contrast, the *Finale* is in 2/4 time instead of 3/4 and has dotted eighth-note rhythms in the themes at the beginning of the exposition, creating an overall acceleration from what came before. These rhythms and the change of time signature contribute to the urgency and tension of the music from the outset, making the *Finale* feel like the fastest movement of the symphony.

Example 14: Schubert's Great Symphony, movement 4, mm. 1–14

Compared to the first movement, the first half of the exposition is separated into three

groups; mm. 1–36, 37–89, and 90–162 respectively. The first two groups consist of two separate

main themes located in the primary theme area. In his review of the symphony, Grove believed

that the second theme of the primary theme area was the main theme, viewing the first theme as

an introductory theme to the movement.[68] However, as stated previously, Caplin discussed that a

main theme ending with a perfect authentic cadence can also be immediately followed by a

second main theme.[69] Since both these themes arrive at separate perfect authentic cadences in the

key of C major, the themes are grouped together and are labelled a "primary theme group." The

first theme of the primary theme group begins with a call to attention, landing on the C and E in

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[68] George Grove, "Schubert's Great Symphony in C, No. 10," *The Musical Times* 45, no. 738 (1904): 527.

[69] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 122.

unison with the full orchestra to establish the tonal center of the piece in its purest form. This theme is a fanfare that immediately grabs the attention from the pickup to the first measure. The theme consists of a simple rising dotted-eighth-note and sixteenth-note figure, complete with eighth-note triplet runs in the strings (see Example 14). Although the melodic material in the first theme might at first appear unimportant due to its function as a fanfare introduction to the movement with simple motives, its melodic presence gradually gives birth to every thematic motive in the movement. After the A-minor cadence in mm. 17–18, the theme is harmonically driven into brisk cadences in the key of C major, broken up by the antiphonal activity between the instruments and accented *forzando*. When viewing the tonal map in Figure 13, the *Kopfton* $\hat{3}$ is first introduced at the beginning of the movement with the fanfare arrival of E in m. 1. While the *Kopfton* $\hat{3}$ is prolonged in the background of the primary theme area, it does resolve to $\hat{2}$ and $\hat{1}$ through an inner voice in mm. 35–36 (see Example 15).

Figure 13: Schubert's Great Symphony, movement 4, mm. 1–36

After the arrival of the first perfect authentic cadence in m. 36, the second primary theme is introduced in the flutes and oboes. The second theme at first seems like a transitional section from the primary theme since the new theme places a greater emphasis on the flowing lyrical melody. The dynamic contrast between the two themes is also very apparent, with the first theme

being loud and heroic, and the second being softer and more lyrical. However, the harmonic progression is static as it mainly cycles between V and I in the key of C major and lacks a modulation to a new key in m. 90, which further confirms its role as a second theme in the primary theme group. This section of the movement first demonstrates how Schubert seemingly extends his themes through extended repetition. He states all his melodic ideas for the second primary theme between mm. 36–54, ending on what could be considered a perfect authentic cadence to conclude the new theme. However, Schubert extends this section through a rising sequential pattern consisting primarily of thirds, prolonging the primary theme area through melodic repetition of the previous eighteen measures.

Example 15: Schubert's Great Symphony, movement 4, mm. 29–50

Ex. 15 cont.

Accompanying the second theme is the sweeping legato eighth-note triplets in the violins, which have moved into the background after being established as an important motive in the first theme. In addition, the horns and lower strings offer support in the form of an extension of the initial three-note fanfare in the first theme. This fanfare theme provides dominant and tonic pedal tones in the key of C major underneath the second theme until the arrival of another perfect authentic cadence in m. 90. While the two themes are separate entities at first glance, it becomes clear further in the analysis that the second theme is a transformation of the initial melodies in the first theme. Rather than two separate themes, one could view the second primary theme as an extended variation of the original motives, now presented in sequence with an emphasis on Schubert's repetitious lyricism. However, as part of the primary theme group, the second primary theme has *Kopfton* $\hat{3}$ still prolonged from the tonic in m. 1, providing no change to the tonal structural pillars when compared to traditional sonata form (see Figure 14).

Figure 14: Schubert's Great Symphony, movement 4, mm. 37–90

The third section is a transition towards the medial caesura in m. 146. The transition returns to the heroic motives developed in the primary area's first theme rather than the reworked melodies in the second theme and uses them to create a new thematic phrase. However, the lyricism of the second theme is still featured in small instances, such as the rising triplet motif in m. 118 and m. 120. Nonetheless, the dotted eighth-note and sixteenth-note figures return to the foreground, reprising the fanfare theme. However, these dotted figures are melodically transformed from the initial three-note motive into a running string figuration that involves ascending and descending stepwise motion within an A-minor scale in mm. 122–125 and 134–137 (see Example 16). The appearance of the new melodic material extends the transition as it progresses towards a modulation to the dominant key area.

Example 16: Schubert's Great Symphony, movement 4, mm. 114–137

Example 16 shows how the A-minor harmony that supports this passage is used as a pivot from the key of C major to the key of G major, modulating to the dominant for the sonata's secondary theme area. The transition ends with the arrival of a perfect authentic cadence in m. 146 in the dominant key. The following eighteen measures bring the momentum of the movement to a close, first establishing the arrival of the new tonal area of G major. When analyzing this passage in Figure 15, the arrival of the *Oberquint-Teiler* in m. 146 allows the *Urlinie* to descend to $\hat{2}$, with the expectation that the movement has moved towards the dominant key area for the secondary theme.

Figure 15: Schubert's Great Symphony, movement 4, mm. 1–163

Following a two-measure pause in mm. 164–165, an introduction to the secondary theme area is played. This introduction is a four-measure phrase that consists of half notes, first performed by the horn section. The half-notes performed in mm. 166–169 consist of only the note D, with the clarinets joining the horns for the latter two measures (see Example 17).

Example 17: Schubert's Great Symphony, movement 4, mm. 158–173

It is impossible to determine from Schubert's score what, if any, harmonization, he had in mind when writing these four measures solely consisting of D, as they do not reappear when the secondary theme is restated in a new register in m. 226. However, this suspicion could easily be analyzed as a straightforward G-major chord under the first D, leading into the dominant chord in the key of G major. The clear virtues of adding this introduction are to ease the music towards the anticipated dominant harmony, and to give the melodic theme a less weighty start. This is evident with the arrival of a secondary theme that is not too different from the lyrical second theme located in the primary theme group, as both themes present a melodic theme by the wind instruments through the succession of harmonic thirds. The violin and viola provide a triplet accompaniment, with an eighth-note–eighth-rest–triplet figure as a rhythmic pulse occurring beneath the secondary theme. An untiring bass line is also constantly moving from the bottom to the top of the scale, which can be viewed as an extended reflection of the pedal tones used in the second theme of the primary theme group, and to a latter extent the fanfare motive.

The first half of the secondary theme area articulates an independent ternary form (ABA or song form), as outlined in Table 3. The A sections of the ternary form are identical in material, with the opening of the secondary theme restated in a higher register at the beginning of the A' section. The contrasting material that forms the B section appears in mm. 202–225, now in E minor, the relative minor of G major.

A Section	B Section	A' Section
G major, mm. 170–201	E minor, mm. 202–225	G major, mm 226–257

Table 3: Ternary Form in the Secondary Theme Area

At the end of the ternary section, a cadential six-four progression occurs in m. 253, creating a perfect authentic cadence in the key of G major in m. 254. Although it is possible to locate the EEC at the end of m. 254 and the beginning of the closing section of the exposition, it would feel weak in the overall analysis of the movement. The brief structure of the ternary form creates the effect of the perfect authentic cadence having arrived too soon, and the key of G major needs a stronger affirmation to balance the transition from the tonic key of C major to the dominant in the secondary theme area. Thus, the addition of an expanded passage after the brief and closed structure undoes the EEC effect in m. 254 and converts what one would argue as mere repetition into a flowing outward motion of the secondary theme as it moves expansively toward another perfect authentic cadence. According to Hepokoski and Darcy, it is a particularly common strategy to have the secondary theme of the exposition begin with a simple period, sentence, or another brief and closed structure—such as a ternary form—before submitting an expanded repetition of the melodic material, further explaining the effect of this strategy:

> An expressive feature of this technique is that of comparing the simpler, square-cut model of the first thematic statement—something easily retained in the memory as a symmetrical, fixed block—with the unconstrained, flowing freedom of its varied restatement. The result can be a quasi-theatrical demonstration of the art of composition, of the imagination's fantasy-like reinterpretation of a simple idea, or of the breathtaking disclosure of the otherwise hidden potential of the earlier, more generically quadratic module.[70]

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[70] 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), 127–128.

Example 18: Schubert's Great Symphony, movement 4, mm. 252–263

The technique of a cleverly enhanced restatement—theme and expanded variant— is used to further extend the length of the secondary theme area. Schubert uses a large-scale repetition of his lyrical themes that he has used previously throughout this sonata-form movement. He first brings back the dotted eighth-note and sixteenth-note string figuration from the transitional section of the primary theme area, now supported by G-major harmony, in mm. 258–265 (see Example 18). This begins a thirty-six measure build-up that leads the music from the end of the independent ternary section towards the expositional closure. This string figuration is followed by the repeated use of the first four measures from the secondary theme, aggressively modulating towards the dominant of G major (see Examples 17 and 19). To striking effect, especially in light of the fluid secondary theme, Schubert seemingly prolongs the progression of these half-note motives for twelve measures, building dramatic tension by withholding the forward motion of the secondary theme before the return of the dotted figures in the violins in m.

278. The violins accompany a descending quarter-note figure played in the woodwinds, creating a cadential six-four progression over the D pedal in the bass. This quarter-note progression is an expansion of the cadential progression used at the end of the A section in the secondary theme's ternary form in m. 250 (see Examples 18 and 19).

Example 19: Schubert's Great Symphony, movement 4, mm. 264–304

Ex. 19 cont.

After the perfect authentic cadence in the key of G major in m. 294, Schubert once again

develops the build-up through an extended repetition of this section, modulating towards the

dominant through the same harmonies and arriving at the final perfect authentic cadence in mm.

334–338. Although the EEC has been reached at m. 338, the closing section does not begin until

m. 354 after the descending quarter-note motive from the secondary key area has been

completed, as it cannot, by definition, contain any defining characteristics of the secondary

theme area (see Example 20). As previously stated in the analysis of the exposition in movement

1, if it does contain these secondary theme elements, it would be seen as a continuation of that

area rather than a new section.[71]

Example 20: Schubert's Great Symphony, movement 4, mm. 338–354

With the arrival of the tonic of G major, Schubert begins to unwind the tension built up

from the harmonic enrichment and interchanging rhythmic pattern from the previous section.

The closing section officially begins in m. 354 after Schubert decreases the intensity of the

dynamics from *fortissimo* to *piano*. The decreased intensity contrasts with the movement's

closing theme, borrowing the opening three-note fanfare from the first primary theme. The

thematic motive that heroically opens the exposition is used in the opposite way to bring the

exposition full circle, bringing closure to the dominant of C major and leading into the

development section of the movement. While the extended structure of the secondary theme area

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[71] Ibid., 181.

consists of several repetitive structures, the overall progression of the *Urlinie* remains unchanged by the end of the exposition. This is due to the secondary theme area and closing area remaining in the key of G major rather than a new key area, which is how it is traditionally structured in sonata form. However, the inner voices in the key of G major create their own independent *Urlinie*, with $\hat{3}$ of G major introduced in m. 178 above the tonic chord, eventually resolving to $\hat{2}$ and $\hat{1}$ at the arrival of the final perfect authentic cadence at mm. 337–338 (see Figure 16).

Figure 16: Schubert's Great Symphony, movement 4, mm. 166–338

Development

Unlike a traditional development section, the thematic material opens on the melodic themes located in the secondary theme area rather than the primary theme area. Secondary theme areas appear less frequently at the beginning of development sections but do occur within the Classical repertoire. The reason for the secondary theme's infrequency is due to its critical role in producing the expositional cadence—the central generic demands of a sonata—as it tends to be treated with more caution than other thematic material found in the exposition.[72] The development also does not begin on a minor-mode key, similar to what occurs in the first movement in the Great Symphony. According to Caplin, the emphasis on minor modality in the development section is usually used to contrast the tonality of the exposition, typically in cases in which the home key of the exposition is major.[73] However, Hepokoski and Darcy discuss that as music approached the nineteenth century, the tonal plans of these developments grew more complex, options more varied, and the move to the minor modality such as vi or iii became a more flexible option that could be displaced all together.[74] In Schubert's case, he chooses to contrast the exposition by exploring major-key regions that are not diatonically related to the key areas previously explored in this movement. The development section begins with a modulation from G major to E♭ major through a descending-third passage in the cello, using mixture from the key of G minor to descend to an F♮ rather than F♯ (see Example 21). Following the

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[72] Ibid., 216.

[73] Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 272–273.

[74] Hepokoski and Darcy, *Elements of Sonata Theory*, 198.

modulation, the descending quarter-note motive from the secondary theme area opens the

development section and is first stated in the clarinets as shown below:

Example 21: Schubert's Great Symphony, movement 4, mm. 382–395

Although the melodic and lyrical tone of the secondary theme might have been considered less

dramatic than fanfare motives in the primary theme, particularly to begin a development, this

quarter-note progression shows a strong relationship to the theme in Beethoven's Ninth

Symphony, specifically the "Ode to Joy" theme.[75] The strong relationship to the "Ode to Joy"

theme further acknowledges the influence that Beethoven's final symphony had on Schubert's

Great Symphony as described in Chapter 1 (see Example 22). The theme is extended into a

lengthy chorale theme between the different woodwind instruments, with the instruments

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[75] George Grove, "Schubert's Great Symphony in C, No. 10." *The Musical Times* 45, no. 738 (1904): 528.

behaving as voices of a choir. The connections to Beethoven's "Ode to Joy" in the chorale

section gives further context into understanding Schumann's perspective of the Great Symphony,

describing how the lyricism of the instruments sound like human voices singing.[76]

Example 22: Beethoven's Symphony No. 9, movement 4, mm. 34–39

The descending quarter-note theme is played in sequence, initially cycling around the

circle of fifths. The key area of E♭ major is transformed to become V of A♭ major in m. 400,

pivoting from the tonic of E♭ major to a C-major chord (III of A♭ major) through chromatic

modulation in the strings. This modulation is confirmed with a perfect authentic cadence in m.

410 before repeating the sequence in the new key. The key area of A♭ major now becomes what

first appears to be V of D♭ major in m. 424 through an F-major chord (III of D♭ major). However,

instead of an arrival of a cadence in the key of D♭ major in m. 434, the lyrical woodwind melody

is suddenly reduced to an ambiguous descending tremolo in the violins and viola in the key of C♯

minor, respelling the chord at the end of the cadence with an E and G♯ in the violins over D♭ (see

Example 23).

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[76] See Robert Schumann, *On Music and Musicians*, trans. Paul Rosenfeld, in Konrad Wolff (ed.) (University of California Press, 1983), 110.

Example 23: Schubert's Great Symphony, movement 4, mm. 432–449

The ambiguous nature of this section is further emphasized by the change in harmony, first modulating towards the dominant of E major in m. 440, the relative major of C♯ minor. This modulation is followed by an identical sequence, now presented a third above, which brings the development section towards the dominant of G major in m. 448. In m. 450, Schubert reintroduces the descending quarter-note theme in the flutes and woodwinds while maintaining the tremolo throughout the arrival of the dominant chord of G major. In the *Urlinie* shown in Figure 17, while the key areas of E♭ and A♭ major first seem to function as neighbour harmonies stated beneath ♭$\hat{3}$ and between $\hat{2}$, the arrival of the C♯-minor harmony (notated enharmonically as D♭3–G♯5–E6 in Figure 17) creates the chromatic progression from $\hat{2}$–♭$\hat{3}$–$\hat{3}$. Afterwards, the harmonic progression towards D major forces $\hat{3}$ back to $\hat{2}$, above the dominant harmony of G major.

Figure 17: Schubert's Great Symphony, movement 4, mm. 382–449[77]

After the arrival of a half cadence in m. 467 on the dominant, Schubert's previously quiet and soothing secondary theme from the ternary section is fully restated but now lacks the elegance from its previously lyrical incarnation. The secondary theme in m. 478 is first stated by the trombones and horns rather than the woodwinds, rendering the theme as heavy and crude in timbre at the climax of this development. As in the first movement, the trombones are being used to greater effect in the melodic foreground rather than simply enriching the texture of the music. The secondary theme is then repeated in m. 490 and invests the theme with greater tension through the full support of the woodwinds. The additional force in the orchestra enriches the texture of the music as it builds towards its climax of the development section, first arriving at the D-major harmony in m. 512 and resolving at the arrival of the G-major harmony in m. 516 (see Example 24).

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[77] The Db-minor chord is spelled enharmonically in m. 434 to reflect the how the chord spelled in the symphonic score (as seen in Example 23).

imply a harmonic transformation towards the key of C minor. While this leaves the *Ursatz*

unchanged, the use of mixture implies a French augmented-sixth chord in m. 537, changing the

harmonic direction away from the major key and pulling it towards the parallel minor. These

augmented-sixth chords become clearer as the texture thins out in m. 565, resolving towards the

dominant of C minor. Afterwards, as the texture further thins out to G octaves in anticipation of

the first primary theme appearing in the strings, the key that begins the recapitulation is unclear.

In m. 584, the bassoons and trombones introduce an F in the texture, seemingly implying a

hollow V^7 chord (only the root and seventh of the chord is present) prior to the recapitulation.

However, the F suddenly resolves to E♭ in m. 592, creating a dyad between G and E♭. While the

incomplete V of C minor is still heard, the lone dyad of G and E♭ (and lack of C) pushes the

music towards the direction of a potential E♭ major (see Example 25).

Example 25: Schubert's Great Symphony, movement 4, mm. 577–596

Hepokoski and Darcy interpret the move to ♭III at the beginning of a recapitulation as a modification of one type of development-recapitulation seam strategy: V/vi–I. When concerning this strategy, before applying the modification, they write:

> Leaving behind an active V of the tonic in order to proceed to the recapitulatory relaunch was not the only way to negotiate the development-recapitulation seam. One sometimes finds a replacement of the [dominant preparation] on V_A at the close of a development with a seemingly "wrong" dominant, most typically V/vi. The effect is that of predicting a recapitulation that will begin on the submediant ("relative minor") but that is actually followed by one that begins in the proper tonic, I. Expressively, this is like being plucked from relative darkness (the implication of impending minor) to the renewed brightness of the major mode with the onset of the recapitulation.[78]

Later in *Elements of Sonata Theory*, Hepokoski and Darcy demonstrate how Schubert modifies this strategy within the final movement of the Great Symphony. They write: "Here Schubert was probably recalling one alternative treatment of the development-recapitulation seam, the move from V/vi to I, and reinterpreted it unconventionally as V/i leaping away to ♭III, producing a remarkable color-shift by pivoting on the common tones G and E♭"[79] (see Figure 19). The issue has been discussed from a Schenkerian viewpoint by David Beach, who regards the movement back to the tonic through V/vi to exemplify a downward arpeggiation from the dominant secured at the end of the exposition: V–III–I (V/vi restated as III).[80]

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[78] Hepokoski and Darcy, *Elements of Sonata Theory*, 198.

[79] Ibid., 279

[80] Ibid.; David Beach, "Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure," *Music Theory Spectrum* 15, no. 1 (1993), 6.

Figure 19: Schubert's Great Symphony, movement 4, mm. 516–599

Recapitulation

Typically, at the onset of the recapitulation, the return to the tonic key is expected in a traditional sonata form, with the primary theme remaining unchanged in both thematic and harmonic material. However, as previously mentioned, the recapitulation in the final movement of Schubert's Great Symphony is presented in the key of E♭ major. While this is an unexpected key area to begin the recapitulation, there is a precedent in the classical repertoire for the recapitulation of a sonata to begin in another key. Hepokoski and Darcy have discussed how the recapitulation of Type 3 sonatas can begin in a non-tonic key, and how this non-tonic key is tonally resolved at the onset of the secondary theme area.[81] Although a recapitulation that begins in the wrong key most often occurs in the subdominant, there has been an instance where the recapitulation begins on ♭III in the classical repertoire, namely the second movement of Mozart's Piano Concerto in C, K. 467. [82]

While the key is different, the structural areas of the recapitulation remain the same as those from the exposition. The first theme of the primary theme group, located in mm. 599–632, is repeated almost exactly as it was stated in mm. 1–36, now in the key of E♭ major. As shown in Figure 20, the arrival of *Kopfton* $\hat{3}$ is not properly achieved in the *Urlinie* as the tonic key of C major has not been stated. Instead, $\hat{3}$ is first introduced through mixture as ♭$\hat{3}$ above the E♭-major

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[81] Hepokoski and Darcy, *Elements of Sonata Theory*, 260.

[82] Ibid., 279. The general harmonic progression of the exposition and development sections in Mozart's Piano Concerto are fairly similar to the final movement of the Great Symphony. Both pieces begin on the tonic key of the movement, transition towards the dominant of the tonic key, and modulate from their respective development sections to ♭III after implications of going to the dominant of the tonic key's parallel minor.

triad in preparation for the proper arrival of *Kopfton* $\hat{3}$ later in the recapitulation. After the arrival of a perfect authentic cadence of E♭ major, rather than immediately transitioning into the second theme of the primary theme group, a melodic extension is added to the end of the first theme in m. 632. An augmented-sixth chord in the key of G is used to modulate to G minor in m. 640, which shares a close harmonic relationship to the dominant of C major. The modulation is repeatedly confirmed with two perfect authentic cadences: mm. 640–642 and 644–646, restating the cadential progression once again at the end the first primary theme (see Example 26). Although Figure 20 does not demonstrate how ♭$\hat{3}$ is prolonged under the G minor harmony, its harmonic function becomes clearer after analyzing the second theme of the primary theme group.

Figure 20: Schubert's Great Symphony, movement 4, mm. 599–646

Example 26: Schubert's Great Symphony, movement 4, mm. 624–646

Beginning in m. 648, the second theme of the primary theme group develops into a rising

melodic sequence of thirds similar to that found within the exposition. Unlike the exposition, the

repetitious melodic theme rises by step every four measures, developing a gradual crescendo that

builds tension towards an authentic cadence at the end of the passage. Underneath the theme,

rather than having the fanfare theme in the horns and lower string instruments provide the

dominant and tonic pedal tones in the key of C major, the pedal tones rise in eight-measure

phrases by thirds from D, outlining the dominant chords of each pedal tone (D in m. 658, F in m. 656, A in m. 664, C in 672). The rising third progression develops through multiple motivic sequences, building the tension as it culminates on the pedal tone C, outlining the dominant of F major in m. 672. A perfect authentic cadence is then established in the key of F major, the subdominant key of C major, confirmed in mm. 679–690 in a similar manner to how the dominant of C major was stated and resolved at the end of the second theme area in mm. 79–90 (see Example 27).

Example 27: Schubert's Great Symphony, movement 4, mm. 682–690

Figure 21 demonstrates how the arrival of the subdominant key area can be seen as a neighbour harmony to the $\flat\hat{3}$, connecting the beginning of the primary theme group to the beginning of the transition. The key of G minor is used as a pivot harmony, transitioning from the iii of E$\flat$ major

to the ii of F major. The overall effect creates a neighbour progression from ♭$\hat{3}$ towards the

proper arrival of *Kopfton* $\hat{3}$ later in the tonal structure.

Figure 21: Schubert's Great Symphony, movement 4, mm. 646–690

The transition is reintroduced under the subdominant key area of F major in m. 690,

bringing back the first primary theme. However, rather than remain in the subdominant key area,

Schubert uses the bassoons, trombones, and violins to change the quality of the F-major triad to a

diminished vii chord of E major in m. 702–705, modulating into the E-major key in m. 706. The

transition is then repeated in the new key, confirming the arrival of E major with two perfect

authentic cadences in mm. 711–712 and 717–718 respectively (see Example 28).

Example 28: Schubert's Great Symphony, movement 4, mm. 711–721

In the example above, the running string figuration first used in m. 122 is reintroduced in m. 718, leading into an augmented-six chord of A minor. This reveals the arrival of E major as the dominant in the key of A minor (relative minor of C major). While mm. 706–718 originally establishes E major as the tonic, the passage is re-contextualized now as the dominant of A minor, articulating a half cadence that emphasizes the arrival of the medial caesura in m. 734. Throughout the first half of the recapitulation, the fundamental structures of traditional sonata form are still identifiable. Against the repetitious motives and non-tonic harmony, one can still identify the primary theme group and transitional areas found within traditional sonata form. The arrival of the E-major chord in m. 706 completes the neighbouring progression established at the beginning of the recapitulation by arriving at *Kopfton* $\hat{3}$ of the *Urlinie*, which is currently displaced from the tonic key of C major. The change of keys from G–F–E gives the music the feeling of slowly returning closer to the tonic key area, while the E major key area acts as a subordinate harmony to the tonic.

Previously, Schubert reinterpreted the move from V/vi to I from the development section as V/i leaping towards ♭III, pivoting on the common tones G and E♭. In the lead-up to the secondary theme area, Schubert brings back that transitional progression in its original form. The E-major chord in m. 751, re-contextualized as the dominant of A minor (V/vi), modulates to the tonic of C major (I) prior to the beginning of the secondary theme area in mm. 754–757. The arrival of the tonic key in C major is implied using diatonic modulation through the common tones of E and G in the horns and clarinets prior to the dominant chord of C major at m. 758 (see Example 29). This is similar to how the secondary theme was approached in the exposition in mm. 166–169, implying the G-major chord under the unison D.

Example 29: Schubert's Great Symphony, movement 4, mm. 746–768

Ex. 29 cont.

The arrival of the tonic key area through V/vi also completes the downward arpeggiation from

the dominant that first appeared in the exposition: V–♭III–III–I (V/vi restated as III). Similar to

the exposition, the dominant of C major begins the secondary theme area in m. 758, followed by

the resolution into the tonic of C major at m. 766, properly introducing the tonic in root position.

Figure 22 shows that *Kopfton* $\hat{3}$ was prolonged from its initial arrival at the key of E major and is

officially reintroduced now in tandem with the tonic key.

Figure 22: Schubert's Great Symphony, movement 4, mm. 516–758

In contrast to my perspective, James Webster's analysis of the recapitulation of the *Finale* in the Great Symphony considers both the primary theme area and transitional area to be a huge parenthesis within the dominant of C major, with the second group itself beginning with further prolongations of G (see Figure 23).[83] His Schenkerian analysis further clarifies his point, showing how the interrupted structure does not occur in the sonata form; rather, the dominant is held throughout the return of the melodic material from the exposition and into the secondary theme area. Schubert conflates the return of the tonic and the structural close into a single entity, merging the interrupted structure traditionally associated with sonata form into a continuous background. Because the recapitulation does not rearticulate a beginning in the tonic key, its dominant prolongation resides on the same structural level as the initial and final tonics, and the analyst can graph the tonal structure of the exposition and development as the background motion from $\hat{3}$ to $\hat{2}$.[84]

Figure 23: Webster's Analysis of Schubert's Great Symphony, movement 4, mm. 515–757[85]

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[83] James Webster, "Schubert's Sonata Form and Brahms's First Maturity," *19th-Century Music* 2, no. 1 (1978): 33.

[84] Peter H. Smith, "Brahms and Schenker: A Mutual Response to Sonata Form," *Music Theory Spectrum* 16, no. 1 (1994): 92.

[85] Webster, "Schubert's Sonata Form and Brahms's First Maturity," 33.

However, when it comes to a consideration of structure, that is, the combination of harmony and voice leading at various levels, the analyst must first understand what the possibilities are and then make informed choices based on careful consideration of the evidence. It is possible to consider two analyses: one of formal design (showing the harmonic progression as a single undivided motion) and one of fundamental structure (preserving the interruption in accordance with Schenker's conception of sonata form). If sonata form is considered an attribute of design and not of structure, both interpretations are possible.[86] However, when comparing Figures 22 and 23, although two readings of the movement might be valid, there are three reasons why Figure 22 (the one of fundamental structure that preserves the interrupted structure of sonata form) makes more sense to me: first, it clearly demonstrates the distinction between the formal design and its underlying division in the sonata structure; second, it provides a structural interpretation for the return to the key of E♭ major at the beginning of the recapitulation rather than C major (consonant support of the E♭ over the dominant harmony, with the seventh of the dominant (F) falling by step to E♭); and third, it demonstrates the arrival of the mediant as a variant of an underlying structural norm, being subordinate in harmony to the tonic key area of C. Although these points support the analysis of the interrupted structure, this does not invalidate the alternative reading of the recapitulation by Webster.

The crux of the recapitulation appears at the beginning of the secondary theme area in m. 758, providing identical material to what was established in the exposition (mm. 170–382 is equivalent to mm. 758–970). The only difference between the exposition and recapitulation is

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[86] Beach, "Schubert's Experiments with Sonata Form," 11.

that the melodic material is now presented in the key of C major rather than G major. The location of the secondary theme's ternary section, the cadential six-four progression using the descending quarter-notes, the build-up through an extended melodic repetition of this section, and the return of the opening three-note fanfare from the first primary theme in the closing section, all occur in the equivalent location of the exposition. This can be further examined when comparing Figures 16 and 24, showing the identical harmonization and voice-leading patterns. Throughout all these sections, the structural foundations remain consistent with the norms found in traditional sonata form while emphasizing Schubert's focus on the melodic themes. As shown in Figure 24, with the arrival of the tonic key area, the overall progression of the *Urlinie* can finally descend to $\hat{2}$ and $\hat{1}$ from *Kopfton* $\hat{3}$ at the final perfect authentic cadence in mm. 925–926, corresponding to the location of the essential structural close (ESC: the equivalent moment to the EEC in the exposition) of the recapitulation (see Example 30).

Example 30: Schubert's Great Symphony, movement 4, mm. 922–939

Figure 24: Schubert's Great Symphony, movement 4, mm. 754–926

Coda

The coda in the final movement of the Great Symphony is immense, extending over 155 measures. The coda functions similarly to that of the first movement, used as an extended cadence that appears after the recapitulation has already come to a close. However, for the *Finale*, the rounding-off of a movement, and more particularly the end of the symphonic work, is of importance to the dramatic shape. The decision whether the coda should build, unwind, or do a mixture of both, is a matter of what the composer wants to achieve in their composition. In the creation of grand symphonic composition such as the Great Symphony, it is understandable to treats the coda as an extended postsonata space in its own right separate from what came before. The longer and more elaborate the coda, the greater the weight it carries as a grand conclusion to the symphony. With the recapitulation firmly sustained on the tonic note and ending on a *pianissimo*, Schubert would need to build the tension again to create a heightened weight to the music before reintroducing a cadential progression in the key of C major.

Beginning in m. 970, the coda modulates to the key of A major through a third progression in the cellos, similar to how the development section modulated to E♭ major (see Example 31). Although it seems unusual to start the coda with off-tonic harmony, the decision to begin at A major may be to recall the parallel minor key area in the second movement, and the key area of the Trio in the third movement. Since the *Finale* is closing the entire symphony, the decision to begin in A major could be intentional to recapitulate the main key areas of the other movements. Starting in m. 974, Schubert builds tension from A major, chromatically rising towards the dominant of C major in m. 1050. To achieve this rising tension, he alternates between twelve measures of the first primary theme and eight measures of the lyrical secondary theme, which increases the tension between the contrasting motives through constant repetition

of these themes. The dotted figures of the primary theme are played against the eighth-note

triplets in the strings, eager to appear one last time in the tonic key of C major. These figures are

answered by the second theme, rising into a new key area from what was established by the

primary theme and closing on a cadence before repeating the melodic sequence. In addition, a

long crescendo commences in m. 974 at *ppp*, increasing uniformly in force after each twenty-

measure phrase between the two themes (*ppp–pp–p–mf*) until the climax in m. 1058.

Example 31: Schubert's Great Symphony, movement 4, mm. 956–985

At the arrival of the dominant of C major, the cycle breaks with what appears to be a perfect authentic cadence, similar to cadences found in the secondary theme area of the exposition and recapitulation. However, the only note present in m. 1058 is an accented C, leaving out the E and G of the C major chord. The strings, horns, and bassoons repeatedly hammer out a *fortissimo* on this accented C, determined to bring the music back to its home key after the climbing tension (see Example 32).

Example 32: Schubert's Great Symphony, movement 4, mm. 1052–1069

The full orchestra initially answers the accented C in different keys, extending the length of the coda and prolonging the arrival to the tonic key. It is not until m. 1094 when the wind instruments finally resolve the quarter-note passage used repeatedly from the secondary theme area, closing on a perfect authentic cadence in the tonic key (see Example 33). The movement restates the first primary theme, now proudly presenting the arrival of the key of C major. In an inverse of the first movement, the arrival of the heroic fanfare theme gives the coda necessary thematic focus from the lyrical secondary theme progressions, releasing the rising tension

brought upon by the repetitious nature of the lyricism, to bring the movement full circle and

close the symphony in overwhelming celebration.

Example 33: Schubert's Great Symphony, movement 4, mm. 1084–1106

When analyzing the coda separately from the sonata form as shown in Figure 25, the

entire chromatic progression from A major towards the dominant of C major functions as an

Anstieg as it approaches *Kopfton* $\hat{3}$. The melodic line rises chromatically by step until the arrival

of $\flat\hat{3}$ in mm. 1040–1049 in the woodwinds and strings. The chromatic line resolves into *Kopfton*

$\hat{3}$ as part of a descending cadential six-four progression towards the tonic of C major in mm.

1050–1058. Although the accented C implies the arrival of the tonic, *Kopfton* $\hat{3}$ has not officially descended. The chord tone is prolonged over the ambiguous harmonic region, with different key areas prolonging a definitive arrival of the tonic key as the coda progresses through the use of the secondary theme. It is not until the orchestra begins their final descent towards C major in m. 1094 when the harmonic progression is fully realized in the tonic key. *Kopfton* $\hat{3}$ is reintroduced as part of the descending six-four cadential progression located in mm. 1104, quickly followed by $\hat{2}$ and $\hat{1}$ in mm. 1105–1106.

Figure 25: Schubert's Great Symphony, movement 4, mm. 970–1106

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Figure 26 shows the complete structural analysis of the fourth movement in Schubert's Great Symphony. The *Finale* is a masterpiece of musical drama, with the balance and coherence of the movement largely taken care of by the tonality and formal outlines Schubert inherited from the traditional sonata form. Underneath the extensive and expanded themes in the sonata, the core structural pillars of the sonata form remain in their entirety and demonstrate a coherent understanding of Schubert's progression in his sonata. Once again, the extended sonata-form movement shows how Schubert continues to follow the structural concepts found in the norms of the traditional sonata form amidst the extended repetitious lyricism of his themes.

Figure 26: Schubert's Great Symphony, movement 4

CHAPTER 4

Conclusion

The use of melodic repetition is clearly visible throughout Schubert's career as a composer in both his instrumental compositions as well as his *Lieder*. Just as how the musical repetition of song form is seemingly obsessed with a given melodic theme, so scholars have been obsessed with Schubert's treatment of repetition in his sonata-form compositions. While repetition has remained as the central conversation surrounding this topic, what lies ever present underneath is the ingenious harmonic relationships in the music and the tonal structural pillars of the traditional sonata form. By bringing out the melodic lyricism in the sonata, which clashes with the Classical form established in the eighteenth-century, Schubert not only brings the issue of repetition to the foreground of the sonata, but also reinvents what defines a traditional sonata form in instrumental music. Schubert's innovation in sonata form was of great relevance to the creation of sonata forms in the Romantic era. Johannes Brahms, a composer in the Romantic era, was broadly acquainted with and deeply sympathetic to the compositions of Schubert's instrumental music.[87] Brahms's instrumental work demonstrates how sonata forms in the nineteenth-century held a promising avenue for future evolution, providing a secure foundation for an open-minded analysis and criticism of Schubert's sonata form.

The sonata-form movements found in Schubert's Great C-major Symphony further demonstrate the marriage of the "lyric-epic" style associated with lyricism in the foreground of

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[87] James Webster, "Schubert's Sonata Form and Brahms's First Maturity," *19th-Century Music* 2, no. 1 (1978): 20.

the piece, all while maintaining the structural pillars associated with sonata form in the background. Reed views Schubert's efforts in the Great Symphony as the successful attempt to combine his lyrical and harmonic genius with the proportions and expectations of a grand classical symphony.[88] These movements are inherently born from the instrumental pieces developed in the Classical era, as the traditional sonata form compositions by Mozart and Beethoven had a profound effect on Schubert's creation of the Great Symphony. Many of the unique elements found in Schubert's sonata-form movements in the symphony, such as the three-key exposition in the first movement and the non-tonic recapitulation in the final movement, have their origins in the classical compositions of these composers. However, the sonata-form models developed by these classical composers do not reflect the "lyric-epic" style of Schubert's compositional writing. The expansive use of repetition in his lyrical themes show an intentional decision to innovate the traditional style that audiences had grown accustomed to in the Classical era while maintaining the structural foundations of sonata form.

The analyses of these sonata-form movements highlight the unique style of Schubert's sonata form while following the normative structures and procedures in and beyond the traditional form at a deeper level of structure. One can experience the thematic transformation of Schubert's themes as they unfold throughout the sonata, hearing the extended use of lyricism as they processed across the musical space of his composition. They generate a sense of progression while retaining aspects of past musical events. The lyrical introductory theme in the first movement holds the movement together throughout due to this reoccurrence, either in full or in parts, and all underneath a tonal structure that outlines the structural pillars of traditional sonata

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[88] John Reed, *Schubert: The Final Years* (London: Faber and Faber, 1972), 71–72.

form. The final movement uses lyricism to expand on multiple themes through variation or direct repetition, bringing focus to the melodic content of the music while balancing those themes through the tonality and formal outlines of traditional sonata form that Schubert inherited. The repetition of the themes in the foreground of the music helps one appreciate these elements as a contribution that adds to the traditional sonata form. To restate Dahlhaus's analysis of Schubert's sonata form, Schubert should not be compared with late Classical-era composers such as Beethoven. We should rather consider the composer on his own terms. These analyses of Schubert's sonata-form movements in the Great Symphony demonstrate a better understanding of his alternate approach to maintaining the structural pillars found in traditional sonata form. By relaxing what one believes are the strict concepts of sonata form, scholars and analysts can continue to further analyze the harmonic relationships and tonal structure, while revealing his use of lyricism on the surface as an individual entity that helps Schubert stand out compared to other composers in the sonata-form genre.

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