

Schumann's Fantasy Op. 17 and the Strange Case of the Supertonic Sonata: The Missing Tonic and Its Consequences

*A Fantasia Op. 17 de Schumann e o estranho caso da sonata supertônica:
a tônica ausente e suas consequências*

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Abstract: This paper explores some fresh angles (Schenkerian and sonata-formal) on one of Schumann's most famously intractable works. In the process it draws some larger conclusions regarding Schumann's paradoxical relationship to sonata form and Schenkerian approaches to unusual sonata forms. Form in the first movement has been much debated as variously sonata-based (though with considerable differences as to its parsing), rondo-based, a Romantic Fragment writ large, or *sui generis*, unclassifiable. Analytical challenges include: 1) rondo-like recurrences of a main theme that prolongs a dominant seventh (or ninth) throughout, resolving only at the very end of the movement; 2) an exposition with an extraordinarily unconventional tonal scheme; 3) a long, static central episode, tonally closed in the tonic minor; and 4) a teleological thematic process gradually converging on a climactic quotation of another composer (Beethoven). Although the subdominant has usually been considered the exposition's principal secondary key, I will instead make the case for the supertonic, projecting a new kind of expositional tonal relation based not on *key* but rather on *chord*, preserving the essentially Classical (fifth-based) expositional tonal motion, but projected in a radically novel way (V–II). Schumann's relationship to sonata form was paradoxical, constantly pulling in opposite directions of, on the one hand, fantasy and improvisatory spirit, and on the other, a tendency to elaborate artifice. From the former perspective the Fantasy is perhaps the most audacious and original sonata form he ever wrote. The flexible yet rigorous Schenkerian approach pursued here proves remarkably responsive to its highly unconventional tonal structure, suggesting exciting potential for new paths into 19th-century sonata form.

Keywords: Schumann. Schenker. Sonata form.



This article explores some fresh angles, Schenkerian and sonata-formal, on one of Schumann's most famously challenging movements. In the process it draws some larger conclusions regarding 1) Schumann's paradoxical angle to sonata form, and 2) the potential for new Schenkerian approaches to unusual 19th-century sonata forms.

1. Schumann and Sonata Form

Schumann's relationship to sonata form had a certain bipolar aspect to it, constantly pulling in opposite directions of, on the one hand, fantasy and improvisatory spirit (in the thematic material itself and expositional narratives) and on the other, a tendency to predictable playing out of a pre-ordained script, in the unfolding of developments and (especially) recapitulations: long stretches of transposed repetition that can invite the suspicion of auto-pilot. This dichotomy is characteristic of his approach to the form throughout his career, from early (piano sonatas, with a notable penchant for "parallel" forms),¹ through middle (symphonies, larger chamber works),² to late (concert and dramatic overtures, chamber duo sonatas).³

Even by Schumann's own standards, the Fantasy is a particularly vivid embodiment of this paradoxical quality: While the first movement certainly has its share of (over-?) reliance on transposed repetition, from the perspective of improvisatory spirit of thematic material and tonal structure it is a good candidate for the most audacious and original sonata form he ever wrote.

2. Form in the First Movement

The first movement's (*Durchaus phantastisch und leidenschaftlich vorzutragen*) form has been much analyzed and debated, as:

- 1) Sonata-based, in its clear thematic/tonal duality, projected through a well-articulated if unorthodox exposition, and tonic-resolving

¹ Daverio 1993, pp. 21–4; Lester 1995; Roesner 1991; Rosen 1988, pp. 368–93.

² Burnham 2007; Hedges Brown 2000; Lester *ibid.*; Longyear 1978; Roesner 1990; Roesner 1997; Roesner 2007.

³ Burnham *ibid.*; Roesner 2007; Smith 2009.

recapitulation (Daverio, Newcomb, Roesner, Rosen, and Schmalfeldt, though with considerable disagreement as to the sonata's formal parsing).⁴

2) Rondo-based, in the cyclic recurrence of a main theme alternating with contrasting material (Morgan).⁵

3) Ternary, in the presence of a large contrasting, self-contained middle section (Rosen).⁶

4) A Romantic Fragment writ large, in the perpetual tonal open-endedness of its recurrent main idea, and un-classical nature of its secondary tonal relationships (Rosen).⁷

5) *Sui generis*, unclassifiable (Lester, Marston, Ponce).⁸

Such formal elusiveness is consistent with the work's complex compositional genesis and evolving generic conception, beginning life as a Sonata before turning into a Fantasy.⁹

The first movement's analytical challenges include:

1) Rondo-like recurrences of a main theme that prolongs an unresolved dominant seventh (more precisely, ninth) throughout, resolving only at the very end of the movement.

2) An exposition with an extraordinarily unconventional tonal scheme: First, although the key of C is unambiguous, the tonic chord is completely absent from its opening statement, the tonic key represented by its dominant chord only. Second, the subordinate key/tonal goal of the exposition is open to different interpretations: while the thematic process and character of the material at first seem to point to the subdominant, F

⁴ Daverio 1987; Daverio 1993, ch. 2; Newcomb 1987, p. 170; Roesner 1991, pp. 273–6; Rosen 1997, pp. 513–15 ("the monument that commemorates the death of the classical style"); Schmalfeldt 2011, p. 252. More on these disagreements below.

⁵ Morgan 2016, pp. 6–9.

⁶ Rosen (1997, p. 515), who compares it to a baroque da capo aria.

⁷ Rosen 1995, pp. 100–10.

⁸ Lester 1995, p. 209; Marston 1992, ch. 4; Ponce 2014.

⁹ Marston *ibid.*, ch. 1.

(which would be a highly deformational choice, counter-generic, even implausible), from a tonal perspective the IV-chord is enclosed within a prolongation of II (d). While just as unusual in terms of rarity (indeed even more so), and possessing little obvious logic considered as a tonal relation with the tonic, when viewed in another light—of a P-theme that prolongs not the tonic chord but its dominant—it actually emerges as a logical, natural outgrowth, as will be shown.

3) A development-substitute in the form of a contrasting central episode, tonally closed in the tonic minor.

4) A teleological thematic process that gradually converges on the climactic quotation of another composer (Beethoven). The Fantasy's compositional genesis in connection with raising funds for the Bonn Beethoven monument project of 1845 (with the first movement's original programmatic idea of "Ruins") has been well covered elsewhere,¹⁰ as has the evolution of Schumann's conception, in the course of which it became intertwined with significance for his relationship with Clara (a "deep lament" for her); the climactic quotation from Beethoven's *An die ferne Geliebte* (No. 6, "Nimm sie hin denn, diese Lieder," mm. 9–10) has been much discussed in the literature,¹¹ and indeed its continued inspiration beyond the present work, famously in the finale of his Second Symphony.¹²

Table 1 gives an overview of the complete form of the movement.

¹⁰ Daverio 1993, pp. 19–21; Daverio 1997, pp. 151–4; Marston *ibid.*, ch. 2; Marston 1993.

¹¹ Hoeckner 1997, pp. 109–31; Marston 1992, ch. 3; Marston 1993, pp. 238–9; Newcomb 1990, pp. 295–6; Rosen 1995, pp. 103–12; Schmalfeldt 2011, pp. 251–4; Todd 1994, pp. 91–4.

¹² Daverio 1997, pp. 315–22; Newcomb 1984; Roesner 1990.

m.	Thematic Rotation	Large Formal Sections			Comments	Tonal Structure	Cadences	
(3)	1	Exposition	P	Antecedent	motives: a (scalar)	V_7^9		
15					b (Beethoven quot.: anticipation in G)			
19					(reinterpreted HC)		V: IAC = I: HC	
20				Consequent	high C! (V^{11})	V_7^9		
29				TR	Pt. 1	as dissolving restatement motive a: modal inflection (A–A \flat)	$II^{\circ} \frac{6}{5} - V_7 / \flat III$	
33					Pt. 2	E \flat : 5–6 exchange–ascending fifths (c–g–d); no MC!	$\flat III$	
41				S	TM1	or TR, Pt. 3?	II d: I–V	
42			motives: a (scalar)					
49			b (Beethoven quot.: anticipation in d)					
53					TM2	dissolution to renewed TR	d: $\flat II -$	
61						MC (only one in exp.)	V/IV	IV: HC MC
62					TM3	TMB: lyrical Telos motives: a (scalar)	IV	
69						b (Beethoven quot.: anticipation in F)		
74				cadential prog.		dec. res. to:		
82				C		descending fifths	$II^{\#}$	
98	2	Recapitulation (Type 1)	P	(Cons. version) A		V_7^9		
106				B	motive a: frag.			

119			(Cons. version) A'		V $\frac{9}{7}$ (tonic pedal as anticipation)– V $\frac{b9}{7}$ ("entrance chord")	
129	<i>Im Legendenton</i> (expanded Type 1 insertion: development substitute)		Entrance (minor V)	from TR, Pt. 2 reversal of 5ths-motion: asc. (G–D)–desc. (D–G) arp.–3rd-prog.	V \flat	
133			Theme (tonic statement)	1) arp. 2) parallel 6ths 3) cadential (5th-) prog.	I \flat (res. of V7 from recap.)	
139						I \flat : PAC
141			Variation 1: Entrance	5ths-motion: asc. (C–G–D)–desc. (D–G)		
149			Theme	abbrev.: arp.–parallel 6ths only		
155			Interlude 1	from TM2 (cf. mm. 53 ff.)	\flat VI	
157				from TM3 motive b (Beethoven quot. at original pitch E \flat)		
165			RT1		V ()	I \flat : HC
174			Variation 2: Theme	complete, to dec. cadence	I \flat – \flat VI	
181			Interlude 2	from TM1	\flat II	
183				motive a (scalar)		
195			RT2	overshoots tonic, to	V–I–	
204			Variation 3: Entrance	subdominant 5ths-motion: asc. (F–C)–desc. (C–F) $\flat\hat{6}$ (= A \flat): octave-prog.	IV \flat	

212					cover tone left hanging	$V^{\flat 9}_7$ ("exit chord")		
216				Theme/ Closing Section	arp.-cadential (3rd-) prog. $\flat\hat{6}$: still hanging!	I^{\flat}	I^{\flat} : PAC	
225		Type 1 Recapitulation, cont.	TR	Pt. 1	as dissolving restatement $\flat\hat{6}$: as choral 7th ...	$II^{\circ} \overset{6}{\text{S}} - V^{\flat 7}/\flat III$		
				Pt. 2	res. to G recomp. (abbrev.) to:	$\flat III$		
233					MC1 (as new MC in recap.)	V	I^{\flat} : HC MC	
(233)				S	TM1	or TR, Pt. 3?	I^{\flat} c: $I^{\flat} - V$	
234						motives: a (scalar)		
241						b (Beethoven quot.: anticipation in c)		
245					TM2	dissolution to renewed TR	c: $\flat II -$	
253						MC2	$V/\flat III$	$\flat III$: HC MC
254					TM3	TMB: lyrical Telos motives: a (scalar)	$\flat III$	
261						b (Beethoven quot. at original pitch $E\flat$)		
							dec. res. to:	
274					C	descending fifths	I	
287	3		Coda	P	(Cons./Ant. comb.)	dissolves to:	$V^{\flat 9}_7$	
296						Beethoven quot. in C	I	
297								(foreground) I: IAC
299								I: PAC
300						Closing Section		

Table 1: Formal Overview

3. Exposition

The exposition (Exs. 1 and 2) outlines the ascending fifth V–II, the latter enclosing its own motion to its mediant and back: (d:) I–III–I[#]; against this, the upper-voice counterpoint traverses the falling fifth A–D ($\hat{2}$) from above. Since the tonic (C-) chord is completely absent from the scheme, the *Urlinie* can be appropriately conceived as coming into focus *in media res*; if the reader finds it preferable to supply the missing $\hat{1}$ in implied parentheses, there is no harm in that, but to me, the idea of the movement floating into view (earshot) directly on $\hat{2}$, unmoored by any tonic, real or imaginary, is more to the point. Further, the middleground $\hat{2}$ is itself delayed until the end of the exposition, as the goal of the fifth-progression from above.

(P)

ant. a (P5) → B (m. 11)

Durchaus phantastisch und leidenschaftlich vorzutragen. M.M. $\text{♩} = 80$.

sf *ff*

V₇ *Pedal.*

4

8

C (m. 23)

G: "I" V₇

12

(p) II

15 *ritard.* *ritard.*
V (VI) II V

19 *cons. p*
Pedal.
G: I (=V: IAC) ⇒ I: HC

22 V⁷ (B, m.10)

25 *ritard.*

28 (TR) pt.1 a (°5)
II₅⁶ (V⁷) pt.2

31 bIII

34 I_b V_b

Detailed description: This musical score consists of seven systems of piano music, each with a treble and bass clef staff. The first system (measures 15-18) features a melodic line with a 'ritard.' marking and a bass line with sixteenth-note patterns. Chord symbols V, (VI), II, and V are placed below the bass staff. The second system (measures 19-21) includes a 'Pedal.' marking and a 'cons. p' dynamic. A harmonic analysis 'G: I (=V: IAC) ⇒ I: HC' is provided below the staff. The third system (measures 22-24) shows a 'V⁷' chord symbol and an annotation '(B, m.10)' with an arrow pointing to a specific note. The fourth system (measures 25-27) contains a 'ritard.' marking. The fifth system (measures 28-30) features a 'TR' (trill) marking, 'pt.1', and 'a (°5)' annotations. Chord symbols II₅⁶ and (V⁷) are present. The sixth system (measures 31-33) includes 'pt.2' and 'bIII' annotations. The seventh system (measures 34-36) shows 'I_b' and 'V_b' chord symbols. The score is rich with musical notation, including slurs, ties, and various dynamics.

4 (104) TM1 S/TR, pt.3?

38

42

45

48

52

56

pp * *p* *f* *ritard.*

d: I II V# II bII⁶

TM2

(p) (p) IV F: II

The image displays a musical score for a piano and cello arrangement, labeled 'Example 1: Exposition'. The score is organized into systems, with measures 60, 65, 70, 75, 82, 89, and 95 clearly marked. The piano part (top staves) includes dynamic markings such as *p*, *pp*, *ff*, and *f*, along with performance instructions like 'rit.', 'ritard.', 'Adagio', and 'Pedal.'. It also features chordal annotations: 'F: (p) V (=IV: HC MC)' at measure 60, '(N)' at measure 75, 'IV⁵⁻ 6' at measure 82, and '(VII^{o7})' at measure 89. A circled 'TM3' is placed above measure 60, and a circled 'P' is above measure 95. The cello part (bottom staves) includes dynamic markings like *ff* and *ff*, and performance instructions like 'Pedal.'. A circled 'C' is placed above measure 82. At the end of the score, a circled 'P' is above measure 95, and 'R. S. 55.' is written below. The bottom-most part of the score shows a chord labeled 'V⁷'.

Example 1: Exposition

The musical score for Example 2: Exposition is presented in two staves. The upper staff is in treble clef and the lower staff is in bass clef. Above the treble staff, there are circled numbers indicating fingerings: 29, 33, 41, 50, 61, 74, and 82. Above the bass staff, there are circled numbers: 7, 10, 10, 10, 8, 7, 8, 7, 10, 8. A large slur encompasses the first two staves. Below the bass staff, there are harmonic labels: V₇⁹, d: I, II^{b-}, F: III[#], V, I, III, and N. A circled number 2 is above the first measure of the treble staff, and a circled number 2 is above the final measure of the treble staff. A circled number 5th is above the measure containing the circled number 50. A circled number 7 is above the measure containing the circled number 74. A circled number 8 is above the measure containing the circled number 82.

Example 2: Exposition

3.1. P

The main theme (Ex. 3) displays an unconventional period construction, projecting the home key through its dominant chord only.

Antecedent

The basic ingredients of the theme's (and movement's) characteristic dominant sonority announce themselves immediately (Ex. 1): bass ($\hat{5}$) and inner/upper voices (a II-triad), adding up to V_7^9 . Against this ambient background—a swirling "Aeolian harp"—the upper-voice melody fills in this II-triad with the falling fifth A–D, in a foreground parallel of the middleground for the entire exposition. To this the inner voice adds C, for a complete II⁷ chord above the bass G. The result is a *harmonic fusion* of two chords (V^9/II^7). Remember this! It will be highly significant in view of the exposition's tonal journey.

Secondly, within the prolonged V^7 chord of the home key (C), the dominant (G) is briefly stabilized as a *key*, in a kind of "reverse tonicization": a reversal of the normal sequence of events whereby an established dominant key is then destabilized by the V^7 chord, preparing the return to the tonic (Schenker's

"securing of the seventh," as V^{8-7} or $5-7$).¹³ In reverse tonicization the V^7 chord comes first, the tonicized dominant key second—hence the seventh is first secured before being lost (abandoned) again. The result can be thought of as an "illogical" or "unearned" tonicization of (or within) the unresolved V^7 .¹⁴

ant. 11 (m.24) IN 3rd (p)

G: 8 - 5 - 4 - 3

5 - 7 °7 5

(G: "I" V7 II V I)

cons. 20 24 (2) (p) 3rd TR 29

5 - 7

V7

¹³ Schenker 1979, p. 132.

¹⁴ For some other examples, see Brahms Symphony No. 4 (ii), mm. 56 (secured seventh), 58–9 (reverse tonicization); Chopin Nocturne in B^b minor, Op. 9/1, mm. 51 (secured seventh), 61 (reverse tonicization); Rachmaninov Prelude in g , Op. 23/5, mm. 35/42 (secured seventh), 50 (reverse tonicization). The unresolved V need not contain the dissonant seventh; the collapse of a consonant major dominant chord to minor will suffice—see Bach *St Matthew Passion*, opening chorus, m. 10; Beethoven Symphony No. 5 (iii), mm. 44–5. The phenomenon comes in many different forms and refinements and merits further study.

Example 3: Exposition, P

Here, V^7 of the home key stands in for the initial tonic of a cadential progression in the key of the dominant (see Exs. 1, 3a); the tonicized V : IAC (m. 19) is an example of what Caplin calls the "reinterpreted half cadence": in its larger context, understood as a I: HC.¹⁵

The theme's melodic content establishes an ordered two-part process, a wellspring that will become a guiding unifying principle across the exposition (see Ex. 1), in the form of motives a (m. 2), the descending scalar fifth; and b (m. 15), an evolution of the melodic descent from fifth (scale) to sixth, as downward fourth-leap plus filled-in third: G: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ (Ex. 3a). This sets in motion a long-range teleological process: motive b's melodic shape will eventually mutate into the Beethoven quotation (look forward to Ex. 8a, m. 296).

Consequent

Unlike the antecedent, the consequent (m. 20) lacks any cadential articulation, merely extending the V^7 chord, leaving the P-theme open at both ends.¹⁶ This raises the question of the consequent as initiating a transition of the "dissolving consequent" type. But any such impression would then be decisively countered by the subsequent onset of the real TR of the "dissolving restatement" type (m. 29; Table 1).¹⁷

¹⁵ See also Schmalfeldt 2011, p. 252. On the reinterpreted half cadence, see Caplin 1998, p. 57.

¹⁶ For Roesner (1991, p. 274), this feature disqualifies it as a P-theme!; instead, it becomes a "false start"/introduction, postponing the sonata allegro proper to m. 29 (see also note 20).

¹⁷ On the "dissolving" TR types, see Hepokoski & Darcy 2006, pp. 101–11.

Despite the harmonic open-endedness, Schumann does, in fact, impart a satisfyingly culminatory sweep over the whole theme, the two phrases bound together in a single span by a rising melodic descant (Exs. 1, 3a): from A (the dissonant chordal ninth at the outset) through leading tone B (m. 10, as the melodic high point of the antecedent), which continues (and very audibly resolves) to C as the high point of the consequent (m. 23). But the melodic culmination on this pitch is paradoxical, out of sync with its harmonic context: first, in its rhetorical emphasis as an unprepared chordal eleventh, piling a further third-dissonance on the original V^9 ; second, from a contrapuntal perspective, in its status as a displaced passing tone (Ex. 3a). It is a good example of what Frank Samarotto calls a "contra-structural melodic impulse":¹⁸ a goal-directed melodic shape/contour that takes on an independent existence at odds with its contrapuntal-structural context.

3.2. TR

Beginning as a dissolving restatement of P, TR (Table 1; Exs. 1, 2) consists of:

- 1) A flatward plunge into the tonic minor (m. 29), contraction of the original scalar fifth-species (motive a) from perfect to diminished prompting an irresistible magnetic pull into the relative major.¹⁹ Note especially the upper-voice modal inflection A–A \flat ; this downward-tugging chromaticism will loom large throughout the movement (especially in this particular register), in different harmonic contexts and at various levels of structure.
- 2) A new contrasting idea (m. 33), arising as a 5–6 exchange of the relative major (E \flat –c) and impulsively surging in ascending fifths to land in the supertonic, D minor.²⁰

¹⁸ Samarotto 2009.

¹⁹ Taking her cue from the recapitulation's resumption from this point after the central *Im Legendenton*, Roesner (1991, pp. 273–6) goes so far as to postpone the beginning of her (off-tonic, in E \flat) sonata form itself here (see also note 17).

²⁰ Daverio (1987, 156) has TR begin only in m. 33, viewing the first part (m. 29) as the end of a minor-third-related P-complex (C–E \flat), answered by another (d–F) minor-third S-complex.

3.3. S (Extended Zone)

Key 1 (D minor)

The first of the exposition's two secondary key-areas (Table 1; Exs. 1, 2) sets off projecting a form-functional ambiguity, or bivalence: TR, Part 3, or S-theme? On the one hand, the arrival in the supertonic (m. 41) makes a rather abrupt, premature-sounding impression; devoid of any MC preparation, it arises as another stage in the ascending-fifths sequence from TR, Part 2. At the same time, it does project the strong sense of a new thematic beginning, based on a new variation on the P-theme's two-part melodic process (Ex. 1): motives a (m. 42): descending scalar idea, as d: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$; and b (m. 49): descending fourth-leap (Beethoven anticipation as d: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$).

But the new beginning soon dissolves in reversion to a pronounced TR-character, with a harmonic turn to the Neapolitan (m. 53) and chromatic bass ascent, eventually settling on V-of-IV, projected as a strong cadential arrival (m. 61): a IV: HC MC (!)—by default, with no other MC-candidate in sight.

Key 2 (F major)

The second of the two keys, the subdominant F, thus arises as the upper third of the established supertonic. Once again the melodic content continues to evolve further transformations of the two-part process: motives a (m. 62, F: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$) and b (m. 69, F: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ as Beethoven-anticipation), in a new lyrical variant projecting a sense of goal-arrival, expositional *telos* (Ex. 1; the feeling of arrival reinforced rhythmically by the systematic deceleration from 16th-notes, m. 41, through triplet eighths, m. 51, to eighths, m. 61). The cadential progression, (F:) IV (5–6)–V (mm. 74 ff.), breaks off in a chromatic deceptive motion, attenuating to silence (m. 81)—an enigmatic evaporation to an unharmonized melodic F, signifying—what exactly? An implied resolution to an unsounded VI-chord here, or an anticipation of the real deceptive motion to D (major) in m. 82? Either way, the moment is invested with an extraordinarily concentrated expectancy:²¹

²¹ Downes (1999, pp. 277–9) hears the moment as a musical "kiss," the culmination of the F-major theme as a "duet between tenor and soprano (Robert and Clara?)."

3.4. C

... rudely broken by the return of D tonality and a jarringly false relation F# (m. 82; Exs. 1, 2): baroque organ-like syncopated counterpoint, at an assertive *ff*, in a downward-driving circle-of-fifths (as the mirror image of the upward-spiraling fifths of TR), before dissolving in a return of the home-key dominant and P-theme (m. 97).

Many analysts have interpreted m. 82 as beginning a (or *the*) "development."²² This is unconvincing, though: first, on account of its symmetrical return to the key of D, thus forging a connection back to an earlier stage of the exposition; second, in its thematic character of assertive strength and stability, and sentential syntax (presentation, m. 82–continuation, m. 87); third (as the development-proponents acknowledge), in its leading directly to an early return of the P-theme in the tonic, the cyclic "double" return to the opening suggesting a homecoming, unlikely (to say the least) so early in a development.

In my reading, the return of D instead places bookends around an extended expositional S/C zone, the supertonic D minor–major spanning a stable symmetrical arch, bridging the enclosed subdominant F as its own mediant enclave.

Let's step back and consider the large TR/S/C area (F enclosed by D-bookends) as a whole.

4. Expositional Secondary Area

4.1 Tonal Structure

The subdominant has usually been considered the main secondary tonal area.²³ There are certainly good arguments in favor of this: first, the thematic process—the F-major theme's lyrical character, and feeling of goal-arrival; second, its harmonic preparation by a strong MC effect. But the problem nevertheless remains of IV as a generically implausible expositional goal, on account of the flatward motion's inescapable property of a counter-generic

²² Daverio 1987, p. 158 ("false development"); Marston 1992, p. 48; Newcomb 1987, p. 170; Roesner 1991, p. 274; Schmalfeldt 2011, p. 254 (Ex. 9.11).

²³ Daverio *ibid.*, p. 158; Newcomb *ibid.*, p. 170; Roesner *ibid.*, p. 274; Rosen 1997, p. 452.

lowering of the tonal tension—indeed for Lester and Marston, this is grounds for disqualifying the movement as a sonata form.²⁴

(In this connection, Rosen speaks of Schumann "paradoxically employ(-ing) it [the subdominant area] with astonishing mastery to increase and prolong tension," on the grounds that the tonic C is never affirmed (before the very end) by its own root-position triad.²⁵ To this I would add another dimension to the "tension" of the subdominant, as inhering between generic form-functional expectation (the expressive character of an S-theme) and its very irreconcilability with the tonal structure's retreat into an interior world of subdominant stasis.)

I will instead make the case for the supertonic as the exposition's real secondary key.²⁶

Concerning II as a secondary-key choice in sonata form: On the face of it, of all scale-steps, it is the least likely candidate for a convincing goal of motion from the tonic (even less likely than its stepwise counterpart (flat-) VII, which arises naturally as either the upper third of the dominant or a stabilized step on

²⁴ Lester 1995, p. 209; Marston 1992, pp. 46–7. In this connection, it is instructive to consider a few other examples of IV arising in various expositional contexts:

1) Schubert and expositional trimodular blocks (TMBs), with IV in the role of a transitional way station, or expansionary detour en route to a normative secondary area of V, in the Symphonies Nos. 2 in B \flat (i) and 3 in D (iv) (see Pomeroy 2008, pp. 23–34). The singular Schubertian example of IV as the real secondary tonal area is the "Trout" Quintet (v); but the form here is better regarded as a large binary than a real sonata (both halves repeated, no development).

2) A few late Romantic examples of IV as the true expositional goal. All of them are minor-mode movements; and intriguingly, all are modally mismatched (minor I–major IV!): Bruckner's Symphony No. 7 in E (ii, in c \sharp) has an S-theme in F \sharp major of an inward, consoling character, in escapist relief from the grief-laden, weighed-down quality of the P-theme. Elgar's Symphony No. 2 in E \flat (ii, in c) exhibits a similar expressive correlation, though with a more assertive S-character (F major). In Saint-Saëns's Symphony No. 3 in c (i), an altogether eccentric movement that peters out prematurely mid-S in the recapitulation, the key choice (F major) is harder to explain, but again, the lowering of tension in relief from the relentless *Sturm und Drang* grind of the P-theme is palpable. Finally, Rachmaninov's Piano Concerto No. 3 in d (iii) features an elaborate artifice of parallelism with an off-tonic recapitulation: I–IV (exposition) comes back as VII–III (Pomeroy *ibid.*, pp. 51–5).

From an expressive standpoint, Schumann's move to F major does seem to share the escapist quality of some of these examples.

²⁵ Rosen 1995, pp. 108–9.

²⁶ See also Morgan (2016, p. 8 (Ex. 2)), though he does not speculate as to Schumann's rationale for the key choice.

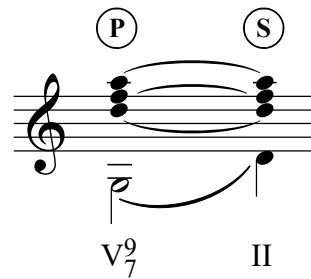
the way down from I to V). As a generic possibility, it could conceivably find a place in the exposition as a transitional step between I and V or I and III (we have an example by Schumann in the Sonata No. 1 in f#, Op. 11 (i), mm. 98 ff., where g# is tonicized en route to A). But other examples of II as the expositional harmonic goal are few and far between.²⁷

The reasons for this are not hard to find, in its incompatibility with the chord's established roles in common-practice tonal syntax: first, as an intermediate chord en route from tonic to dominant; second, as a contrapuntal derivation (5–6 exchange) of the subdominant. In any event, under normal circumstances it is difficult to imagine any convincing rationale for arrival in II as a goal of directed motion from the tonic.

In fact, the rationale here rather stems precisely from the tonic chord's absence: the P-theme's basis in *dominant* prolongation. This projects a new kind of expositional tonal relation based not on key but rather on chord: We're used to thinking of sonata expositions in terms of motion from the tonic *key* to another, but instead of tonal motion from the (non-existent) tonic triad, I propose the supertonic as originating in a composing out of the opening dominant (ninth) chord: the key of D minor emerges as an organic manifestation of its overtones—already present in the P-theme's characteristic harmonic and melodic complex, the upper triad of which now takes on an independent existence as its own key (Ex. 4).²⁸

²⁷ One notable exception can be found in Elgar's concert overture *In the South*, Op. 50, where it appears (R13) en route neither to the dominant nor mediant but the *subdominant* (R20), in the form of a "leaping passing tone" in the upper voice.

²⁸ Both Rosen (1995, p. 105) and Schmalfeldt (2011, p. 252) make the connection between the appearance of D minor at m. 41 and the same chord's presence in the upper voices of the opening V⁹ chord. Schmalfeldt stops short of drawing any larger conclusions regarding II's deep-middleground claims (vs. those of IV). Rosen, on the other hand, extends the idea of the opening V⁹ as source-chord to the exposition's eventual arrival in IV, which he does regard as the real secondary key. This is possible given the presence in the opening chord's upper voices, not just of the II-triad, but, from m. 3 onwards, the full II⁷ chord including C.



Example 4: Expositional Tonal Scheme: Overtone Derivation

In the process, notice that it preserves sonata form's essential basis in an ascending fifth-relation, projecting it in a radically novel way (V–II)—in this sense, it can be viewed to project a more plausibly classical tonal relationship than would the descending fifth tonic–subdominant.

The subdominant F is thus enclosed within a prolonged D, hence insulating that problematic (in a sonata-formal sense) scale-step from a direct relation with the tonic. The upper-voice counterpoint links the bookend Ds as the lower third of the covering fifth-progression (A–D) that spanning the entire exposition (Ex. 2).

4.2 Sonata Theory Perspective (Trimodular Block)

A Sonata Theory perspective yields new insights into the extended S-zone, whose organization is reminiscent of the classical trimodular block (TMB) technique (Table 1, Ex. 1):²⁹

TM1: A preliminary/provisional S-candidate in D minor, in a plausible thematic-rhetorical expression of S, but unprepared by any MC, instead arising in the course of a sequence.

TM2: A dissolution to renewed TR-activity, now working up to a real MC.

TM3: The arrival of another S-theme candidate in F major, as the goal of the TMB process; in characteristic TM3 fashion, projecting the sense of rectification or correction of the (retrospectively) provisional nature of TM1. Its character is inward in two senses: both literally, sandwiched between its surrounding bookends of D minor/major; and expressively, in Janet Schmalfeldt's sense.³⁰

²⁹ Hepokoski & Darcy 2006, pp. 170–7.

³⁰ Schmalfeldt 2011, ch. 6.

But it is not the goal of the *tonal* process, which awaits completion by a return to D (II) in the expositional closing section.

The real tension, then, inheres between the TMB organization (leading to IV as goal of the *thematic* process) and its larger tonal context (its nesting within the surrounding prolongation of II): in classical terms, inconceivable, but surely in keeping with the young Schumann's spirit of fantasy.

5. The Larger Form

Further pursuing the Sonata Theory perspective, the double (thematic/tonal) return immediately following the exposition implicates a Type 1 sonata.³¹ How plausible was this sonata type as the choice for a first-movement form (vs. its more common appearance in slow movements, finales, and overtures)?³² While undoubtedly counter-generic in this position, it is not unique (for another example, see Brahms's Piano Quartet No. 1 in g, Op. 25/i).³³ But it is the earliest example I am aware of, and its deployment here only enhances the extraordinary audacity of Schumann's conception.

Ex. 5 shows the complete movement.

³¹ Hepokoski & Darcy 2006, p. 345 ff. This feature (early apparent recapitulation, further complicated by being separated from its continuation (resumption) by an intervening episode) was the cause of no end of headaches for earlier analysts (e.g., Daverio 1987, Marston 1992, Newcomb 1987, and Roesner 1991), who had the benefit of no such explanatory model for such an apparent anomaly. Daverio (*ibid.*, p. 152) comes closest; his analysis of a recapitulation begun, then interrupted by the central *Im Legendenton*, is essentially an expanded Type 1 by another name.

³² And not to be confused with the more common "expositional-repeat feint" as a development-beginning strategy in a Type 3 sonata (as found in Haydn Sonata in D, Hob. 51 (i); Brahms Symphony No. 4 (i); Dvorak Symphony No. 8 (i) etc.). The difference resides in the presence or absence of another double return of the opening after the development. See Hepokoski & Darcy *ibid.*, pp. 350–1.

³³ See Pomeroy 2011, pp. 81–5.

(R1) exp. (R2) recap.: P (Im Legendenton) TR1 2

82 98 225

N 7th

a)

9 7 (7) 10 10 10

II^b - #

V₇⁹ I^b

(S:) TM1 2 3 C (R3) coda P (Beethoven)

233 274 286 297 299

8 7 8 7 10 8

(2) N

(V bIII I) I

b)

2 1

N IN

(I^b)

V I

Example 5: Complete Movement

5.1 Type 1 Recapitulation, beginning

The P-theme's recapitulation is considerably transformed, the original period now replaced by a ternary form (Table 1)—at first seemingly foreshortened to the original consequent only (distinguished by its ascent to high C, m. 101, now in the role of a ternary A section), but then expanded through the addition of a new contrasting middle (B, m. 106, continuing the dominant prolongation), projecting much manic energy, fragmentary shards spinning off motive a (reduced to its last two notes as an *appoggiatura*-figure). The energy spills over into the reprise (A', m. 119), intensified by the sub-position of a booming tonic pedal in the bass.

This tonic pedal grounding is unique in the theme's returns throughout the movement, the new V/I fusion raising the question of its structural status. Some analysts (Marston, see Ex. 10 below; Rosen)³⁴ read a structural tonic here. Given the shortly forthcoming arrival of an unambiguous stable tonic in the *Im Legendenton*, I find it preferable to hear it as a bass anticipation of that tonic through the continuing dominant prolongation (see below, Ex. 6). An additional function of the tonic pedal is rhetorical, as a marker of formal significance, emphasizing the recapitulatory moment by conferring extra weight on the return of the tonic key (if not yet chord). Further, the topos of harmonic fusion in itself is a characteristic sonic signature of the movement (cf. the P-theme's fusion of V and II; Table 1).

5.2 (Development-) Episode: *Im Legendenton*

Overview

The central section of the movement functions as a development-episode inserted within the distributed elements of the Type 1 recapitulation (hence resulting in an “expanded Type 1” overall form).³⁵ Though such expansions are usually of a more obviously developmental nature, and episode-substitutes more

³⁴ Marston 1992, pp. 54–5 (Ex. 4.7); Rosen 1995, pp. 107–8.

³⁵ On this subtype, see Hepokoski & Darcy 2006, pp. 349–50.

common in the different context of Type 3 sonatas, there is no logical reason why one should not be employed in the service of a Type 1 expansion.³⁶

Expressively, we enter an interior world, far removed from the swirling turbulence of the surrounding sonata allegro, and tonally self-contained, closed off from its surroundings in a stable tonic minor. Its middleground voice leading prolongs the *Ursatz* $\hat{2}$ by upper N $\hat{3}$, also (E^{\flat}) resolving the P-theme's pervasive V^7 to a consonant tonic triad; hence its deep-middleground status is one of consonant embellishment prolonging a higher-level dissonance (Ex. 5a/b).

This island of tonal and formal stability in a larger context of prolonged dissonance effectively turns the form "inside out"; Daverio relates this to the Romantic literary idea of "Arabesque," one characteristic aspect of which is the formal inversion of structural vs. decorative features.³⁷

At the same time, the *Im Legendenton* does fulfill a real developmental function in relation to the exposition, by importing and transforming thematic elements from that part (TR; S/TMB).

The internal form is variation-based (see Table 1 for more detail).

Entrance–Theme

Entrance (V⁷/C–G minor)

At the end of the returning P-theme, the chordal ninth contracts from major (A) to minor (A^{\flat} , m. 128) in an "entrance" chord $V^{\flat 9}$, here sinking to bass depths; this pungent sonority will return later, in the reversed role of "exit" chord at the other end of the central episode (mm. 212–15).

The theme in the tonic minor (m. 133) is accessed via an off-tonic anticipation of itself (the Entrance proper, m. 129, in the new slow tempo of the

³⁶ On episodic development-substitutes generally, see Hepokoski & Darcy *ibid.*, pp. 218–21.

³⁷ Daverio 1987; Daverio 1993, ch. 2. See also Marston's critique of Daverio (1993, pp. 228–9; pp. 239–41), in the context of tracing the *Im Legendenton*'s compositional genesis from Schumann's original conception as a *Romanza* (230 ff.). For another good example of such an "inside out" form, see Bruckner's Symphony No. 8 in c (ii), where the only stable tonic in the movement (aside from its fleeting glimpse in mm. 3–4—now you see it, now you don't—and blazing resolution at the very end) is in the middle of the B section (mm. 91 ff.). In the ensuing RT (mm. 115 ff.), the continuing *tonic* pedal (!) is transformed to V/IV, thus flipping inside out the traditional role of dominant preparation for A', where the tonic's fleeting return (mm. 137–8 = mm. 3–4) arises as a reverse tonicization of this pedal.

Im Legendenton), in a modal collapse of the V^7 chord to a minor V-triad (another instance of "reverse tonicization," observed above in the antecedent of the P-theme). The ascending fifths from TR, Part 1 return in dreamlike recall, unfolding the same downward bass diminished fifth—but with a crucial difference, the rising-fifths drift now checked by a reversal to descending fifths, in a cadential pulling back to the tonic C, bass diminished fifth G–C# now answered by perfect fifth D–G (Ex. 6).

The upper-voice melody plays out two components: (in minor V) the arpeggiated ascent $\hat{5}-\hat{1}-\hat{3}$, and the third-progression $\hat{3}-\hat{2}-\hat{1}$ (Ex. 6).

The musical score for Example 6 is presented in two systems. The first system is divided into 'Entrance' (measures 129-132) and 'Theme' (measures 133-136). The 'Entrance' section begins with a V^7_{\flat} chord (I^{b7}) in the bass and a melody in the treble. The 'Theme' section features a V chord (I^b) in the bass and a melody in the treble. The second system shows the '5th' section (measures 137-140) with a V chord (I^b) in the bass and a melody in the treble. Fingerings are indicated by numbers 1-5. Chord symbols and interval labels (3rd, 5th, P5) are present.

Example 6: *Im Legendenton*: Entrance-Theme

The tonic minor's access thus is paradoxical: the tonic stability of the middle section introduced by *minor*-dominant preparation, incongruously dropped into the surrounding sea of unresolved V^7 . From this perspective, it is instructive to compare what Schumann could easily have done (the direct tonic resolution of the P-theme's omnipresent tendency pull of V^7) to the incomparably greater imaginative stroke of what he actually did (the collapse first of the dissonant V^7 chord to the consonant minor V-triad). It creates a

syntactical disjunction, the effect of which is to render the arrival of the C-minor tonic chord paradoxically strange and new, heightening the other-worldly quality of *Legendenton*; in a metaphorical crossing over a threshold, via an antechamber or corridor.

Theme (C minor)

The tonic arrival resolves the (still left hanging!) V⁷ from the recapitulation (Ex. 6).

Melodically, the theme transposes the Entrance's dominant version to the tonic, creating a kind of subject–answer rhetoric (see the two components, arpeggiated ascent and third-progression, now doubled in parallel sixths). To this it adds a cadential (fifth-) progression, sealing off the theme in strong closure (Ex. 6)—the scalar-descent motive (a), finally grounded in the tonic (inside out, like the form itself), its new context of forthright diatonic simplicity redolent of the certainty of a simpler time/world (Once upon a time?), far removed from the ceaseless unrest of the present (sonata allegro):

Variations

... but a world not immune to encroachment from that present, in the form of contrasting interludes between variations,³⁸ engaging with the surrounding main form in an ongoing recall and evolution of TR/S (TMB) material.

Variation 1

Entrance–Theme

Here is a curiosity: Now that the theme has established the tonic C, return to the Entrance might seem redundant, but this is exactly what Schumann does (Table 1; Ex. 7). Its effect is to set up a slow rhythm of regular alternation/repetition within the recurrent thematic statements, a further

³⁸ Hence leading some analysts to hear the internal form of the *Im Legendenton* as a kind of rondo: Daverio (1987, p. 39); Marston (*ibid.*, p. 231). It is not hard to hear it this way, and its conspicuous feature of recurrent RTs could support this. But the progression of increasingly elaborate thematic returns is strongly suggestive of variation technique.

symptom of the *Im Legendenton's* other-worldly remoteness from the surrounding sonata form: alternation in the contrasting harmonic characters of Entrance and theme (ascending fifths and reversal, vs. diatonic progression); repetition in their identical melodic content (arpeggiated ascent–third–progression). Departure this time from the tonic c (i.e., one fifth back from its original dominant version) entails an extra stage in the ascending fifths' subject–answer rhetoric (C–G–D), and an expansion of the melodic third–progression (through the inner-voice fifth-motion D–G, mm. 143–8, Ex. 7).

Perhaps in compensation for such elaborate treatment of the Entrance, the theme itself (m. 149; Ex. 7) is abbreviated to arpeggiation–third–progression/parallel sixths only, dispensing with its cadential progression.

Var. 1:
Entrance

Theme

Interlude 1

RT1

Var.2: Theme (174) Interlude 2 (181)

5th (p)

6 6 6 10 5 10 5 10 6 7 6

5 5

I⁵⁻ 6 dec.!

RT2 (195) Var. 3: Entrance (204) (212)

8ve

8 10 8 7 10 10 10 10

(p) IV (I)

9
8 - 7
6 - 5
4 - 4
V

Theme/Closing Section (216) Recap., cont.: TR, Pt.1 (220/224) (225) (229)

IN (p) 3rd etc.

I IV⁸⁻ 7 V[#] I (Eb: II) V I)

Example 7: *Im Legendenton*: Variations 1-3

Interlude 1

The first interlude (Table 1; Ex. 7) thematically recalls TMs 2 (compare mm. 155 ff. with 53 ff.) and 3, embedding a further anticipation of the Beethoven quotation (motive b, mm. 156–8), now gaining further specificity in its recollection, first, at Beethoven's original pitch-level ($E\flat$: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$, its context here a larger prolongation of $A\flat$, = c: VI); secondly, now adding Beethoven's original three-note prefix $\hat{6}-\hat{7}-\hat{8}$ (C–D– $E\flat$). The effect is one of an "accidental" hitting upon the original, in the course of the movement's kaleidoscopic succession of transpositions (cf. Table 1). At the same time, the intrusion into the *Im Legendenton* carries a special communicative immediacy—like a sudden breaking through of Beethoven's voice into Schumann's hermetically sealed interior world.

RT1

Return to the tonic is via a half cadence and interruption (m. 165) with ensuing dominant lock, in a larger middleground harmonic context (Variation 1–RT1) of I–VI (5–6)–V, supporting a rising third-progression in the upper voice ($E\flat$ –F–G) (Ex. 7).

Variation 2

Theme

Breaking the established precedent of the original theme and first variation, the second one dispenses with the Entrance—short-circuited by the tidal force of the retransitional dominant's discharge to the tonic (m. 174), Schumann's dramatic sense here overriding schematic predictability. The theme's cadential (fifth-) progression is restored, now sidestepping to a deceptive resolution (VI, m. 179) (Ex. 7):

Interlude 2

... from which returning vantage point thematic recall of the exposition continues with TM1, now forging deeper into flat territory: scalar motive a as $D\flat$: $\hat{8}-\hat{7}-\hat{6}-\hat{5}-\hat{4}$ (mm. 81 ff., Ex. 7)—in its larger context as Neapolitan of C, whence it is inexorably channeled, river-like, into a return to:

RT2

... V and its animated dominant lock. But this time the galloping momentum hurtles straight past the tonic, overshooting to land in:

Variation 3*Entrance*

... IV!, thus 1) creating a climactic symmetry/counterbalance to previous Entrances' emphasis on minor V; 2) harmonically, enabling use of the ascending-fifth motive to access the tonic from below, as F–C, before the descending-fifth reversal pulls it back to F; the tonic is now trapped within the surrounding subdominant (Ex. 7). The upper voice gains high $A\flat$ (= c: $\hat{6}$), from which commanding height plays out a descending octave-progression. The goal is the climactic V^9 chord (m. 212), the regained high $A\flat$ now as a pungent minor-ninth dissonance, recalling the same sonority from the other end of the central episode (cf. m. 128), where it played the opposite role of "entrance" chord. Repeated returns to this pitch ($A\flat_5$) take on a long-range talismanic/beacon-like effect, lighting the way through the darkness for the exit from the *Im Legendenton*.³⁹ Stepping back to view the middleground harmonic context, Variations 2 and 3 together play out a large-scale I–IV–V motion (Ex. 7).

Theme/Closing Section

Resolution of V^9 to I (m. 216) brings no closure yet, which awaits the last return of the theme itself—whose final statement takes a radically new melodic guise, not obviously related to earlier versions. The common structural basis is nevertheless recognizable in its components of arpeggiation–cadential progression (now compressed from fifth to third), which finally confers the seal of closure on the tonally contained world of *Im Legendenton*.

This last thematic statement also doubles as a closing section, which function is clearly suggested by its new melodic basis and recessive, even

³⁹ See also Marston *ibid.*, pp. 239–40 (Ex. 1).

valedictory, character (strongly projected despite the absence of any foregoing PAC).⁴⁰ The cadential closure, while both contextually implicit and generically mandatory, is clouded by much contrapuntal substitution, even more so by the continued presence of the A \flat "beacon" dissonance, which hangs through the cadence, breaking through to the turbulent waters of the resumed sonata allegro (Type 1 recapitulation, continued, m. 225), where it emerges as chordal seventh, finally resolving to G as the chordal third of E \flat (C: \flat III), m. 229 (Ex. 7).

5.3 Type 1 Sonata Resumed: Recapitulation, continued

In classic Type 1 fashion, the recapitulation continues from where it left off before the *Im Legendenton*: TR–S (TMB)–C (Ex. 5a, from m. 225). In a characteristically schematic transpositional parallel, the expositional key sequence D minor–F–D major returns as C minor–E \flat –C major (note that the tonic resolution of music previously in the supertonic, not the subdominant, confirms that interpretation of the exposition's tonal hierarchy).

In one significant piece of recomposition, the return to the tonic minor (TM1) is now prepared by an additional MC (\flat : HC, m. 233). The effect of this change is transformative, disproportionate to its modest technical means (by the simple expedient of nipping the ascending-fifths sequence in the bud: the G-minor chord, m. 37, becomes a G-major dominant, m. 233): preparation thus now confers a much stronger S-character on TM1's melodic idea, previously ambivalent precisely on grounds of its lack of preparatory MC (see Table 1: cf. the two MCs in the recapitulation vs. only one in the exposition).

Otherwise the recapitulation proceeds predictably, in parallel stepwise transposition of the exposition: motives a and b (Beethoven anticipation) now at c (TM1)–E \flat (TM3; thus the Beethoven quote once again "accidentally" hitting upon its original pitch-level, though still in the role of another way station en route to its ultimate goal in this movement, C).

⁴⁰ Schmalfeldt (2011, p. 252) puts it nicely: "the *Im Legendenton* reaches its stoic conclusion ('Yes, and this is the way the story ended')."

5.4 Coda

The recapitulation–coda juncture parallels that of the exposition–Type 1 recapitulation in its dissolution of C into another (final) return of P, which itself dissolves into the (at last fully-formed) Beethoven quotation, finally in the tonic (m. 296): motive b (fourth-leap) as C: $\hat{8}-\hat{5}-\hat{4}-\hat{3}$, united with its prefix $\hat{6}-\hat{7}-\hat{8}$. Schumann now extends the quotation with a symmetrical repetition continuing the descent to $\hat{1}$, in the dual cadential scheme: 1) foreground IAC, $\hat{1}^{\hat{3}}$ as middleground upper N to $\hat{2}^{\hat{v}}$ (m. 297); 2) PAC, background descent to $\hat{1}$ (m. 299) (Ex. 8a/b).

The musical score is divided into two parts, (a) and (b). Part (a) shows measures 287 and 292. Measure 287 is marked with a circled 'P' and '287'. Measure 292 is marked with a circled '292'. The score includes a treble clef and a bass clef. The treble clef part has a melodic line with a fourth-leap motive $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ and a prefix $\hat{6}-\hat{7}-\hat{8}$. The bass clef part has a bass line with a V7 chord and a VI chord. The score is annotated with various musical symbols and numbers, including a circled '2' above measure 287, a circled '10' below measure 287, a circled '7' below measure 287, a circled '10' below measure 292, and a circled '10' below measure 292. The score is annotated with various musical symbols and numbers, including a circled '2' above measure 287, a circled '10' below measure 287, a circled '7' below measure 287, a circled '10' below measure 292, and a circled '10' below measure 292.

Part (b) shows measures 296 and 299. Measure 296 is marked with a circled '296' and 'Beethoven'. Measure 299 is marked with a circled '299'. The score includes a treble clef and a bass clef. The treble clef part has a melodic line with a fourth-leap motive $\hat{8}-\hat{5}-\hat{4}-\hat{3}$ and a prefix $\hat{6}-\hat{7}-\hat{8}$. The bass clef part has a bass line with a V4- chord and a I chord. The score is annotated with various musical symbols and numbers, including a circled '10' below measure 296, a circled '+6' below measure 296, a circled '10' below measure 296, a circled 'N' above measure 296, a circled '(2)' above measure 299, and a circled '1' below measure 299. The score is annotated with various musical symbols and numbers, including a circled '10' below measure 296, a circled '+6' below measure 296, a circled '10' below measure 296, a circled 'N' above measure 296, a circled '(2)' above measure 299, and a circled '1' below measure 299.

Example 8: Coda: P-Beethoven Quotation

The coda rotation's return of P (m. 287) combines the consequent version, with its ascent to high C, with the original antecedent's cadential motion, now turned towards the tonic. There is a profoundly moving sense of coming full circle, in the way the cadential progression (mm. 292 ff.) homes in on the Beethoven quotation via a revisiting of the deceptive turn from mm. 12–13. The final homecoming brings an extraordinary sense of release, as the prolonged dominant over the whole movement finally finds its goal.⁴¹ The last four measures recollect in tranquility the movement's characteristic sound of chordal fusion (I/V), reverberating in an overtone-series-like disposition.

6. Schenkerian Implications

From the Schenkerian perspective, the deep-level voice-leading is nothing less than a huge quasi-auxiliary cadence (V–I), resolving (via the Beethoven quotation) at the very end (Ex. 5a, m. 299)—though conceivable and idiomatic for a Romantic miniature, unprecedented for a first-movement sonata form on this scale. A quasi-auxiliary cadence (rather than a real one) because the upper voice lacks the *Urlinie* descent from $\hat{5}$, integral to Schenker's conception of this kind of auxiliary cadence.⁴²

⁴¹ The idea of homecoming is also pursued in Schmalfeldt *ibid.*, pp. 250–4.

⁴² Schenker 1979, pp. 88–9 (Fig. 110a, 1–3).

Here, the *Urlinie* (at least in my understanding) enters directly on $\hat{2}$, itself the goal of a covering descant-prefix through the fifth above that plays out through the exposition (see above). In the context of the whole movement, this in its turn is nested within a deep-middleground seventh-progression from beginning to coda, moving slowly down above the *Urlinie* $\hat{2}$ before finally sinking under it (B, m. 286), converging on $\hat{1}$ at the end (m. 299) (Ex. 5a).

Two other Schenkerian readings can be found in Marston 1992 and Morgan 2016.

Morgan (reproduced in Ex. 9; graph of mm. 1–41 only, though he discusses the whole movement in his surrounding commentary) reads the movement from a *Kopfton* of $\hat{5}$, sustained throughout until descent at the end very end of the coda. He clearly understands D minor, not F, as the exposition's real secondary key (though he hears the movement more as a rondo than sonata). The upper voice is rather conventional: *Kopfton* G arriving at m. 15, with oscillating upper N $\hat{6}$ in the opening V^9 and later motion to II; but it has the advantage of conforming more closely to Schenker's conception of the V–I auxiliary cadence, with its idiomatic *Urlinie* descent from $\hat{5}$.

The image displays two Schenkerian graphs, labeled 'a)' and 'b)', for the first 41 measures of a musical piece. Above the staves, measure numbers are indicated: m. 1, 15, 17, 20, 25, 29, 33, 34, 37, 41. The first 15 measures are labeled '1st Thematic Statement (Antecedent)', and measures 17–20 are labeled '(Consequent)'. Measures 25–29 are '2nd Th. St.', measures 33–34 are 'Transition', and measures 37–41 are '2nd Theme'. Graph 'a)' shows the upper voice with a *Kopfton* of $\hat{5}$ (G) and a *Urlinie* (UN) that descends from $\hat{5}$ through $\hat{4}$ and $\hat{3}$. Graph 'b)' shows the lower voice with a *Kopfton* of $\hat{5}$ and a *Urlinie* (UN) that descends from $\hat{5}$ through $\hat{4}$ and $\hat{3}$. The lower voice also shows a V chord and a bIII ii progression.

Example 9: Robert Morgan, Graph of mm. 1–41 (Morgan 2016, Ex. 2). Used with kind permission of Duke University Press.

Marston's (reproduced in Ex. 10) upper voice is closer to my own, but the reading lacks a clear explanation of the overarching tonal structure. His reading of the exposition (though, like Morgan, he does not regard the movement as a sonata form) radically de-emphasizes F, relegated to a $\frac{6}{4}$ over bass C, downplaying the root-position tonic and cadential motion in that key. But despite the favoring of D over F, no connection is made between the "bookend" Ds at mm. 41 and 82; instead, Marston privileges the root-position Cs at mm. 34 and 61 as real structural tonics, resolving the opening dominant. This is not entirely convincing, however: the first C (minor, m. 34) is a transient detail within the chromatic TR, initiating an ascending-fifths sequence to d, while the second one (major, m. 61) clearly functions as dominant of F (my IV: HC MC) within the motion from d to F.

The image displays a musical score for Example 10, consisting of two systems. Each system has a treble staff and a bass staff. The first system covers measures 1 to 97. Above the treble staff, there are section labels: 'A al-a2' above measures 1-29, 'B' above measures 33-61, and 'A a2' above measures 82-97. Below the treble staff, measure numbers 1, 29, 33, 34, 41, 61, 80, 82, and 97 are marked. Below the bass staff, there are annotations: 'C: V' under measure 1 and 'I/c' under measure 61. The second system covers measures 98 to 119. Above the treble staff, there is a section label 'a1' above measure 113. Below the treble staff, measure numbers 98, 113, and 119 are marked. Below the bass staff, there are annotations: 'C: V' under measure 98 and 'I' under measure 119. The score includes various musical notations such as notes, rests, and beams, with some notes connected by curved lines indicating voice-leading or structural relationships.

Example 10: Nicholas Marston, Graph of mm. 1–128 (Marston 1992, Ex. 4.7). Used with kind permission of Cambridge University Press.

The flexible (regarding large-scale voice-leading models) yet in other ways rigorous Schenkerian approach pursued here has proved remarkably responsive to the work's highly original tonal structure, manifested in the following features:

- 1) Harmonic fusion of chords (V/II; I/V).

- 2) (related to 1) Separation of fused elements as harmonic strata.
- 3) (related to 2) The overtone series as the basis of unusual secondary key choices.
- 4) Reverse tonicization (backwards sequence of events, whereby V⁷ chord comes first, tonicized dominant key second).
- 5) Tonic projection by its prolonged dominant only, absent the tonic chord itself.
- 6) Reversed conditions of tonal-formal stability/instability: higher-level dissonance (V⁷) prolonged by lower-level consonance (I), thus turning the tonal form "inside out."
- 7) Prolonged dissonance (seventh-progression) on the largest formal scale.
- 8) The *Ursatz* as a quasi-auxiliary cadence.

All in all, there is surely much potential here for exploring new paths into 19th-century sonata form.

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